

## **Procurement of Civil Legal Aid Services in England and Wales from 1 September 2018: Civil Legal Advice Invitation to Tender Information for Applicants.**

### **Introduction**

The Legal Aid Agency (“LAA”) is inviting Applicants to submit a Tender for a 2018 Civil Legal Advice Contract (“CLA Contract”) to provide the LAA’s publicly funded telephone-based Civil Legal Advice (“CLA”) Contract Work from 1 September 2018 in any of the following Categories of Law:

- Family;
- Housing & Debt (combined);
- Education; and
- Discrimination.

This Information for Applicants document (“IFA”) provides information about the CLA Contract Invitations to Tender (ITTs), including how Applicants submit an ITT Response, and the rules governing this stage of the procurement process.

The LAA intends to award a total of 11 separate CLA Contracts:

- 2 contracts in the Family Category;
- 3 contracts in the Housing & Debt Categories;
- 3 contracts in the Education Category; and
- 3 contracts in the Discrimination Category.

An Applicant can only be awarded one CLA Contract in each Category of Law.

Applicants must comply with the rules for Connected Entities (see Section 2). For the purposes of this procurement process an Applicant cannot be connected to any other Applicant bidding to deliver Contract Work in the same Category.

Applicants wishing to deliver Contract Work under a CLA Contract must submit a Tender consisting of:

- i. a single Selection Questionnaire (“SQ”) Response; and
- ii. a single response to the CLA Financial Assessment ITT; and
- iii. a response to one or more of the four CLA Category ITTs.

A complete Tender must be submitted. This must be detailed enough to allow the LAA to make an informed selection of the most economically advantageous Tender. The available points are split across quality (equating to 60% of the total points available) and price (40% of the total points available).

**The Deadline for submitting responses to the CLA ITTs is 5pm on 10 November 2017 (the “Deadline”)**

### **The SQ**

A Tender consists of a Response to the SQ, a CLA Financial Assessment ITT Response and at least one CLA Category ITT Response. Applicants must therefore read the SQ Information for Applicants document in its entirety before submitting their SQ Response and ITT Responses as well as all supplementary information provided, such as ‘Frequently Asked Questions’ (“FAQs”).

If a SQ Response, a CLA Financial Assessment ITT Response and at least one CLA Category ITT Response are not all submitted by the Applicant by the Deadline and capable of assessment the Tender will be rejected.

### **The CLA ITTs**

Before submitting a Tender, Applicants must also read this IFA in its entirety and all supplementary information provided, such as FAQs. Applicants must also read the draft CLA Contract in its entirety to ensure that they understand and can comply with the obligations it contains.

Where not defined in the body of this IFA, capitalised terms are either defined in the glossary at Annex I or in the draft CLA Contract which has been published alongside this IFA. References to ‘procurement process’ are to the process for the procurement of CLA Contracts.

## Key Timeline Dates

Below is a list of indicative dates for key activities in this procurement process. The LAA will notify Applicants of any changes to these dates through the e-Tendering system.

| Activity  | Indicative Timescale            |
|---|---------------------------------|
| Tender opens via the LAA's e-Tendering portal             | 26 September 2017               |
| Deadline to request TUPE information                      | 23:59, 19 October 2017          |
| Final date to submit questions about this IFA and the ITT | 23:59, 19 October 2017          |
| Final "Frequently Asked Questions" response published     | Week commencing 30 October 2017 |
| Deadline for Tenders to be submitted to the LAA           | 5pm, 10 November 2017           |
| Evaluation of Tenders                                     | 10 November 2017 – May 2018     |
| Notification of outcome of the selection process          | January 2018                    |
| Notification of CLA Contract Award decisions              | May 2018                        |
| CLA Contract Start Date                                   | June 2018                       |
| Mobilisation Period                                       | June 2018 – 31 August 2018      |
| Service Commencement Date                                 | 1 September 2018                |

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## SECTION 1: INTRODUCTION

### Background

- 1.1 The CLA Service operates as part of the telephone Gateway (mandated in secondary legislation<sup>1</sup>) for individuals seeking civil legal advice in specified Categories of Law. Individuals seeking legal aid support in those Categories must use the CLA Services in the first instance, and they are not permitted to contact Face-to-Face providers directly.
- 1.2 There is a legislative requirement to maintain telephone access to three Categories of Law through the Gateway. The Gateway also provides access to telephone-based Remote Advice in two non-mandatory Categories.

### The Gateway

- 1.3 The Gateway is delivered in the following stages:

**Stage 1:** Initial calls from prospective Clients are dealt with by the CLA Operator Service. The CLA Operator Service is provided under a separate contract which is not subject to this procurement. It provides an initial assessment of a prospective Client's eligibility for civil Legal Aid. The CLA Operator Service then transfers prospective Clients who have been initially assessed as being eligible to receive legal aid, to the Providers. Those whom the CLA Operator Service determine do not qualify are directed to an alternative source of online, telephone or face-to-face help.

A prospective Client can also use the Digital CLA Service (<https://www.gov.uk/check-legal-aid>) to find out if they are likely to be eligible for civil Legal Aid. The CLA Operator Service checks the quality of the information provided by prospective Clients using the Digital CLA Service before a case is transferred to a Provider.

**Stage 2:** Once a prospective Client has been transferred to a Provider and the Provider has confirmed that the prospective Client qualifies for Legal Aid, the Provider will open a Case and provide specialist legal advice and assistance to the Client.

If a prospective Client does not qualify for Legal Aid then the Provider will direct them to an alternative source of online, telephone or face-to-face help.

- 1.4 This procurement process is for the award of CLA Contracts, for the delivery of Contract Work at Stage 2 of the Gateway only.

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<sup>1</sup> Legal Aid Sentencing and Punishment of Offenders Act 2012 enabled the Government to Mandate the use of the Gateway.

## **CLA Categories**

### **Gateway Categories (Debt, Education, Discrimination)**

- 1.5 The CLA Service operates as the Gateway for Controlled Work in the following Categories:
- Debt;
  - Education; and
  - Discrimination.
- 1.6 Providers may conduct Controlled Work without seeking authority from the LAA. In general terms, Controlled Work does not usually involve court representation. That is either because representation is not required or because it is work provided prior to proceedings becoming necessary. Members of the public applying for legal aid in one of the above Categories must contact the CLA Operator Service. Subject to paragraphs 1.7-1.8, Clients are only offered Remote Advice in these Categories.
- 1.7 Face-to-Face Advice may be provided in the Education and Discrimination Categories by Providers to Clients who meet one or more of the following exemptions:
- they are in detention;
  - they are under 18 years old;
  - they have previously been assessed by the Gateway as needing Face-to-Face Advice, have received this advice within the last 12 months, and are seeking further help to solve a linked problem from the same Provider.
- 1.8 There will also be situations where telephone-based Remote Advice in the Education and Discrimination Categories will not be appropriate for other Clients. In these circumstances the Client will be offered Face-to-Face Advice. This suitability assessment will be carried out by either the CLA Operator Service or the Provider allocated to the Client in accordance with paragraphs 1.6 – 1.13 of the Specification.
- 1.9 A telephone-based Remote Advice service, which does not form part of the Gateway, is also provided in the following Categories.
- Family; and
  - Housing.

- 1.10 This means that Clients eligible to receive legal aid may choose to receive specialist legal advice in these categories through Remote Advice rather than on a Face-to-Face advice basis.
- 1.11 Face-to-Face advice cannot be provided under a CLA Contract in the Family and Housing & Debt Categories under any circumstances. Any such advice will be provided via Face-to-Face Contracts which are being procured separately. Further information on the Face-to-Face Contract procurement process can be obtained in the Face-to-Face Contract Invitation to Tender Information for Applicants document at <https://www.gov.uk/government/publications/civil-2018-contracts-tender>

### Opening Hours

- 1.12 Providers must be available to deliver Contract Work during the following times:
- i) **Core Hours:** 9.00am until 5.00pm from Monday to Friday (excluding bank and/or public holidays); and
  - ii) **Rota Hours:** 5.00pm until 8.00pm from Monday to Friday (excluding bank and/or public holidays) and 9.00am until 12.30pm on Saturdays.
- 1.13 All Providers must deliver the Contract Work during Core Hours. In addition, Providers will be issued with a rota or rotas by the LAA and shall be required to provide the Contract Work during the allocated Rota Hours. During Rota Hours, the CLA Services will usually be performed by a single Provider in each Category.
- 1.14 Rota Hours for each Contract year will be issued:
- 4 weeks prior to the Service Commencement Date (in the case of the first Contract Year); and
  - 2 weeks prior to the anniversary of the Service Commencement Date (in the case of each subsequent Contract Year).
- 1.15 Contract Work must be carried out from an Office, or an alternative location, subject to written agreement by the LAA as set out in the Specification.

### Range of Advice

- 1.16 Remote Advice under the CLA Contract may be delivered via telephone, webcam, e-mail, post or such other method as the LAA may introduce as set out in the Specification.

- 1.17 Face-to-Face Advice may be provided under the CLA Contract in the Education and Discrimination Categories only. This can only be provided in the circumstances set out in the Specification and summarised at paragraphs 1.7-1.8 above.
- 1.18 The range of specialist legal advice work permitted in each Category through the CLA Contract is set out in the table below.

| ITT Category   | Work permitted                                  |   |                     |
|----------------|---|---|---------------------|
|                | Controlled Work delivered through Remote Advice | Licensed Work delivered through Remote Advice | Face-to-Face Advice |
| Family         | Yes   | No  | No                  |
| Housing & Debt | Yes   | No  | No                  |
| Education      | Yes   | Yes   | Yes                 |
| Discrimination | Yes   | Yes   | Yes                 |

### **The use of subcontractors and agents**

- 1.19 The LAA will not accept subcontracting, consortia or agency arrangements for the delivery of the Contract Work except that the use of agents will be permitted in the delivery of the Face-to-Face Advice in the Education and Discrimination Categories for both Controlled Work and Licensed Work. Subject to this exception, Applicants must provide all the Contract Work themselves.

### **CLA Contracts**

- 1.20 Successful Applicants will be awarded a Contract which will start in June 2018 (on the Contract Start Date).
- 1.21 The Contract Period shall commence on the Contract Start Date and end after a period of three years from the Service Commencement Date (subject to the contractual provisions in relation to early termination).
- 1.22 The LAA may, at its sole discretion, extend the Contract Period for up to two years. Applicants must therefore ensure that they base their Tenders on delivery of the



requirements of the CLA Contract from the Contract Start Date and for up to five years from the Service Commencement Date.

1.23 The CLA Contract is comprised of the following documents:

- i. Contract for Signature;
- ii. Standard Terms (governs the relationship between the LAA and the Provider);
- iii. Annex 1: Specification of the Contract Work (sets out the scope of the Contract Work and the associated requirements);
- iv. Annex 2: Cases Fixed Fee and Hourly Rates;
- v. Annex 3: Payment and Disbursements;
- vi. Annex 4: IT Requirements, the CMS and Business Continuity;
- vii. Annex 5: Key Performance Indicators;
- viii. Annex 6: Complaints; and
- ix. Annex 7: Unreasonable Behaviour.

## Payments under the Contract

1.24 The range of fees that can be claimed through the CLA Contract are summarised below:

|                 | Fee               | Description  | Category(ies)   |
|-----------------|-------------------|--|---|
| Controlled Work | Determination Fee | Payable for Determinations   | All   |
|                 | Lower Fixed Fee   | Payable for Cases under 133 minutes  | All   |
|                 | Higher Fixed Fee  | Payable for Cases lasting 133 minutes and over   | Family Housing & Debt   |
|                 |                   | Payable for Cases lasting 133 minutes and over, up to the Escape Fee threshold               | Discrimination Education  |
|                 | Escape Fee        | Hourly rate payable for cases lasting 900 minutes and over, subject to assessment by the LAA | Discrimination Education Housing & Debt (Cross Border cases only)<br>Family (Cross Border cases only) |

|               |  |                                   |   |
|---------------|--|-----------------------------------|---|
| Licensed Work | Fees payable at the rates set out in the Remuneration Regulations in accordance with sections 7 and 8 of the CLA Contract Specification. | Subject to assessment by the LAA. | Discrimination and Education Categories only. |
|---------------|--|-----------------------------------|---|

- 1.25 Only one fee can be claimed per Case. For example, if a Provider claims a Higher Fixed Fee for a Case, it will be unable to claim a Determination Fee, Lower Fixed Fee and/or Escape Fee payment in relation to that Case.
- 1.26 Applicants are required to complete a separate Price Form for each Category in which they submit a Tender. Within the Price Form, Applicants are required to provide their pricing submission for the fees required for the relevant Category.
- 1.27 The prices submitted by the successful Applicant will apply throughout the entire Contract Period (including any extension periods) and will not be subject to indexation or otherwise increased.
- 1.28 For example, if a successful Applicant tenders a Lower Fixed Fee of £50, the Applicant would be paid a single fee of £50 for each non-determination Case with a duration of under 133 minutes throughout the maximum five years of the Contract following the Service Commencement Date.
- 1.29 When considering their pricing submission in any Category in which they intend to submit a Tender, Applicants should review:
- a. the draft CLA Contract for full details of the required Contract Work and the payment structure; and
  - b. Annex A of this IFA for data on call distribution, Case volumes and Case duration.

#### *Determination Fee*

- 1.30 The Determination Fee provides a payment for performing the eligibility assessment and a scope and merits assessment of a potential Case, and is only payable where it is identified that the Case is unsuitable for the delivery of specialist legal advice under the CLA Contract (see paragraphs 2.12 to 2.20 of the Specification).
- 1.31 In all Categories except Family, the Determination Fee will be set by the LAA as a fixed fee.

- 1.32 In the Family Category, where the number of determinations is forecast to be higher, the Determination Fee will be set at 17% of the Lower Fixed Fee (see below) submitted by the successful Applicants within the Category. For example, if a successful Applicant in the Family Category has bid £50 for the Lower Fixed Fee, the Determination Fee for that Provider will be set using the following equation:

$$50 \times 0.17 = 8.5$$

Determination Fee = £8.50

- 1.33 A summary of the Determination Fees payable under the CLA Contract is set out in table below:

| Category         | Determination Fee               | Forecast average length of a Determination Case |
|------------------|---------------------------------|---|
| Housing and Debt | £13.61                          | 18 minutes                                      |
| Education        | £13.61                          | 18 minutes                                      |
| Discrimination   | £31.77                          | 42 minutes                                      |
| Family           | 17% of Lower Fixed Fee tendered | 18 minutes                                      |

#### *Lower Fixed Fee*

- 1.34 The Lower Fixed Fee will be a single fee applicable to all Cases (other than where a Determination Fee is payable) of less than 133 minutes. Applicants will be required to submit a price for the Lower Fixed Fee in the Price Form in the Commercial Envelope.

#### *Higher Fixed Fee*

- 1.35 The Higher Fixed Fee will apply to all Cases of 133 minutes or longer, up to the Escape Fee threshold (where applicable). Applicants will be required to submit a price for the Higher Fixed Fee in the Price Form in the Commercial Envelope.

#### *Escape Fee*

- 1.36 An Escape Fee can be claimed for Cases that exceed specified time thresholds. The fee will be based on an hourly rate that will be applied to the entire duration of the Case. All Escape Fee claims must be submitted to the LAA for assessment prior to payment being made (see 6.3 to 6.12 of the Specification).

- 1.37 In the Education and Discrimination Categories, any Case that is 900 minutes or longer can be claimed as an Escape Fee, and will be subject to the LAA's assessment. Applicants submitting a Tender in these Categories will be required to submit an hourly rate for Escape Fees as part of their Price Form in the Commercial Envelope.
- 1.38 In the Family and Housing & Debt Categories, Escape Fees can only be in Cross Border Cases which are 900 minutes or longer. The Escape Fee hourly rate will be set by the LAA at £46.00. The volume of Cross Border Cases is low, with 39 Cases across the CLA Service in 2015/16.
- 1.39 A summary of Escape Fees across the Categories is set out in the table below.

| Category       | Cases in Scope for Escape Fees | Escape Fee Threshold | Escape Fee Hourly Rate (excl VAT) |
|----------------|--------------------------------|----------------------|-----------------------------------|
| Discrimination | All Cases                      | 900 minutes          | Tendered by Applicants            |
| Education      | All Cases                      | 900 minutes          | Tendered by Applicants            |
| Housing & Debt | Cross Border Cases Only        | 900 minutes          | £46.00                            |
| Family         | Cross Border Cases Only        | 900 minutes          | £46.00                            |

#### *Other Payments*

- 1.40 There are circumstances where other payments can be claimed under the CLA Contract, including:
- Disbursements;
  - Providing training to CLA Operator Service staff; and
  - Family Mediation (Family Category only).
- 1.41 The circumstances in which Providers can claim these payments and the amounts payable are set out in Annex 2 and Annex 3 of the CLA Contract.

#### *Maximum Bid Price in the Family Category*

- 1.42 In the Family Category, Applicants must not exceed the following maximum bid prices:

| Family Category Fee | Maximum bid price |
|---------------------|-------------------|
| Lower Fixed Fee     | £94.50            |

|                  |      |
|------------------|------|
| Higher Fixed Fee | £293 |
|------------------|------|

- 1.43 The Price Form within the e-Tendering system will not allow Applicants to submit prices above the maximum bid prices set out above and only compliant bid prices will be accepted.

*Lower Fixed Fee/Higher Fixed Fee Ratios for Education, Discrimination and Housing & Debt Categories*

- 1.44 In the Education, Discrimination and Housing & Debt Categories, the Lower Fixed Fee submitted by an Applicant in each Category cannot be equal to or greater in value than the Higher Fixed Fee submitted by the Applicant in that same Category.
- 1.45 Where an Applicant submits a Lower Fixed Fee which is equal to or greater in value than the Higher Fixed Fee the Applicant has submitted in that Category, the Applicant's Tender will be rejected.

*Higher Fixed/Escape Fee Ratio for Education and Discrimination Categories.*

- 1.46 In the Education and Discrimination Categories, the Higher Fixed Fee submitted by an Applicant in each Category cannot be more than 10 times the value of the Escape Fee hourly rate submitted by the Applicant in that same Category.
- 1.47 For example, if the Applicant submits an Escape Fee of £40, the maximum Higher Fixed Fee the Applicant can submit in that Category is £400.
- 1.48 Where the Applicant submits a Higher Fixed Fee which is greater than 10 times the Escape Fee hourly rate submitted by the Applicant, the Applicant's Tender will be rejected.

**Case Allocation**

- 1.49 Providers will operate concurrently during Core Hours.
- 1.50 Providers will also be allocated Rota Hours during which they will be required to provide the Contract Work. It is expected that only one Provider in each Category will operate the Contract Work during each Rota Hours slot.

- 1.51 The LAA anticipates that an equal proportion of Cases will be allocated to each Provider in each Category during Core Hours and each Provider will be allocated an equal number of Rota Hours.
- 1.52 Outside of Core and Rota Hours, prospective Clients who call the CLA Operator Service are invited to leave a voicemail message. The CLA Operator Service will call the prospective Clients back during Core Hours and distribute equal proportions of these Cases to each Provider.

### **Case Volumes**

- 1.53 The Table below shows the estimated volume of Cases expected to be delivered in each Category on an annual basis throughout the Contract Period. More detailed information on Case volumes and other relevant data is contained at Annex A.

| <b>Category</b> | <b>Number of CLA Contracts to be awarded</b> | <b>Estimated number of Cases per CLA Contract year per Provider</b> |
|-----------------|--|---|
| Discrimination  | 3  | 1,147   |
| Education       | 3  | 564   |
| Housing & Debt  | 3  | 5,650   |
| Family          | 2  | 5,786   |

- 1.54 Please note that the data provided throughout this IFA are estimates only. The figures are based on Cases completed under the current CLA contracts over the last two full contract years including adjustments to account for the potential impact of differences between the current CLA contract and the new CLA Contract and adjustments for any data that LAA has assessed as anomalous. The LAA provides no guarantees or warranties regarding the actual volumes, profile or duration of calls/Cases, under the CLA Contract.
- 1.55 The estimated number of Cases are for Controlled Work only and do not include estimated Licensed Work volumes.
- 1.56 For the Education and Discrimination Categories, the estimated number of Cases includes Cases completed as both Remote Advice and Face-to-Face Advice.

## **Increase of Service Capacity**

- 1.57 The LAA may redistribute the allocation of Cases under the CLA Contract at any point during the Contract. For example, this may be done in circumstances where another Provider is unable to meet its obligations to deliver the relevant Contract Work.
- 1.58 Applicants may be asked to expand their capacity to deliver the Contract Work to include:
- up to a 100% of Case volumes during Core Hours in the Category bid for; and
  - all Rota Hours for the Category bid for.
- 1.59 Applicants should refer to paragraphs 2.2 to 2.6 of the Specification for further information in relation to this requirement.

## **Minimum Requirements**

- 1.60 Applicants submitting a Tender must warrant that they will meet the Minimum Requirements below by the latest date specified:

| <b>Minimum Requirement</b>   | <b>Latest date that requirement must be fulfilled</b> |
|--|---|
| Have appropriate authorisation from a relevant legal sector regulator to deliver legal services                | Six weeks prior to Service Commencement Date          |
| Have at least one Office that meets the relevant requirements set out in the Specification                     | Six weeks prior to Service Commencement Date          |
| Employ at least one Full-Time Equivalent Supervisor who meets the relevant Supervisor Standard in the Category | Six weeks prior to Service Commencement Date          |
| Telephony and IT which meets the CLA Contract requirements in place and operational                            | Six weeks prior to Service Commencement Date          |
| Maintain a ratio of one Full-Time Equivalent Supervisor to four Caseworkers                                    | By the Service Commencement Date                      |
| Hold a relevant quality standard   | See paragraph 1.62 – 1.68                             |

- 1.61 Providers must continue to meet the Minimum Requirements at all times during the Contract Period. Any breach of the Minimum Requirements will entitle the LAA to terminate the CLA Contract.

### **Quality Standard requirements**

- 1.62 Providers are required to hold a Quality Standard throughout the Contract Period. By the Contract Start Date, Applicants must hold either the LAA's Specialist Quality Mark ("SQM") following audit by the SQM Delivery Partnership or Recognising Excellence Ltd, or hold the Law Society's Lexcel Practice Management standard ("Lexcel"), which is valid on the Contract Start Date.
- 1.63 Applicants are solely responsible for paying all necessary fees to the Quality Standard auditing organisation.
- 1.64 Where an Applicant already holds the SQM following audit by the SQM Delivery Partnership or Recognising Excellence Ltd or is in the process of being audited by Recognising Excellence Ltd, it need not reapply for the SQM, unless it must do so to continue to hold the SQM. Requirements according to the Quality Standard an Applicant chooses to hold are detailed below.
- 1.65 Unless otherwise stated in the 'Requirement' column of the table below, it is an Applicant's responsibility to ensure it meets the LAA's requirements at least six weeks before the Service Commencement Date as no extensions of time will be permitted. Applicants are, therefore, advised to apply for their chosen Quality Standard as early as possible.

| <b><i>Applicant Type</i></b>  | <b><i>Requirement</i></b>  |
|---|--|
| Applicants who already hold the SQM audited by SQM Delivery Partnership or Recognising Excellence Ltd | - Hold a valid accreditation that will be in force until at least the Service Commencement Date.   |
| New legal entity or Applicants who intend to hold the SQM   | <ul style="list-style-type: none"><li>- Pass desktop audit at least four weeks before Service Commencement Date</li><li>- Fully pass the Pre-Quality Mark audit within six months of the Service Commencement Date</li></ul> |
| Applicants who intend to hold Lexcel  | - Achieve Lexcel accreditation at least four weeks before the Service Commencement Date  |



|                                    |  |
|------------------------------------|--|
| Applicants who already hold Lexcel | - Must hold a valid accreditation that will be in force until at least the Service Commencement Date |
|------------------------------------|--|

- 1.66 It is the sole responsibility of the Applicant to contact the Quality Standard auditing organisation and arrange any necessary audits. The LAA assumes no responsibility for monitoring Applicants' progress towards achieving a Quality Standard.
- 1.67 Further information about the SQM and how to register with Recognising Excellence Ltd can be found at <http://www.recognisingexcellence.co.uk/sqm/>
- 1.68 Further information on Lexcel can be found on The Law Society's website: <http://www.lawsociety.org.uk/productsandservices/lexcel>

### **Remote Specialist Telephony Handbook**

- 1.69 The LAA has provided the Remote Specialist Telephony Handbook which provides a technical guide to the telephony service for the remote Specialist Advisors including minimum Operating Systems and Browser requirements. This is provided as a document entitled 'Remote Specialist Telephony Handbook' within the 'Buyer Attachments' section on the left-hand side of the ITT screen.

### **Mobilisation Period**

- 1.70 The Mobilisation Period starts on the Contract Start Date and ends on the Service Commencement Date. This is the period during which CLA Providers must deliver in accordance with their implementation plans, ensuring they achieve the Minimum Requirements and that the necessary infrastructure, staff and other aspects of the service are in place by the Service Commencement Date. Providers are required to meet with the LAA throughout the mobilisation period to report on the progress of their mobilisation. The LAA may also instruct Providers to amend their implementation plan where, in the LAA's reasonable opinion, the existing plans create unacceptable risks to successful mobilisation or are otherwise of insufficient quality.

### **Indemnities**

- 1.71 It will be a condition of Contract award that Applicants which operate on a limited liability basis supply the LAA with a relevant indemnity form (except registered charity Applicants who will not be required to provide any indemnity or similar) by the Contract Start Date. The

indemnity must be signed by the ultimate owners of the Applicant and/or such persons as the LAA might reasonably regard as being controllers and/or senior managers of the Applicant and/or where the Applicant is a limited company, from any company which is its holding company.

- 1.72 If the Applicant fails to provide a completed indemnity form as required by the LAA, the contract offer will be withdrawn. A copy of the standard indemnity form is available at: <https://www.gov.uk/government/publications/personal-guarantee-and-indemnity>
- 1.73 At the LAA's discretion, a guarantee offering equivalent protection may be accepted from an Applicant with limited liability as an alternative to its standard indemnity. The LAA will consider exercising such discretion where an Applicant can demonstrate that such a guarantee will protect public funds to the same extent as would its standard indemnity form.

### **Transfer of Undertakings (Protection of Employment) Regulations 2006 ("TUPE")**

- 1.74 It is possible that TUPE could apply so as to result in the transfer of some or all of the contracts of employment from current Providers of the Contract Work to successful Applicants.
- 1.75 We make no representation in relation to the likelihood of TUPE applying in this case and it is each Applicant's responsibility to form their own view (taking legal advice as necessary) as to whether or not TUPE applies and, if so, the financial implications for their Tender.
- 1.76 To the extent there is likely to be one, the impact of any TUPE transfer must be factored into the Price Form submitted by the Applicant such that the Price Form submitted is valid regardless of whether TUPE applies and/or the number or identity of transferring employees.
- 1.77 In an effort to assist Applicants in forming a view in relation to TUPE, and to the extent it is made available to us, anonymised information (including numbers of employees, salary details and time spent on Contract Work) relating to those persons employed by the current providers of Contract Work in the relevant Category, will be supplied to an Applicant on receipt by the LAA of a signed confidentiality agreement from that Applicant. A copy of the confidentiality agreement has been provided in Annex G of this IFA.

- 1.78 Applicants wishing to receive this information should complete, sign and return the form as an attachment through the e-Tendering system message board by 23:59 on 19 October 2017.
- 1.79 Once the signed confidentiality agreement is received through the e-Tendering message board, any TUPE information will be sent to the Applicants through the e-Tendering system message boards no later than the week commencing 30 October 2017.

## **SECTION 2: WHO CAN SUBMIT A TENDER RESPONSE?**

- 2.1 This procurement process is open to any interested party able to meet the LAA's Minimum Requirements (see paragraph 1.60).
- 2.2 It is not necessary for Applicants submitting a Tender for a CLA Contract to submit a Tender for a Face-to-Face Contract. Holding a Face-to-Face Contract is also not a requirement for holding a CLA Contract.
- 2.3 The LAA will only contract with single legal entities (including individuals). Should existing organisations wish to merge or join with others to apply for a CLA Contract, they must form a single legal entity. That entity will be responsible for performing all Provider obligations under a CLA Contract.
- 2.4 The contracting entity must be fully constituted and be able to demonstrate it meets the minimum 2018 Contract requirements for each 2018 Contract it is bidding for 23.59 on 10 June 2018.
- 2.5 Where the Applicant:
- has been dissolved or is, for any other reason, incapable of executing a contract;
  - is not fully constituted as the contracting entity named in its Tender; or
  - is unable to meet the Contract requirements by the applicable deadlines,
- any contract offer made to it may be withdrawn.
- 2.6 Applicants must have the capacity to concurrently deliver all the Contract Work under each Category it has submitted a Tender for.

### **Rules for Connected Entities**

- 2.7 Whilst organisations may bid to deliver Contract Work as different legal entities, organisations which are Connected by their parent company, other companies which have significant control in the decision-making of that organisation or Key Personnel of the organisation are not permitted to bid for a CLA Contract in the same Category. Connected Entities may bid in different Categories without breaching the rules set out below.

## **What is a Connected Entity?**

2.8 Applicants may be Connected through corporate entities or through individuals. In the context of this procurement and the LAA's assessment of compliance with these rules, the term Connected shall mean:

- having a legal or beneficial interest; or
- being able to effect substantive influence or control or having powers of representation over the business affairs of the relevant organisation and the term "Connection" shall bear a similar meaning.

2.9 Such Connection may be either direct, for example where an organisation is the parent entity of two Applicants in the Category, or indirect, for example a 'chain' of Connection (however long that chain might be) where an organisation or individual is Connected to another organisation that is itself Connected to the Applicant. Applicants should note that any existing or proposed ethical wall or other information or business partitioning arrangement will not bring any arrangement into compliance with these rules.

## **What are the rules that Applicants must comply with?**

2.10 Applicants bidding within the same competition cannot bid against a Connected Entity. For the purposes of this procurement process, this means an Applicant cannot be connected to any other Applicant bidding in the same Category of Law for a CLA Contract.

### **Example 1:**

Burns & Partners Ltd is the parent company of both Simpsons Ltd and Flanders Ltd and has significant control of the decision-making within each organisation.

Both Simpsons Ltd and Flanders Ltd intend to bid to deliver Contract Work in the Family Category of Law under a CLA Contract.

Were both Applicants to bid for this Category under the CLA Contract, this would be a breach of the Rules on Connected Entities.

2.11 Key Personnel of an organisation, having the meaning set out at Annex I, may not bid against other organisations in which they are also Key Personnel in the same Category.

**Example 2:**

Mr Black is a member of Key Personnel of Black & Co and also a member of Key Personnel at Green LLP.

Black & Co wishes to bid to deliver Contract Work in the Housing and Debt Categories of Law.

Green LLP also wishes to bid to deliver Contract Work in the Housing and Debt Categories.

Under the Rules for Connected Entities, Black & Co and Green LLP cannot both bid to deliver Contract Work in the Housing and Debt Categories under a CLA Contract by virtue of their Connection through Mr Black.

**What will the LAA do where it believes Applicants are Connected Entities?**

- 2.12 The LAA reserves the right to clarify with one or both Applicants, as required in accordance with paragraphs 5.27 and 5.28.
- 2.13 Where the LAA believes that the rules on Connected Entities have not been complied with, and that Applicants are Connected as set out in paragraphs 2.10 and 2.11, all those CLA Category Tenders that the LAA deems to be Connected may be rejected.

## SECTION 3: COMPLETING AND SUBMITTING A TENDER

### The e-Tendering System

- 3.1 All Tenders must be completed and submitted using the e-Tendering system. This can be accessed either through a link on the tender pages of the LAA website or directly at: [www.legalaid.bravosolution.co.uk](http://www.legalaid.bravosolution.co.uk)
- 3.2 Applicants already registered on the e-Tendering system whose registration details remain up to date do not need to register again. Applicants are encouraged to ensure that they review the contact details held in the e-Tendering system to ensure that they are up to date.
- 3.3 Where an Applicant already has multiple registrations on the e-Tendering system, it should ensure that it uses the registration which matches the name and trading status of the organisation whose Tender response is being submitted.
- 3.4 Applicants who have forgotten their password, must click on the 'Forgotten your password?' link on the e-Tendering system homepage to get their password reset.
- 3.5 Applicants must familiarise themselves with the e-Tendering system guides available through the 'Technical Support and Guidance' link on the e-Tendering system home page. These provide detailed guidance on how to complete a Tender.
- 3.6 The LAA will communicate with Applicants about this procurement process through the e-Tendering system message board. Applicants must check the message board regularly to ensure that any messages are read promptly. The LAA highly recommends that Applicants set up multiple additional users under their e-Tendering system registration (see 'Technical Support and Guidance' link) as back-up to ensure that urgent messages, which may affect an Applicant's Tender Response, can be actioned as necessary.
- 3.7 The CLA Financial Assessment ITT and CLA Category ITTs are available via the 'Project' or 'ITT Open to all Suppliers' link on the front page of the e-Tendering system.
- 3.8 Applicants must submit a response to the SQ, the CLA Financial Assessment ITT and at least one of the CLA Category ITTs. Applicants are not obliged to respond to all of the Category ITTs; they only need to submit a response to the SQ, the CLA Financial Assessment ITT and the ITT(s) relevant to the CLA Contract in the Category(ies) of Law

they wish to deliver. Applicants must ensure that they access and respond to the SQ, the CLA Financial Assessment ITT and the correct ITT(s) for the Category(ies) of Law they wish to deliver under the CLA Contract.

- 3.9 Applicants must click 'Edit response' to be able to complete their responses to the questions asked. Applicants must click the 'Save Changes' or 'Save and Exit Response' buttons to ensure information inputted is saved.
- 3.10 Once Applicants have completed their response to the relevant ITT, they must submit it by clicking on the "Submit Response" button.
- 3.11 Applicants may amend and re-submit their response at any time up to the Deadline. If so amended and re-submitted, only the last response shall be assessed.
- 3.12 An Applicant may check that it has successfully submitted its ITT Response(s) by going to the 'My ITTs' screen, which should show the 'Response status' as 'Response submitted to Buyer'. The registered email address will also receive confirmation when the Applicant submits its ITT Response(s) for the first time. It is therefore important for an Applicant to ensure that any and all contact details held in the e-Tendering system are up to date.
- 3.13 CLA ITT Responses are sealed. This means that the LAA is unable to access submitted ITT Responses prior to the Deadline. The LAA cannot confirm receipt of an ITT Response or Tender, nor can it confirm if an ITT Response or Tender has been completed correctly.
- 3.14 All questions marked with a red asterisk on the e-Tendering system are mandatory. The e-Tendering system will not permit an Applicant to submit its ITT Response(s) unless answers to those questions are provided.
- 3.15 There is a button in the e-Tendering system called 'check mandatory questions'. By clicking on this, the e-Tendering system will check that an Applicant has provided a response to all mandatory questions and will flag where a response to a mandatory question has not been given. For the avoidance of doubt, it does not provide an assessment of the responses to those questions or confirmation that they have been answered correctly.
- 3.16 When an Applicant submits its ITT Response(s) for the first time, it will receive an automated message confirming that its response has been successfully submitted. This only provides an indication of whether the ITT Response has been transmitted to the LAA



and not whether the ITT Response is fully completed and/or will be assessed as being successful.

### **Mandatory Attachments**

- 3.17 Applicants are required to upload a number of Mandatory Attachments as part of their Qualification Envelope submissions:
- Financial Assessment Form;
  - Staff Organogram;
  - Resourcing Plan; and
  - Implementation Plan.
- 3.18 Where Applicants select responses to questions in the Selection Criteria which are assigned a score of 1 point or higher, they are also required to attach supporting evidence to verify their response. Where this applies, the required supporting evidence attachment is also a Mandatory Attachment.
- 3.19 The LAA has provided a template for the Financial Assessment Form, Resourcing Plan and Implementation Plan which Applicants are required to use. The templates can be downloaded from the 'Buyer Attachments' section within the relevant ITT. Details entered into the forms will only be saved if the Applicant saves the form on its own computer system. Once the relevant forms have been completed and saved on the Applicant's own system, they can be uploaded into the relevant ITT Response by clicking on the 'Click to attach' button against the relevant question in the ITT.
- 3.20 It is the Applicant's responsibility to ensure that they have access to an IT system which is compatible with the templates provided. The Financial Assessment Form template is designed to be compatible with MS Office - Excel 2003 and above, and installed on a Windows operating system (XP and above).
- 3.21 Please note that because the Mandatory Attachments are completed outside of the e-Tendering system and uploaded into the ITT Response, it is not possible for the e-Tendering system to prevent incorrect or incomplete information being submitted and it is the Applicant's responsibility to ensure fully completed and accurate information is attached.
- 3.22 The LAA will only accept attachments submitted in the following formats:

- Microsoft Word;
- Microsoft Excel; or
- Adobe PDF.

- 3.23 Applicants are required to provide a single Financial Assessment Form and one set of Supporting Financial Documentation regardless of the number of Categories they are bidding for. For all other Mandatory Attachments, Applicants are required to upload a separate attachment for each Category being bid for. For example, if an Applicant is bidding for two Categories (e.g. Family and Education), it should upload a separate Implementation Plan attachment for each Category.
- 3.24 As it is not possible for the e-Tendering system to prevent incorrect or incomplete attachments being submitted, it is the responsibility of Applicants to ensure that the relevant attachments are correctly uploaded.
- 3.25 Applicants that fail to upload the full set of attachments using the templates provided will be considered to have submitted a non-compliant Tender and will be rejected from the process.
- 3.26 Applicants can also check the contents of the attachments they have uploaded as part of their Tender by going back to the Tender in the ITT within the e-Tendering system (found in the “Actions” menu). To do this, Applicants should go to the section in the ITT against which the attachments are uploaded and select “Download”. This will open the versions of the attachments uploaded as part of a Tender.
- 3.27 Before submitting a Tender, the Applicant should check to ensure that:
- all questions and Award Criteria/sub-criteria have been answered and that it has provided all necessary parts of a completed Tender referred to above;
  - it has uploaded all required Mandatory Attachments;
  - it is satisfied that the Mandatory Attachments uploaded are correct; and
  - it is satisfied that the Tender is accurate, complete and detailed enough to allow the LAA to evaluate it.

### **Accessing and completing the Tender**

- 3.28 A Tender will consist of a response made through the e-Tendering system to the SQ, the CLA Financial Assessment ITT and one or more of the CLA Category ITTs.

3.29 The CLA ITTs can be found in the e-Tendering system as follows:

- **ITT 463– CLA Specialist Telephone Advice Services 2018 Contracts – Financial Assessment**
- **ITT 464 – CLA Specialist Telephone Advice Services 2018 Contracts – Family**
- **ITT 465 – CLA Specialist Telephone Advice Services 2018 Contracts – Education**
- **ITT 466 – CLA Specialist Telephone Advice Services 2018 Contracts – Discrimination**
- **ITT 467 – CLA Specialist Telephone Advice Services 2018 Contracts – Housing & Debt**

### **A Completed Tender**

3.30 A completed CLA Financial Assessment ITT Response will comprise the following parts:

#### *Qualification Envelope*

- Financial Assessment Form.

3.31 A completed CLA Category ITT Response must comprise the following parts:

#### *Qualification Envelope*

- Responses to all Selection Criteria questions in the Qualification Envelope including any required attachments providing supporting evidence.

#### *Technical Envelope*

- Responses to all Award Criteria/sub criteria in the Technical Envelope; and
- Signed declaration in the Technical Envelope; and
- Staff Organogram Mandatory Attachment; and

- Resourcing Plan Mandatory Attachment; and
- Implementation Plan Mandatory Attachment.

### *Commercial Envelope*

- A completed Price Form for each Category tendered for.

3.32 In their response to the CLA Financial Assessment ITT, Applicants are required to submit information in the single envelope, labelled the 'Qualification Envelope'.

3.33 Applicants are required to submit a single CLA Financial Assessment ITT response to cover their entire CLA bid (even where they are bidding for multiple Categories).

### **Qualification Envelopes**

3.34 The Financial Assessment (in the 'Qualification Envelope' in CLA Financial Assessment ITT) and Selection Criteria (in the 'Qualification Envelope' in the individual CLA Category ITTs) contain scored criteria. These will be used to shortlist Applicants for the award stage of this procurement process.

### **Financial Assessment**

3.35 Successful Applicants will have a contractual obligation to deliver all the Contract Work awarded. The purpose of the Financial Assessment is to assess the financial stability of the Applicant and their ability to sustainably deliver the Contract Work in accordance with the requirements of the Contract throughout the Contract Period.

3.36 The information used to perform the Financial Assessment must be uploaded by the Applicant in the CLA Financial Assessment ITT.

3.37 The Financial Assessment will be performed once for each Applicant. Where an Applicant is bidding for a CLA Contract in more than one Category they must upload the applicable Financial Assessment information covering their entire CLA Tender and will not be required to submit separate Financial Assessment information for each individual Category.

3.38 Higher points will be awarded to Applicants with a stronger financial position as determined by the process set out below.

3.39 For the purpose of the Financial Assessment, Applicants will be classified as one of the following:

(a) an “Established Business”; or

(b) an “Other Business”.

3.40 The table below sets out how Applicants will be classified:

| <b>Business Type</b>        | <b>Definition</b>   |
|-----------------------------|---|
| <b>Established Business</b> | <p>The Applicant has been trading for more than two years, and:</p> <p>(a) has its previous two years’ audited or certified accounts available (the earliest year starting no earlier than 1 January 2015); <b>and</b></p> <p>(b) there have been no material changes to its Key Personnel or structure during or since the period covered by those accounts.</p> <p>For the avoidance of doubt, a material change would not include:</p> <p>(a) a change in the legal status of the Applicant of a minor nature e.g. change of partnership to LLP or limited company; or</p> <p>(b) a change of less than one-third in Key Personnel over the period of the accounts to the date of submission of the tender response.</p> |
| <b>Other Business</b>       | <p>The Applicant:</p> <p>(a) has been trading for less than two years; or</p> <p>(b) does not have two years’ audited or certified accounts available (with the earliest year being not before 1 January 2015); or</p> <p>(c) has undergone a material change to its Key Personnel or structure; or</p> <p>(d) has not started trading.</p>   |

3.41 All Applicants are required to complete and submit a single Financial Assessment Form, regardless of the number of Categories they are bidding for. The Financial Assessment Form is separated into two sections:

- Current Financial Performance – Applicants must complete Tab 1 and Tab 2 of the Financial Assessment Form using information taken from their certified/audited accounts.
- Forecast Financial Performance – Applicants must complete Tab 3 and Tab 4 of the Financial Assessment Form with forecast financial information.

3.42 Established Businesses must complete both sections of the Financial Assessment Form. Other Businesses must complete only the Forecast Financial Performance section of the form. The following table summarises these requirements:

|                             | <b>Financial Assessment Form: sections required to be completed</b> |   |
|-----------------------------|---|---|
| <b>Type of Applicant</b>    | <b>Current Financial Performance<br/>(Tab 1 and Tab 2)</b>          | <b>Forecast Financial Performance<br/>(Tab 3 and Tab 4)</b> |
| <b>Established Business</b> | Yes   | Yes   |
| <b>Other Business</b>       | No  | Yes   |

3.43 When completing the Financial Assessment Form, Applicants must submit information which is consistent with the Supporting Financial Documentation (see paragraph 3.51). Applicants will be required (through their COLP, HOLP or CM (or proposed COLP, HOLP or CM), or, where the Applicant is not authorised by the SRA, the BSB or CILEx, a member of Key Personnel who either (i) has decision and/or veto rights over decisions relating to the running of the Applicant; or (ii) has the right to exercise, or actually exercises, significant influence or control over the Applicant) to declare:

- that the Applicant is sufficiently financially stable to be able to deliver the Contract Work in accordance with the contractual requirements throughout the Contract Period;
- that the Financial Assessment Form submission correctly reflects the financial position of the Applicant (both current, where applicable, and forecast) at the date that it was submitted;
- that they know of no circumstances that will or are likely to occur which would materially affect the representation of their financial position as set out in the Financial Assessment Form;
- that the Financial Assessment Form is consistent with the Applicant's Supporting Financial Documentation; and
- that the information that they submit is true and accurate to the best of their knowledge.

3.44 The Financial Assessment Form will be evaluated in accordance with the process set out at Stage 1 of the Evaluation Process. Applicants shortlisted following Stage 3 of the evaluation process (see Section 4) will be required to verify the information provided in the Financial Assessment Form by submitting relevant financial documentation ("Supporting Financial Documentation") (see paragraph 3.51).

- 3.45 Instructions on completing the Financial Assessment Form are contained in the form. The Financial Assessment Form is a Mandatory Attachment. It must be uploaded as part of the Qualification Envelope submission. For the avoidance of doubt, the LAA will not accept the submission of the Financial Assessment Form or any other Mandatory Attachments by any other means, including by e-mail.
- 3.46 Step 2 of the 'Instructions' Tab on the Financial Assessment Form requires the Applicant to insert the Total Contract Bid Value. This is the total annual contract value of all CLA Categories being bid for in the Applicant's Tender Response. Applicants are required to use the annual values included within Annex A of this IFA and not the prices they have submitted as part of their tender.
- 3.47 For example, if the Applicant's Tender was comprised of bids for Education and Discrimination, the Total Contract Bid Value would be as follows:

**Example:**

£199,668 (Education Contract Value) + £185,657 (Discrimination Contract Value) = £385,325

Total Contract Bid Value = £385,325

- 3.48 If an Applicant fails to submit all the required financial information, including Supporting Financial Documentation, this may result in the rejection of their Tender.
- 3.49 Applicants that are intending to bid for a 2018 HPCDS Contract must submit the Financial Assessment Form and the Supporting Financial Documentation for their CLA Tender separately to anything submitted as part of their bid for a 2018 HPCDS Contract.
- 3.50 When completing the Forecast Financial Performance section of the Financial Assessment Form, Applicants must not include financial information that relates to 2018 HPCDS Contracts.

*Verification of the Financial Assessment Form*

- 3.51 Applicants that are shortlisted following Stage 3 of the evaluation process will be required to submit Supporting Financial Documentation corroborating the information provided in their Financial Assessment Form, including:

- a Business Plan in the format specified in Annex H;
- a bank letter outlining their current cash and credit position;
- a copy of their audited/certified accounts for the previous two financial years (Established Businesses only); and
- where available, a statement of their turnover, profit & loss accounts and cash flow for the most recent year of trading (Other Businesses only).

3.52 Supporting Financial Documentation must be submitted as an attachment on a message sent via the e-Tendering system to the CLA Financial Assessment ITT Message Board.

3.53 There is no opportunity to submit Supporting Financial Documentation as part of the CLA Financial Assessment ITT response.

3.54 It is not a requirement to submit this Supporting Financial Documentation unless the Applicant is shortlisted for Stage 4 of the evaluation process. However, shortlisted Applicants must submit the Supporting Financial Documentation no later than 15 working days following the date of the LAA's notification of the outcome of Stage 3 of the evaluation process.

3.55 Applicants may choose to wait until after they have received notification of whether they have been shortlisted for Stage 4 of the evaluation process before submitting the Supporting Financial Documentation. Applicants must ensure that they submit all the Supporting Financial Documentation within the required timescales which will be fifteen working days from the date the notification of outcome of the shortlisting process (see paragraphs 4.19). The notification letter will state the exact deadline date for submission of the Supporting Financial Documentation. No extension will be provided.

3.56 The LAA will review the Financial Assessment Form against the Supporting Financial Documentation. Applicants which, in the LAA's view, submitted Financial Assessment Forms which are in all material ways consistent with the Supporting Financial Documentation submitted will remain in the competition. Where an Applicant has submitted a Financial Assessment Form which, in the LAA's view, contain material inconsistencies when compared to the Supporting Financial Documentation submitted, then the LAA will reject the Applicant's entire Tender so it takes no further part in the process in accordance with paragraph 5.30.

3.57 Where an Applicant's tender is rejected in the circumstances set out in paragraph 3.56, that rejection will not result in any additional Applicants being shortlisted for Stage 4.



### *Consequences of failure to submit all required financial information*

- 3.58 The LAA will conduct the Financial Assessment based on the data contained in the Financial Assessment Form which is verified by the Supporting Financial Documentation. It is the Applicant's sole responsibility to ensure that the Financial Assessment Form and the Supporting Financial Documentation are fully and accurately completed and submitted by the deadline(s) specified.
- 3.59 Where the LAA is unable to complete the Financial Assessment including the verification of the Financial Assessment Form using the Supporting Financial Documentation because required information has not been submitted, the Applicant's Tender may be rejected in its entirety.
- 3.60 Where an Applicant submits its Supporting Financial Documentation multiple times (e.g. through two e-Tendering system messages), the LAA will use the last submission by the Applicant prior to the deadline for submitting Supporting Financial Documentation for the purposes of the Financial Assessment.
- 3.61 The Financial Assessment will review the financial position of the Applicant only. Finances of any third parties will not be assessed.

### **Selection Criteria**

- 3.62 The Selection Criteria include questions which will be used to assess Applicants' capacity to deliver the Contract Work tendered for. Applicants are only required to answer the questions relevant to the Category in which they are bidding. Each scored Selection Criterion has a maximum number of points available. These are set out in the tables below.

| Category | Question        | Total Points Available |
|----------|-----------------|------------------------|
| Family   | 1a (i) & 1a(ii) | 6                      |
|          | 1b(i) & 1b(ii)  |                        |
|          | 2(i) & 2(ii)    | 2                      |
|          | 3(i) & 3(ii)    | 4                      |
|          | 4(i) & 4(ii)    | 3                      |
|          | 5(i) & 5(ii)    | 4                      |
|          | 6(i) & 6(ii)    | 3                      |

|  |              |   |
|--|--------------|---|
|  | 7(i) & 7(ii) | 2 |
|--|--------------|---|

| Category  | Question        | Total Points Available |
|-----------|-----------------|------------------------|
| Education | 1a (i) & 1a(ii) | 6                      |
|           | 1b(i) & 1b(ii)  |                        |
|           | 2(i) & 2(ii)    | 2                      |
|           | 3(i) & 3(ii)    | 4                      |
|           | 4(i) & 4(ii)    | 3                      |
|           | 5(i) & 5(ii)    | 4                      |
|           | 6(i) & 6(ii)    | 3                      |
|           | 7(i) & 7(ii)    | 2                      |

| Category       | Question        | Total Points Available |
|----------------|-----------------|------------------------|
| Discrimination | 1a (i) & 1a(ii) | 6                      |
|                | 1b(i) & 1b(ii)  |                        |
|                | 2(i) & 2(ii)    | 2                      |
|                | 3(i) & 3(ii)    | 4                      |
|                | 4(i) & 4(ii)    | 3                      |
|                | 5(i) & 5(ii)    | 4                      |
|                | 6(i) & 6(ii)    | 3                      |
|                | 7(i) & 7(ii)    | 2                      |

| Category       | Question        | Total Points Available |
|----------------|-----------------|------------------------|
| Housing & Debt | 1a (i) & 1a(ii) | 6                      |
|                | 1b(i) & 1b(ii)  |                        |
|                | 2(i) & 2(ii)    | 2                      |
|                | 3(i) & 3(ii)    | 4                      |
|                | 4(i) & 4(ii)    | 3                      |
|                | 5(i) & 5(ii)    | 4                      |
|                | 6(i) & 6(ii)    | 3                      |
|                | 7(i) & 7(ii)    | 2                      |

- 3.63 Each Selection Criterion has a scored question which is answered by selecting an answer from the drop-down menu. Where the Applicant selects an answer option where points are awarded, it must also answer supplementary questions to provide further information and verify its response. This may be either in the form of:
- a text box which requires the Applicant to provide supplementary information as specified; and/or
  - a request for documents to be uploaded into the e-Tendering system to enable the LAA to verify the answer selected by the Applicant.
- 3.64 For example, for Selection Criterion 1a (Delivery of a Dedicated Telephone Advice Service) the Applicant will be required to:
- Answer 1a (i) by selecting A, B or C from the drop down menu; and
  - Where the Applicant selects option A or B, it will be required to respond to questions 1a (ii) to 1a (iv) and provide additional information and evidence to verify their response. This includes the submission of Mandatory Attachments as set out at paragraph 3.18.
- 3.65 There may be circumstances in which the Applicant has already provided uploaded attachments to evidence that it meets the answer selected, where it provided it in response to another Selection Criteria question within that Category ITT. In these circumstances, the Applicant may choose not to attach this information again. Where it does choose to upload a further copy, and this information is different to that submitted to the earlier at Selection Criteria question, the LAA will use the response and evidence submitted as part of that earlier Selection Criteria question.

### **Technical Envelope - Quality Award Criteria**

- 3.66 The Technical Envelope in each CLA Category ITT contains the Quality Award Criteria. These require Applicants to set out how they will deliver the Contract Work, including how they will deploy appropriate infrastructure and appropriately skilled and experienced staff to deliver the Contract Work tendered for. The Quality Award Criteria will be assessed in accordance with the evaluation methodology set out in Section 4 to determine a “quality” score. The score achieved by Applicants under the Quality Award Criteria will then be combined with the score awarded in the Commercial Envelope (the Price Award Criteria) to determine the most economically advantageous tenders. Those Applicants will be awarded Contracts.

- 3.67 The Quality Award Criteria differ for each Category. The Quality Award Criteria are summarised below and fully set out at Annex D.

#### Family and Housing & Debt ITTs

| Award Criteria                                  | Weighting |
|---|-----------|
| <b>Award Criteria (Technical Envelope) - %</b>  |           |
| Criterion 1 – Staffing the Service              | 22        |
| Criterion 2 – Delivering a Quality Service      | 14        |
| Criterion 3 – Capacity Planning for the Service | 18        |
| Criterion 4 – Implementation of the Service     | 6         |

#### Education and Discrimination ITTs

| Award Criteria                                   | Weighting |
|--|-----------|
| <b>Award Criteria (Technical Envelope) - %</b>   |           |
| Criterion 1 – Staffing the Services              | 22        |
| Criterion 2 – Delivering a Quality Service       | 13        |
| Criterion 3 – Capacity Planning for the Services | 17        |
| Criterion 4 – Implementation of the Service      | 5         |
| Criterion 5 – Delivering Face-to-Face Services   | 3         |

- 3.68 Award Criteria 1 to 5 contain sub-criteria. These require the Applicant to complete a written response to the specific questions asked in the text boxes provided. The response provided by the Applicant for each sub-criterion will receive a score of between 0-5 as detailed in Section 4 of this IFA.
- 3.69 Each text box has a maximum limit of 2000 characters (including spaces). Each question has up to three text boxes (depending on the sub-criterion) which can be used by the Applicant in providing its answer. Applicants will not be able to exceed the character limit when submitting their responses.
- 3.70 As part of each relevant Category ITT for which they bid, Applicants must provide a Staff Organogram to set out how they will staff the Contract Work in the relevant Category. Applicants should use their own templates. However, as a minimum, the Staff Organogram must:

- show all roles that will be used in delivering the Contract Work, including during the implementation phase. This should include the title of the role and the main duties that will be performed under it;
- show the names of individual staff members fulfilling those roles, including whether they are currently employed or where there is a Signed Engagement Agreement in place at the point the Applicant submits its Tender;
- summarise the qualifications and experience of staff members fulfilling roles;
- show roles which are currently vacant;
- show whether staff members and/or roles are permanent or temporary. Where temporary, the Applicant should stipulate how long the position will last; and
- show whether the staff member and/or role is full-time or part-time. Where part-time, the Applicant should stipulate the proportion of a Full-Time Equivalent (FTE) position the role comprises.

3.71 Applicants are required to provide a Resourcing Plan which sets out information about how many Caseworkers and Supervisors the Applicant will use for each hour of a typical week, based on the forecast Case volumes and call volumes/profiles per Contract in the applicable Category provided in Annex A of this IFA. Applicants are required to submit this information in the template provided by the LAA. This is provided as a document entitled 'Resourcing Plan Pro Forma' within the 'Buyer Attachments' section on the left-hand side of the ITT screen. It must be downloaded, completed and saved on the Applicant's local system and uploaded as part of the Tender response to the ITT.

3.72 Applicants are required to provide an Implementation Plan which sets out how they will ensure that the Contract Work will be delivered with effect from 1 September 2018 onwards. For the Education and Discrimination Categories, Applicants are required to provide information as to how Face-to-Face Advice will be delivered. Applicants are required to submit their Implementation Plan in the template provided by the LAA. This is provided as a document entitled 'Implementation Plan Pro forma' within the 'Buyer Attachments' section on the ITT screen. It must be downloaded, completed and saved on the Applicant's local system and uploaded as part of the Tender response.

- 3.73 The Implementation Plan of the successful Applicants will form part of the CLA Contract. The LAA may instruct the Applicant to alter their Implementation Plan where, in the LAA's reasonable opinion, the existing plans create unacceptable risk or are otherwise of insufficient quality during the Mobilisation Period and/or during the Contract Period.

*Consequences of failure to submit Mandatory Attachments as part of the relevant Category ITT*

- 3.74 Where an Applicant has failed to upload one of the Mandatory Attachments, they may have their Tender rejected for that Category. For example, if an Applicant has uploaded an Implementation Plan in Family Category, but has failed to upload an Implementation Plan in Education, the Applicant may have their Tender in Education rejected, but may not have their Tender in Family rejected.

**Declaration**

- 3.75 The Technical Envelope also contains a declaration section and Applicants are referred to the 'Declarations' section of Annex D for the precise wording. The declaration must be provided by:

(a) the Compliance Officer for Legal Practice (COLP) or the individual intending to be the COLP where the Applicant is or intends to be authorised by the Solicitor Regulation Authority (SRA); or

(b) the Head of Legal Practice (HOLP) or the individual intending to be the HOLP where the Applicant is or intends to be authorised by the Bar Standards Board (BSB); or

(c) the Compliance Manager (CM) or the individual intending to be the CM where the Applicant is or intends to be authorised by the Chartered Institute of Legal Executives (CILEx); or

(d) where the Applicant is not (and will not be) authorised by the SRA, the BSB or CILEx, a member of Key Personnel who either (i) has decision and / or veto rights over decisions relating to the running of the Applicant; or (ii) has the right to exercise, or actually exercises, significant influence or control over the Applicant.

- 3.76 In summary, all Applicants must certify that all information provided as part of their Tender is accurate, that they understand the information provided will be used to assess suitability to deliver the Contract, and that they understand the LAA may reject their Tender at any

time or disqualify them from the procurement process if they fail to answer all relevant questions fully or if they provide false/misleading information.

### Commercial Envelope - Price Award Criteria

3.77 Each ITT also includes a Commercial Envelope which contains the Price Form for the Category. The prices submitted by Applicants within the Price Form will be assessed in accordance with the evaluation methodology set out in Section 4 to determine the score for the Price Award Criteria.

3.78 The Applicant will need to submit the following prices for delivery of the Services in the applicable Categories:

| <b>Education</b>      |   |   |
|-----------------------|---|---|
| <b>Price Required</b> | <b>Description</b>  | <b>Applicable rules</b>   |
| Lower Fixed Fee       | Single fixed fee chargeable for Cases of 0-132 minutes (excluding Determinations) | Must be lower in value than the Higher Fixed Fee submitted by the Applicant in this Category  |
| Higher Fixed Fee      | Single fixed fee chargeable for Cases of 133 - 899 minutes                        | Must be higher in value than the Lower Fixed Fee submitted by the Applicant in this Category<br><br>Must be no greater than ten times the value of the Escape Fee submitted by the Applicant in this Category |
| Escape Fee            | Hourly rate chargeable for Cases above 899 minutes.                               | Must be no more than 10% of the value of the Higher Fixed Fee submitted by the Applicant in this Category   |

| <b>Discrimination</b> |  |  |
|-----------------------|--|--|
| <b>Price Required</b> | <b>Description</b>   | <b>Applicable rules</b>  |
| Lower Fixed Fee       | Single fixed fee chargeable for Cases of 0-132 minutes (excluding Determinations). | Must be lower in value than the Higher Fixed Fee submitted by the Applicant in this Category |

|                  |   |   |
|------------------|---|---|
| Higher Fixed Fee | Single fixed fee chargeable for Cases of 133 - 899 minutes. | Must be higher in value than the Lower Fixed Fee submitted by the Applicant in this Category<br><br>Must be no greater than ten times the value of the Escape Fee submitted by the Applicant in this Category |
| Escape Fee       | Hourly rate chargeable for Cases above 899 minutes.         | Must be no more than 10% of the value of the Higher Fixed Fee submitted by the Applicant in this Category   |

| Housing and Debt |  |  |
|------------------|--|--|
| Price Required   | Description  | Applicable rules   |
| Lower Fixed Fee  | Single fixed fee chargeable for Cases of 0-132 minutes (excluding Determinations). | Must be lower in value than the Higher Fixed Fee submitted by the Applicant in this Category |
| Higher Fixed Fee | Single fixed fee chargeable for Cases above 132 minutes.                           | Must be higher in value than the Lower Fixed Fee submitted by the Applicant in this Category |

| Family           |   |   |
|------------------|---|---|
| Price Required   | Description   | Applicable Rules  |
| Lower Fixed Fee  | Single fixed fee chargeable for Cases of 0-132 minutes.<br><br>This price will also be used to set the Determination Fee in this Category (see paragraph 1.32) above. | The maximum price which can be submitted is <b>£94.50</b> |
| Higher Fixed Fee | Single fixed fee chargeable for Cases above 132 minutes.  | The maximum price which can be submitted is <b>£293</b>   |



3.79 When compiling their Price Form, Applicants should ensure that they are fully familiar with the terms of the CLA Contract, including the requirements in the Specification, and all other documents provided that form part of the ITT. Applicants must consider and factor in all of their likely costs in relation to the delivery of the applicable Contract Work including but not limited to:

- Set-up costs (e.g. IT, telephony, recruitment);
- Ongoing staffing and office costs;
- Costs of receiving and making Calls;
- Costs incurred in exiting the CLA Contract;
- Postage;
- IT and telephony maintenance; and
- Travel costs.

3.80 All prices must be submitted in Pounds Sterling (£) and be exclusive of VAT.

#### **Questions about the procurement process**

3.81 If an Applicant has a question about the procurement process to which they cannot find a response in this document or in the guidance provided in the e-Tendering system, it will be able to direct questions through two different channels depending on the nature of the query as follows:

#### **Questions about the IFA document or the ITT**

3.82 Any questions about the content of this IFA or the ITT may be submitted up until 23:59 on 19 October 2017 (note this is referred to in the e-Tendering system as the 'End date for supplier clarification messages') through the e-Tendering system. Questions received after this date may not be answered.

3.83 All questions must be submitted using the online secure e-Tendering system message boards.

3.84 Questions will be collated and answered centrally in writing to ensure that all interested parties have equal access to information. FAQs and answers will be sent to Applicants through the e-Tendering message boards in the week commencing 30 October 2017.

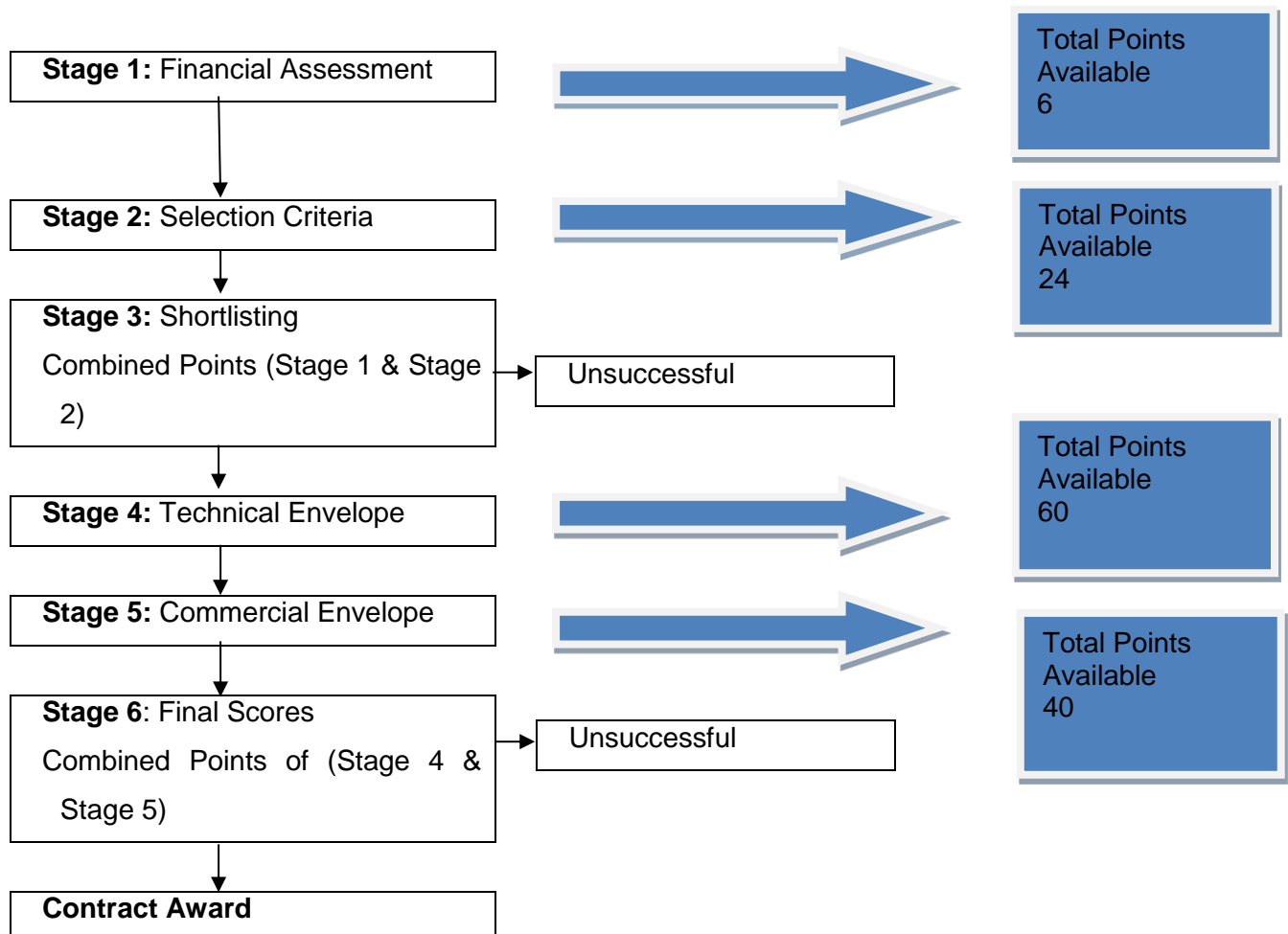
#### **Questions about how to use the e-Tendering system**

- 3.85 There is a helpdesk to provide technical support to Applicants using the e-Tendering system. Please note that the helpdesk is unable to assist with problems with Applicants' own computer hardware or systems - for these types of issues Applicants should contact their own IT support.
- 3.86 Questions should be e-mailed to the following e-mail address: [help@bravosolution.co.uk](mailto:help@bravosolution.co.uk). Alternatively, the telephone number for the helpdesk is 0800 069 8630 (lines are open from 8am to 6pm Monday to Friday).
- 3.87 The LAA recommends that Applicants start to complete their Tender early so that they can identify any areas for which they require help as soon as possible, as the helpdesk is likely to be very busy in the days leading up to the Deadline. The LAA cannot guarantee that queries received close to the Deadline will be dealt with in time and accepts no responsibility if they are not.

## SECTION 4: EVALUATION OF TENDERS

4.1 Applicants are required to submit a SQ Response as part of their Tender. If their SQ Response is assessed as unsuccessful, their CLA ITT response(s) will not be evaluated.

4.2 The evaluation of Tenders will be conducted in accordance with the stages set out below:



4.3 It is the LAA's intention that a maximum of 10 Applicants in each Category will be shortlisted to the assessment of the Award Criteria which starts at Stage 4 (Technical Envelope). Where the number of Tenders received in a Category is 10 or less, the LAA will not conduct Stages 1 to 3 of the evaluation process. Instead, all of those Applicants will progress straight to Stage 4. Where the number of Tenders received in a Category is more than 10, the LAA will perform the Financial Assessment, Selection Criteria assessment and shortlisting set out in Stages 1 to 3.

## Stage 1 - Financial Assessment

- 4.4 The first stage of the evaluation will be the Financial Assessment. Key financial ratios will be automatically calculated when information is entered into the Financial Assessment Form. These ratios will be used to produce a RAG (Red, Amber or Green) rating for the Applicant which is an indication of the level of risk presented by an Applicant based on the information provided. The initial RAG rating achieved in the Financial Assessment will be visible to Applicants in the Final Score tab once they have completed the form.
- 4.5 As part of Stage 1 of the evaluation, the LAA will review the Applicant's answers to questions C2 and C2(b) of the SQ. Where the Applicant has answered 'yes' to both questions, their overall RAG rating will be lowered by one place. Where they were initially given a Red rating (following the assessment at paragraph 4.4), they will be assigned a Red Plus rating. For the avoidance of doubt, the consequences where an Applicant has answered yes to questions C2 or C2(b) are set out below:

| Initial RAG Rating | Final RAG rating where Applicant answered 'no' to either question C2 or C2(b) | Final RAG rating where Applicant answered 'yes' to both questions C2 and C2(b) |
|--------------------|---|--|
| Green              | Green   | Amber  |
| Amber              | Amber   | Red  |
| Red                | Red   | Red Plus   |

- 4.6 The LAA will award Applicants a score based on the RAG rating achieved in the Financial Assessment, which will be carried through to Stage 3. The scores will be as follows:
- Green – 6 points
  - Amber – 3 points
  - Red – 0 points
  - Red Plus – -3 (minus three) points

## Stage 2 – Selection Criteria

- 4.7 The Selection Criteria require Applicants to provide responses to each question by selecting an answer from drop-down menu. Where the Applicant selects an answer option where points are awarded, it must also answer supplementary questions to provide further

information and verify their response. This includes the submission of Mandatory Attachments as set out at paragraph 3.18.

4.8 When assessing the answers to these questions, the LAA will take into account the option selected from the drop-down menu, the supplementary information provided in the text box and the attached supporting evidence submitted.

4.9 Where the information provided in the supplementary text box and/or supporting evidence attached by the Applicant:

- conflicts with the option selected in the drop-down menu;
- otherwise demonstrates that the response provided in the drop-down menu is inaccurate; or
- provides insufficient or unclear information which does not allow LAA to verify the accuracy of the Applicant's response provided in the drop down menu,

the LAA may re-score the response, including re-scoring the response to 0 points for that question.

4.10 For example, if in answer to question 1a (i) the Applicant indicated "A", but the information provided in response to question 1a (ii) (supplementary information text box, 1a (iii) or 1a (iv) (Mandatory Attachments providing supporting evidence) demonstrates that the member of the management team did not Manage the Dedicated Telephone Advice Service that meets the requirements of the question (e.g. the service described is a triage service which does not provide advice or the service did not receive the volume of calls required in the question), then the answer to question 1a (i) would be re-scored and may receive a score of 0 points.

4.11 Where other evidence, including other information contained in the Applicant's Tender (e.g. within their response to the Award Criteria or other Mandatory Attachments) conflicts with the answer selected by the Applicant's response to a Selection Criteria question, the Applicants will be re-scored and may receive a score of 0 points for that question.

4.12 The LAA will assess the Applicant's responses to Selection Criteria and combine the scores achieved for each question to calculate a total score out of 24.

### Stage 3 – Shortlisting

- 4.13 The LAA will combine the scores achieved by the Applicant for the Financial Assessment and the Selection Criteria (the Qualification Envelopes) to generate a total score in the Qualification Envelopes out of 30.

|                                    | <b>Total Points Available</b> |
|------------------------------------|-------------------------------|
| Financial Assessment Score         | 6                             |
| Selection Criteria                 | 24                            |
| Total Qualification Envelope Score | 30                            |

- 4.14 The LAA will then rank Applicants based on their Qualification Envelope score to determine the top 10 Tenders. These will be shortlisted in that Category and progress through to Stage 4.

- 4.15 If there are two or more Applicants tied in tenth place, the LAA will show preference to Applicants which achieved higher scores in questions in the Selection Criteria designated as Priority Questions. This will be calculated by providing a weighting to the Priority Questions and comparing the scores achieved by tied Applicants for those questions. The Priority Questions and weightings are set out below:

| <b>Category</b> | <b>Priority Question</b> | <b>Tiebreak Weighting</b> |
|-----------------|--------------------------|---------------------------|
| Family          | 3i                       | Applicant's score X2      |
|                 | 4i                       | Applicant's score X1.5    |

| <b>Category</b> | <b>Priority Question</b> | <b>Tiebreak Weighting</b> |
|-----------------|--------------------------|---------------------------|
| Education       | 3i                       | Applicant's score X2      |
|                 | 4i                       | Applicant's score X1.5    |

| <b>Category</b> | <b>Priority Question</b> | <b>Tiebreak Weighting</b> |
|-----------------|--------------------------|---------------------------|
| Discrimination  | 3i                       | Applicant's score X2      |
|                 | 4i                       | Applicant's score X1.5    |

| <b>Category</b>  | <b>Priority Question</b> | <b>Tiebreak Weighting</b> |
|------------------|--------------------------|---------------------------|
| Housing and Debt | 3i                       | Applicant's score X2      |
|                  | 4i                       | Applicant's score X1.5    |

- 4.16 The LAA will combine the scores that each tied Applicant has achieved for the Priority Questions and shortlist the Applicants which achieved the highest combined scores for those questions.
- 4.17 Where Applicants' combined scores in the weighted Priority Questions are equal meaning that there are still two or more Applicants tied in tenth place, the LAA will shortlist all of those tied Applicants.
- 4.18 An example of how this would work in practice is set out below.

**Example 1**

In this example, following scoring of the Financial Assessment and Selection Criteria in the Education Category, there are five Applicants tied in eighth place which prevents the 10 highest ranked Applicants from being identified.

| Applicant | Selection Criteria Score<br>(out of 30) | Rank | Outcome         |
|-----------|---|------|-----------------|
| A         | 20                                      | 1    | Shortlisted     |
| B         | 18                                      | 2    | Shortlisted     |
| C         | 16                                      | 3    | Shortlisted     |
| D         | 16                                      | 3    | Shortlisted     |
| E         | 14                                      | 5    | Shortlisted     |
| F         | 12                                      | 6    | Shortlisted     |
| G         | 11                                      | 7    | Shortlisted     |
| H         | 9                                       | =8   | Tiebreak        |
| I         | 9                                       | =8   | Tiebreak        |
| J         | 9                                       | =8   | Tiebreak        |
| K         | 9                                       | =8   | Tiebreak        |
| L         | 9                                       | =8   | Tiebreak        |
| M         | 7                                       | 13   | Not Shortlisted |

In these circumstances, the LAA will apply a weighting to the Priority Questions (3i and 4i) for the five tied Applicants. The weighted scores are then combined to calculate a combined weighted score for each Applicant.

| Applicant | Score<br>for<br>3i | Score<br>for<br>4i | Weighted<br>Score | Weighted<br>Score for<br>4i (x1.5) | Combined<br>Weighted<br>Score | Rank | Outcome |
|-----------|--------------------|--------------------|-------------------|------------------------------------|-------------------------------|------|---------|
|-----------|--------------------|--------------------|-------------------|------------------------------------|-------------------------------|------|---------|

|   |   |   | for 3i<br>(x2) |     |      |    |                    |
|---|---|---|----------------|-----|------|----|--------------------|
| H | 4 | 3 | 8              | 4.5 | 12.5 | 8  | Shortlisted        |
| I | 3 | 4 | 6              | 6   | 12   | 9  | Shortlisted        |
| J | 2 | 4 | 4              | 6   | 10   | 10 | Shortlisted        |
| K | 2 | 4 | 4              | 6   | 10   | 10 | Shortlisted        |
| L | 1 | 5 | 2              | 7.5 | 9.5  | 12 | Not<br>Shortlisted |

In this example, Applicants H and I achieved the two highest scores in the weighted Priority Questions and would be shortlisted.

Applicants J and K are tied in tenth place following the assessment of Priority Questions. Where this occurs, both Applicants J and K would be shortlisted as well. This would result in a total of 11 Applicants being shortlisted in this Category.

Applicant L would not be shortlisted in this example.

#### *Notification of outcome of the Qualification Envelope*

- 4.19 All Applicants will be notified at this stage whether their Tender will be taken through to Stage 4 of this process (evaluation of the Award Criteria in the Technical Envelope) by letter sent through the message board within the e-Tendering system. If taken through to Stage 4, Applicants will have 15 working days to submit the Supporting Financial Documentation (see paragraph 3.54).
- 4.20 Applicants' sole right of appeal is set out at paragraph 5.39.
- 4.21 Where an Applicant has been notified that they have not been taken through to Stage 4 but subsequently successfully appeals against the outcome, this will not result in the LAA removing any of the other Applicants from Stage 4. In this scenario, the LAA may shortlist more than 10 Applicants allowing all previously shortlisted Applicants, as well as the Applicant that has successfully appealed, to continue to Stage 4 of this process.



#### Stage 4 – Technical Envelope (Quality Award Criteria)

- 4.22 Where it has been necessary to conduct Stages 1 to 3 of the evaluation process, the scores allocated to Applicants during those stages will be disregarded at this point.
- 4.23 Stage 4 will evaluate the responses contained within the Technical Envelope submitted by Applicants which contains the Quality Award Criteria. The score achieved by Applicants for the Quality Award Criteria constitutes 60% of the overall available score.
- 4.24 Each of the Quality Award Criteria (see below) is made up of a number of sub-criteria. These ask Applicants how they will deliver the Contract Work tendered for. Responses to these sub-criteria will be assessed and given a score between 0 and 5 in accordance with the scoring matrix below.
- 4.25 To score higher points, Applicants should reference the specific CLA Contract requirements, including Category-specific requirements, and the specific characteristics of the Contract Work being bid for (e.g. estimated Case volumes). Responses that are generic and are not CLA Contract or Category specific are likely to achieve lower points.

#### Scoring Matrix

| Score (0-5) | Scoring Criteria:   |
|-------------|---|
| 0           | <b>Unacceptable:</b> The following is indicative of factors that would lead to a score of 0: <ul style="list-style-type: none"><li>• The Applicant fails to respond to the sub-criteria or there is substantial failure to properly address any issues/areas listed in the sub-criteria</li></ul>   |
| 1           | <b>Poor response:</b> The following is indicative of factors that would lead to a score of 1: <ul style="list-style-type: none"><li>• Little or no detail provided to answer the sub-criteria or a generic or vague response is provided making no reference to the specific issues/areas listed in the sub-criteria</li><li>• The response provided requires the reviewer to make assumptions</li><li>• The response provides confused and/or contradictory information in relation to other responses</li></ul> |
| 2           | <b>Satisfactory:</b> The following is indicative of factors that would lead to a score of 2: <ul style="list-style-type: none"><li>• The response engages with the sub-criteria but does not specifically address all issues/areas listed in the sub-criteria</li></ul>   |

|          |   |
|----------|---|
|          | <ul style="list-style-type: none"> <li>• The Applicant provides limited evidence/information indicating how it meets the sub-criteria</li> </ul>  |
| <b>3</b> | <p><b>Good:</b> The following is indicative of factors that would lead to a score of 3:</p> <ul style="list-style-type: none"> <li>• The response addresses all issues/areas listed in the sub-criteria</li> <li>• The Applicant provides some evidence/information how it meets the sub-criteria</li> <li>• The response provides consistent information in relation to other responses</li> </ul>   |
| <b>4</b> | <p><b>Very Good:</b> The following is indicative of factors that would lead to a score of 4:</p> <ul style="list-style-type: none"> <li>• The response addresses all issues/areas listed in the sub-criteria with a high level of detail</li> <li>• The Applicant provides greater evidence/information indicating how it meets the sub-criteria</li> <li>• The response provides consistent information in relation to other responses</li> </ul>    |
| <b>5</b> | <p><b>Excellent:</b> The following is indicative of factors that would lead to a score of 5:</p> <ul style="list-style-type: none"> <li>• The response addresses all issues/areas listed in the sub-criteria in a comprehensive manner</li> <li>• The Applicant provides high quality evidence/information indicating how it meets the sub-criteria</li> <li>• The response provides consistent information in relation to other responses</li> </ul> |

4.26 Annex E contains a Quality Award Criteria guidance document, providing further detail on how the Quality Award Criteria will be assessed, which Applicants are strongly encouraged to read.

4.27 The relevant weighting will be applied to the score achieved against each sub-criterion. Weighted scores will be calculated to one decimal place. Weighted scores for all the sub-criteria in the Technical Envelope will be added together to give an overall score out of 60. An example of how this will operate is set out below, including example scores:

## Example Quality Scoring

| Award Criteria                              | Sub-criteria  | Sub-criteria weighting | Applicant Score (0-5) | Applicant weighted score |
|---|---|------------------------|-----------------------|--------------------------|
| <b>1: Staffing the Service</b>              | 1.1: Skills and experience of staff delivering the specialist legal advice                                      | 7%                     | 4                     | <b>5.6</b>               |
|   | 1.2: Skills and experience of staff in delivering Remote Advice   | 6%                     | 4                     | <b>4.8</b>               |
|   | 1.3: Staff recruitment  | 3%                     | 3                     | <b>1.8</b>               |
|   | 1.4: Succession planning  | 3%                     | 3                     | <b>1.8</b>               |
|   | 1.5 Staff training  | 3%                     | 4                     | <b>2.4</b>               |
| <b>2: Delivering a Quality Service</b>      | 2.1: Supervision of staff delivering specialist legal advice services - <b>Minimum scoring requirement of 2</b> | 5%                     | 4                     | <b>4</b>                 |
|   | 2.2: Compliance with Service Standard   | 4%                     | 4                     | <b>3.2</b>               |
|   | 2.3: Performance against KPI's  | 4%                     | 3                     | <b>2.4</b>               |
| <b>3: Capacity Planning for the Service</b> | 3.1: Infrastructure   | 4%                     | 3                     | <b>2.4</b>               |
|   | 3.2a: Contract Resourcing- <b>Minimum scoring requirement of 2</b>  | 4%                     | 3                     | <b>2.4</b>               |
|   | 3.2b: Ongoing Forecasting and Resourcing -  | 4%                     | 4                     | <b>3.2</b>               |
|   | 3.3: Expansion Resourcing   | 3%                     | 2                     | <b>1.2</b>               |
|   | 3.4: Business Continuity and Disaster Recovery Plan   | 2%                     | 3                     | <b>1.2</b>               |
| <b>4: Implementation of the Service</b>     | 4.1: Implementation Plan – <b>Minimum scoring requirement of 2</b>  | 5%                     | 3                     | <b>3</b>                 |
| <b>5: Delivering Face-to-Face Services</b>  | 5.1 Delivering Face-to-Face Services  | 3%                     | 4                     | <b>2.4</b>               |
| <b>Declaration</b><br><i>Pass/Fail</i>      | Declaration   | N/A                    | N/A                   | N/A                      |

| Award Criteria | Sub-criteria                                    | Sub-criteria weighting | Applicant Score (0-5)          | Applicant weighted score |
|----------------|---|------------------------|--------------------------------|--------------------------|
|                | <i>Pass = (provision of signed declaration)</i> |                        |                                |                          |
|                |   |                        | <b>Total Score (out of 60)</b> | 41.8                     |

- 4.28 In the example above, the Applicant would receive a total score of 41.8 out of 60 possible points in the Quality Award Criteria.

### Minimum Quality Thresholds

- 4.29 Applicants are required to achieve minimum quality thresholds in order to be taken through to the next stage of the evaluation process.
- 4.30 Where an Applicant achieves a total weighted score of less than 33 out of 60 in the Quality Award Criteria, their Tender will be rejected and they will take no further part in the evaluation process.
- 4.31 Where an Applicant achieves a non-weighted score of 0 or 1 for sub-criteria 2.1, 3.2a, or 4.1, their Tender will be rejected and they will take no further part in the evaluation process.

### Stage 5 – Commercial Envelope (Price Award Criteria)

- 4.32 Stage 5 of the evaluation process will evaluate the responses contained within the Commercial Envelope submitted by Applicants. The score achieved by Applicants for the Price Award Criteria constitutes 40% of the overall available score.
- 4.33 The Price Award Criteria are divided into various sub-criteria, each of which is a Fixed Fee or Escape Fee which will apply should the Applicant be awarded a CLA Contract.
- 4.34 Each sub-criterion will be subject to a weighting. The full list of Price sub-criteria and weightings for each Category are set out below:

| <b>Education</b>    |                  |
|---------------------|------------------|
| <b>Sub-criteria</b> | <b>Weighting</b> |
| Lower Fixed Fee     | X0.05            |
| Higher Fixed Fee    | X0.02            |
| Escape Fee          | X0.93            |

| <b>Discrimination</b> |                  |
|-----------------------|------------------|
| <b>Sub-criteria</b>   | <b>Weighting</b> |
| Lower Fixed Fee       | X0.1             |
| Higher Fixed Fee      | X 0.05           |
| Escape Fee            | X0.85            |

| <b>Housing and Debt</b> |                  |
|-------------------------|------------------|
| <b>Sub-criteria</b>     | <b>Weighting</b> |
| Lower Fixed Fee Debt    | X0.87            |
| Higher Fixed Fee Debt   | X0.13            |

| <b>Family</b>       |                  |
|---------------------|------------------|
| <b>Sub-criteria</b> | <b>Weighting</b> |
| Lower Fixed Fee     | X0.92            |
| Higher Fixed Fee    | X0.08            |

- 4.35 The relevant weighting will be applied to the prices submitted by the Applicant against each sub-criterion in the Price Form. The sub-criteria will then be added together to create the Total Weighted Price for each bid. This will be used for the purposes of scoring this Award Criteria. All weighted prices will be calculated to the nearest penny.
- 4.36 Below is an example of how this would work in practice. All prices used are for demonstration purposes and should not be used as a guide by Applicants when considering their pricing:

**Example 2**

Applicant A is bidding in the Discrimination Category. The prices submitted in the Price Form of the Commercial Envelope are set out below.

| <b>Discrimination</b> |                                       |
|-----------------------|---------------------------------------|
| <b>Sub-criteria</b>   | <b>Price Submitted by Applicant A</b> |
| Lower Fixed Fee       | £70.70                                |
| Higher Fixed Fee      | £292.50                               |
| Escape Fee            | £35.49                                |

In evaluating the Price Award Criteria, the LAA will apply the relevant weighting to each price submitted by the Applicant. The LAA will then add together the sub-criteria weighted prices for the Applicant to calculate the Total Weighted Price.

| <b>Discrimination</b>       |                        |                  |                                    |
|-----------------------------|------------------------|------------------|------------------------------------|
| <b>Sub-criteria</b>         | <b>Price Submitted</b> | <b>Weighting</b> | <b>Sub-criteria Weighted Price</b> |
| Lower Fixed Fee             | £70.70                 | X0.1             | £7.07                              |
| Higher Fixed Fee            | £292.50                | X0.05            | £14.63                             |
| Escape Fee                  | £35.49                 | X0.85            | £30.17                             |
| <b>Total Weighted Price</b> |                        |                  | <b>£51.87</b>                      |

- 4.37 The points awarded for the Price Award Criteria will be calculated on a relative basis by comparing the Total Weighted Prices of all Applicants in the Category at this stage. The Applicant with the lowest Total Weighted Price in that Category will be awarded the maximum points available (40 points) and other scores will be calculated by their relative distance from it using the following methodology:

$$(L \div B) \times 40 = \text{Score}$$

L = Value of the lowest Total Weighted Price offered by an Applicant in the Category

B = Value of the Total Weighted Price offered by the Applicant being scored.

- 4.38 Scores will be calculated to two decimal places.

4.39 The table below provides an example of how this might work in practice.

| <b>Applicant</b> | <b>Total Weighted Price</b>          | <b>Points Awarded (out of 40)</b> |
|------------------|--------------------------------------|-----------------------------------|
| Applicant B      | £42.32 (lowest Total Weighted Price) | 40                                |
| Applicant A      | £51.87                               | 32.64                             |
| Applicant C      | £65.45                               | 25.86                             |

## **Stage 6 – Final Score**

4.40 At this stage, the scores for the Quality and Price Award Criteria for each Applicant will be combined to give a Final Score out of 100 calculated to two decimal places.

4.41 The Final Scores of Applicants in each Category will be ranked, and:

- in the Family Category, the two highest scoring Applicants will be awarded a CLA Contract;
- in the Housing and Debt Categories, the three highest scoring Applicants will be awarded a CLA Contract;
- in the Education Category, the three highest scoring Applicants will be awarded a CLA Contract; and
- in the Discrimination Category, the three highest scoring Applicants will be awarded a CLA Contract.

4.42 In the unlikely event that Applicants are tied (which prevents the LAA identifying the designated number of successful Applicants), the LAA will show preference to Applicants which achieved higher scores in the sub-criteria designated as Priority Questions at paragraph 4.43. The LAA will combine the weighted scores that each tied Applicant has achieved for the Priority Question sub-criteria and award a CLA Contract to the Applicant which achieved the highest combined score.

4.43 The sub-criteria which are Priority Questions for all Categories are set out below:

- 2.1 Supervision of staff delivering specialist legal advice;
- 3.2a) Contract Resourcing;
- 4.1 Implementation Plan.

## **Contract Award**

- 4.44 All Applicants will be notified of the outcome of their Tender by letter sent through the message board within the e-Tendering system.
- 4.45 Where Applicants have been unsuccessful following Stage 6, their letter will set out their score, ranking, strengths and weaknesses of their Tender, and the relative advantages of the successful Applicant's Tender.
- 4.46 The LAA will observe a 10-day standstill period beginning the day after notification of the outcome of this procurement process is sent to Applicants.
- 4.47 Any award of a CLA Contract to a successful Applicant is conditional on the CLA Contract being executed in accordance with the LAA's internal procedures, which may include requiring indemnities or guarantees. The LAA reserves the right not to award a CLA Contract to any Applicant or to withdraw a notification of award at any time prior to execution of the CLA Contract documents.
- 4.48 In the event that the number of Applicants still in the competition following completion of Stage 5 in any Category is fewer than the number of Contracts which the LAA intends to award, the LAA reserves the right to award fewer Contracts in any Category in order to cover the Contract Work required. This could result in the LAA awarding a single Contract in the Family Category to provide the Contract Work, or one or two Contracts in the Education, Discrimination and Housing & Debt Categories.



## **SECTION 5: RULES OF THE PROCUREMENT PROCESS**

### **Introduction**

- 5.1 This procurement process is governed by this IFA which represents a complete statement of the rules of the procurement process. This IFA supersedes all prior negotiations, representations or undertakings, whether written or oral. References to 'Tender' include, as applicable, all or any submission forming part of a Tender including responses to the CLA Financial Assessment ITT and the CLA Category ITTs.
- 5.2 'Legal services' are classified as Social and Other Specific Services to which The Public Contracts Regulations 2015 (the "Regulations") only apply in part. The LAA is not bound by any of the Regulations except those which specifically apply to the procurement of Social and Other Specific Services.
- 5.3 This IFA and any supplementary documents issued as part of this procurement process (including the SQ and CLA ITTs) are governed and construed in accordance with English Law.

### **Submitting a Tender**

- 5.4 The Applicant agrees to comply with the rules (contained in this Section 5 and elsewhere in this IFA) of this procurement process, the terms of the user agreement governing the use of the LAA e-Tendering system and any contract awarded to them by the LAA (including any conditions of contract award). If the Applicant fails to comply with the rules of this procurement process and/or the terms of the user agreement, the LAA may assess the Applicant's Tender as unsuccessful.
- 5.5 The Applicant must submit a complete Tender (in accordance with paragraph 5.8) by the Deadline. For the purposes of the Deadline, the time specified on the e-Tendering system shall be the definitive time. A Tender will be rejected if it is submitted by the Applicant after the Deadline. The LAA will not consider:
- (a) any requests by the Applicant to amend or submit the Tender after the Deadline;  
or

- (b) any requests by the Applicant for an extension of the time or date fixed for the submission of the Tender

and the Applicant accepts all responsibility for ensuring all parts of its Tender are submitted through the e-Tendering system by the Deadline.

5.6 The Applicant must submit a complete Tender (in accordance with paragraph 5.8) using the e-Tendering system at [www.legalaid.bravosolution.co.uk](http://www.legalaid.bravosolution.co.uk). The LAA will not consider any Tender submitted by the Applicant in any other form, or by any other method.

5.7 A Tender must be authorised by one of the following:

- (a) the Applicant's COLP, or HOLP or CM (or proposed COLP, or HOLP or CM); or
- (b) where the Applicant is not authorised by a Relevant Professional Body, a member of Key Personnel who either:
  - (i) has decision and/or veto rights over decisions relating to the running of the Applicant; or
  - (ii) has the right to exercise, or actually exercises, significant influence or control over the Applicant.

5.8 The Applicant must submit a complete Tender prior to the Deadline. To be considered, the Applicant must reply to every question in the Tender and upload all requested documentation, even if it has previously provided this information or if it is otherwise of the view that the LAA is already aware of such information.

5.9 The Applicant may only submit one Tender (i.e. one SQ Response, one response to the CLA Financial Assessment ITT and a maximum of one CLA Category ITT response) per CLA Category. If more than one SQ Response, CLA Financial Assessment ITT Response, or CLA Category ITT Response (in the same Category) is received from the Applicant, the LAA will assess the last SQ, CLA Financial Assessment ITT Response or CLA Category ITT Response submitted before the Deadline and any others will be rejected.

5.10 The Applicant may amend and resubmit its Tender at any time up to the Deadline. Only the last Tender submitted by an Applicant prior to the Deadline will be considered by the LAA.

- 5.11 The Applicant must ensure that its Tender is fully and accurately completed. The Applicant must ensure that information provided as part of its response is of sufficient quality and detail that an informed assessment of it can be made by the LAA.
- 5.12 Subject to the LAA's right to clarify at paragraph 5.27, the Applicant will not be permitted to amend or alter the Tender after the Deadline except in circumstances expressly permitted by the LAA.
- 5.13 In the event of any conflict between the information, answers or responses submitted as part of a Tender, without prejudice to the other rules of the procurement process, including the LAA's right to clarify, the conflict will be resolved by accepting the information, answer or document least favourable to the Applicant. This may mean that the LAA may reject the Tender in whole or in part. For the avoidance of doubt, in these circumstances, the LAA will not contact the Applicant.
- 5.14 When providing Contract Work within Wales, the Applicant must ensure it is accessible to, and understandable by, clients whose language of choice is Welsh, in accordance with the Welsh Language Act 1993 and Welsh Language (Wales) Measure 2011 and any other relevant statutory instruments which come into force from time to time.
- 5.15 The Applicant, by submitting a Tender, warrants to the LAA that:
- (i) it has complied with all the rules and instructions applicable to this IFA and the e-Tendering system in all respects;
  - (ii) all information, representations and other matters of fact communicated (whether in writing or otherwise) to the LAA by the Applicant are true, complete and accurate in all respects; and
  - (iii) it has capacity to concurrently deliver all of the Contract Work it has submitted a Tender for.
- 5.16 The Applicant must keep any Tender valid and capable of acceptance by the LAA up to the Contract Start Date.
- 5.17 By submitting a Tender, the Applicant agrees to be bound by the CLA Contract without further negotiation or amendment.

- 5.18 In submitting its Tender, the Applicant acknowledges that this procurement process is entirely independent of any other procurement processes that have been run by the LAA or any predecessor organisation. Accordingly, no previous conduct or decisions of the LAA can be relied upon by the Applicant as setting any precedent for the LAA's conduct in respect of this procurement process.
- 5.19 The Applicant must monitor and respond as appropriate to messages received through the e-Tendering system throughout this procurement process, and the LAA accepts no liability where the Applicant fails to do so. All communication with Applicants through the e-Tendering system, including that outlined in paragraph 5.22 will be deemed to have been received by the Applicant at the time of transmission in the e-Tendering system. The time specified in the e-Tendering system shall be the definitive time.
- 5.20 Any Frequently Asked Questions published through the e-Tendering system in accordance with Section 3 of this IFA will form part of the documentation for this procurement process. Applicants should have regard to the relevant Frequently Asked Questions documents prior to submitting a Tender.
- 5.21 Without prejudice to any warranties given, these rules of the procurement process do not form a separate collateral contract between the Applicant and the LAA. The Applicant's Tender will form part of any Contract subsequently awarded.

### **Right to Cancel or Amend the Procurement Process**

- 5.22 The LAA reserves the right to amend the procurement process (including any related documentation) at any time. Any notices of amendments will be published on the LAA's website at <https://www.gov.uk/government/publications/civil-2018-contracts-tender> and notified to individual Applicants through a message on the e-Tendering system.
- 5.23 A Tender submitted by an Applicant which does not comply with any amendments made in accordance with paragraph 5.22 before the Deadline will be rejected.
- 5.24 The LAA reserves the right to suspend or cancel the procurement process in its entirety or in part, and not to proceed to award contracts at any time at its absolute discretion.

- 5.25 While the LAA has taken all reasonable steps to ensure, as at the date of the issue of the IFA, that the facts which are contained both within it and associated documents are true and accurate in all material respects, it does not make any representation or warranty as to the accuracy or completeness or otherwise of these documents, or the reasonableness of any assumptions on which these documents may be based. If contradictory information is contained in this IFA and / or associated documents, the provisions of this Section 5 will take precedence.
- 5.26 All information supplied by the LAA to the Applicant, including that within the IFA, is subject to that Applicant's own due diligence. The LAA accepts no liability to the Applicant whatsoever resulting from the use of the IFA and any associated documents, or any omissions from or deficiencies in them.

### **Right to Clarify / Verify**

- 5.27 The LAA may at its sole discretion seek to clarify or verify the Applicant's Tender. It will not do so where this would afford an Applicant the opportunity to improve its Tender by submitting a changed bid which would constitute a new tender. Where it does exercise its discretion to seek clarification or verification, in making its decision following receipt of an Applicant's response, the LAA will not take into account any information received which falls outside of the scope of the specific clarification or verification it is seeking.
- 5.28 Where the LAA contacts the Applicant in circumstances outlined in paragraph 5.29, the Applicant must provide the information requested by the date specified by the LAA. Any information provided by the Applicant after the specified date will not be taken into account by the LAA when evaluating the Applicant's Tender.

### **Right to Exclude**

- 5.29 If the LAA receives information to suggest that any aspect of the Applicant's Tender is false, misleading or incorrect in any material way it may undertake such enquiries as it considers necessary to determine the accuracy of the Tender. The Applicant must assist with any such enquiries.
- 5.30 The LAA reserves the right, at its absolute discretion, to disqualify from the procurement process any Applicant for submitting:

- (i) false information; and/or
- (ii) information which misrepresents the Applicants actual position; and/or
- (iii) misleading information.

5.31 Paragraph 5.30 of this IFA applies regardless of whether the information concerned was submitted with the intention of misleading the LAA or misrepresenting the Applicant's actual position or whether it was submitted recklessly, negligently or innocently.

### **Canvassing**

5.32 The Applicant (including its employees and agents) must not, whether directly or indirectly:

- (a) canvass, or attempt to obtain any information from, any Ministers, officers, employees, agents or advisers of the LAA about this procurement process; or
- (b) offer or agree to pay or give any sum of money, inducement or valuable consideration to any person for doing or having done or causing or having caused to be done any act or omission in relation to this procurement process.

### **Collusion**

5.33 The Applicant must not collude with any other person or organisation in any way during this procurement process. This would include, but not be limited to, the following examples:

- (a) Fixing or adjusting any element of its Tender by agreement with any other person, unless such an act would reasonably be permitted as part of this procurement process;
- (b) Communicating to any other person any information relating to any fees or rates contained in the Applicant's Tender which will be competitively assessed as part of the procurement process, unless such communication is with a person who is a participant in the Applicant's Tender;
- (c) Entering into any agreement with any person for the purpose of inciting that person to refrain from submitting a Tender;
- (d) Sharing, permitting or disclosing access to any information relating to its Tender.

- 5.34 If the LAA reasonably concludes that the Applicant has colluded with another person in any way that breaches paragraph 5.33 the LAA will (without prejudice to any other criminal or civil remedies available to it) immediately exclude the Applicant from any further involvement in this procurement process.

## **Award**

- 5.35 Where a material change occurs to the Tender information submitted by an Applicant, including issues relating to any current contract the Applicant holds, the Applicant must inform the LAA. The LAA will conduct a re-assessment to ensure the Tender is not adversely impacted. If upon reassessment, the Applicant's Tender is deemed to be unsuccessful, or any conditions of contract award are not met, the LAA will not proceed with any decision made to award a Contract. Failure to notify the LAA of a material change may result in disqualification from the procurement process and/or termination of the CLA Contract (as applicable).
- 5.36 The LAA reserves the right, prior to any execution of a Contract, to carry out further due diligence checks. Where, as part of any due diligence, an Applicant is found not to comply with any of the minimum contract requirements which the Applicant committed to meeting in its Tender, the LAA will not proceed with any decision made to award a Contract.
- 5.37 The LAA reserves the right to place additional contractual conditions on the award of a Contract to an individual Applicant.
- 5.38 The award of a Contract does not guarantee a minimum amount of work for the Applicant or that a minimum level of income will be generated for the Applicant as a result of the Contract.

## **Appeal and costs and expenses of Tender**

- 5.39 The Applicant's sole right of appeal is limited to circumstances where it reasonably, on the information contained in the Tender (subject to paragraph 5.24), considers that the LAA has made an error in its assessment of the Applicant's Tender. There is no other right of appeal, including, for example, in respect of any mistakes, inaccuracies or errors made by the Applicant in its Tender. For the avoidance of doubt there is no right of appeal based on a purported failure of the LAA to clarify Tender information.

- 5.40 Appeals must relate to the specific grounds of failure set out in the notification letter received from the LAA.
- 5.41 Appeals should be submitted using the appeals pro-forma which will be made available on the tender pages of the Justice website. The LAA will not accept any appeal submitted after the date detailed in the notification letter for receipt of appeals.
- 5.42 The LAA's Principal Legal Adviser (or their appointed representative) will review all appeals on the papers only and make a determination on the outcome of the appeal. For the avoidance of doubt, there is no further right of appeal.
- 5.43 The Applicant is solely responsible for its own costs and expenses incurred in connection with the preparation and submission of a Tender irrespective of any subsequent cancellation or suspension of this procurement process by the LAA. Under no circumstances will the LAA, or any of its employees, be liable for any costs incurred by the Applicant.

#### **Confidentiality, Data Protection & Freedom of Information**

- 5.44 The LAA may share any information contained in an Applicant's Tender with the provider of the e-Tendering system for the purposes of administering the procurement process.
- 5.45 The Applicant should note that under the Freedom of Information Act 2000 (the "FOIA"), the LAA may be required to disclose details of its Tender in response to a request from third parties, either during or after the procurement process. The LAA can only withhold information where it is covered by a valid exemption as set out in the FOIA.
- 5.46 If an Applicant is concerned about possible disclosure, it should contact the LAA and clearly identify the specific parts of the Tender that it considers commercially sensitive or confidential (within the meaning of the FOIA), the harm that disclosure may cause and an estimated timescale for that sensitivity. The Applicant must familiarise itself with the Information Commissioner's current position on the disclosure and non-disclosure of commercially sensitive information and accordingly should not notify the LAA of a blanket labelling of its entire Tender as confidential.



- 5.47 The Applicant must be aware that the receipt by the LAA of information marked 'confidential' does not mean that the LAA accepts any duty of confidence in relation to that marking. Neither does the LAA guarantee that information identified by the Applicant as confidential will not be disclosed where the public interest favours disclosure pursuant to our obligations under FOIA.
- 5.48 The LAA, will collect, hold and use Personal Data obtained from and about the Applicant and its Key Personnel during the course of the procurement process.
- 5.49 By submitting a Tender, an Applicant consents and confirms they have obtained all necessary consents to such Personal Data being collected, held and used in accordance with and for the purposes of administering the procurement process as contemplated by the IFA and for the management of any Contract subsequently awarded.
- 5.50 The Applicant warrants, on a continuing basis, that it has:
- (a) all requisite authority and has obtained and will maintain all necessary consents required under the Data Protection Legislation (which includes the Data Protection Act 1998, the Privacy and Electronic Communications (EC Directive) Regulations 2003 and any other relevant regulations together with any codes of conduct and guidance issued by the Information Commissioner); and
  - (b) otherwise fully complied with all of its obligations under the Data Protection Legislation, in order to disclose to the LAA the Personal Data, and allow the LAA to carry out the procurement process. The Applicant shall immediately notify the LAA if any of the consents is revoked or changed in any way which affects the LAA's rights or obligations in relation to such Personal Data.
- 5.51 The LAA may disclose any documentation or information submitted by the Applicant as part of a Tender, whether commercially sensitive or not, for the purposes of complying with any control and/or reporting obligations, to any other central Government Department or Executive Agency. For the avoidance of doubt, information will not be disclosed outside Government for these purposes. By submitting a Tender, Applicants consent to documentation and information being held and used for these purposes.
- 5.52 The LAA will publish details of all contracts awarded in accordance with the Government's transparency standards.

- 5.53 Following completion of this procurement process, the LAA will retain copies of the Tender for such time as it considers reasonable to satisfy the LAA's audit obligations and for any associated contract management purposes.

### **Copyright & Intellectual Property Rights**

- 5.54 The information contained in this IFA is subject to Crown copyright 2016. Applicants may, subject to 5.55, reuse this document (excluding logos) free of charge in any format or medium, under the terms of the Open Government Licence v3.0. To view this licence, visit: <http://www.nationalarchives.gov.uk/doc/open-government-licence/version/3> or write to the: Information Policy team, The National Archives, Kew, London, TW9 4DU, or complete the online enquiry form <https://www.nationalarchives.gov.uk/contact/contactform.asp?id=8>
- 5.55 If an Applicant uses this IFA under the Open Government Licence v3.0, it should include the following attribution: "Invitation to Tender to Provide the Legal Aid Agency's Civil Legal Advice (CLA) Telephone Advice Services from April 2018, Information for Applicants, Legal Aid Agency, Licensed under the Open Government Licence v3.0."

## ANNEX A: THE CONTRACT WORK - KEY FIGURES

**Table A: CLA Contract Value**

Below are forecast CLA Contract values based on existing spend across Categories in the last two full financial years (years 3 and 4 of the current contract). These costs are net of VAT and do not include disbursements. Please note, as payment can only be claimed following the completion of a Case, there can be significant variance between years. This may result in lower spend in the early years of the CLA Contract. There may also be work in progress at the end of the CLA Contract Period which will be billed after the Contract Period has completed.

| Category         | Total Category Value (p/a) | Number of contracts (p/a) | Contract Value (p/a) |
|------------------|----------------------------|---------------------------|----------------------|
| Housing and Debt | £1,283,750                 | 3                         | £427,917             |
| Family           | £154,134                   | 2                         | £77,067              |
| Education        | £599,005                   | 3                         | £199,668             |
| Discrimination   | £556,970                   | 3                         | £185,657             |

**Table B: Discrimination – Forecast Case Volumes and Case Length per annum per CLA Contract**

| Discrimination                           | Number of Cases per annum | Average Case Length (minutes) |
|--|---------------------------|-------------------------------|
| Determination                            | 640                       | 42                            |
| Lower Fixed Fee (up to 132 minutes)      | 299                       | 112                           |
| Higher Fixed Fee (133 minutes and above) | 142                       | 416                           |
| Escape Fee (900 minutes and above)       | 66                        | 2310                          |
| <b>Total</b>                             | <b>1,147</b>              |                               |

**Table C: Education – Forecast Case Volumes and Case Length per annum per CLA Contract**

| Education     | Number of Cases per annum | Average Case Length (minutes) |
|---------------|---------------------------|-------------------------------|
| Determination | 109                       | 18                            |

|  |            |       |
|--|------------|-------|
| Lower Fixed Fee (up to 132 minutes)      | 253        | 65    |
| Higher Fixed Fee (133 minutes and above) | 87         | 450   |
| Escape Fee (900 minutes and above)       | 115        | 2,598 |
| <b>Total</b>                             | <b>564</b> |       |

**Table D: Housing and Debt – Forecast Case Volumes and Case Length per annum per CLA Contract**

| <b>Housing and Debt</b>                  | <b>Number of Cases</b> | <b>Average Case Length (minutes)</b> |
|--|------------------------|--------------------------------------|
| Determination                            | 933                    | 18                                   |
| Lower Fixed Fee (up to 132 minutes)      | 4,118                  | 123                                  |
| Higher Fixed Fee (133 minutes and above) | 599                    | 238                                  |
| <b>Total</b>                             | <b>5,650</b>           |                                      |

**Table E: Family - Forecast Case Volumes and Case Length per annum per CLA Contract**

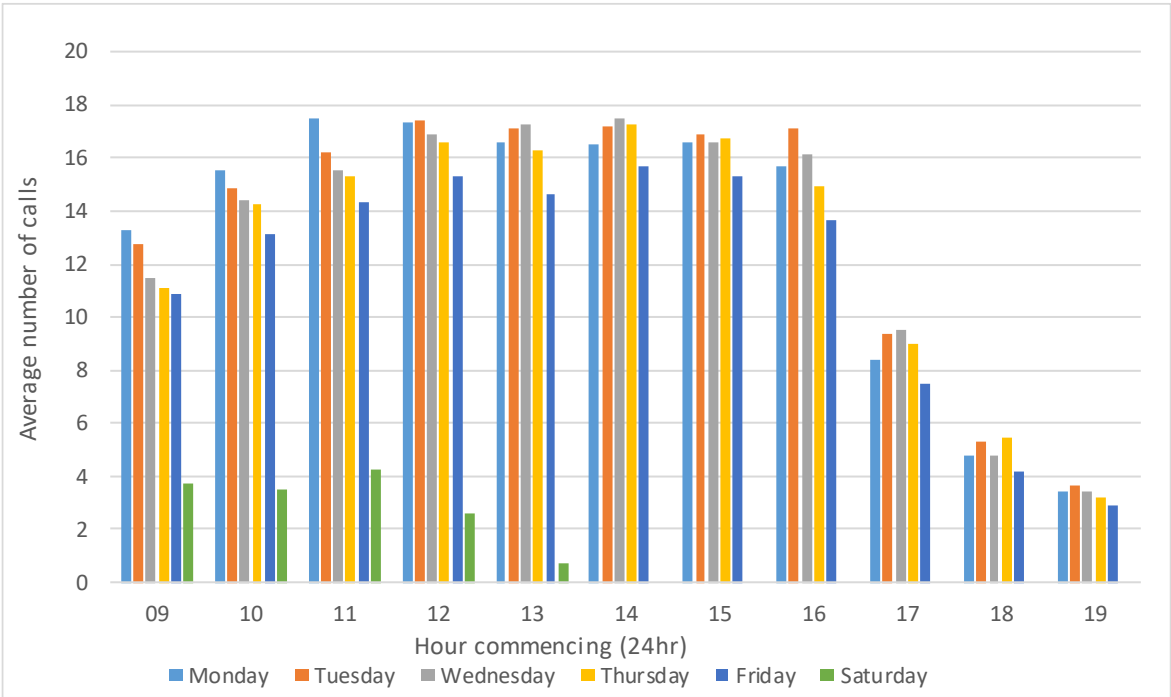
| <b>Family</b>                    | <b>Number of Cases</b> | <b>Average Case Length (minutes)</b> |
|----------------------------------|------------------------|--------------------------------------|
| Determination                    | 5,185                  | 18                                   |
| Lower Fixed Fee (0-132 minutes)  | 489                    | 108                                  |
| Higher Fixed Fee (133 minutes +) | 112                    | 333                                  |
| <b>Total</b>                     | <b>5,786</b>           |                                      |

## **Tables F to I**

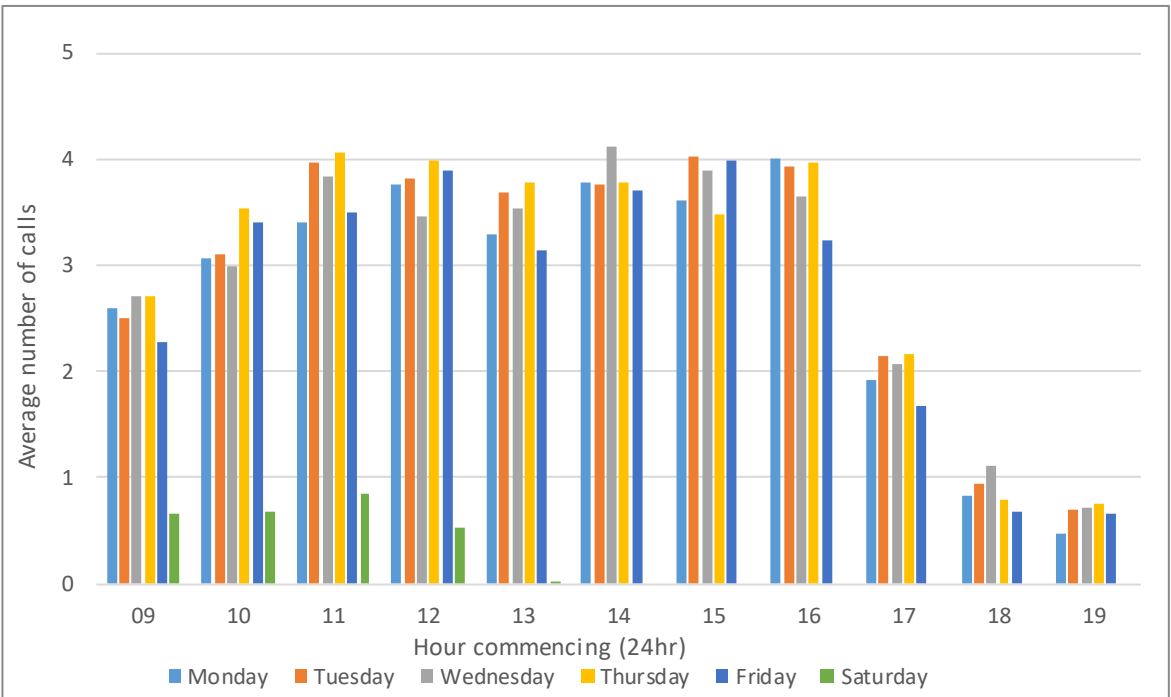
The tables below set out the forecast profile of incoming Calls to each Provider under the CLA Contract, for each hour of the week (including both Core Hours and Rota Hours).

This forecast is derived from average CLA data collected from the current service since January 2016.

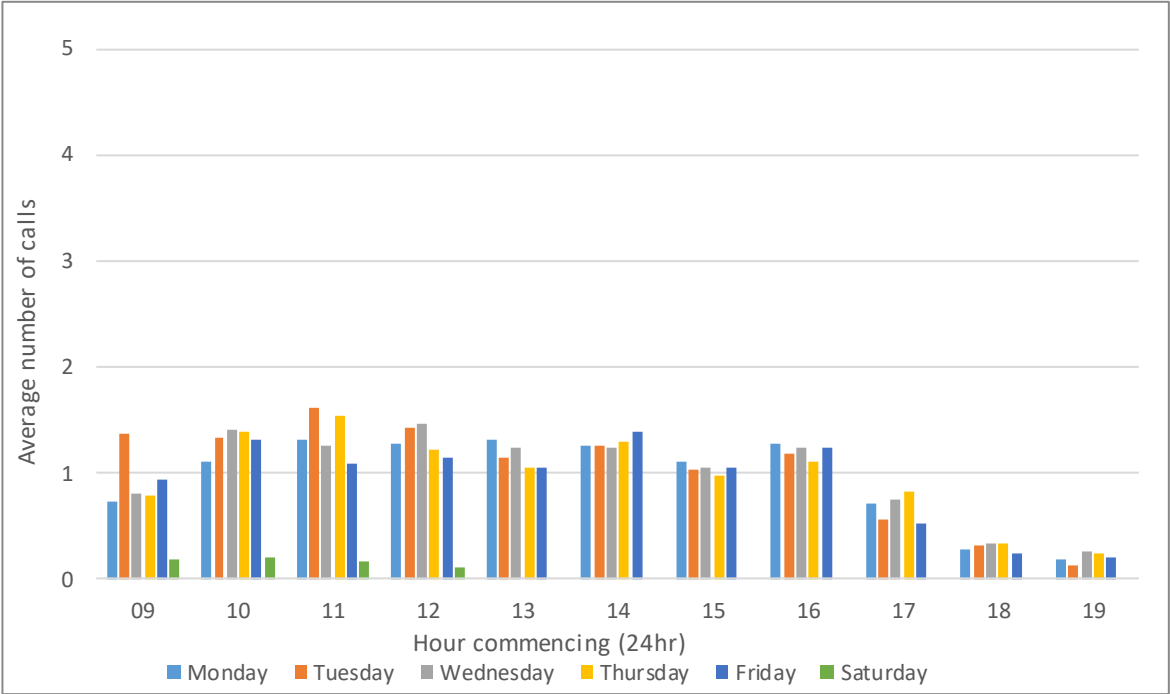
Tables F: Housing and Debt incoming call profile



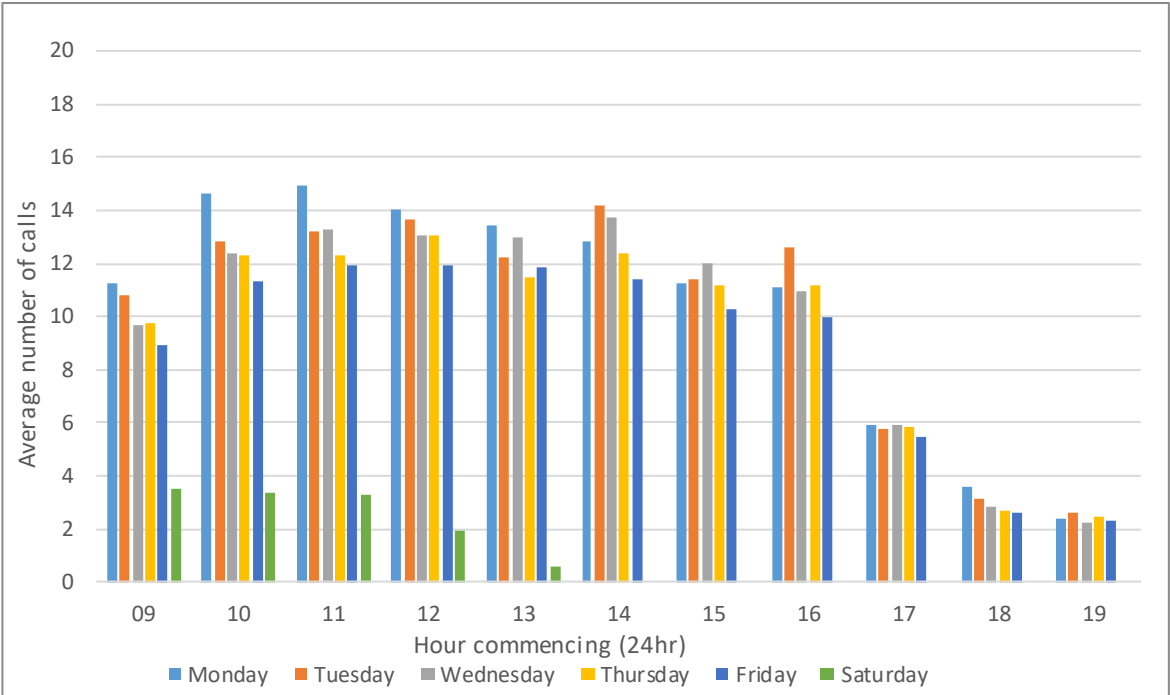
Tables G: Discrimination incoming call profiles



**Tables H: Education incoming call profile**



**Tables I: Family incoming call profile**



## Annex B: CLA Financial Assessment ITT

|    |  |   |
|----|--|---|
| 1a | Are you an Established Business or Other Business (as defined in paragraphs 3.40 of the Information For Applicants)? | Please choose from the following options<br>i) Established Business<br>ii) Other Business |
| 1b | Please attach a completed Financial Assessment Form  | Attach document   |

:

## ANNEX C SELECTION CRITERIA

### OVERVIEW

The Selection Criteria contain questions which will be used to assess the Applicants' capacity to deliver the Contract Work tendered for. Applicants must answer all parts of the Selection Criteria questions in each Category you have bid for. Each Selection Criterion provided has a scored question which is answered by selecting from a list of drop down options. Where Applicants select responses to questions in the Selection Criteria which are assigned a score of 1 point or higher, they are also required to provide further information in a text box and attach supporting evidence to verify their response.

It is the LAA's intention that a maximum of ten Applicants in each Category will be taken through to Stage 4 of the evaluation process (Technical Envelope). Where the number of Applicants in a Category is **10 or less** all Applicants will be taken through to Stage 4 and the LAA will **not** perform the Financial Assessment or assess the Selection Criteria.



## SECTION 1: FAMILY

This Section applies to Applicants wishing to bid for a CLA Contract in the Family Category

| <b><u>Delivery of a Dedicated Telephone Advice Service</u></b>  |  | <b>Response</b>   | <b>Total Score Available</b> |
|---|--|---|------------------------------|
| <p>Preference will be given to Applicants who currently employ (or have a Signed Engagement Agreement to employ) a Named Individual in their Management Team, who will be deployed on the delivery of Contract Work for at least 17.5 hours per week and has experience of managing a Dedicated Telephone Advice Service in the last three years.</p> <p>Higher points will be awarded where the Named Individual has spent a greater length of time in the last three years managing a Dedicated Telephone Advice Service and where the Dedicated Telephone Advice Service dealt with higher call volumes.</p> <p>Managing the service includes having accountability for the quality of the service delivered, including the following:</p> <ul style="list-style-type: none"> <li>• ensuring KPIs are met,</li> <li>• overseeing staffing rotas and work allocation,</li> <li>• ensuring a high quality of telephone advice is provided, and</li> <li>• monitoring and accurate reporting of compliance with the contract (where it is a contracted service).</li> </ul> <p>Dedicated Telephone Advice Service is defined in Annex I of the IFA.</p> <p>Applicants are required to answer questions in both 1a and 1b.</p> |  |   |                              |
| 1a (i)  | <p>Please select the answer from the following three options which is applicable to you.</p> <p>A. The Applicant currently employs (or has a Signed Engagement Agreement to employ) a Named Individual who:</p> <ul style="list-style-type: none"> <li>• will be a member of the Management Team on the Service Commencement Date; and</li> <li>• will be deployed on Contract Work and based in the Office where the Contract Work will be delivered for at least 17.5 hours per week; and</li> <li>• has more than 24 months' experience in the last three years managing a Dedicated Telephone Advice Service receiving at least 5,000 calls per year for each year during which the Named Individual managed the service.</li> </ul> | <p>A (3 points)<br/>(Answer 1a (ii) – 1a (iv))</p> <p>B (2 points)<br/>(Answer 1a (ii) – 1a (iv))</p> <p>C (0 points)<br/>(Answer 1b (i))</p> | 6                            |

|         |  |           |  |
|---------|--|-----------|--|
|         | <p>B. The Applicant currently employs (or has a Signed Engagement Agreement to employ) a Named Individual who:</p> <ul style="list-style-type: none"> <li>• will be a member of the Management Team on the Service Commencement Date; and</li> <li>• will be deployed on Contract Work and based in the Office where the Contract Work will be delivered for at least 17.5 hours per week; and</li> <li>• has between 12 and 24 months' experience in the last three years managing a Dedicated Telephone Advice Service receiving at least 5,000 calls per year for each year during which the Named Individual managed the service.</li> </ul> <p>C: None of the above.</p>  |           |  |
| 1a (ii) | <p>If you answered A or B for question 1a (i) please provide the following details:</p> <ul style="list-style-type: none"> <li>• The name of the Named Individual in the Applicant's Management Team;</li> <li>• The date their employment commenced/will commence with the Applicant;</li> <li>• The organisation with which the experience was gained;</li> <li>• Their status in the organisation and job title in the organisation where the Dedicated Telephone Advice Service was delivered;</li> <li>• The start and end dates (where applicable) of the period from which their experience was obtained;</li> <li>• Information on the Dedicated Telephone Advice Service managed including: <ul style="list-style-type: none"> <li>○ Number of FTE telephone agents/caseworkers;</li> <li>○ Service opening hours;</li> <li>○ Volume of calls managed per year;</li> <li>○ The call quality activity undertaken.</li> </ul> </li> </ul> <p>Where the Dedicated Telephone Advice Service was delivered at an organisation other than the Applicant, the individual completing the Declaration in the Technical Envelope is responsible for ensuring the information provided is correct.</p> <p>Where the details provided in response to this question:</p> <ul style="list-style-type: none"> <li>• demonstrates that the Named Individual did not manage the service as defined in the question; or</li> <li>• demonstrates the service described does not constitute a Dedicated Telephone Advice Service; or</li> <li>• otherwise conflicts with the requirements of question 1a (i); or</li> <li>• provides insufficient or unclear information that does not allow LAA to verify the accuracy of the Applicant's answer to question 1a (i)</li> </ul> <p>the LAA may re-score the response, including re-scoring the response to 0 points for question 1a(i).</p> | Free text |  |

|          |   |            |  |
|----------|---|------------|--|
| 1a (iii) | <p>Please provide a copy of the Named Individual's contract of employment or Signed Engagement Agreement.</p> <p>Where the details provided in response to this question:</p> <ul style="list-style-type: none"> <li>• demonstrates that the Named Individual did not manage the service as defined in the question; or</li> <li>• demonstrates the service described does not constitute a Dedicated Telephone Advice Service; or</li> <li>• otherwise conflicts with the requirements of question 1.a(i); or</li> <li>• provides insufficient or unclear information that does not allow LAA to verify the accuracy of the Applicant's answer to question 1.a(i)</li> </ul> <p>the LAA may re-score the response, including re-scoring the response to 0 points for question 1.a(i).</p>  | Attachment |  |
| 1a (iv)  | <p>Please provide evidence that the Dedicated Telephone Advice Service managed by the Named Individual received at least 5,000 calls per year for each year as set out in the option you have selected in question 1a(i).</p> <p>Evidence may be in the form of, but is not limited to:</p> <ul style="list-style-type: none"> <li>• annual/monthly call volumes data;</li> <li>• call records; or</li> <li>• any other evidence which demonstrates that the Named Individual meets the experience as set out in the option you have selected in question 1a (i).</li> </ul> <p>Where the details provided in response to this question:</p> <ul style="list-style-type: none"> <li>• demonstrates that the Named Individual did not manage the service as defined in the question; or</li> <li>• demonstrates the service described does not constitute a Dedicated Telephone Advice Service; or</li> <li>• otherwise conflicts with the requirements of question 1a (i); or</li> <li>• provides insufficient or unclear information that does not allow LAA to verify the accuracy of the Applicant's answer to question 1a (i)</li> </ul> <p>the LAA may re-score the response, including re-scoring the response to 0 points for question 1a (i).</p> | Attachment |  |

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| 1b (i)  | <p>Please select the answer from the following three options which is applicable to you.</p> <p>A. The Applicant currently employs (or has a Signed Engagement Agreement to employ) a Named Individual who:</p> <ul style="list-style-type: none"> <li>• will be a member of the Management Team on the Service Commencement Date; and</li> <li>• will be deployed on Contract Work and based in the Office where the Contract Work will be delivered for at least 17.5 hours per week; and</li> <li>• has managed a Dedicated Telephone Advice Service for at least 12 months in the last three years, which received more than 10,000 calls during 12 months when the Named Individual managed the service.</li> </ul> <p>B. The Applicant currently employs (or has a Signed Engagement Agreement to employ) a Named Individual who:</p> <ul style="list-style-type: none"> <li>• will be a member of the Management Team on the Service Commencement Date; and</li> <li>• will be deployed on Contract Work and based in the Office where the Contract Work will be delivered for at least 17.5 hours per week; and</li> <li>• has managed a Dedicated Telephone Advice Service for at least 12 months in the last three years, which received between 5,000 and 10,000 calls during 12 months when the Named Individual managed the service.</li> </ul> <p>C: None of the above.</p> | <p>A (3 points)<br/>(Answer 1b (ii) – 1b (iv))</p> <p>B (2 points)<br/>(Answer 1a (ii) – 1a (iv))</p> <p>C (0 points)<br/>(Answer 2 (i))</p> |  |
| 1b (ii) | <p>If you answered A or B for question 1b (i) please provide the following details:</p> <ul style="list-style-type: none"> <li>• The name of the Named Individual in the Applicant's Management Team;</li> <li>• The date their employment commenced/will commence with the Applicant;</li> <li>• The organisation with which the experience was gained;</li> <li>• Their status and job title in the organisation where the Dedicated Telephone Advice Service was delivered;</li> <li>• The start and end dates (where applicable) of the period from which their experience was obtained;</li> <li>• Information on the Dedicated Telephone Advice Service managed including: <ul style="list-style-type: none"> <li>○ Number of FTE telephone agents/caseworkers;</li> <li>○ Service opening hours volume of calls managed per year;</li> <li>○ The call quality activity undertaken.</li> </ul> </li> </ul> <p>Where the Dedicated Telephone Advice Service was delivered at an organisation other than the Applicant, the individual completing the Declaration in the Technical Envelope is responsible for ensuring the information provided is correct.</p> <p><b>Please note:</b></p>   | Free text  |  |

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|          | <p><b>Where you have identified the same Named Individual at question 1a (ii) and have already provided a copy of that Named Individual's contract of employment or Signed Engagement Agreement at question 1a (iii), you are not required to upload a further copy in response to question 1b (iii).</b></p> <p>Where the details provided in response to this question:</p> <ul style="list-style-type: none"> <li>• demonstrates that the Named Individual did not manage the service as defined in the question; or</li> <li>• demonstrates the service described does not constitute a Dedicated Telephone Advice Service; or</li> <li>• otherwise conflicts with the requirements of question 1b (i); or</li> <li>• provides insufficient or unclear information that does not allow LAA to verify the accuracy of the Applicant's answer to question 1b (i)</li> </ul> <p>the LAA may re-score the response, including re-scoring the response to 0 points for question 1b (i).</p>  |            |  |
| 1b (iii) | <p>Please provide a copy of the Named Individual's contract of employment or Signed Engagement Agreement</p> <p>Please note:</p> <p>Where you have identified the same Named Individual at question 1a (ii) and have already provided a copy of that Named Individual's contract of employment or Signed Engagement Agreement at question 1a (iii), you are not required to upload a further copy in response to question 1b (iii).</p> <p>Where you choose to upload a further copy at question 1b (iii) and this information is different to that submitted at question 1a (iii), the LAA will use the response submitted as part of question 1b (ii) and that contract of employment or Signed Engagement Agreement submitted in response to question 1a (iii) to verify the Applicant's response to question</p> <p>In all other circumstances, where the details provided in response to this question:</p> <ul style="list-style-type: none"> <li>• demonstrates that the Named Individual did not manage the service as defined in the question; or</li> <li>• demonstrates the service described does not constitute a Dedicated Telephone Advice Service; or</li> <li>• otherwise conflicts with the requirements of question 1b (i); or</li> <li>• provides insufficient or unclear information that does not allow LAA to verify the accuracy of the Applicant's answer to question 1b (i)</li> </ul> <p>the LAA may re-score the response, including re-scoring the response to 0 points for question 1b (i).</p> | Attachment |  |
| 1b (iv)  | <p>Please provide evidence that the Dedicated Telephone Advice Service managed by the Named Individual received either more than 10,000 or between 5,000 and 10,000 calls for at least 12 months in the last three years as set out in the option you have selected in question 1b (i).</p>   | Attachment |  |

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|  | <p>Evidence may be in the form of, but is not limited to:</p> <ul style="list-style-type: none"> <li>• annual/monthly call volumes data;</li> <li>• call records; or</li> <li>• any other evidence which demonstrates that the Named Individual meets the experience as set out in the option you have selected in question 1b (i).</li> </ul> <p>Where the details provided in response to this question:</p> <ul style="list-style-type: none"> <li>• demonstrates that the Named Individual did not manage the service as defined in the question; or</li> <li>• demonstrates the service described does not constitute a Dedicated Telephone Advice Service; or</li> <li>• otherwise conflicts with the requirements of question 1b (i); or</li> <li>• provides insufficient or unclear information that does not allow LAA to verify the accuracy of the Applicant's answer to question 1b (i)</li> </ul> <p>the LAA may re-score the response, including re-scoring the response to 0 points for question 1b (i).</p> |  |  |
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| <b><u>Implementation of a Dedicated Telephone Advice Service</u></b>  |  | <b>Score</b>                            | <b>Total Score Available</b> |
|---|--|---|------------------------------|
| <p>Preference will be given to Applicants who currently employ (or have a Signed Engagement Agreement to employ) a Named Individual in their Management Team, who will be deployed on the implementation of the service between the Contract Start Date and Service Commencement Date and who has experience in the last three years of implementing a Dedicated Telephone Advice Service receiving at least 5,000 calls per year.</p> <p>Implementation includes:</p> <ul style="list-style-type: none"> <li>• having responsibility for the service successfully starting on the applicable service commencement date;</li> <li>• having overall responsibility for producing and managing a project plan, ensuring sufficient staffing infrastructure and other resources are in place;</li> <li>• ensuring risks to implementation are effectively monitored and managed; and</li> <li>• being the main point of liaison for the customer's contract manager (where a contracted service).</li> </ul> |  |   |                              |
| 2 (i)   | <p>Please select the answer from the following two options which is applicable to you.</p> <p>A : The Applicant currently employs (or has a Signed Engagement Agreement to employ) a Named Individual who:</p> | A (2 points)<br>(Answer 2 (ii) – (iii)) | 2                            |

|        |  |                                |  |
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|        | <ul style="list-style-type: none"> <li>• will be a member of the Management Team at the Contract Start Date; and</li> <li>• who will be deployed on the implementation of service between the Contract Start Date and Service Commencement Date; and</li> <li>• has in the last three years implemented a Dedicated Telephone Advice Service receiving at least 5000 calls per year.</li> </ul> <p>B : The Applicant currently <b>does not</b> employ (or has a Signed Engagement Agreement to employ) a Named Individual who:</p> <ul style="list-style-type: none"> <li>• will be a member of the Management Team at the Contract Start Date; and</li> <li>• who will be deployed on the implementation of service between the Contract Start Date and Service Commencement Date; and</li> <li>• has in the last three years implemented a Dedicated Telephone Advice Service receiving at least 5000 calls per year</li> </ul>  | B (0 points)<br>(Answer 3 (i)) |  |
| 2 (ii) | <p>Please provide the following details:</p> <ul style="list-style-type: none"> <li>• The name of the Named Individual in the Applicant's Management Team.</li> <li>• The date their employment commenced/will commence with the Applicant.</li> <li>• The organisation with which the experience was gained.</li> <li>• Their status and job title in the organisation where the contract or Dedicated Telephone Advice Service was implemented.</li> <li>• The start and end dates (where applicable) of the period from which their experience was obtained.</li> <li>• Information on the contract or Dedicated Telephone Advice Service managed, including: <ul style="list-style-type: none"> <li>○ A description of what was delivered under the contract or by the service;</li> <li>○ The number of FTE delivering the contract or service and their roles;</li> <li>○ The value of the contract of service;</li> <li>○ The volume of calls (where applicable).</li> </ul> </li> </ul> <p>Where the Dedicated Telephone Advice Service was delivered at an organisation other than the Applicant, the individual completing the Declaration in the Technical Envelope is responsible for ensuring the information provided is correct.</p> <p><b>Please note:</b></p> <p><b>Where you have identified the same Named Individual at question 1a (ii) or 1b (ii) and have already provided a copy of that Named Individual's contract of employment or Signed Engagement Agreement at question 1a (iii) or 1b (iii), you are not required to upload a further copy in response to</b></p> | Free text                      |  |

|         |   |            |  |
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|         | <p><b>question 2 (iii).</b></p> <p>Where the details provided in response to this question:</p> <ul style="list-style-type: none"> <li>• demonstrates that the Named Individual did not manage the implementation of the service as defined in the question; or</li> <li>• demonstrates the service described does not constitute a Dedicated Telephone Advice Service; or</li> <li>• otherwise conflicts with the requirements of question 2 (i); or</li> <li>• provides insufficient or unclear information that does not allow LAA to verify the accuracy of the Applicant's answer to question 2(i)</li> </ul> <p>the LAA may re-score the response, including re-scoring the response to 0 points for question 2 (i).</p>  |            |  |
| 2 (iii) | <p>Please provide a copy of the Named Individual's contract of employment or Signed Engagement Agreement.</p> <p>Please note:</p> <p>Where you have identified the same Named Individual at question 1a (ii) or 1b (ii) and have already provided a copy of that Named Individual's contract of employment or Signed Engagement Agreement at question 1a (iii) or 1b (iii), you are not required to upload a further copy in response to question 2 (iii).</p> <p>Where you choose to upload a further copy at question 2 (iii) and this information is different to that submitted at question 1a (iii), the LAA will use the response submitted as part of question 2 (ii) and that contract of employment or Signed Engagement Agreement submitted in response to question 1a (iii) to verify the Applicant's response to question</p> <p>In all other circumstances, where the details provided in response to this question:</p> <ul style="list-style-type: none"> <li>• demonstrates that the Named Individual did not manage the service as defined in the question; or</li> <li>• demonstrates the service described does not constitute a Dedicated Telephone Advice Service; or</li> <li>• otherwise conflicts with the requirements of question 2 (i); or</li> <li>• provides insufficient or unclear information that does not allow LAA to verify the accuracy of the Applicant's answer to question 2 (i)</li> </ul> <p>the LAA may re-score the response, including re-scoring the response to 0 points for question 2 (i).</p> | Attachment |  |

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| <b><u>Caseworkers</u></b> | <b>Score</b> | <b>Total Score Available</b> |
|---------------------------|--------------|------------------------------|



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|--|---|----------|
| <p>Preference will be given to Applicants who currently employ (or have a Signed Engagement Agreement to employ) a higher ratio of Caseworkers (in addition to Supervisors) who:</p> <p>i) will deliver the Service in the Family Category from the Service Commencement Date as set out in their Resourcing Plan and</p> <p>ii) have individually provided advice to clients in at least 50 cases in the Family Category in a 12-month period in the 24 months preceding the submission of the Applicant's Tender.</p> <p>Applicants are permitted to include cases delivered either through legal aid contracts or non-legal aid work.</p>   |   |          |
| <p>3 (i) Please select the answer from the following three options which is applicable to you:</p> <p>A. Of the Caseworkers you intend to use to deliver the Contract Work from the Service Commencement Date as set out in your Resourcing Plan, at least 75%:</p> <ul style="list-style-type: none"> <li>Are Named Individuals who you currently employ (or have a Signed Engagement Agreement to employ); and</li> <li>Have provided advice to clients in at least 50 cases in the Family category in a 12-month period in the 24 months preceding the submission of your Tender.</li> </ul> <p>B. Of the Caseworkers you intend to use to deliver the Contract Work from the Service Commencement Date as set out in your Resourcing Plan, between 25% and 74%:</p> <ul style="list-style-type: none"> <li>Are Named Individuals who you currently employ (or have a Signed Engagement Agreement to employ); and</li> <li>Have provided advice to client in at least 50 cases in the Family Category in a 12-month period in the 24 months preceding the submission of your Tender.</li> </ul> <p>C. Of the Caseworkers you intend to use to deliver the Contract Work from the Service Commencement Date as set out in your Resourcing Plan, less than 25%:</p> <ul style="list-style-type: none"> <li>Are Named Individuals who you currently employ (or have a Signed Engagement Agreement to employ); and</li> <li>Have provided advice to clients in at least 50 cases in the Family Category in a 12-month period in the 24 months preceding the submission of your Tender.</li> </ul> | <p>A (4 points)<br/>(Answer 3 (ii) – 3 (iv))</p> <p>B (2 points)<br/>(Answer 3 (ii) – 3 (iv))</p> <p>C (0 point)<br/>(Answer 4 (i))</p> | <p>4</p> |

|         |   |            |  |
|---------|---|------------|--|
| 3 (ii)  | Please provide the names of the Caseworkers who meet the requirement as set out in the answer option you have selected  | Free text  |  |
| 3 (iii) | <p>Please provide a copy of each Caseworker's contract(s) of employment or Signed Engagement Agreement(s)</p> <p>Please note: Caseworker's contracts of employment and/or Signed Engagement Agreements must be attached as a single document into the e-Tendering system. Where you currently hold these individually you must collate these documents into a single file before you can upload them into your ITT Response.</p> <p>Where the details provided in response to this question:</p> <ul style="list-style-type: none"> <li>• demonstrates that the Caseworkers do not have the experience as defined in the question; or</li> <li>• otherwise conflicts with the requirements of question 3 (i); or</li> <li>• provides insufficient or unclear information that does not allow LAA to verify the accuracy of the Applicant's answer to question 3 (i)</li> </ul> <p>the LAA may re-score the response, including re-scoring the response to 0 points for question 3 (i).</p>  | Attachment |  |
| 3 (iv)  | <p>Please provide evidence of 50 cases on which each Caseworker has provided advice to clients in the Family Category in a 12-month period in the 24 months preceding the submission of your Tender.</p> <p>Evidence may be in the form of, but is not limited to:</p> <ul style="list-style-type: none"> <li>• Case lists for each Caseworker (and which identifies the relevant Caseworker) including client name, UFN or case reference, date Caseworker last worked on the file; or</li> <li>• any other evidence which demonstrates that each Caseworker meets the experience as set out in question 3 (i).</li> </ul> <p>Please note: Caseworker case experience evidence be attached as a single document into the e-Tendering system. Where you currently hold these individually you must collate these documents into a single file before you can upload them into your ITT Response.</p> <p>Where the details provided in response to this question:</p> <ul style="list-style-type: none"> <li>• demonstrates that the Caseworkers do not have the experience as defined in the question; or</li> <li>• otherwise conflicts with the requirements of question 3 (i); or</li> <li>• provides insufficient or unclear information that does not allow LAA to verify the accuracy of the</li> </ul> | Attachment |  |

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|---|---|--|------------------------------|
|   | Applicant's answer to question 3 (i)  |  |                              |
|   | the LAA may re-score the response, including re-scoring the response to 0 points for question 3 (i).  |  |                              |
| <b><u>Caseworkers</u></b><br><br>Preference will be given to Applicants who can evidence that they currently employ (or have a Signed Engagement Agreement to employ) a higher ratio of Caseworkers (not including Supervisors) who: <p>i) will deliver the Contract Work in the Family Category from the Service Commencement Date as set out in their Resourcing Plan, and</p> <p>ii) have individually provided advice to clients at least 100 cases in the Family Category in a 12-month period in the 24 months preceding the submission of the Applicant's Tender.</p> <p>Applicants are permitted to include cases delivered either through legal aid contracts or non-legal aid work.</p> |   | <b>Response</b>  | <b>Total Score Available</b> |
| 4 (i)   | Please select the answer from the following two options which is applicable to you: <p>A. Of the Caseworkers you intend to use to deliver the Contract Work from the Service Commencement Date as set out in your Resourcing Plan, at least 50%:</p> <ul style="list-style-type: none"> <li>• Are Named Individuals who you currently employ (or have a Signed Engagement Agreement to employ); and</li> <li>• Have provided advice to clients in at least 100 cases in the Family Category in a 12-month period in the 24 months preceding the submission of your Tender.</li> </ul> <p>B. Of the Caseworkers you intend to use to deliver the Contract Work from the Service Commencement Date as set out in your Resourcing Plan less than 50%:</p> <ul style="list-style-type: none"> <li>• Are Named Individuals who you currently employ (or have a Signed Engagement Agreement to employ); and</li> <li>• Have delivered at least 100 cases in the Family Category in a 12-month period in the 24 months preceding the submission of your Tender.</li> </ul> | A (3 points)<br>(Answer 4 (ii) – 4 (iv))<br><br>B (0 points)<br>(Answer 5 (i)) | 3                            |
| 4 (ii)  | Please provide the names of the Caseworkers who meet the requirement as set out in the answer option you have selected.<br><br><b>Please note:</b>  | Free text  |                              |

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|         | <b>Where you have identified the same Caseworkers at question 3 (ii) and have already provided a copy of the Caseworkers' contract of employment or Signed Engagement Agreement at question 3 (iii), you are not required to upload a further copy in response to question 4 (iii).</b>   |            |  |
| 4 (iii) | <p>Please provide a copy of each Caseworker's contract(s) of employment or Signed Engagement Agreement(s)</p> <p>Please note: Caseworker's contracts of employment and/or Signed Engagement Agreements must be attached as a single document into the e-Tendering system. Where you currently hold these individually you must collate these documents into a single file before you can upload them into your ITT Response.</p> <p>Please note:</p> <p>Where, in this requirement, you identify the same Caseworker(s) as at question 3 (ii) and have already provided a copy of that Caseworker's contract of employment or Signed Engagement Agreement at question 3 (iii), you are not required to upload a further copy in response to question 4 (iii).</p> <p>Where you choose to upload a further copy at question 4 (iii) and this information is different to that submitted at question 3 (iii), the LAA will use the contract of employment or Signed Engagement Agreement submitted in response to question 3 (iii) to verify the Applicant's response to question</p> <p>In all other circumstances, where the details provided in response to this question:</p> <ul style="list-style-type: none"> <li>• demonstrates that the Named Individual did not manage the service as defined in the question; or</li> <li>• demonstrates the service described does not constitute a Dedicated Telephone Advice Service; or</li> <li>• otherwise conflicts with the requirements of question 4 (i); or</li> <li>• provides insufficient or unclear information that does not allow LAA to verify the accuracy of the Applicant's answer to question 4 (i)</li> </ul> <p>the LAA may re-score the response, including re-scoring the response to 0 points for question 4 (i).</p> | Attachment |  |
| 4 (iv)  | <p>Please provide evidence of 100 cases on which each Caseworker has provided specialist legal advice to clients in the Family Category in a 12-month period in the 24 months preceding the submission of your Tender.</p> <p>Evidence may be in the form of, but is not limited to:</p> <ul style="list-style-type: none"> <li>• Case lists for each Caseworker (and which identifies the relevant Caseworker) including client name, UFN or case reference, date Caseworker last worked on the file; or</li> </ul>  | Attachment |  |

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|--|--|--|
| <ul style="list-style-type: none"> <li>• any other evidence which demonstrates that each Caseworker meets the experience as set out in question 4 (i).</li> </ul> <p>Please note: Caseworker case experience evidence be attached as a single document into the e-Tendering system. Where you currently hold these individually you must collate these documents into a single file before you can upload them into your ITT Response.</p> <p>Where the details provided in response to this question:</p> <ul style="list-style-type: none"> <li>• demonstrates that the Caseworkers do not have the experience as defined in the question; or</li> <li>• otherwise conflicts with the requirements of question 4 (i); or</li> <li>• provides insufficient or unclear information that does not allow LAA to verify the accuracy of the Applicant's answer to question 4 (i)</li> </ul> <p>the LAA may re-score the response, including re-scoring the response to 0 points for question 4 (i).</p> |  |  |
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| <b><u>Supervisors</u></b>   |   | <b>Response</b>   | <b>Total Score Available</b> |
|---|---|---|------------------------------|
| <p>Preference will be given to Applicants who can evidence that they currently employ (or have a Signed Engagement Agreement to employ) a higher ratio of Supervisors who:</p> <p>i) will deliver the Contract Work in the Family Category from the Service Commencement Date as set out in the Applicant's Resourcing Plan, and</p> <p>ii) <u>Currently meet the Supervisor requirements of the set out in the Family Category Specific Rules.</u></p> |   |   |                              |
| 5 (i)   | <p>Please select the answer from the following two options which is applicable to you.</p> <p>A. Of the Supervisors you intend to use to deliver the Contract Work from the Service Commencement Date as set out in your Resourcing Plan, at least 50%:</p> <ul style="list-style-type: none"> <li>• Are Named Individuals who you currently employ (or have a Signed Engagement Agreement to employ); and</li> <li>• Currently meet the Supervisor requirements of the set out in the Family Category Specific Rules.</li> </ul> | <p>A (4 points)<br/>(Answer 5 (ii) – 5 (iv))</p> <p>B (0 points)<br/>(Answer 6 (i))</p> | 4                            |

|         |   |            |  |
|---------|---|------------|--|
|         | <p>B. Of the Supervisors you intend to use to deliver the Contract Work from the Service Commencement Date as set out in your Resourcing Plan, less than 50%:</p> <ul style="list-style-type: none"> <li>• Are Named Individuals who you currently employ (or have a Signed Engagement Agreement to employ); and</li> <li>• Currently meet the Supervisor requirements of the set out in the Family Category Specific Rules.</li> </ul>   |            |  |
| 5 (ii)  | Please provide the names of the Supervisors who meet the requirement as set out in the answer option you have selected  | Free text  |  |
| 5 (iii) | <p>Please provide a copy of each Supervisor's contract of employment or Signed Engagement Agreement.</p> <p>Please note: Supervisors' contracts of employment and/or Signed Engagement Agreements must be attached as a single document into the e-Tendering system. Where you currently hold these individually you must collate these documents into a single file before you can upload them into your ITT Response.</p> <p>Where the details provided in response to this question:</p> <ul style="list-style-type: none"> <li>• conflicts with the requirements of question 5 (i); or</li> <li>• provides insufficient or unclear information that does not allow LAA to verify the accuracy of the Applicant's answer to question 5 (i)</li> </ul> <p>the LAA may re-score the response, including re-scoring the response to 0 points for question 5 (i).</p>  | Attachment |  |
| 5 (iv)  | <p>Please provide a copy of each Supervisor's Family Supervisor Declaration Form.</p> <p>A copy of the Family Supervisor Declaration Form can be found in the "Buyer Attachments" section of the e-Tendering system</p> <p>Please note: Supervisors' Family Supervisor Declaration Forms must be attached as a single document into the e-Tendering system. Where you currently hold these individually you must collate these documents into a single file before you can upload them into your ITT Response.</p> <p>Please note:</p> <p>Where the details provided in response to this question:</p> <ul style="list-style-type: none"> <li>• demonstrates that the Supervisors do not have the experience as defined in the question; or</li> <li>• otherwise conflicts with the requirements of question 5 (i); or</li> <li>• provides insufficient or unclear information that does not allow LAA to verify the accuracy of the</li> </ul> | Attachment |  |

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|--|--|--|--|
|  | Applicant's answer to question 5 (i)   |  |  |
|  | the LAA may re-score the response, including re-scoring the response to 0 points for question 5 (i). |  |  |

| <b><u>Supervisors</u></b>   |   | <b>Response</b>   | <b>Total Score Available</b> |
|---|---|---|------------------------------|
| <p>Preference will be given to Applicants who <b>currently employ</b> (or has a Signed Engagement Agreement to employ) a higher ratio of <b>Supervisors</b> who:</p> <p>i) will deliver the Contract Work in the Family Category from the Service Commencement Date as set out in the Applicant's Resourcing Plan, <b>and</b></p> <p>ii) Currently meet the Supervisor requirements as set out in the Family Category Specific Rules.</p> |   |   |                              |
| 6 (i)   | <p>Please select the answer from the following two options which is applicable to you:</p> <p>A. You currently employ (or have a Signed Engagement Agreement to employ) at least 1 FTE Supervisor(s) who you will use to Supervise the delivery of the Contract Work from the Service Commencement Date comprised of individuals who are either:</p> <ul style="list-style-type: none"> <li>• 'advanced members' of the Law Society's Family Law Accreditation Scheme having passed the 'violence in the home' module or</li> <li>• a Resolution accredited specialist in domestic abuse.</li> </ul> <p>B. You do not currently employ (or have a Signed Engagement Agreement to employ) at least 1 FTE Supervisor(s) who you will use to Supervise the delivery of the Contract Work from the Service Commencement Date comprised of individuals who are either:</p> <ul style="list-style-type: none"> <li>• 'advanced members' of the Law Society's Family Law Accreditation Scheme having passed the 'violence in the home' module or</li> <li>• a Resolution accredited specialist in domestic abuse.</li> </ul> | <p>A (3 points)<br/>(Answer 6 (ii) – 6 (iv))</p> <p>B (0 points)<br/>(Answer 7 (i))</p> | 3                            |
| 6 (ii)  | <p>Please provide the names of the Supervisors who meet the requirement as set out in the answer option you have selected</p> <p><b>Please note:</b></p> <p><b>Where you have identified the same Supervisors at question 5 (ii) and have already provided a copy</b></p>   | Free text   |                              |

|         |   |            |  |
|---------|---|------------|--|
|         | <b>of the Supervisors' contract of employment or Signed Engagement Agreement at question 5 (iii), you are not required to upload a further copy in response to question 6 (iv).</b>   |            |  |
| 6 (iii) | <p>Please attach a copy of the accreditation certificate for each Supervisor who holds one of the relevant accreditations set out in question 6 (i)</p> <p>Please note: Certificates of accreditation must be attached as a single document into the e-Tendering system. Where you currently hold these individually you must collate these documents into a single file before you can upload them into your ITT Response.</p> <p>Where the details provided in response to this question:</p> <ul style="list-style-type: none"> <li>• demonstrates that the Supervisors do not have the experience as defined in the question; or</li> <li>• otherwise conflicts with the requirements of question 6 (i); or</li> <li>• provides insufficient or unclear information that does not allow LAA to verify the accuracy of the Applicant's answer to question 6 (i)</li> </ul>   | Attachment |  |
| 6 (iv)  | <p>Please provide a copy of each Supervisor's contract(s) of employment or Signed Engagement Agreement(s)</p> <p>Please note:</p> <p>Where, in this requirement, you identify the same Supervisor(s) as at question 5 (ii) and have already provided a copy of that Caseworker's contract of employment or Signed Engagement Agreement at question 5 (iii), you are not required to upload a further copy in response to question 6 (iv).</p> <p>Where you choose to upload a further copy at question 6 (iv) and this information is different to that submitted at question 5 (iii), the LAA will use the contract of employment or Signed Engagement Agreement submitted in response to question 5 (iii) to verify the Applicant's response to question</p> <p>In all other circumstances, where the details provided in response to this question:</p> <ul style="list-style-type: none"> <li>• conflicts with the requirements of question 6 (i); or</li> <li>• provides insufficient or unclear information that does not allow LAA to verify the accuracy of the Applicant's answer to question 6 (i)</li> </ul> <p>the LAA may re-score the response, including re-scoring the response to 0 points for question 6 (i).</p> | Attachment |  |



|        |   |   |                               |
|--------|---|---|-------------------------------|
|        | <p><b><u>Technical Infrastructure</u></b></p> <p>It is a minimum requirement that the Applicant will have the necessary telephony infrastructure in place to meet requirements of Annex 8 of the CLA Contract no later than six weeks prior to the Service Commencement Date.</p> <p>Preference will be given to Applicants who can evidence that they currently have the required telephony infrastructure in place and already provide a telephone-based service. As a minimum, the telephony infrastructure should allow the ability to receive calls directly from the PSTN via dedicated DDI's and should deliver call quality in accordance with ITU-T recommendations.</p> | <b>Response</b>   | <b>Total Points Available</b> |
| 7 (i)  | <p>Please select the answer from the following two options which is applicable for you:</p> <p>A: You currently have the required telephony infrastructure in place and already provide a telephone-based service that receives Calls directly from the PSTN via dedicated DDI's and delivers call quality in accordance with ITU-T recommendations.</p> <p>B: You do not currently have the required telephony infrastructure in place to provide a telephone-based service that receives Calls directly from the PSTN via dedicated DDI's and delivers call quality in accordance with ITU-T recommendations.</p>   | <p>A (2 points)<br/>(Answer 7 (ii) – 7 (iii))</p> <p>B (0 points)</p> | 2                             |
| 7 (ii) | <p>Please provide the name and/or model of your telephony system</p> <p>Where the details provided in response to this question:</p> <ul style="list-style-type: none"> <li>• conflicts with the requirements of question 7 (i); or</li> <li>• provides insufficient or unclear information that does not allow LAA to verify the accuracy of the Applicant's answer to question 7 (i)</li> </ul> <p>the LAA may re-score the response, including re-scoring the response to 0 points for question 7 (i).</p>   | Free text   |                               |

## EDUCATION

**This Section applies to Applicants wishing to bid for a CLA Contract in the Education Category**

| <p><b><u>Delivery of a Dedicated Telephone Advice Service</u></b></p> <p>Preference will be given to Applicants who currently employ (or have a Signed Engagement Agreement to employ) a Named Individual in their Management Team, who will be deployed on the delivery of Contract Work for at least 17.5 hours per week and has experience of managing a Dedicated Telephone Advice Service in the last three years.</p> <p>Higher points will be awarded where the Named Individual has spent a greater length of time in the last three years managing a Dedicated Telephone Advice Service and where the Dedicated Telephone Advice Service dealt with higher call volumes.</p> <p>Managing the service includes having accountability for the quality of the service delivered, including the following:</p> <ul style="list-style-type: none"> <li>• ensuring KPIs are met,</li> <li>• overseeing staffing rotas and work allocation</li> <li>• ensuring a high quality of telephone advice is provided and</li> <li>• monitoring and accurate reporting of compliance with the contract (where it is a contracted service).</li> </ul> <p>Dedicated Telephone Advice Service is defined in Annex I of the IFA.</p> <p>Applicants are required to answers questions in both 1a and 1b.</p> | <p><b>Response</b></p>  | <p><b>Total Score Available</b></p> |
|--|---|-------------------------------------|
| <p>1a (i) Please select the answer from the following three options which is applicable to you.</p> <p>A. The Applicant currently employs (or has a Signed Engagement Agreement to employ) a Named Individual who:</p> <ul style="list-style-type: none"> <li>• will be a member of the Management Team on the Service Commencement Date; and</li> <li>• will be Deployed on Contract Work and based in the Office where the Contract Work will be delivered for at least 17.5 hours per week; and</li> <li>• has more than 24 months' experience in the last three years managing a Dedicated Telephone Advice Service receiving at least 500 calls per year for each year during which the Named Individual managed the service.</li> </ul>  | <p>A (3 points)<br/>(Answer 1a (ii) – 1a (iv))</p> <p>B (2 points)<br/>(Answer 1a (ii) – 1a (iv))</p> <p>C (0 points)<br/>(Answer 1b (i))</p> | <p>6</p>                            |

|        |  |           |  |
|--------|--|-----------|--|
|        | <p>B. The Applicant currently employs (or has a Signed Engagement Agreement to employ) a Named Individual who:</p> <ul style="list-style-type: none"> <li>• will be a member of the Management Team on the Service Commencement Date; and</li> <li>• will be deployed on Contract Work and based in the Office where the Contract Work will be delivered for at least 17.5 hours per week; and</li> <li>• has between 12 months and 24 months' experience in the last three years managing a Dedicated Telephone Advice Service receiving at least 500 calls per year for each year during which the Named Individual managed the service.</li> </ul> <p>C: None of the above.</p>   |           |  |
| 1a(ii) | <p>If you answered A or B for question 1a (i) please provide the following details:</p> <ul style="list-style-type: none"> <li>• The name of the Named Individual in the Applicant's Management Team;</li> <li>• The date their employment commenced/will commence with the Applicant;</li> <li>• The organisation with which the experience was gained;</li> <li>• Their status in the organisation and job title in the organisation where the Dedicated Telephone Advice Service was delivered;</li> <li>• The start and end dates (where applicable) of the period from which their experience was obtained;</li> <li>• Information on the Dedicated Telephone Advice Service managed including: <ul style="list-style-type: none"> <li>○ Number of FTE telephone agents/caseworkers;</li> <li>○ Service opening hours;</li> <li>○ Volume of calls managed per year;</li> <li>○ The call quality activity undertaken.</li> </ul> </li> </ul> <p>Where the Dedicated Telephone Advice Service was delivered at an organisation other than the Applicant, the individual completing the Declaration in the Technical Envelope is responsible for ensuring the information provided is correct.</p> <p>Where the details provided in response to this question:</p> <ul style="list-style-type: none"> <li>• demonstrates that the Named Individual did not manage the service as defined in the question; or</li> <li>• demonstrates the service described does not constitute a Dedicated Telephone Advice Service; or</li> <li>• otherwise conflicts with the requirements of question 1a (i); or</li> <li>• provides insufficient or unclear information that does not allow LAA to verify the accuracy of the Applicant's answer to question 1a (i)</li> </ul> <p>the LAA may re-score the response, including re-scoring the response to 0 points for question 1a(i).</p> | Free text |  |

|         |  |  |  |
|---------|--|--|--|
| 1a(iii) | <p>Please provide a copy of the Named Individual's contract of employment or Signed Engagement Agreement.</p> <p>Where the details provided in response to this question:</p> <ul style="list-style-type: none"> <li>• demonstrates that the Named Individual did not manage the service as defined in the question; or</li> <li>• demonstrates the service described does not constitute a Dedicated Telephone Advice Service; or</li> <li>• otherwise conflicts with the requirements of question 1a (i); or</li> <li>• provides insufficient or unclear information that does not allow LAA to verify the accuracy of the Applicant's answer to question 1a (i)</li> </ul> <p>the LAA may re-score the response, including re-scoring the response to 0 points for question 1a (i).</p>   | Attachment                                 |  |
| 1a (iv) | <p>Please provide evidence that the Dedicated Telephone Advice Service managed by the Named Individual received at least 500 calls per year for each year as set out in the option you have selected in question 1a(i).</p> <p>Evidence may be in the form of, but is not limited to:</p> <ul style="list-style-type: none"> <li>• annual/monthly call volumes data;</li> <li>• call records; or</li> <li>• any other evidence which demonstrates that the Named Individual meets the experience as set out in the option you have selected in question 1a(i).</li> </ul> <p>Where the details provided in response to this question:</p> <ul style="list-style-type: none"> <li>• demonstrates that the Named Individual did not manage the service as defined in the question; or</li> <li>• demonstrates the service described does not constitute a Dedicated Telephone Advice Service; or</li> <li>• otherwise conflicts with the requirements of question 1a (i); or</li> <li>• provides insufficient or unclear information that does not allow LAA to verify the accuracy of the Applicant's answer to question 1a (i)</li> </ul> <p>the LAA may re-score the response, including re-scoring the response to 0 points for question 1a (i).</p> | Attachment                                 |  |
| 1b (i)  | <p>Please select the answer from the following three options which is applicable to you.</p> <p>A. The Applicant currently employs (or has a Signed Engagement Agreement to employ) a Named Individual who:</p>  | A (3 points)<br>(Answer 1b (ii) – 1b (iv)) |  |

|         |   |   |  |
|---------|---|---|--|
|         | <ul style="list-style-type: none"> <li>• will be a member of the Management Team on the Service Commencement Date; and</li> <li>• will be deployed on Contract Work and based in the Office where the Contract Work will be delivered for at least 17.5 hours per week; and</li> <li>• has managed a Dedicated Telephone Advice Service for at least 12 months in the last three years, which received more than 1,000 calls during 12 months when the Named Individual managed the service.</li> </ul> <p>B. The Applicant currently employs (or has a Signed Engagement Agreement to employ) a Named Individual who:</p> <ul style="list-style-type: none"> <li>• will be a member of the Management Team on the Service Commencement Date; and</li> <li>• will be deployed on Contract Work and based in the Office where the Contract Work will be delivered for at least 17.5 hours per week; and</li> <li>• has managed a Dedicated Telephone Advice Service for at least 12 months in the last three years, which received between 500 and 1,000 calls during 12 months when the Named Individual managed the service.</li> </ul> <p>C: None of the above.</p>   | <p>B (2 points)<br/>(Answer 1a (ii) – 1a (iv))</p> <p>C (0 points)<br/>(Answer 2 (i))</p> |  |
| 1b (ii) | <p>If you answered A or B for question 1b (i) please provide the following details:</p> <ul style="list-style-type: none"> <li>• The name of the Named Individual in the Applicant's Management Team;</li> <li>• The date their employment commenced/will commence with the Applicant;</li> <li>• The organisation with which the experience was gained;</li> <li>• Their status and job title in the organisation where the Dedicated Telephone Advice Service was delivered;</li> <li>• The start and end dates (where applicable) of the period from which their experience was obtained;</li> <li>• Information on the Dedicated Telephone Advice Service managed including: <ul style="list-style-type: none"> <li>○ Number of FTE telephone agents/caseworkers;</li> <li>○ Service opening hours volume of calls managed per year;</li> <li>○ The call quality activity undertaken.</li> </ul> </li> </ul> <p>Where the Dedicated Telephone Advice Service was delivered at an organisation other than the Applicant, the individual completing the Declaration in the Technical Envelope is responsible for ensuring the information provided is correct.</p> <p><b>Please note:</b></p> <p><b>Where you have identified the same Named Individual at question 1a (ii) and have already provided a copy of that Named Individual's contract of employment or Signed Engagement Agreement at question 1a (iii), you are not required to upload a further copy in response to question 1b (iii).</b></p> | Free text   |  |

|          |  |            |  |
|----------|--|------------|--|
|          | <p>Where the details provided in response to this question:</p> <ul style="list-style-type: none"> <li>• demonstrates that the Named Individual did not manage the service as defined in the question; or</li> <li>• demonstrates the service described does not constitute a Dedicated Telephone Advice Service; or</li> <li>• otherwise conflicts with the requirements of question 1b (i); or</li> <li>• provides insufficient or unclear information that does not allow LAA to verify the accuracy of the Applicant's answer to question 1b (i)</li> </ul> <p>the LAA may re-score the response, including re-scoring the response to 0 points for question 1b (i).</p>   |            |  |
| 1b (iii) | <p>Please provide a copy of the Named Individual's contract of employment or Signed Engagement Agreement.</p> <p>Please note:</p> <p>Where you have identified the same Named Individual at question 1a (ii) and have already provided a copy of that Named Individual's contract of employment or Signed Engagement Agreement at question 1a (iii), you are not required to upload a further copy in response to question 1b (iii).</p> <p>Where you choose to upload a further copy at question 1b (iii) and this information is different to that submitted at question 1a (iii), the LAA will use the response submitted as part of question 1b (ii) and that contract of employment or Signed Engagement Agreement submitted in response to question 1a (iii) to verify the Applicant's response to question</p> <p>In all other circumstances, where the details provided in response to this question:</p> <ul style="list-style-type: none"> <li>• demonstrates that the Named Individual did not manage the service as defined in the question; or</li> <li>• demonstrates the service described does not constitute a Dedicated Telephone Advice Service; or</li> <li>• otherwise conflicts with the requirements of question 1b (i); or</li> <li>• provides insufficient or unclear information that does not allow LAA to verify the accuracy of the Applicant's answer to question 1b (i)</li> </ul> <p>the LAA may re-score the response, including re-scoring the response to 0 points for question 1b (i).</p> | Attachment |  |
| 1b (iv)  | <p>Please provide evidence that the Dedicated Telephone Advice Service managed by the Named Individual received either more than 1,000 or between 500 and 1,000 calls for at least 12 months in the last three years as set out in the option you have selected in question 1b (i).</p> <p>Evidence may be in the form of, but is not limited to:</p> <ul style="list-style-type: none"> <li>• annual/monthly call volumes data;</li> </ul>  | Attachment |  |

|  |  |  |  |
|--|--|--|--|
|  | <ul style="list-style-type: none"> <li>• call records; or</li> <li>• any other evidence which demonstrates that the Named Individual meets the experience as set out in the option you have selected in question 1b (i).</li> </ul> <p>Where the details provided in response to this question:</p> <ul style="list-style-type: none"> <li>• demonstrates that the Named Individual did not manage the service as defined in the question; or</li> <li>• demonstrates the service described does not constitute a Dedicated Telephone Advice Service; or</li> <li>• otherwise conflicts with the requirements of question 1b (i); or</li> <li>• provides insufficient or unclear information that does not allow LAA to verify the accuracy of the Applicant's answer to question 1b (i)</li> </ul> <p>the LAA may re-score the response, including re-scoring the response to 0 points for question 1b (i).</p> |  |  |
|--|--|--|--|

|       |   |  |                              |
|-------|---|--|------------------------------|
|       | <p><b><u>Implementation of a Dedicated Telephone Advice Service</u></b></p> <p>Preference will be given to Applicants who currently employ (or have a Signed Engagement Agreement to employ) a Named Individual in their Management Team, who will be deployed on the implementation of the service between the Contract Start Date and Service Commencement Date and who has experience in the last three years of implementing a Dedicated Telephone Advice Service receiving at least 500 calls per year.</p> <p>Implementation includes:</p> <ul style="list-style-type: none"> <li>• having responsibility for the service successfully starting on the applicable service commencement date</li> <li>• having overall responsibility for producing and managing a project plan, ensuring sufficient staffing infrastructure and other resources are in place,</li> <li>• ensuring risks to implementation are effectively monitored and managed, and</li> <li>• being the main point of liaison for the customer's contract manager (where it is a contracted service)</li> </ul> | <b>Response</b>  | <b>Total Score Available</b> |
| 2 (i) | <p>Please select the answer from the following two options which is applicable to you.</p> <p>A : The Applicant currently employs (or has a Signed Engagement Agreement to employ) a Named Individual who:</p> <ul style="list-style-type: none"> <li>• will be a member of the Management Team at the Contract Start Date; and</li> </ul>  | <p>A (2 points)<br/>(Answer 2 (ii) – (iii))</p> <p>B (0 points)<br/>(Answer 3 (i))</p> | 2                            |

|        |  |  |  |
|--------|--|--|--|
|        | <ul style="list-style-type: none"> <li>• who will be deployed on the implementation of the service between the Contract Start Date and Service Commencement Date; and</li> <li>• has in the last three years implemented a Dedicated Telephone Advice Service receiving at least 500 calls per year.</li> </ul> <p>B : The Applicant currently <b>does not</b> employ (or has a Signed Engagement Agreement to employ) a Named Individual who:</p> <ul style="list-style-type: none"> <li>• will be a member of the Management Team at the Contract Start Date; and</li> <li>• who will be Deployed on the implementation of Services between the Contract Start Date and Service Commencement Date; and</li> <li>• has in the last three years implemented a Dedicated Telephone Advice Service receiving at least 500 calls per year.</li> </ul>   |  |  |
| 2 (ii) | <p>If you answered A for question 2(i) please provide the following details:</p> <ul style="list-style-type: none"> <li>• The name of the Named Individual in the Applicant's Management Team;</li> <li>• The date their employment commenced/will commence with the Applicant;</li> <li>• Their status and job title in the organisation where the contract or Dedicated Telephone Advice Service was Implemented;</li> <li>• The organisation with which the experience was gained;</li> <li>• The start and end dates (where applicable) from which their experience was obtained;</li> <li>• Information on the contract or Dedicated Telephone Advice Service managed, including: <ul style="list-style-type: none"> <li>○ The number of FTE delivering the contract or service and their roles;</li> <li>○ The value of the contract or service;</li> <li>○ The volume of calls per year (where applicable).</li> </ul> </li> </ul> <p>Where the Dedicated Telephone Advice Service was delivered at an organisation other than the Applicant, the individual completing the Declaration is responsible for ensuring the information provided is correct.</p> <p><b>Please note:</b></p> <p><b>Where you have identified the same Named Individual at question 1a (ii) or 1b (ii) and have already provided a copy of that Named Individual's contract of employment or Signed Engagement Agreement at question 1a (iii) or 1b (iii), you are not required to upload a further copy in response to question 2 (iii).</b></p> <p>Where the details provided in response to this question:</p> |  |  |



|         |   |            |  |
|---------|---|------------|--|
|         | <ul style="list-style-type: none"> <li>demonstrates that the Named Individual did not manage the service as defined in the question; or</li> <li>demonstrates the service described does not constitute a Dedicated Telephone Advice Service; or</li> <li>otherwise conflicts with the requirements of question 2 (i); or</li> <li>provides insufficient or unclear information that does not allow LAA to verify the accuracy of the Applicant's answer to question 2 (i)</li> </ul> <p>the LAA may re-score the response, including re-scoring the response to 0 points for question 2 (i).</p>   |            |  |
| 2 (iii) | <p>Please provide a copy of the Named Individual's contract of employment or Signed Engagement Agreement.</p> <p>Please note:</p> <p>Where you have identified the same Named Individual at question 1a (ii) or 1b (ii) and have already provided a copy of that Named Individual's contract of employment or Signed Engagement Agreement at question 1a (iii) or 1b (iii), you are not required to upload a further copy in response to question 2 (iii).</p> <p>Where you choose to upload a further copy at question 2 (iii) and this information is different to that submitted at question 1a (iii), the LAA will use the response submitted as part of question 2 (ii) and that contract of employment or Signed Engagement Agreement submitted in response to question 1a (iii) to verify the Applicant's response to question</p> <p>In all other circumstances, where the details provided in response to this question:</p> <ul style="list-style-type: none"> <li>demonstrates that the Named Individual did not manage the service as defined in the question; or</li> <li>demonstrates the service described does not constitute a Dedicated Telephone Advice Service; or</li> <li>otherwise conflicts with the requirements of question 2 (i); or</li> <li>provides insufficient or unclear information that does not allow LAA to verify the accuracy of the Applicant's answer to question 2 (i)</li> </ul> <p>the LAA may re-score the response, including re-scoring the response to 0 points for question 2 (i).</p> | Attachment |  |

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|---|----------|-----------------------|
| <p><b><u>Caseworkers</u></b></p> <p>Preference will be given to Applicants who currently employ (or have a Signed Engagement Agreement to employ) a higher ratio of Caseworkers (in addition to Supervisors) who:</p> | Response | Total Score Available |
|---|----------|-----------------------|

|  |   |   |   |
|--|---|---|---|
| <p>i) will deliver the Service in the Education Category from the Service Commencement Date as set out in their Resourcing Plan and</p> <p>ii) have individually provided advice to clients in at least 20 cases in the Education Category in a 12-month period in the 24 months preceding the submission of the Applicant's Tender.</p> <p>Applicants are permitted to include cases delivered <b>either</b> through legal aid contracts or non-legal aid work.</p> |   |   |   |
| 3 (i)  | <p>Please select the answer from the following three options which is applicable to you:</p> <p>A. Of the Caseworkers you intend to use to deliver the Contract Work from the Service Commencement Date as set out in your Resourcing Plan, at least 75%:</p> <ul style="list-style-type: none"> <li>Are Named Individuals who you currently employ (or have a Signed Engagement Agreement to employ); and</li> <li>Have provided advice to clients in at least 20 cases in the Education category in a 12-month period in the 24 months preceding the submission of your Tender.</li> </ul> <p>B. Of the Caseworkers you intend to use to deliver the Contract Work from the Service Commencement Date as set out in your Resourcing Plan, between 25% and 74%:</p> <ul style="list-style-type: none"> <li>Are Named Individuals who you currently employ (or have a Signed Engagement Agreement to employ); and</li> <li>Have provided advice to client in at least 20 cases in the Education category in a 12-month period in the 24 months preceding the submission of your Tender.</li> </ul> <p>C. Of the Caseworkers you intend to use to deliver the Contract Work from the Service Commencement Date as set out in your Resourcing Plan, less than 25%:</p> <ul style="list-style-type: none"> <li>Are Named Individuals who you currently employ (or have a Signed Engagement Agreement to employ); and</li> <li>Have provided advice to clients in at least 20 cases in the Education Category in a 12-month period in the 24 months preceding the submission of your Tender.</li> </ul> | <p>A (4 points)<br/>(Answer 3 (ii) – 3 (iv))</p> <p>B (2 points)<br/>(Answer 3 (ii) – 3 (iv))</p> <p>C (0 point)<br/>(Answer 4 (i))</p> | 4 |
| 3 (ii)   | Please provide the names of the Caseworkers who meet the requirement as set out in the answer option you have selected  | Free text   |   |
| 3 (iii)  | Please provide a copy of each Caseworker's contract(s) of employment or Signed Engagement Agreement(s)  | Attachment  |   |

|        |   |            |  |
|--------|---|------------|--|
|        | <p>Please note: Caseworker's contracts of employment and/or Signed Engagement Agreements must be attached as a single document into the e-Tendering system. Where you currently hold these individually you must collate these documents into a single file before you can upload them into your ITT Response.</p> <p>Where the details provided in response to this question:</p> <ul style="list-style-type: none"> <li>• demonstrates that the Caseworkers do not have the experience as defined in the question; or</li> <li>• otherwise conflicts with the requirements of question 3 (i); or</li> <li>• provides insufficient or unclear information that does not allow LAA to verify the accuracy of the Applicant's answer to question 3 (i)</li> </ul> <p>the LAA may re-score the response, including re-scoring the response to 0 points for question 3 (i).</p>  |            |  |
| 3 (iv) | <p>Please provide evidence of 20 cases on which each Caseworker has provided specialist legal advice to clients in the Education Category in a 12-month period in the 24 months preceding the submission of your Tender.</p> <p>Evidence may be in the form of, but is not limited to:</p> <ul style="list-style-type: none"> <li>• Case lists for each Caseworker including client name, UFN or case reference, date Caseworker last worked on the file; or</li> <li>• any other evidence which demonstrates that each Caseworker meets the experience as set out in question 3 (i).</li> </ul> <p>Please note: Caseworker case experience evidence be attached as a single document into the e-Tendering system. Where you currently hold these individually you must collate these documents into a single file before you can upload them into your ITT Response.</p> <p>Where the details provided in response to this question:</p> <ul style="list-style-type: none"> <li>• demonstrates that the Caseworkers do not have the experience as defined in the question; or</li> <li>• otherwise conflicts with the requirements of question 3 (i); or</li> <li>• provides insufficient or unclear information that does not allow LAA to verify the accuracy of the Applicant's answer to question 3 (i)</li> </ul> <p>the LAA may re-score the response, including re-scoring the response to 0 points for question 3 (i).</p> | Attachment |  |

| <b><u>Caseworkers</u></b>  | <b>Response</b>   | <b>Total Score Available</b> |
|--|---|------------------------------|
| <p>Preference will be given to Applicants who can evidence that they currently employ (or have a Signed Engagement Agreement to employ) a higher ratio of Caseworkers (not including Supervisors) who:</p> <p>i) will deliver the Contract Work in the Education Category from the Service Commencement Date as set out in their Resourcing Plan, and</p> <p>ii) have individually provided advice to clients at least 40 cases in the Education category in a 12-month period in the 24 months preceding the submission of the Applicant's Tender.</p> <p>Applicants are permitted to include cases delivered <b>either</b> through legal aid contracts or non-legal aid work.</p>  |   |                              |
| <p>4 (i) Please select the answer from the following two options which is applicable to you:</p> <p>A. Of the Caseworkers you intend to use to deliver the Contract Work from the Service Commencement Date as set out in your Resourcing Plan, at least 50%:</p> <ul style="list-style-type: none"> <li>• Are Named Individuals who you currently employ (or have a Signed Engagement Agreement to employ); and</li> <li>• Have provided advice to clients in at least 40 cases in the Education Category in a 12-month period in the 24 months preceding the submission of your Tender.</li> </ul> <p>B. Of the Caseworkers you intend to use to deliver the Contract Work from the Service Commencement Date as set out in your Resourcing Plan less than 50%:</p> <ul style="list-style-type: none"> <li>• Are Named Individuals who you currently employ (or have a Signed Engagement Agreement to employ); and</li> <li>• Have delivered at least 40 cases in the education category in a 12-month period in the 24 months preceding the submission of your Tender.</li> </ul> | <p>A (3 points)<br/>(Answer 4 (ii) – 4 (iv))</p> <p>B (0 points)<br/>(Answer 5 (i))</p> | <p>3</p>                     |

|         |   |            |  |
|---------|---|------------|--|
| 4 (ii)  | <p>Please provide the names of the Caseworkers who meet the requirement as set out in the answer option you have selected</p> <p><b>Please note:</b></p> <p><b>Where you have identified the same Caseworkers at question 3 (ii) and have already provided a copy of the Caseworker's contract of employment or Signed Engagement Agreement at question 3 (iii), you are not required to upload a further copy in response to question 4 (iii).</b></p>   | Free text  |  |
| 4 (iii) | <p>Please provide a copy of each Caseworker's contract(s) of employment or Signed Engagement Agreement(s)</p> <p>Please note: Caseworker's contracts of employment and/or Signed Engagement Agreements must be attached as a single document into the e-Tendering system. Where you currently hold these individually you must collate these documents into a single file before you can upload them into your ITT Response.</p> <p>Please note:</p> <p>Where, in this requirement, you identify the same Caseworker(s) as at question 3 (ii) and have already provided a copy of that Caseworker's contract of employment or Signed Engagement Agreement at question 3 (iii), you are not required to upload a further copy in response to question 4 (iii).</p> <p>Where you choose to upload a further copy at question 4 (iii) and this information is different to that submitted at question 3 (iii), the LAA will use the contract of employment or Signed Engagement Agreement submitted in response to question 3 (iii) to verify the Applicant's response to question</p> <p>In all other circumstances, where the details provided in response to this question:</p> <ul style="list-style-type: none"> <li>• demonstrates that the Caseworkers do not have the experience as defined in the question; or</li> <li>• otherwise conflicts with the requirements of question 4 (i); or</li> <li>• provides insufficient or unclear information that does not allow LAA to verify the accuracy of the Applicant's answer to question 4 (i)</li> </ul> <p>the LAA may re-score the response, including re-scoring the response to 0 points for question 4 (i).</p> | Attachment |  |

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|--------|---|------------|--|
| 4 (iv) | <p>Please provide evidence of 40 cases on which each Caseworker has provided advice to clients in the Education Category in a 12-month period in the 24 months preceding the submission of your Tender.</p> <p>Evidence may be in the form of, but is not limited to:</p> <ul style="list-style-type: none"> <li>• Case lists for each Caseworker (and which identifies the relevant Caseworker) including client name, UFN or case reference, date Caseworker last worked on the file; or</li> <li>• any other evidence which demonstrates that each Caseworker meets the experience as set out in question 4 (i).</li> </ul> <p>Please note: Caseworker case experience evidence be attached as a single document into the e-Tendering system. Where you currently hold these individually you must collate these documents into a single file before you can upload them into your ITT Response.</p> <p>Where the details provided in response to this question:</p> <ul style="list-style-type: none"> <li>• demonstrates that the Caseworkers do not have the experience as defined in the question; or</li> <li>• otherwise conflicts with the requirements of question 4 (i); or</li> <li>• provides insufficient or unclear information that does not allow LAA to verify the accuracy of the Applicant's answer to question 4 (i)</li> </ul> <p>the LAA may re-score the response, including re-scoring the response to 0 points for question 4 (i).</p> | Attachment |  |
|--------|---|------------|--|

| <b><u>Supervisors</u></b>  |   | <b>Score</b>                             | <b>Total Score Available</b> |
|--|---|--|------------------------------|
| <p>Preference will be given to Applicants who can evidence that they <b>currently employ</b> (or has a Signed Engagement Agreement to employ) a higher ratio of <b>Supervisors</b> who:</p> <p>i) will deliver the Contract Work in the Education Category from the Service Commencement Date as set out in the Applicant's Resourcing Plan, <b>and</b></p> <p>ii) Currently meet the Supervisor requirements of the set out in the Education Category Specific Rules.</p> |   |  |                              |
| 5 (i)  | Please select the answer from the following two options which is applicable to you: | A (4 points)<br>(Answer 5 (ii) – 5 (iv)) | 4                            |

|         |   |                                |  |
|---------|---|--------------------------------|--|
|         | <p>A. Of the Supervisors you intend to use to deliver the Contract Work from the Service Commencement Date as set out in your Resourcing Plan, at least 50%:</p> <ul style="list-style-type: none"> <li>• Are Named Individuals who you currently employ (or have a Signed Engagement Agreement to employ); and</li> <li>• Currently meet the Supervisor requirements of the set out in the Education Category Specific Rules.</li> </ul> <p>B. Of the Supervisors you intend to use to deliver the Contract Work from the Service Commencement Date as set out in your Resourcing Plan, less than 50%:</p> <ul style="list-style-type: none"> <li>• Are Named Individuals who you currently employ (or have a Signed Engagement Agreement to employ); and</li> <li>• Currently meet the Supervisor requirements of the set out in the Education Category Specific Rules.</li> </ul>  | B (0 points)<br>(Answer 6 (i)) |  |
| 5 (ii)  | Please provide the names of the Supervisors who meet the requirement as set out in the answer option you have selected  | Free text                      |  |
| 5 (iii) | <p>Please provide a copy of each Supervisor's contract of employment or Signed Engagement Agreement.</p> <p>Please note: Supervisors' contracts of employment and/or Signed Engagement Agreements must be attached as a single document into the e-Tendering system. Where you currently hold these individually you must collate these documents into a single file before you can upload them into your ITT Response.</p> <p>Where the details provided in response to this question:</p> <ul style="list-style-type: none"> <li>• demonstrates that the Supervisors do not have the experience as defined in the question; or</li> <li>• otherwise conflicts with the requirements of question 5 (i); or</li> <li>• provides insufficient or unclear information that does not allow LAA to verify the accuracy of the Applicant's answer to question 5 (i)</li> </ul> <p>the LAA may re-score the response, including re-scoring the response to 0 points for question 5 (i).</p> | Attachment                     |  |
| 5 (iv)  | <p>Please provide a copy of each Supervisor's Education Supervisor Declaration Form.</p> <p>A copy of the Education Supervisor Declaration Form can be found in the "Buyer Attachments" section of the e-Tendering system</p> <p>Please note: Supervisors' Education Supervisor Declaration Forms must be attached as a single document into the e-Tendering system. Where you currently hold these individually you must collate these documents into a single file before you can upload them into your ITT Response.</p>   | Attachment                     |  |

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|--|---|--|--|
|  | <p>Where the details provided in response to this question:</p> <ul style="list-style-type: none"> <li>• demonstrates that the Supervisors do not have the experience as defined in the question; or</li> <li>• otherwise conflicts with the requirements of question 5 (i); or</li> <li>• provides insufficient or unclear information that does not allow LAA to verify the accuracy of the Applicant's answer to question 5 (i)</li> </ul> <p>the LAA may re-score the response, including re-scoring the response to 0 points for question 5 (i).</p> |  |  |
|--|---|--|--|

|       | <b><u>Supervisors</u></b>  | <b>Response</b>   | <b>Total Score Available</b> |
|-------|--|---|------------------------------|
|       | <p>Preference will be given to Applicants who <b>currently employ</b> (or have a Signed Engagement Agreement to employ) Supervisor(s), who have experience in Education Judicial Review.</p> <p>Higher points will be awarded to Applicants who currently employ (or have a Signed Engagement Agreement to employ) at least 1FTE Supervisor(s) who will be used to supervise the Contract Work and who has supervised the delivery of at least <b>2 cases in education judicial review</b> specialist legal advice in the 24 months preceding the submission of the Applicant's Tender.</p> <p>Applicants are permitted to include cases delivered <b>either</b> through legal aid contracts or non-legal aid work.</p>  |   |                              |
| 6 (i) | <p>Please select the answer from the following two options which is applicable for you:</p> <p>A. You <b>currently employ</b> (or have a Signed Engagement Agreement to employ) at least 1 FTE Supervisor(s) who you will use to supervise the delivery of the Contract Work from the Service Commencement Date comprised of individuals who has supervised the delivery of at least <b>2 cases in education judicial review</b> specialist legal advice in the 24 months preceding the submission of your Tender.</p> <p>B. You <b>do not currently employ</b> (or have a Signed Engagement Agreement to employ) at least 1 FTE Supervisor(s) who you will use to supervise the delivery of the Contract Work from the Service Commencement Date comprised of individuals who has supervised the delivery of at least <b>2 cases in education judicial review</b> specialist legal advice in the 24 months preceding the submission of your Tender.</p> | <p>A (3 points)<br/>(Answer 6 (ii) – 6 (iv))</p> <p>B (0 points)<br/>(Answer 7 (i))</p> | 3                            |



|         |   |            |  |
|---------|---|------------|--|
| 6 (ii)  | <p>Please provide the names of the Supervisors who meet the requirement as set out in the answer option you have selected</p> <p><b>Please note:</b></p> <p><b>Where you have identified the same Named Individual at question 5 (ii) and have already provided a copy of that Named Individual's contract of employment or Signed Engagement Agreement at question 5 (iii), you are not required to upload a further copy in response to question 6 (iv).</b></p>  | Free text  |  |
| 6 (iii) | <p>Please provide evidence of 2 cases on which each Supervisor has provided education judicial review in the 24 months preceding the submission of your Tender.</p> <p>Evidence may be in the form of, but is not limited to:</p> <ul style="list-style-type: none"> <li>• Case lists for each Supervisor (and which identifies the relevant Supervisor) including client name, UFN or case reference, date Supervisor last worked on the file; or</li> <li>• any other evidence which demonstrates that each Supervisor meets the experience as set out in question 6 (i).</li> </ul> <p>Please note: Supervisor case experience evidence be attached as a single document into the e-Tendering system. Where you currently hold these individually you must collate these documents into a single file before you can upload them into your ITT Response.</p> <p>Where the details provided in response to this question:</p> <ul style="list-style-type: none"> <li>• demonstrates that the Supervisors do not have the experience as defined in the question; or</li> <li>• otherwise conflicts with the requirements of question 6 (i); or</li> <li>• provides insufficient or unclear information that does not allow LAA to verify the accuracy of the Applicant's answer to question 6 (i)</li> </ul> <p>the LAA may re-score the response, including re-scoring the response to 0 points for question 6 (i).</p> | Free text  |  |
| 6 (iv)  | <p>Please provide a copy of each Supervisor's contract of employment or Signed Engagement Agreement.</p> <p><b>Please note:</b></p> <p>Where, in this requirement, you identify the same Supervisor(s) as at question 5 (ii) and have already provided a copy of that Supervisor's contract of employment or Signed Engagement Agreement at question 5 (iii), you are not required to upload a further copy in response to question 6 (iv).</p> <p>Where you choose to upload a further copy at question 6 (iv) and this information is different to that</p>   | Attachment |  |

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|  | <p>submitted at question 5 (iii), the LAA will use the contract of employment or Signed Engagement Agreement submitted in response to question 5 (iii) to verify the Applicant's response to question</p> <p>In all other circumstances, where the details provided in response to this question:</p> <ul style="list-style-type: none"> <li>• conflicts with the requirements of question 6 (i); or</li> <li>• provides insufficient or unclear information that does not allow LAA to verify the accuracy of the Applicant's answer to question 6 (i)</li> </ul> <p>the LAA may re-score the response, including re-scoring the response to 0 points for question 6 (i).</p> |  |  |
|--|--|--|--|

|        | <b><u>Technical Infrastructure</u></b>   | <b>Response</b>   | <b>Total Points Available</b> |
|--------|--|---|-------------------------------|
|        | <p>It is a minimum requirement that the Applicant will have the necessary telephony infrastructure in place to meet requirements of Annex 8 of the CLA Contract no later than six weeks prior to the Service Commencement Date.</p> <p>Preference will be given to Applicants who can evidence that they currently have the required telephony infrastructure in place and already provide a telephone-based service. As a minimum, the telephony infrastructure should allow the ability to receive calls directly from the PSTN via dedicated DDI's and should deliver call quality in accordance with ITU-T recommendations.</p>                              |   |                               |
| 7 (i)  | <p>Please select the answer from the following two options which is applicable for you:</p> <p>A: You currently have the required telephony infrastructure in place and already provide a telephone-based service that receives Calls directly from the PSTN via dedicated DDI's and delivers call quality in accordance with ITU-T recommendations.</p> <ul style="list-style-type: none"> <li>• B: You do not currently have the required telephony infrastructure in place to provide a telephone-based service that receives Calls directly from the PSTN via dedicated DDI's and delivers call quality in accordance with ITU-T recommendations.</li> </ul> | <p>A (2 points)<br/>(Answer 7 (ii) – 7 (iii))</p> <p>B (0 points)</p> | 2                             |
| 7 (ii) | <p>Please provide the name and/or model of your telephony system.</p> <p>Where the details provided in response to this question:</p> <ul style="list-style-type: none"> <li>• conflicts with the requirements of question 7 (i); or</li> <li>• provides insufficient or unclear information that does not allow LAA to verify the accuracy of the Applicant's</li> </ul>  | Free text   |                               |

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|--|--|--|--|
|  | answer to question 7 (i)   |  |  |
|  | the LAA may re-score the response, including re-scoring the response to 0 points for question 7 (i). |  |  |

## DISCRIMINATION

This section only applies to Applicants wishing to bid for a CLA Contract in the Discrimination Category

| <p><b><u>Dedicated Telephone Advice Service</u></b></p> <p>Preference will be given to Applicants who currently employ (or have a Signed Engagement Agreement to employ) a Named Individual in their Management Team, who will be deployed on the delivery of Contract Work for at least 17.5 hours per week and has experience of managing a Dedicated Telephone Advice Service in the last three years.</p> <p>Higher points will be awarded where the Named Individual has spent a greater length of time in the last three years managing a Dedicated Telephone Advice Service and where the Dedicated Telephone Advice Service dealt with higher call volumes.</p> <p>Managing the service includes having accountability for the quality of the service delivered, including the following:</p> <ul style="list-style-type: none"> <li>• ensuring KPIs are met,</li> <li>• overseeing staffing rotas and work allocation</li> <li>• ensuring a high quality of telephone advice is provided and</li> <li>• Monitoring and accurate reporting of compliance with the contract (where it is a contracted service).</li> </ul> <p>Dedicated Telephone Advice Service is defined in Annex I of the IFA.</p> <p>Applicants are required to answers questions in both 1a and 1b.</p> | Response  | Total Score Available |
|--|---|-----------------------|
| <p>1a (i) Please select the answer from the following three options which is applicable to you.</p> <p>A: The Applicant currently employs (or has a Signed Engagement Agreement to employ) a Named Individual who:</p> <ul style="list-style-type: none"> <li>• will be a member of the Management Team on the Service Commencement Date; and</li> <li>• will be deployed on Contract Work and based in the Office where the Contract Work will be delivered for at least 17.5 hours per week; and</li> <li>• has <b>more than 24 months'</b> experience in the last three years managing a Dedicated Telephone Advice Service receiving at least 1,000 calls per year for each year during which the Named Individual managed the service.</li> </ul>   | <p>A (3 points)<br/>(Answer 1a (ii) – 1a (iv))</p> <p>B (2 points)<br/>(Answer 1a (ii) – 1a (iv))</p> <p>C (0 points)<br/>(Answer 1b (i))</p> | 6                     |

|         |  |           |  |
|---------|--|-----------|--|
|         | <p>B: The Applicant currently employs (or has a Signed Engagement Agreement to employ) a Named Individual who:</p> <ul style="list-style-type: none"> <li>• will be a member of the Management Team on the Service Commencement Date; and</li> <li>• will be deployed on Contract Work and based in the Office where the Contract Work will be delivered for at least 17.5 hours per week; and</li> <li>• has <b>between 12 and 24 months'</b> experience in the last three years managing a Dedicated Telephone Advice Service receiving at least 1,000 calls per year for each year during which the Named Individual managed the service.</li> </ul> <p>C: None of the above</p>  |           |  |
| 1a (ii) | <p>If you answered A or B for question 1a (i) please provide the following details:</p> <ul style="list-style-type: none"> <li>• The name of the Named Individual in the Applicant's Management Team;</li> <li>• The date their employment commenced/will commence with the Applicant;</li> <li>• The organisation with which the experience was gained;</li> <li>• Their status in the organisation and job title in the organisation where the Dedicated Telephone Advice Service was delivered;</li> <li>• The start and end dates (where applicable) of the period from which their experience was obtained;</li> <li>• Information on the Dedicated Telephone Advice Service managed including: <ul style="list-style-type: none"> <li>○ Number of FTE telephone agents/caseworkers;</li> <li>○ Service opening hours;</li> <li>○ Volume of calls managed per year;</li> <li>○ The call quality activity undertaken.</li> </ul> </li> </ul> <p>Where the Dedicated Telephone Advice Service was delivered at an organisation other than the Applicant, the individual completing the Declaration in the Technical Envelope is responsible for ensuring the information provided is correct.</p> <p>Where the details provided in response to this question:</p> <ul style="list-style-type: none"> <li>• demonstrates that the Named Individual did not manage the service as defined in the question; or</li> <li>• demonstrates the service described does not constitute a Dedicated Telephone Advice Service; or</li> <li>• otherwise conflicts with the requirements of question 1a (i); or</li> <li>• provides insufficient or unclear information that does not allow LAA to verify the accuracy of the Applicant's answer to question 1a(i)</li> </ul> <p>the LAA may re-score the response, including re-scoring the response to 0 points for question 1a (i).</p> | Free Text |  |

|          |   |   |  |
|----------|---|---|--|
| 1a (iii) | <p>Please provide a copy of the Named Individual's contract of employment or Signed Engagement Agreement.</p> <p>Where the details provided in response to this question:</p> <ul style="list-style-type: none"> <li>• demonstrates that the Named Individual did not manage the service as defined in the question; or</li> <li>• demonstrates the service described does not constitute a Dedicated Telephone Advice Service; or</li> <li>• otherwise conflicts with the requirements of question 1a (i); or</li> <li>• provides insufficient or unclear information that does not allow LAA to verify the accuracy of the Applicant's answer to question 1a (i)</li> </ul> <p>the LAA may re-score the response, including re-scoring the response to 0 points for question 1a (i).</p>  | Attachment  |  |
| 1a (iv)  | <p>Please provide evidence that the Dedicated Telephone Advice Service managed by the Named Individual received at least 1,000 calls per year for each year as set out in the option you have selected in question 1a(i).</p> <p>Evidence may be in the form of, but is not limited to:</p> <ul style="list-style-type: none"> <li>• annual/monthly call volumes data;</li> <li>• call records; or</li> <li>• any other evidence which demonstrates that the Named Individual meets the experience as set out in the option you have selected in question 1a(i).</li> </ul> <p>Where the details provided in response to this question:</p> <ul style="list-style-type: none"> <li>• demonstrates that the Named Individual did not manage the service as defined in the question; or</li> <li>• demonstrates the service described does not constitute a Dedicated Telephone Advice Service; or</li> <li>• otherwise conflicts with the requirements of question 1a (i); or</li> <li>• provides insufficient or unclear information that does not allow LAA to verify the accuracy of the Applicant's answer to question 1a (i)</li> </ul> <p>the LAA may re-score the response, including re-scoring the response to 0 points for question 1a(i).</p> | Attachment  |  |
| 1b (i)   | <p>Please select the answer from the following three options which is applicable to you.</p> <p>A. The Applicant currently employs (or has a Signed Engagement Agreement to employ) a Named Individual who:</p> <ul style="list-style-type: none"> <li>• will be a member of the Management Team on the Service Commencement Date; and</li> <li>• will be deployed on Contract Work and based in the Office where the Contract Work will be delivered for at</li> </ul>   | <p>A (3 points)<br/>(Answer 1b (ii) – 1b (iv))</p> <p>B (2 points)<br/>(Answer 1a (ii) – 1a (iv))</p> |  |

|         |  |                                |  |
|---------|--|--------------------------------|--|
|         | <p>least 17.5 hours per week; and</p> <ul style="list-style-type: none"> <li>has managed a Dedicated Telephone Advice Service for at least 12 months in the last three years, which received <b>more than 2,000 calls</b> during 12 months when the Named Individual managed the service.</li> </ul> <p>B. The Applicant currently employs (or has a Signed Engagement Agreement to employ) a Named Individual who:</p> <ul style="list-style-type: none"> <li>will be a member of the Management Team on the Service Commencement Date; and</li> <li>will be deployed on Contract Work and based in the Office where the Contract Work will be delivered for at least 17.5 hours per week; and</li> <li>has managed a Dedicated Telephone Advice Service for at least 12 months in the last three years, which received between <b>1,000 and 2,000 calls</b> during 12 months when the Named Individual managed the service.</li> </ul> <p>C: None of the above.</p>  | C (0 points)<br>(Answer 2 (i)) |  |
| 1b (ii) | <p>If you answered A or B for question 1b (i) please provide the following details:</p> <ul style="list-style-type: none"> <li>The name of the Named Individual in the Applicant's Management Team;</li> <li>The date their employment commenced/will commence with the Applicant;</li> <li>The organisation with which the experience was gained;</li> <li>Their status and job title in the organisation where the Dedicated Telephone Advice Service was delivered;</li> <li>The start and end dates (where applicable) from which their experience was obtained;</li> <li>Information on the Dedicated Telephone Advice Service managed, including: <ul style="list-style-type: none"> <li>Number of FTE telephone agents/caseworkers;</li> <li>Service opening hours;</li> <li>Volume of calls managed per year;</li> <li>The call quality activity undertaken.</li> </ul> </li> </ul> <p>Where the Dedicated Telephone Advice Service was delivered at an organisation other than the Applicant, the individual completing the Declaration in the Technical Envelope is responsible for ensuring the information provided is correct.</p> <p><b>Please note:</b></p> <p><b>Where you have identified the same Named Individual at question 1a (ii) and have already provided a copy of that Named Individual's contract of employment or Signed Engagement Agreement at question 1a (iii), you are not required to upload a further copy in response to question 1b (iii).</b></p> <p>Where the details provided in response to this question:</p> | Free text                      |  |

|          |   |            |  |
|----------|---|------------|--|
|          | <ul style="list-style-type: none"> <li>• demonstrates that the Named Individual did not manage the service as defined in the question; or</li> <li>• demonstrates the service described does not constitute a Dedicated Telephone Advice Service; or</li> <li>• otherwise conflicts with the requirements of question 1b (i); or</li> <li>• provides insufficient or unclear information that does not allow LAA to verify the accuracy of the Applicant's answer to question 1b (i)</li> </ul> <p>the LAA may re-score the response, including re-scoring the response to 0 points for question 1b (i).</p>  |            |  |
| 1b (iii) | <p>Please provide a copy of the Named Individual's contract of employment or Signed Engagement Agreement</p> <p>Please note:</p> <p>Where you have identified the same Named Individual at question 1a (ii) and have already provided a copy of that Named Individual's contract of employment or Signed Engagement Agreement at question 1a (iii), you are not required to upload a further copy in response to question 1b (iii).</p> <p>Where you choose to upload a further copy at question 1b (iii) and this information is different to that submitted at question 1a (iii), the LAA will use the response submitted as part of question 1b (ii) and that contract of employment or Signed Engagement Agreement submitted in response to question 1a (iii) to verify the Applicant's response to question</p> <p>In all other circumstances, where the details provided in response to this question:</p> <ul style="list-style-type: none"> <li>• demonstrates that the Named Individual did not manage the service as defined in the question; or</li> <li>• demonstrates the service described does not constitute a Dedicated Telephone Advice Service; or</li> <li>• otherwise conflicts with the requirements of question 1b (i); or</li> <li>• provides insufficient or unclear information that does not allow LAA to verify the accuracy of the Applicant's answer to question 1b (i)</li> </ul> <p>the LAA may re-score the response, including re-scoring the response to 0 points for question 1b (i).</p> | Attachment |  |
| 1b (iv)  | <p>Please provide evidence that the Dedicated Telephone Advice Service managed by the Named Individual received either more than 2,000 or between 1,000 and 2,000 calls for at least 12 months in the last three years as set out in the option you have selected in question 1b (i).</p> <p>Evidence may be in the form of, but is not limited to:</p> <ul style="list-style-type: none"> <li>• annual/monthly call volumes data;</li> <li>• call records; or</li> <li>• any other evidence which demonstrates that the Named Individual meets the experience as set out in the option you have selected in question 1b (i).</li> </ul>  | Attachment |  |



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|  | <p>Where the details provided in response to this question:</p> <ul style="list-style-type: none"> <li>• demonstrates that the Named Individual did not manage the service as defined in the question; or</li> <li>• demonstrates the service described does not constitute a Dedicated Telephone Advice Service; or</li> <li>• otherwise conflicts with the requirements of question 1b (i); or</li> <li>• provides insufficient or unclear information that does not allow LAA to verify the accuracy of the Applicant's answer to question 1b (i)</li> </ul> <p>the LAA may re-score the response, including re-scoring the response to 0 points for question 1b (i).</p> |  |  |
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| <b><u>Implementation of a Dedicated Telephone Advice Service</u></b>   |   | <b>Response</b>  | <b>Total Score Available</b> |
|--|---|--|------------------------------|
| <p>Preference will be given to Applicants who currently employ (or have a Signed Engagement Agreement to employ) a Named Individual in their Management Team, who will be deployed on the implementation of the service between the Contract Start Date and Service Commencement Date and who has experience in the last three years of implementing a Dedicated Telephone Advice Service receiving at least 1,000 calls per year.</p> <p>Implementation includes:</p> <ul style="list-style-type: none"> <li>• having responsibility for the service successfully starting on the applicable service commencement date</li> <li>• having overall responsibility for producing and managing a project plan, ensuring sufficient staffing infrastructure and other resources are in place,</li> <li>• ensuring risks to implementation are effectively monitored and managed, and</li> <li>• being the main point of liaison for the customer's contract manager (where it is a contracted service).</li> </ul> |   |  |                              |
| 2 (i)  | <p>Please select the answer from the following two options which is applicable to you:</p> <p>A : The Applicant currently employs (or has a Signed Engagement Agreement to employ) a Named Individual who:</p> <ul style="list-style-type: none"> <li>• will be a member of the Management Team at the Contract Start Date; and</li> <li>• who will be deployed on the implementation of the services between the Contract Start Date and Service Commencement Date; and</li> </ul> | <p>A (2 points)<br/>(Answer 2 (ii) – (iii))</p> <p>B (0 points)<br/>(Answer 3 (i))</p> | 2                            |

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|        | <ul style="list-style-type: none"> <li>• has in the last three years implemented a Dedicated Telephone Advice Service receiving at least 1000 calls per year.</li> </ul> <p>B : The Applicant currently <b>does not</b> employ (or has a Signed Engagement Agreement to employ) a Named Individual who:</p> <ul style="list-style-type: none"> <li>• will be a member of the Management Team at the Contract Start Date; and</li> <li>• who will be deployed on the implementation of the service between the Contract Start Date and Service Commencement Date; and</li> <li>• has in the last three years implemented a Dedicated Telephone Advice Service receiving at least 1000 Calls per year</li> </ul>  |  |  |
| 2 (ii) | <p>If you answered A for question 2 (i) please provide the following details:</p> <ul style="list-style-type: none"> <li>• The name of the Named Individual in the Applicant's Management Team.</li> <li>• The date their employment commenced/will commence with the Applicant.</li> <li>• The organisation with which the experience was gained.</li> <li>• Their status and job title in the organisation where the Contract or Dedicated Telephone Advice Service was implemented</li> <li>• The start and end dates (where applicable) of the period from which their experience was obtained.</li> <li>• Information on the contract or Dedicated Telephone Advice Service managed, including: <ul style="list-style-type: none"> <li>○ The number of FTE delivering the contract or service and their roles.</li> <li>○ The value of the service</li> <li>○ The volume of calls managed per year (where applicable)</li> </ul> </li> </ul> <p>Where the Dedicated Telephone Advice Service was delivered at an organisation other than the Applicant, the individual completing the Declaration is responsible for ensuring the information provided is correct.</p> <p><b>Please note:</b></p> <p><b>Where you have identified the same Named Individual at question 1a (ii) or 1b (ii) and have already provided a copy of that Named Individual's contract of employment or Signed Engagement Agreement at question 1a (iii) or 1b (iii), you are not required to upload a further copy in response to question 2 (iii).</b></p> <p>Where the details provided in response to this question:</p> <ul style="list-style-type: none"> <li>• demonstrates that the Named Individual did not manage the service as defined in the question; or</li> <li>• demonstrates the service described does not constitute a Dedicated Telephone Advice Service; or</li> <li>• otherwise conflicts with the requirements of question 2 (i); or</li> </ul> |  |  |

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|         | <ul style="list-style-type: none"> <li>provides insufficient or unclear information that does not allow LAA to verify the accuracy of the Applicant's answer to question 2 (i)</li> </ul>   |            |  |
|         | the LAA may re-score the response, including re-scoring the response to 0 points for question 2 (i).  |            |  |
| 2 (iii) | <p>Please provide a copy of the Named Individual's contract of employment or Signed Engagement Agreement.</p> <p>Please note:</p> <p>Where you have identified the same Named Individual at question 1a (ii) or 1b (ii) and have already provided a copy of that Named Individual's contract of employment or Signed Engagement Agreement at question 1a (iii), you are not required to upload a further copy in response to question 2 (iii).</p> <p>Where you choose to upload a further copy at question 2 (iii) and this information is different to that submitted at question 1a (iii) or 1b (iii), the LAA will use the response submitted as part of question 2 (ii) and that contract of employment or Signed Engagement Agreement submitted in response to question 1a (iii) to verify the Applicant's response to question</p> <p>In all other circumstances, where the details provided in response to this question:</p> <ul style="list-style-type: none"> <li>demonstrates that the Named Individual did not manage the service as defined in the question; or</li> <li>demonstrates the service described does not constitute a Dedicated Telephone Advice Service; or</li> <li>otherwise conflicts with the requirements of question 2 (i); or</li> <li>provides insufficient or unclear information that does not allow LAA to verify the accuracy of the Applicant's answer to question 2 (i)</li> </ul> <p>the LAA may re-score the response, including re-scoring the response to 0 points for question 2 (i).</p> | Attachment |  |

| <b><u>Caseworkers</u></b>  | <b>Response</b> | <b>Total Score Available</b> |
|--|-----------------|------------------------------|
| <p>Preference will be given to Applicants who <b>currently employ</b> (or have a Signed Engagement Agreement to employ) a higher ratio of <b>Caseworkers</b> (in addition to Supervisors) who:</p> <p>i) will deliver the Service in the Discrimination Category from the Service Commencement Date as set out in their Resourcing Plan <b>and</b></p> <p>ii) have individually provided advice to clients in at least 20 cases in the Discrimination Category in a 12-month period in the 24 months preceding the submission of the Applicant's Tender.</p> |                 |                              |

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| Applicants are permitted to include cases delivered <b>either</b> through legal aid contracts or non-legal aid work. |  |   |   |
| 3 (i)  | <p>Please select the answer from the following three options which is applicable to you:</p> <p>A. Of the Caseworkers you intend to use to deliver the Contract Work from the Service Commencement Date as set out in your Resourcing Plan, at least 75%:</p> <ul style="list-style-type: none"> <li>• Are Named Individuals who you currently employ (or have a Signed Engagement Agreement to employ); and</li> <li>• Have provided advice to clients in at least 20 cases in the Discrimination Category in a 12-month period in the 24 months preceding the submission of your Tender.</li> </ul> <p>B. Of the Caseworkers you intend to use to deliver the Contract Work from the Service Commencement Date as set out in your Resourcing Plan, between 25% and 74%:</p> <ul style="list-style-type: none"> <li>• Are Named Individuals who you currently employ (or have a Signed Engagement Agreement to employ); and</li> <li>• Have provided advice to client in at least 20 cases in the Discrimination Category in a 12-month period in the 24 months preceding the submission of your Tender.</li> </ul> <p>C. Of the Caseworkers you intend to use to deliver the Contract Work from the Service Commencement Date as set out in your Resourcing Plan, less than 25%:</p> <ul style="list-style-type: none"> <li>• Are Named Individuals who you currently employ (or have a Signed Engagement Agreement to employ); and</li> <li>• Have provided advice to clients in at least 20 cases in the Discrimination Category in a 12-month period in the 24 months preceding the submission of your Tender.</li> </ul> | <p>A (4 points)<br/>(Answer 3 (ii) – 3 (iv))</p> <p>B (2 points)<br/>(Answer 3 (ii) – 3 (iv))</p> <p>C (0 point)<br/>(Answer 4 (i))</p> | 4 |
| 3 (ii)   | Please provide the names of the Caseworkers who meet the requirement as set out in the answer option you have selected   | Free text   |   |
| 3 (iii)  | <p>Please provide a copy of each Caseworker's contract(s) of employment or Signed Engagement Agreement(s)</p> <p>Please note: Caseworker's contracts of employment and/or Signed Engagement Agreements must be attached as a single document into the e-Tendering system. Where you currently hold these individually you must collate these documents into a single file before you can upload them into your ITT Response.</p> <p>Where the details provided in response to this question:</p>   | Attachment  |   |

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|        | <ul style="list-style-type: none"> <li>• demonstrates that the Caseworkers do not have the experience as defined in the question; or</li> <li>• otherwise conflicts with the requirements of question 3 (i); or</li> <li>• provides insufficient or unclear information that does not allow LAA to verify the accuracy of the Applicant's answer to question 3 (i)</li> </ul> <p>the LAA may re-score the response, including re-scoring the response to 0 points for question 3 (i).</p>  |            |  |
| 3 (iv) | <p>Please provide evidence of 20 cases on which each Caseworker has provided specialist legal advice to clients in the Discrimination Category in a 12-month period in the 24 months preceding the submission of your Tender.</p> <p>Evidence may be in the form of, but is not limited to:</p> <ul style="list-style-type: none"> <li>• Case lists for each Caseworker including client name, UFN or case reference, date Caseworker last worked on the file; or</li> <li>• any other evidence which demonstrates that each Caseworker meets the experience as set out in question 3 (i).</li> </ul> <p>Please note: Caseworker case experience evidence be attached as a single document into the e-Tendering system. Where you currently hold these individually you must collate these documents into a single file before you can upload them into your ITT Response.</p> <p>Where the details provided in response to this question:</p> <ul style="list-style-type: none"> <li>• demonstrates that the Caseworkers do not have the experience as defined in the question; or</li> <li>• otherwise conflicts with the requirements of question 3 (i); or</li> <li>• provides insufficient or unclear information that does not allow LAA to verify the accuracy of the Applicant's answer to question 3 (i)</li> </ul> <p>the LAA may re-score the response, including re-scoring the response to 0 points for question 3 (i).</p> | Attachment |  |

| <b><u>Caseworkers</u></b>   |  | <b>Response</b>   | <b>Total Score Available</b> |
|---|--|---|------------------------------|
| <p>Preference will be given to Applicants who can evidence that they currently employ (or have a Signed Engagement Agreement to employ) a higher ratio of Caseworkers (not including Supervisors) who:</p> <p>i) will deliver the Contract Work in the Discrimination Category from the Service Commencement Date as set out in their Resourcing Plan, and</p> <p>ii) have individually provided advice to clients at least 40 cases in the Discrimination category in a 12-month period in the 24 months preceding the submission of the Applicant's Tender.</p> <p>Applicants are permitted to include cases delivered <b>either</b> through legal aid contracts or non-legal aid work.</p> |  |   |                              |
| 4 (i)   | <p>Please select the answer from the following two options which is applicable to you:</p> <p>A. Of the Caseworkers you intend to use to deliver the Contract Work from the Service Commencement Date as set out in your Resourcing Plan, at least 50%:</p> <ul style="list-style-type: none"> <li>• Are Named Individuals who you currently employ (or have a Signed Engagement Agreement to employ); and</li> <li>• Have provided advice to clients in at least 40 cases in the Discrimination Category in a 12-month period in the 24 months preceding the submission of your Tender.</li> </ul> <p>B. Of the Caseworkers you intend to use to deliver the Contract Work from the Service Commencement Date as set out in your Resourcing Plan less than 50%:</p> <ul style="list-style-type: none"> <li>• Are Named Individuals who you currently employ (or have a Signed Engagement Agreement to employ); and</li> <li>• Have delivered at least 40 cases in the Discrimination Category in a 12-month period in the 24 months preceding the submission of your Tender.</li> </ul> | <p>A (3 points)<br/>(Answer 4 (ii) – 4 (iv))</p> <p>B (0 points)<br/>(Answer 5 (i))</p> | 3                            |

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| 4 (ii)  | <p>Please provide the names of the Caseworkers who meet the requirement as set out in the answer option you have selected</p> <p><b>Please note:</b></p> <p><b>Where you have identified the same Caseworkers at question 3 (ii) and have already provided a copy of the Caseworker's contract of employment or Signed Engagement Agreement at question 3 (iii), you are not required to upload a further copy in response to question 4 (iii).</b></p>  | Free text  |  |
| 4 (iii) | <p>Please provide a copy of each Caseworker's contract(s) of employment or Signed Engagement Agreement(s)</p> <p>Please note: Caseworker's contracts of employment and/or Signed Engagement Agreements must be attached as a single document into the e-Tendering system. Where you currently hold these individually you must collate these documents into a single file before you can upload them into your ITT Response.</p> <p>Please note:</p> <p>Where, in this requirement, you identify the same Caseworker(s) as at question 3 (ii) and have already provided a copy of that Caseworker's contract of employment or Signed Engagement Agreement at question 3 (iii), you are not required to upload a further copy in response to question 4 (iii).</p> <p>Where you choose to upload a further copy at question 4 (ii) and this information is different to that submitted at question 3 (iii), the LAA will use the contract of employment or Signed Engagement Agreement submitted in response to question 3 (iii) to verify the Applicant's response to question</p> <p>In all other circumstances, where the details provided in response to this question:</p> <ul style="list-style-type: none"> <li>• demonstrates that the Named Individual did not manage the service as defined in the question; or</li> <li>• demonstrates the service described does not constitute a Dedicated Telephone Advice Service; or</li> <li>• otherwise conflicts with the requirements of question 4 (i); or</li> <li>• provides insufficient or unclear information that does not allow LAA to verify the accuracy of the Applicant's answer to question 4 (i)</li> </ul> <p>the LAA may re-score the response, including re-scoring the response to 0 points for question 4 (i).</p> | Attachment |  |

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| 4 (iv)   | <p>Please provide evidence of 40 cases on which each Caseworker has provided advice to clients in the Discrimination Category in a 12-month period in the 24 months preceding the submission of your Tender.</p> <p>Evidence may be in the form of, but is not limited to:</p> <ul style="list-style-type: none"><li>• Case lists for each Caseworker (and which identifies the relevant Caseworker) including client name, UFN or case reference, date Caseworker last worked on the file; or</li><li>• any other evidence which demonstrates that each Caseworker meets the experience as set out in question 4 (i).</li></ul> <p>Please note: Caseworker case experience evidence be attached as a single document into the e-Tendering system. Where you currently hold these individually you must collate these documents into a single file before you can upload them into your ITT Response.</p> <p>Where the details provided in response to this question:</p> <ul style="list-style-type: none"><li>• demonstrates that the Caseworkers do not have the experience as defined in the question; or</li><li>• otherwise conflicts with the requirements of question 4 (i); or</li><li>• provides insufficient or unclear information that does not allow LAA to verify the accuracy of the Applicant's answer to question 4 (i)</li></ul> <p>the LAA may re-score the response, including re-scoring the response to 0 points for question 4 (i).</p> | Attachment |                       |
| <p><b><u>Supervisors</u></b></p> <p>Preference will be given to Applicants who can evidence that they currently employ (or has a Signed Engagement Agreement to employ) a higher ratio of Supervisors who:</p> <p>i) will deliver the Contract Work in the Discrimination Category from the Service Commencement Date as set out in the Applicant's Resourcing Plan, and</p> <p>ii) Currently meet the Supervisor requirements set out in the Discrimination Category Specific Rules</p> |   | Response   | Total Score Available |



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| 5 (i)   | <p>Please select the answer from the following two options which is applicable to you:</p> <p>A. Of the Supervisors you intend to use to deliver the Contract Work from the Service Commencement Date as set out in your Resourcing Plan, at least 50%:</p> <ul style="list-style-type: none"> <li>Are Named Individuals who you currently employ (or have a Signed Engagement Agreement to employ); and</li> <li>Currently meet the Supervisor requirements of the set out in the Discrimination Category Specific Rules.</li> </ul> <p>B. Of the Supervisors you intend to use to deliver the Contract Work from the Service Commencement Date as set out in your Resourcing Plan, less than 50%:</p> <ul style="list-style-type: none"> <li>Are Named Individuals who you currently employ (or have a Signed Engagement Agreement to employ); and</li> <li>Currently meet the Supervisor requirements of the set out in the Discrimination Category Specific Rules.</li> </ul> | <p>A (4 points)<br/>(Answer 5 (ii) – 5 (iv))</p> <p>B (0 points)<br/>(Answer 6 (i))</p> | 4 |
| 5 (ii)  | Please provide the names of the Supervisors who meet the requirement as set out in the answer option you have selected  | Free text   |   |
| 5 (iii) | <p>Please provide a copy of each Supervisor's contract of employment or Signed Engagement Agreement.</p> <p>Please note: Supervisor's contracts of employment and/or Signed Engagement Agreements must be attached as a single document into the e-Tendering system. Where you currently hold these individually you must collate these documents into a single file before you can upload them into your ITT Response.</p> <p>Where the details provided in response to this question:</p> <ul style="list-style-type: none"> <li>demonstrates that the Supervisors do not have the experience as defined in the question; or</li> <li>otherwise conflicts with the requirements of question 5 (i); or</li> <li>provides insufficient or unclear information that does not allow LAA to verify the accuracy of the Applicant's answer to question 5 (i)</li> </ul> <p>the LAA may re-score the response, including re-scoring the response to 0 points for question 5 (i).</p>   | Attachment  |   |
| 5 (iv)  | <p>Please provide a copy of each Supervisor's Discrimination Supervisor Declaration Form.</p> <p>A copy of the Discrimination Supervisor Declaration Form can be found in the "Buyer Attachments" section of the e-Tendering system</p>   | Attachment  |   |

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|  | <p>Please note: Supervisors' Discrimination Supervisor Declaration Forms must be attached as a single document into the e-Tendering system. Where you currently hold these individually you must collate these documents into a single file before you can upload them into your ITT Response.</p> <p>Where the details provided in response to this question:</p> <ul style="list-style-type: none"> <li>• demonstrates that the Supervisors do not have the experience as defined in the question</li> <li>• otherwise conflicts with the requirements of question 5 (i); or</li> <li>• provides insufficient or unclear information that does not allow LAA to verify the accuracy of the Applicant's answer to question 5 (i)</li> </ul> <p>the LAA may re-score the response, including re-scoring the response to 0 points for question 5 (i).</p> |  |  |
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| <b><u>Authorised Litigator</u></b>  |   | <b>Response</b>   | <b>Total Score Available</b> |
|---|---|---|------------------------------|
| <p>By the <b>Service Commencement Date</b> the Applicant must employ, or have access to, an Authorised Litigator who has experience in the <b>Discrimination</b> category.</p> <p>Preference will be given to Applicants who currently employ (or have a Signed Engagement Agreement to employ) an Authorised Litigator based at the Office, who will be accessible to Caseworkers and Supervisors delivering Contract Work and who has provided litigation advice on at least <b>4</b> cases of specialist legal advice in the Discrimination Category in a 12-month period in the 24 months preceding the submission of the Applicant's Tender.</p> <p>Applicants are permitted to include cases <b>delivered either through</b> legal aid contracts or non-legal aid work.</p> |   |   |                              |
| 6 (i)   | <p>Please select the answer from the following two options which is applicable for you:</p> <p>A: Currently employ (or have a Signed Engagement Agreement to employ) an Authorised Litigator, who Caseworkers and Supervisors delivering Contract Work will have access to, and who has provided litigation advice on at least 4 cases of specialist legal advice in the Discrimination Category in a 12-month period in the 24 months preceding the submission of your Tender.</p> <p>or</p> <p>B: Does not currently employ (or have a Signed Engagement Agreement to employ) an Authorised Litigator, who Caseworkers and Supervisors delivering Contract Work will have access to, and who has provided</p> | <p>A (3 points)<br/>(Answer 6 (ii) – 6 (iv))</p> <p>B (0 points)<br/>(Answer 7 (i))</p> | 3                            |

|         |   |            |  |
|---------|---|------------|--|
|         | litigation advice on at least 4 cases of specialist legal advice in the Discrimination Category in a 12-month period in the 24 months preceding the submission of your Tender.  |            |  |
| 6 (ii)  | <p>Please provide:</p> <ul style="list-style-type: none"> <li>• The name(s); and</li> <li>• Authorised Litigator registration number(s); and</li> <li>• The date(s) on which the Authorised Litigator(s) employment commenced at the Applicant</li> </ul> <p>Where the details provided in response to this question:</p> <ul style="list-style-type: none"> <li>• demonstrates that the Authorised Litigator do not have the experience as defined in the question; or</li> <li>• otherwise conflicts with the requirements of question 6 (i); or</li> <li>• provides insufficient or unclear information that does not allow LAA to verify the accuracy of the Applicant's answer to question 6 (i)</li> </ul> <p>the LAA may re-score the response, including re-scoring the response to 0 points for question 6 (i).</p>  | Free text  |  |
| 6 (iii) | <p>Please provide a copy of each Authorised Litigator's contract of employment or Signed Engagement Agreement.</p> <p>Please note: Authorised Litigator's contracts of employment and/or Signed Engagement Agreements must be attached as a single document into the e-Tendering system. Where you currently hold these individually you must collate these documents into a single file before you can upload them into your ITT Response.</p> <p>Where the details provided in response to this question:</p> <ul style="list-style-type: none"> <li>• demonstrates that the Supervisors do not have the experience as defined in the question; or</li> <li>• otherwise conflicts with the requirements of question 6 (i); or</li> <li>• provides insufficient or unclear information that does not allow LAA to verify the accuracy of the Applicant's answer to question 6 (i)</li> </ul> <p>the LAA may re-score the response, including re-scoring the response to 0 points for question 6 (i).</p> | Attachment |  |
| 6 (iv)  | <p>Please provide evidence of 4 cases on which each Authorised Litigator has provided specialist legal advice in the Discrimination Category in a 12-month period in the 24 months preceding the submission of your Tender.</p> <p>Evidence may be in the form of, but is not limited to:</p>   |            |  |

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|  | <ul style="list-style-type: none"> <li>Case lists for each Authorised Litigator (and which identifies the relevant Authorised Litigator) including client name, UFN or case reference, date Authorised Litigator last worked on the file; or</li> <li>any other evidence which demonstrates that each Authorised Litigator meets the experience as set out in question 6 (i).</li> </ul> <p>Please note: Authorised Litigator case experience evidence be attached as a single document into the e-Tendering system. Where you currently hold these individually you must collate these documents into a single file before you can upload them into your ITT Response.</p> <p>Where the details provided in response to this question:</p> <ul style="list-style-type: none"> <li>demonstrates that the Authorised Litigator do not have the experience as defined in the question; or</li> <li>otherwise conflicts with the requirements of question 6 (i); or</li> <li>provides insufficient or unclear information that does not allow LAA to verify the accuracy of the Applicant's answer to question 6 (i)</li> </ul> <p>the LAA may re-score the response, including re-scoring the response to 0 points for question 6 (i).</p> |  |  |
|--|--|--|--|

|       | <p><b><u>Technical Infrastructure</u></b></p> <p>It is a minimum requirement that the Applicant will have the necessary telephony infrastructure in place to meet requirements of Annex 8 of the CLA Contract no later than six weeks prior to the Service Commencement Date.</p> <p>Preference will be given to Applicants who can evidence that they currently have the required telephony infrastructure in place and already provide a telephone-based service. As a minimum, the telephony infrastructure should allow the ability to receive calls directly from the PSTN via dedicated DDI's and should deliver call quality in accordance with ITU-T recommendations.</p> | Response  | Total Points Available |
|-------|---|---|------------------------|
| 7 (i) | <p>Please select the answer from the following two options which is applicable for you:</p> <p>A: You currently have the required telephony infrastructure in place and already provide a telephone-based service that receives Calls directly from the PSTN via dedicated DDI's and delivers call quality in accordance with ITU-T recommendations.</p>  | <p>A (2 points)<br/>(Answer 7 (ii) – 7 (iii))</p> <p>B (0 points)</p> | 2                      |

|        |  |           |  |
|--------|--|-----------|--|
|        | B: You do not currently have the required telephony infrastructure in place to provide a telephone-based service that receives Calls directly from the PSTN via dedicated DDI's and delivers call quality in accordance with ITU-T recommendations.  |           |  |
| 7 (ii) | <p>Please provide the name and/or model of your telephony system.</p> <p>Where the details provided in response to this question:</p> <ul style="list-style-type: none"> <li>• conflicts with the requirements of question 7 (i); or</li> <li>• provides insufficient or unclear information that does not allow LAA to verify the accuracy of the Applicant's answer to question 7 (i)</li> </ul> <p>the LAA may re-score the response, including re-scoring the response to 0 points for question 7 (i).</p> | Free text |  |

## HOUSING AND DEBT

This section only applies to Applicants wishing to bid for a CLA Contract in the Housing and Debt Category

| <p><b><u>Delivery of a Dedicated Telephone Advice Service</u></b></p> <p>Preference will be given to Applicants who currently employ (or have a Signed Engagement Agreement to employ) a Named Individual in their Management Team, who will be deployed on the delivery of Contract Work for at least 17.5 hours per week and has experience of managing a Dedicated Telephone Advice Service in the last three years.</p> <p>Higher points will be awarded where the Named Individual has spent a greater length of time in the last three years managing a Dedicated Telephone Advice Service and where the Telephone Advice Service dealt with higher call volumes.</p> <p>Managing the service includes having accountability for the quality of the service delivered, including the following:</p> <ul style="list-style-type: none"> <li>• ensuring KPIs are met,</li> <li>• overseeing staffing rotas and work allocation</li> <li>• ensuring a high quality of telephone advice is provided and</li> <li>• Monitoring and accurate reporting of compliance with the contract (where it is a contracted service).</li> </ul> <p>Dedicated Telephone Advice Service is defined in Annex I of the IFA.</p> <p>Applicants are required to answer questions in both 1a and 1b</p> | Response  | Total Score Available |
|--|---|-----------------------|
| <p>1a (i) Please select the answer from the following three options which is most applicable to you.</p> <p>A. The Applicant currently employs (or has a Signed Engagement Agreement to employ) a Named Individual who:</p> <ul style="list-style-type: none"> <li>• will be a member of the Management Team on the Service Commencement Date; and</li> <li>• will be deployed on Contract Work and based in the Office where the Contract Work will be delivered for at least 17.5 hours per week; and</li> <li>• has more than 24 months' experience in the last three years managing a Dedicated Telephone Advice Service receiving at least 5,500 calls per year for each year during which the Named Individual managed the service.</li> </ul> <p>B. The Applicant currently employs (or has a Signed Engagement Agreement to employ) a Named Individual who:</p> <ul style="list-style-type: none"> <li>• will be a member of the Management Team on the Service Commencement Date; and</li> </ul>  | <p>A (3 points)<br/>(Answer 1a (ii) – 1a (iv))</p> <p>B (2 points)<br/>(Answer 1a (ii) – 1a (iv))</p> <p>C (0 points)<br/>(Answer 1b (i))</p> | <p>6</p>              |

|          |   |            |  |
|----------|---|------------|--|
|          | <ul style="list-style-type: none"> <li>• will be deployed on Contract Work and based in the Office where the Contract Work will be delivered for at least 17.5 hours per week; and</li> <li>• has between 12 and 24 months' experience in the last three years managing a Dedicated Telephone Advice Service receiving at least 5,500 calls per year for each year during which the Named Individual managed the service.</li> </ul> <p>C: None of the above.</p>   |            |  |
| 1a (ii)  | <p>If you answered A or B for question 1a (i) please provide the following details:</p> <ul style="list-style-type: none"> <li>• The name of the Named Individual in the Applicant's Management Team;</li> <li>• The date their employment commenced/will commence with the Applicant;</li> <li>• The organisation with which the experience was gained;</li> <li>• Their status in the organisation and job title in the organisation where the Dedicated Telephone Advice Service was delivered;</li> <li>• The start and end dates (where applicable) of the period from which their experience was obtained;</li> <li>• Information on the Dedicated Telephone Advice Service managed, including: <ul style="list-style-type: none"> <li>○ Number of FTE telephone agents/caseworkers;</li> <li>○ Service opening hours managed per year;</li> <li>○ Volume of Calls managed per year;</li> <li>○ The call quality activity undertaken.</li> </ul> </li> </ul> <p>Where the Dedicated Telephone Advice Service was delivered at an organisation other than the Applicant, the individual completing the Declaration in the Technical Envelope is responsible for ensuring the information provided is correct.</p> <p>Please note:</p> <p>Where the details provided in response to this question:</p> <ul style="list-style-type: none"> <li>• demonstrates that the Named Individual did not manage the Service as defined in the question; or</li> <li>• demonstrates the service described does not constitute a Dedicated Telephone Advice Service; or</li> <li>• otherwise conflicts with the requirements of question 1a (i); or</li> <li>• provides insufficient or unclear information that does not allow LAA to verify the accuracy of the Applicant's answer to question 1a (i)</li> </ul> <p>the LAA may re-score the response, including re-scoring the response to 0 points for question 1a (i).</p> | Free Text  |  |
| 1a (iii) | <p>Please provide a copy of the Named Individual's contract of employment or Signed Engagement Agreement</p> <p>Where the details provided in response to this question:</p>  | Attachment |  |

|         |  |   |  |
|---------|--|---|--|
|         | <ul style="list-style-type: none"> <li>• demonstrates that the Named Individual did not manage the service as defined in the question; or</li> <li>• demonstrates the service described does not constitute a Dedicated Telephone Advice Service; or</li> <li>• otherwise conflicts with the requirements of question 1a (i); or</li> <li>• provides insufficient or unclear information that does not allow LAA to verify the accuracy of the Applicant's answer to question 1a (i)</li> </ul> <p>the LAA may re-score the response, including re-scoring the response to 0 points for question 1a(i).</p>  |   |  |
| 1a (iv) | <p>Please provide evidence that the Dedicated Telephone Advice Service managed by the Named Individual received at least 5,500 calls per year for each year as set out in the option you have selected in question 1a (i).</p> <p>Evidence may be in the form of, but is not limited to:</p> <ul style="list-style-type: none"> <li>• annual/monthly call volumes data;</li> <li>• call records; or</li> <li>• any other evidence which demonstrates that the Named Individual meets the experience as set out in the option you have selected in question 1a(i).</li> </ul> <p>Where the details provided in response to this question:</p> <ul style="list-style-type: none"> <li>• demonstrates that the Named Individual did not manage the service as defined in the question; or</li> <li>• demonstrates the service described does not constitute a Dedicated Telephone Advice Service; or</li> <li>• otherwise conflicts with the requirements of question 1a (i); or</li> <li>• provides insufficient or unclear information that does not allow LAA to verify the accuracy of the Applicant's answer to question 1a (i)</li> </ul> <p>the LAA may re-score the response, including re-scoring the response to 0 points for question 1a(i).</p> | Attachment  |  |
| 1b (i)  | <p>Please select the answer from the following three options which is applicable to you.</p> <p>A. The Applicant currently employs (or has a Signed Engagement Agreement to employ) a Named Individual who:</p> <ul style="list-style-type: none"> <li>• will be a member of the Management Team on the Service Commencement Date; and</li> <li>• will be deployed on Contract Work and based in the Office where the Contract Work will be delivered for at least 17.5 hours per week; and</li> </ul>   | <p>A (3 points)<br/>(Answer 1b (ii) – 1b (iv))</p> <p>B (2 points)<br/>(Answer 1a (ii) – 1a (iv))</p> |  |



|         |   |                                |  |
|---------|---|--------------------------------|--|
|         | <ul style="list-style-type: none"> <li>• has managed a Dedicated Telephone Advice Service for at least 12 months in the last three years, which received more than 10,000 calls during 12 months when the Named Individual managed the service.</li> </ul> <p>B. The Applicant currently employs (or has a Signed Engagement Agreement to employ) a Named Individual who:</p> <ul style="list-style-type: none"> <li>• will be a member of the Management Team on the Service Commencement Date; and</li> <li>• will be deployed on Contract Work and based in the Office where the Contract Work will be delivered for at least 17.5 hours per week; and</li> <li>• has managed a Dedicated Telephone Advice Service for at least 12 months in the last three years, which received between 5,500 and 10,000 calls during 12 months when the Named Individual managed the service.</li> </ul> <p>C: None of the above.</p>   | C (0 points)<br>(Answer 2 (i)) |  |
| 1b (ii) | <p>If you answered A or B for question 1b (i) please provide the following details:</p> <ul style="list-style-type: none"> <li>• The name of the Named Individual in your Management Team;</li> <li>• The date their employment commenced/will commence with the Applicant;</li> <li>• The organisation with which the experience was gained;</li> <li>• Their status and job title in the organisation where the Dedicated Telephone Advice Service was delivered;</li> <li>• The start and end dates (where applicable) of the period from which their experience was obtained;</li> <li>• Information on the Dedicated Telephone Advice Service managed, including: <ul style="list-style-type: none"> <li>○ FTE telephone agents/caseworkers;</li> <li>○ Service opening hours;</li> <li>○ Volume of calls managed per year;</li> <li>○ The call quality activity undertaken.</li> </ul> </li> </ul> <p>Where the Dedicated Telephone Advice Service was delivered at an organisation other than the Applicant, the individual completing the Declaration is responsible for ensuring the information provided is correct.</p> <p><b>Please note:</b></p> <p><b>Where you have identified the same Named Individual at question 1a (ii) and have already provided a copy of that Named Individual's contract of employment or Signed Engagement Agreement at question 1a (iii), you are not required to upload a further copy in response to question 1b (iii).</b></p> <p>Where the details provided in response to this question or other evidence:</p> <ul style="list-style-type: none"> <li>• demonstrates that the Named Individual did not manage the service as defined in the question; or</li> <li>• demonstrates the service described does not constitute a Dedicated Telephone Advice Service; or</li> <li>• otherwise conflicts with the requirements of question 1b (i)</li> </ul> | Free Text                      |  |

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|----------|--|------------|--|
|          | the LAA may re-score the response, including re-scoring the response to 0 points for question 1b (i).  |            |  |
| 1b (iii) | <p>Please provide a copy of the Named Individual's contract of employment or Signed Engagement Agreement</p> <p>Please note:</p> <p>Where you have identified the same Named Individual at question 1a (ii) and have already provided a copy of that Named Individual's contract of employment or Signed Engagement Agreement at question 1a (iii), you are not required to upload a further copy in response to question 1b (iii).</p> <p>Where you choose to upload a further copy at question 1b (iii) and this information is different to that submitted at question 1a (iii), the LAA will use the response submitted as part of question 1b (ii) and that contract of employment or Signed Engagement Agreement submitted in response to question 1a (iii) to verify the Applicant's response to question</p> <p>In all other circumstances, where the details provided in response to this question:</p> <ul style="list-style-type: none"> <li>• demonstrates that the Named Individual did not manage the service as defined in the question; or</li> <li>• demonstrates the service described does not constitute a Dedicated Telephone Advice Service; or</li> <li>• otherwise conflicts with the requirements of question 1b (i); or</li> <li>• provides insufficient or unclear information that does not allow LAA to verify the accuracy of the Applicant's answer to question 1b (i)</li> </ul> <p>the LAA may re-score the response, including re-scoring the response to 0 points for question 1b(i).</p> | Attachment |  |
| 1b (iv)  | <p>Please provide evidence that the Dedicated Telephone Advice Service managed by the Named Individual received either more than 10,000 or between 5,500 and 10,000 calls for at least 12 months in the last three years as set out in the option you have selected in question 1b (i).</p> <p>Evidence may be in the form of, but is not limited to:</p> <ul style="list-style-type: none"> <li>• annual/monthly call volumes data;</li> <li>• call records; or</li> <li>• any other evidence which demonstrates that the Named Individual meets the experience as set out in the option you have selected in question 1b (i).</li> </ul> <p>Where the details provided in response to this question:</p> <ul style="list-style-type: none"> <li>• demonstrates that the Named Individual did not manage the service as defined in the question; or</li> </ul>  | Attachment |  |

|  |  |  |  |
|--|--|--|--|
|  | <ul style="list-style-type: none"> <li>• demonstrates the service described does not constitute a Dedicated Telephone Advice Service; or</li> <li>• otherwise conflicts with the requirements of question 1b (i); or</li> <li>• provides insufficient or unclear information that does not allow LAA to verify the accuracy of the Applicant's answer to question 1b (i)</li> </ul> <p>the LAA may re-score the response, including re-scoring the response to 0 points for question 1b (i).</p> |  |  |
|--|--|--|--|

| <b><u>Implementation of a Dedicated Telephone Advice Service</u></b>   |  | <b>Response</b>  | <b>Total Score Available</b> |
|--|--|--|------------------------------|
| <p>Preference will be given to Applicants who currently employ (or have a Signed Engagement Agreement to employ) a Named Individual in their Management Team, who will be deployed on the implementation of the service between the Contract Start Date and Service Commencement Date and who has experience in the last three years of implementing a Dedicated Telephone Advice Service receiving at least 5,500 calls per year.</p> <p>Implementation includes:</p> <ul style="list-style-type: none"> <li>• having responsibility for the service successfully starting on the applicable service commencement date</li> <li>• having overall responsibility for producing and managing a project plan, ensuring sufficient staffing infrastructure and other resources are in place,</li> <li>• ensuring risks to implementation are effectively monitored and managed, and</li> <li>• being the main point of liaison for the customer's contract manager (where it is a contracted service).</li> </ul> |  |  |                              |
| 2 (i)  | <p>Please select the answer from the following two options which is applicable to you.</p> <p>A : The Applicant currently employs (or has a Signed Engagement Agreement to employ) a Named Individual who:</p> <ul style="list-style-type: none"> <li>• will be a member of the Management Team at the Contract Start Date; and</li> <li>• will be deployed on the implementation of the Service between the Contract Start Date and Service Commencement Date; and</li> <li>• has in the last three years implemented a Dedicated Telephone Advice Service receiving at least 5,500 calls per year.</li> </ul> <p>B : The Applicant currently <b>does not</b> employ (or has a Signed Engagement Agreement to employ) a Named Individual who:</p> | <p>A (2 points)<br/>(Answer 2 (ii) – (iii))</p> <p>B (0 points)<br/>(Answer 3 (i))</p> | 2                            |

|        |  |           |  |
|--------|--|-----------|--|
|        | <ul style="list-style-type: none"> <li>• will be a member of the Management Team at the Contract Start Date; and</li> <li>• who will be deployed on the implementation of the Service between the Contract Start Date and Service Commencement Date; and</li> <li>• has in the last three years has implemented a Dedicated Telephone Advice Service receiving at least 5,500 calls per year</li> </ul>  |           |  |
| 2 (ii) | <p>Please provide the following details:</p> <ul style="list-style-type: none"> <li>• The name of the Named Individual in the Applicant's Management Team.</li> <li>• The date their employment commenced/will commence with the Applicant.</li> <li>• The organisation with which the experience was gained.</li> <li>• Their status and job title in the organisation where the contract or Dedicated Telephone Advice Service was implemented.</li> <li>• The start and end dates (where applicable) of the period from which their experience was obtained.</li> <li>• Information on the contract or Dedicated Telephone Advice Service managed, including: <ul style="list-style-type: none"> <li>○ A description of what was delivered under the contract or by the service;</li> <li>○ The number of <b>FTE</b> delivering the contract or service and their roles;</li> <li>○ The value of the contract of service;</li> <li>○ The volume of calls (where applicable).</li> </ul> </li> </ul> <p>Where the Dedicated Telephone Advice Service was delivered at an organisation other than the Applicant, the individual completing the Declaration in the Technical Envelope is responsible for ensuring the information provided is correct.</p> <p><b>Please note:</b></p> <p><b>Where you have identified the same Named Individual at question 1a (ii) or 1b (ii) and have already provided a copy of that Named Individual's contract of employment or Signed Engagement Agreement at question 1a (iii) or 1b (iii), you are not required to upload a further copy in response to question 2 (iii).</b></p> <p>Where the details provided in response to this question:</p> <ul style="list-style-type: none"> <li>• demonstrates that the Named Individual did not manage the implementation of the service as defined in the question; or</li> <li>• demonstrates the service described does not constitute a Dedicated Telephone Advice Service; or</li> <li>• otherwise conflicts with the requirements of question 2 (i); or</li> <li>• provides insufficient or unclear information that does not allow LAA to verify the accuracy of the Applicant's answer to question 2(i)</li> </ul> | Free text |  |

|         |   |            |  |
|---------|---|------------|--|
|         | the LAA may re-score the response, including re-scoring the response to 0 points for question (i).  |            |  |
| 2 (iii) | <p>Please provide a copy of the Named Individual's contract of employment or Signed Engagement Agreement.</p> <p>Please note:</p> <p>Where you have identified the same Named Individual at question 1a (ii) or 1b (ii) and have already provided a copy of that Named Individual's contract of employment or Signed Engagement Agreement at question 1a (iii), you are not required to upload a further copy in response to question 2 (iii).</p> <p>Where you choose to upload a further copy at question 2 (iii) and this information is different to that submitted at question 1a (iii) or 1b (iii), the LAA will use the response submitted as part of question 2 (ii) and that contract of employment or Signed Engagement Agreement submitted in response to question 1a (iii) to verify the Applicant's response to question</p> <p>In all other circumstances, where the details provided in response to this question:</p> <ul style="list-style-type: none"> <li>• demonstrates that the Named Individual did not manage the service as defined in the question; or</li> <li>• demonstrates the service described does not constitute a Dedicated Telephone Advice Service; or</li> <li>• otherwise conflicts with the requirements of question 2 (i); or</li> <li>• provides insufficient or unclear information that does not allow LAA to verify the accuracy of the Applicant's answer to question 2 (i)</li> </ul> <p>the LAA may re-score the response, including re-scoring the response to 0 points for question 2 (i).</p> | Attachment |  |

| <b><u>Caseworkers</u></b>  | <b>Response</b> | <b>Total Score Available</b> |
|--|-----------------|------------------------------|
| <p>Preference will be given to Applicants who currently employ (or have a Signed Engagement Agreement to employ) a higher ratio of Caseworkers (in addition to Supervisors) who:</p> <p>i) will deliver the Service in the Housing and Debt categories from the Service Commencement Date as set out in their Resourcing Plan and</p> <p>ii) have individually provided advice to clients in at least 50 cases in the Housing and Debt Categories in a 12-month period in the 24 months preceding the submission of the Applicant's Tender.</p> <p>Applicants are permitted to include cases delivered either through legal aid contracts or non-legal aid work.</p> |                 |                              |

|         |   |   |   |
|---------|---|---|---|
| 3 (i)   | <p>Please select the answer from the following three options which is applicable to you:</p> <p>A. Of the Caseworkers you intend to use to deliver the Contract Work from the Service Commencement Date as set out in your Resourcing Plan, at least 75%:</p> <ul style="list-style-type: none"> <li>• Are Named Individuals who you currently employ (or have a Signed Engagement Agreement to employ); and</li> <li>• Have provided advice to clients in at least 50 cases in the Housing and Debt categories in a 12-month period in the 24 months preceding the submission of your Tender.</li> </ul> <p>B. Of the Caseworkers you intend to use to deliver the Contract Work from the Service Commencement Date as set out in your Resourcing Plan, between 25% and 74%:</p> <ul style="list-style-type: none"> <li>• Are Named Individuals who you currently employ (or have a Signed Engagement Agreement to employ); and</li> <li>• Have provided advice to client in at least 50 cases in the Housing and Debt Categories in a 12-month period in the 24 months preceding the submission of your Tender.</li> </ul> <p>C. Of the Caseworkers you intend to use to deliver the Contract Work from the Service Commencement Date as set out in your Resourcing Plan, less than 25%:</p> <ul style="list-style-type: none"> <li>• Are Named Individuals who you currently employ (or has a Signed Engagement Agreement to employ); and</li> <li>• Have provided advice to clients in at least 50 cases in the Housing and Debt Categories in a 12-month period in the 24 months preceding the submission of your Tender.</li> </ul> | <p>A (4 points)<br/>(Answer 3 (ii) – 3 (iv))</p> <p>B (2 points)<br/>(Answer 3 (ii) – 3 (iv))</p> <p>C (0 point)<br/>(Answer 4 (i))</p> | 4 |
| 3 (ii)  | Please provide the names of the Caseworkers who meet the requirement as set out in the answer option you have selected  | Free text   |   |
| 3 (iii) | <p>Please provide a copy of each Caseworker's contract(s) of employment or Signed Engagement Agreement(s)</p> <p>Please note: Caseworker's contracts of employment and/or Signed Engagement Agreements must be attached as a single document into the e-Tendering system. Where you currently hold these individually you must collate these documents into a single file before you can upload them into your ITT Response.</p> <p>Where the details provided in response to this question:</p> <ul style="list-style-type: none"> <li>• demonstrates that the Caseworkers do not have the experience as defined in the question; or</li> <li>• otherwise conflicts with the requirements of question 3 (i); or</li> <li>• provides insufficient or unclear information that does not allow LAA to verify the accuracy of the Applicant's answer to question 3 (i)</li> </ul>  | Attachment  |   |

|        |   |            |  |
|--------|---|------------|--|
|        | the LAA may re-score the response, including re-scoring the response to 0 points for question 3 (i).  |            |  |
| 3 (iv) | <p>Please provide evidence of 50 cases on which each Caseworker has provided advice to clients in the Housing and Debt Category in a 12-month period in the 24 months preceding the submission of your Tender.</p> <p>Evidence may be in the form of, but is not limited to:</p> <ul style="list-style-type: none"> <li>• Case lists for each Caseworker including client name, UFN or case reference, date Caseworker last worked on the file; or</li> <li>• any other evidence which demonstrates that each Caseworker meets the experience as set out in question 3 (i).</li> </ul> <p>Please note: Caseworker case experience evidence be attached as a single document into the e-Tendering system. Where you currently hold these individually you must collate these documents into a single file before you can upload them into your ITT Response.</p> <p>Where the details provided in response to this question:</p> <ul style="list-style-type: none"> <li>• demonstrates that the Caseworkers do not have the experience as defined in the question; or</li> <li>• otherwise conflicts with the requirements of question 3 (i); or</li> <li>• provides insufficient or unclear information that does not allow LAA to verify the accuracy of the Applicant's answer to question 3 (i)</li> </ul> <p>the LAA may re-score the response, including re-scoring the response to 0 points for question 3 (i).</p> | Attachment |  |

| <b><u>Caseworkers</u></b>  | <b>Response</b> | <b>Total Score Available</b> |
|--|-----------------|------------------------------|
| <p>Preference will be given to Applicants who can evidence that they currently employ (or have a Signed Engagement Agreement to employ) a higher ratio of Caseworkers (not including Supervisors) who:</p> <p>i) will deliver the Contract Work in the Housing and Debt Categories from the Service Commencement Date as set out in their Resourcing Plan, and</p> <p>ii) have individually provided advice to clients at least 100 cases in the Housing and Debt categories in a 12-month period in the 24 months preceding the submission of the Applicant's Tender.</p> |                 |                              |

|   |   |   |   |
|---|---|---|---|
| Applicants are permitted to include cases delivered either through legal aid contracts or non-legal aid work. |   |   |   |
| 4 (i)   | <p>Please select the answer from the following two options which is applicable to you:</p> <p>A. Of the Caseworkers you intend to use to deliver the Contract Work from the Service Commencement Date as set out in your Resourcing Plan, at least 50%:</p> <ul style="list-style-type: none"> <li>• Are Named Individuals who you currently employ (or have a Signed Engagement Agreement to employ); and</li> <li>• Have provided advice to Clients in at least 100 cases in the Housing and Debt Categories in a 12-month period in the 24 months preceding the submission of your Tender.</li> </ul> <p>B. Of the Caseworkers you intend to use to deliver the Contract Work from the Service Commencement Date as set out in your Resourcing Plan less than 50%:</p> <ul style="list-style-type: none"> <li>• Are Named Individuals who you currently employ (or have a Signed Engagement Agreement to employ); and</li> <li>• Have delivered at least 100 cases in the Housing and Debt Categories a 12-month period in the 24 months preceding the submission of your Tender.</li> </ul> | <p>A (3 points)<br/>(Answer 4 (ii) – 4 (iv))</p> <p>B (0 points)<br/>(Answer 5 (i))</p> | 3 |
| 4 (ii)  | <p>Please provide the names of the Caseworkers who meet the requirement as set out in the answer option you have selected</p> <p><b>Please note:</b></p> <p><b>Where you have identified the same Caseworkers at question 3 (ii) and have already provided a copy of the Caseworker's contract of employment or Signed Engagement Agreement at question 3 (iii), you are not required to upload a further copy in response to question 4 (iii).</b></p>   | Free text   |   |
| 4 (iii)   | <p>Please provide a copy of each Caseworker's contract(s) of employment or Signed Engagement Agreement(s)</p> <p>Please note: Caseworker's contracts of employment and/or Signed Engagement Agreements must be attached as a single document into the e-Tendering system. Where you currently hold these individually you must collate these documents into a single file before you can upload them into your ITT Response.</p> <p>Please note:</p> <p>Where, in this requirement, you identify the same Caseworker(s) as at question 3 (ii) and have already provided a copy of that Caseworker's contract of employment or Signed Engagement Agreement at question 3 (iii), you are not required to upload a further copy in response to question 4 (iii).</p> <p>Where you choose to upload a further copy at question 4 (iii) and this information is different to that submitted at</p>   | Attachment  |   |



|        |  |            |  |
|--------|--|------------|--|
|        | <p>question 3 (iii), the LAA will use the contract of employment or Signed Engagement Agreement submitted in response to question 3 (iii) to verify the Applicant's response to question</p> <p>In all other circumstances, where the details provided in response to this question:</p> <ul style="list-style-type: none"> <li>• demonstrates that the Caseworkers do not have the experience as defined in the question; or</li> <li>• otherwise conflicts with the requirements of question 4(i); or</li> <li>• provides insufficient or unclear information that does not allow LAA to verify the accuracy of the Applicant's answer to question 4(i)</li> </ul> <p>the LAA may re-score the response, including re-scoring the response to 0 points for question 4(i).</p>  |            |  |
| 4 (iv) | <p>Please provide evidence of 100 cases on which each Caseworker has provided specialist legal advice to clients in the Housing and Debt Category in a 12-month period in the 24 months preceding the submission of your Tender.</p> <p>Evidence may be in the form of, but is not limited to:</p> <ul style="list-style-type: none"> <li>• Case lists for each Caseworker (and which identifies the relevant Caseworker) including client name, UFN or case reference, date Caseworker last worked on the file; or</li> <li>• any other evidence which demonstrates that each Caseworker meets the experience as set out in question 4 (i).</li> </ul> <p>Please note: Caseworker case experience evidence be attached as a single document into the e-Tendering system. Where you currently hold these individually you must collate these documents into a single file before you can upload them into your ITT Response.</p> <p>Where the details provided in response to this question:</p> <ul style="list-style-type: none"> <li>• demonstrates that the Caseworkers do not have the experience as defined in the question; or</li> <li>• otherwise conflicts with the requirements of question 4 (i); or</li> <li>• provides insufficient or unclear information that does not allow LAA to verify the accuracy of the Applicant's answer to question 4 (i)</li> </ul> <p>the LAA may re-score the response, including re-scoring the response to 0 points for question 4 (i).</p> | Attachment |  |

|                           |                 |                              |
|---------------------------|-----------------|------------------------------|
| <b><u>Supervisors</u></b> | <b>Response</b> | <b>Total Score Available</b> |
|---------------------------|-----------------|------------------------------|

|   |   |   |   |
|---|---|---|---|
| <p>Preference will be given to Applicants who can evidence that they currently employ (or has a Signed Engagement Agreement to employ) a higher ratio of Supervisors who:</p> <p>i) will deliver the Contract Work from the Service Commencement Date as set out in the Applicant's Resourcing Plan, and</p> <p>ii) Currently meet the Supervisor requirements set out in the Housing and Debt Category Specific Rules.</p> |   |   |   |
| 5 (i)   | <p>Please select the answer from the following two options which is applicable to you:</p> <p>A. Of the Supervisors you intend to use to deliver the Contract Work from the Service Commencement Date as set out in your Resourcing Plan, at least 50%:</p> <ul style="list-style-type: none"> <li>• Are Named Individuals who you currently employ (or have a Signed Engagement Agreement to employ); and</li> <li>• Currently meet the Supervisor requirements of the set out in the Housing and Debt Category Specific Rules.</li> </ul> <p>A. Of the Supervisors you intend to use to deliver the Contract Work from the Service Commencement Date as set out in your Resourcing Plan, less than 50%:</p> <ul style="list-style-type: none"> <li>• Are Named Individuals who you currently employ (or have a Signed Engagement Agreement to employ); and</li> <li>• Currently meet the Supervisor requirements of the set out in the Housing and Debt Category Specific Rules.</li> </ul> | <p>A (4 points)<br/>(Answer 5 (ii) – 5 (iv))</p> <p>B (0 points)<br/>(Answer 6 (i))</p> | 4 |
| 5 (ii)  | Please provide the names of the Supervisors who meet the requirement as set out in the answer option you have selected  | Free text   |   |
| 5 (iii)   | <p>Please provide a copy of each Supervisor's contract of employment or Signed Engagement Agreement.</p> <p>Please note: Supervisors' contracts of employment and/or Signed Engagement Agreements must be attached as a single document into the e-Tendering system. Where you currently hold these individually you must collate these documents into a single file before you can upload them into your ITT Response.</p> <p>Where the details provided in response to this question:</p> <ul style="list-style-type: none"> <li>• demonstrates that the Supervisors do not have the experience as defined in the question; or</li> <li>• otherwise conflicts with the requirements of question 5 (i); or</li> <li>• provides insufficient or unclear information that does not allow LAA to verify the accuracy of the Applicant's answer to question 5 (i)</li> </ul> <p>the LAA may re-score the response, including re-scoring the response to 0 points for question 5 (i).</p>         | Attachment  |   |

|        |  |            |  |
|--------|--|------------|--|
| 5 (iv) | <p>Please provide a copy of each Supervisor's Housing and Debt Supervisor Declaration Form.</p> <p>A copy of the Housing and Debt Supervisor Declaration Form can be found in the "Buyer Attachments" section of the e-Tendering system</p> <p>Please note: Supervisors' Housing and Debt Supervisor Declaration Forms must be attached as a single document into the e-Tendering system. Where you currently hold these individually you must collate these documents into a single file before you can upload them into your ITT Response.</p> <p>Where the details provided in response to this question:</p> <ul style="list-style-type: none"> <li>• demonstrates that the Supervisors do not have the experience as defined in the question; or</li> <li>• otherwise conflicts with the requirements of question 5 (i); or</li> <li>• provides insufficient or unclear information that does not allow LAA to verify the accuracy of the Applicant's answer to question 5 (i)</li> </ul> <p>the LAA may re-score the response, including re-scoring the response to 0 points for question 5 (i).</p> | Attachment |  |
|--------|--|------------|--|

| <b><u>Supervisors</u></b>  |   | <b>Response</b>  | <b>Total Score Available</b> |
|--|---|--|------------------------------|
| <p>Preference will be given to Applicants who can evidence that they currently employ (or have a Signed Engagement Agreement to employ) at least 1 FTE Supervisor(s) who will supervise the Contract Work and who have supervised the delivery of at least 4 cases of housing possession mortgage arrears specialist legal advice in a 12-month period in the 24 months preceding the submission of the Applicant's Tender.</p> <p>Applicants are permitted to include cases delivered either through legal aid contracts or non-legal aid work.</p> |   |  |                              |
| 6 (i)  | <p>Please select the answer from the following two options which is applicable for you:</p> <p>A. You currently employ (or have a Signed Engagement Agreement to employ) at least 1 FTE Supervisor(s) who you will use to supervise the delivery of the Contract Work from the Service Commencement Date who have supervised the delivery of at least 4 cases in housing possession mortgage arrears specialist legal advice during a 12-month period in the 24 months preceding the submission of your Tender.</p> <p>Or</p> | <p>A (3 points)<br/>(Answer 6 (ii) – 6 (iii))</p> <p>B (0 points)<br/>(Answer 7 (i))</p> | 3                            |

|         |   |            |  |
|---------|---|------------|--|
|         | B. You do not currently employ (or have a Signed Engagement Agreement to employ) at least 1 FTE Supervisor(s) who you will use to supervise the delivery of the Service from the Service Commencement Date comprised of individuals who have supervised the delivery of at least 4 cases in housing possession mortgage arrears specialist legal advice during a 12-month period in the 24 months preceding the submission of your Tender.  |            |  |
| 6 (ii)  | <p>Please provide the names of the Supervisors who meet the requirement as set out in the answer option you have selected</p> <p><b>Please note:</b></p> <p><b>Where you have identified the same Supervisors at question 5 (ii) and have already provided a copy of the Supervisor's contract of employment or Signed Engagement Agreement at question 5 (iii), you are not required to upload a further copy in response to question 6 (iv).</b></p>  |            |  |
| 6 (iii) | <p>Please provide evidence of 4 cases in housing possession mortgage arrears specialist legal advice during a 12-month period in the 24 months preceding the submission of your Tender.</p> <p>Evidence may be in the form of, but is not limited to:</p> <ul style="list-style-type: none"> <li>• Case lists for each Supervisor (and which identifies the relevant Supervisor) including client name, UFN or case reference, date Supervisor last worked on the file; or</li> <li>• any other evidence which demonstrates that each Supervisor meets the experience as set out in question 6 (i).</li> </ul> <p>Please note: Supervisor case experience evidence be attached as a single document into the e-Tendering system. Where you currently hold these individually you must collate these documents into a single file before you can upload them into your ITT Response.</p> <p>Where the details provided in response to this question:</p> <ul style="list-style-type: none"> <li>• demonstrates that the Supervisors do not have the experience as defined in the question; or</li> <li>• otherwise conflicts with the requirements of question 6 (i); or</li> <li>• provides insufficient or unclear information that does not allow LAA to verify the accuracy of the Applicant's answer to question 6 (i)</li> </ul> <p>the LAA may re-score the response, including re-scoring the response to 0 points for question 6 (i).</p> | Attachment |  |
| 6 (iv)  | <p>Please provide a copy of each Supervisor's contract(s) of employment or Signed Engagement Agreement(s)</p> <p>Please note:</p>   | Attachment |  |

|  |   |  |  |
|--|---|--|--|
|  | <p>Where, in this requirement, you identify the same Supervisor(s) as at question 5 (ii) and have already provided a copy of that Caseworker's contract of employment or Signed Engagement Agreement at question 5 (iii), you are not required to upload a further copy in response to question 6 (iv).</p> <p>Where you choose to upload a further copy at question 6 (iv) and this information is different to that submitted at question 5 (iii), the LAA will use the contract of employment or Signed Engagement Agreement submitted in response to question 5 (iii) to verify the Applicant's response to question</p> <p>In all other circumstances, where the details provided in response to this question:</p> <ul style="list-style-type: none"> <li>• conflicts with the requirements of question 6 (i); or</li> <li>• provides insufficient or unclear information that does not allow LAA to verify the accuracy of the Applicant's answer to question 6 (i)</li> </ul> <p>the LAA may re-score the response, including re-scoring the response to 0 points for question 6 (i).</p> |  |  |
|--|---|--|--|

|       |   |   |                               |
|-------|---|---|-------------------------------|
|       | <p><b><u>Technical Infrastructure</u></b></p> <p>It is a minimum requirement that the Applicant will have the necessary telephony infrastructure in place to meet requirements of Annex 8 of the CLA Contract no later than six weeks prior to the Service Commencement Date.</p> <p>Preference will be given to Applicants who can evidence that they currently have the required telephony infrastructure in place and already provide a telephone-based service. As a minimum, the telephony infrastructure should allow the ability to receive calls directly from the PSTN via dedicated DDI's and should deliver call quality in accordance with ITU-T recommendations.</p> | <b>Response</b>   | <b>Total Points Available</b> |
| 7 (i) | <p>Please select the answer from the following two options which is applicable for you:</p> <p>A: You currently have the required telephony infrastructure in place and already provide a telephone-based service that receives Calls directly from the PSTN via dedicated DDI's and delivers call quality in accordance with ITU-T recommendations.</p> <ul style="list-style-type: none"> <li>• B: You do not currently have the required telephony infrastructure in place to provide a telephone-based service that receives Calls directly from the PSTN via dedicated DDI's and delivers call quality in accordance with ITU-T recommendations.</li> </ul>                  | <p>A (2 points)<br/>(Answer 7 (ii) – 7 (iii))</p> <p>B (0 points)</p> | 2                             |

|        |  |           |  |
|--------|--|-----------|--|
| 7 (ii) | <p>Please provide the name and/or model of your telephony system.</p> <p>Where the details provided in response to this question:</p> <ul style="list-style-type: none"> <li>• conflicts with the requirements of question 7 (i); or</li> <li>• provides insufficient or unclear information that does not allow LAA to verify the accuracy of the Applicant's answer to question 7 (i)</li> </ul> <p>the LAA may re-score the response, including re-scoring the response to 0 points for question 7 (i).</p> | Free text |  |
|--------|--|-----------|--|

ANNEX D: QUALITY AWARD CRITERIA AND ASSESSMENT

The Quality Award Criteria are summarised below.

Quality Award Criteria for Education and Discrimination Categories

|                              | Award Criteria                                | Sub-criteria  | Sub-criteria Weighting                                    | Award Criteria Weighting | Total Award Criteria Weighting |
|------------------------------|---|---|---|--------------------------|--------------------------------|
| Quality (Technical Envelope) | Non-assessed information (Pass/Fail Elements) | <p>N1 -Submission Requirement: Staff Organogram</p> <p>Please provide your Staff Organogram showing all staff that will be deployed to implement and deliver the Contract Work and the role they will each undertake. This includes Key Personnel, Supervisors, Caseworkers, and Management Team. For each role, you need to provide:</p> <p>a) the name of the staff member employed (or with a Signed Engagement Agreement to employ). Alternatively, indicate where the post is vacant;</p> <p>b) the title of their role, the main duties to be performed and their relevant qualifications for delivering the Service;</p> <p>c) the number of hours per week each staff member will work delivering the Service, stipulating the proportion of an FTE that the role provides;</p> <p>d) the basis of their employment (permanent, fixed term, temporary). Where temporary, stipulate how long the position will last;</p> <p>e) reporting structures.</p> | Pass/Fail<br>(Pass = provision of N1 Staff Organogram)    |                          |                                |
|                              |   | <p>N2-Submission Requirement: Resourcing Plan</p> <p>Please complete and upload a Resourcing Plan Template.</p> <p>Copies of the Resourcing Plan pro forma can be accessed and downloaded from the 'Buyer Attachments' section in the applicable ITT.</p>   | Pass/Fail<br>(Pass = provision of N2 Resourcing Plan)     |                          |                                |
|                              |   | <p>N3 -Submission Requirement: Implementation Plan</p> <p>Please complete and upload an Implementation Plan to demonstrate how the service will be operational by Service Commencement Date and how this will be achieved.</p> <p>Your Implementation Plan must indicate the timetable and milestones which you will meet to ensure that all aspects of the Contract Work will be ready, specifically:</p> <p>a) Recruitment;</p> <p>b) IT &amp; telephony infrastructure;</p> <p>c) Office requirements;</p> <p>d) Induction plan;</p> <p>e) Achievement of Quality Standard;</p> <p>f) Delivery of Face to Face Advice.</p> <p>Copies of the Implementation Plan pro forma can be accessed and downloaded from the 'Buyer Attachments' section in the applicable ITT.</p>   | Pass/Fail<br>(Pass = provision of N3 Implementation Plan) |                          |                                |
|                              | 1: Staffing the Service                       | 1.1: Skills and experience of staff delivering specialist legal advice  | 7   | 22                       |                                |
|                              |   | 1.2: Skilled and experienced staff delivering Remote Advice   | 6   |                          |                                |
|                              |   | 1.3 Staff Recruitment   | 3   |                          |                                |

|                                      |   |  |   |    |    |
|--------------------------------------|---|--|---|----|----|
|                                      |   | 1.4 Succession Planning  | 3 |    | 60 |
|                                      |   | 1.5 Staff Training   | 3 |    |    |
|                                      | 2: Delivering a Quality Service           | 2.1: Supervision of staff delivering specialist legal advice - <i>Minimum scoring requirement of 2</i> | 5 | 13 |    |
|                                      |   | 2.2 Compliance with Service Standards  | 4 |    |    |
|                                      |   | 2.3 Performance against KPIs   | 4 |    |    |
|                                      | 3: Capacity Planning for the Service      | 3.1: Infrastructure  | 4 | 17 |    |
|                                      |   | 3.2a): Contract Resourcing - <i>Minimum scoring requirement of 2</i>                                   | 4 |    |    |
|                                      |   | 3.2 b) Ongoing Forecasting and Resourcing.   | 4 |    |    |
|                                      |   | 3.3: Expansion Resourcing  | 3 |    |    |
|                                      |   | 3.4 Business Continuity and Disaster Recovery plan   | 2 |    |    |
|                                      | 4: Implementation of the Service          | 4.1: Implementation Plan - <i>Minimum scoring requirement of 2</i>                                     | 5 | 5  |    |
| 5: Delivering a Face-to-Face service | 5.1: Delivering Face-to-Face CLA Services | 3  | 3 |    |    |
|                                      | Declaration                               |  |   |    |    |
| Declaration                          | Pass = (provision of signed declaration)  | Pass/Fail  |   |    |    |

#### Quality Award Criteria for Family and Housing & Debt Categories

|                                     | Award Criteria  | Sub-criteria  | Sub-criteria Weighting                                    | Award Criteria Weighting | Total Award Criteria Weighting |
|-------------------------------------|---|---|---|--------------------------|--------------------------------|
| <b>Quality (Technical Envelope)</b> | <b>Non-assessed information</b><br>(Pass/Fail Elements) | N1 -Submission Requirement: Staff Organogram<br><br>Please provide your Staff Organogram showing all staff that will be deployed to implement and deliver the Contract Work and the role they will each undertake. This includes Key Personnel, Supervisors, Caseworkers, and Management Team. For each role, you need to provide:<br><br>a) the name of the staff member employed (or with a Signed Engagement Agreement to employ). Alternatively, indicate where the post is vacant;<br>b) the title of their role, the main duties to be performed and their relevant qualifications for delivering the Service;<br>c) the number of hours per week each staff member will work delivering the Service, stipulating the proportion of an FTE that the role provides;<br>d) the basis of their employment (permanent, fixed term, temporary). Where temporary, stipulate how long the position will last.<br>e) reporting structures | Pass/Fail<br>(Pass = provision of N1 Staff Organogram)    |                          |                                |
|                                     |   | N2-Submission Requirement: Resourcing Plan<br><br>Please complete and upload a Resourcing Plan Template.<br><br>Copies of the Resourcing Plan pro forma can be accessed and downloaded from the 'Buyer Attachments' section in the applicable ITT.  | Pass/Fail<br>(Pass = provision of N2 Resourcing Plan)     |                          |                                |
|                                     |   | N3 -Submission Requirement: Implementation Plan<br><br>Please complete and upload an Implementation Plan to demonstrate how the service will be operational by Service Commencement Date and how this will be achieved.<br><br>Your Implementation Plan must indicate the timetable and milestones which you will meet to ensure that all aspects of the Contract Work will be ready, specifically:<br>a) Recruitment;  | Pass/Fail<br>(Pass = provision of N3 Implementation Plan) |                          |                                |
|                                     |   |   |   |                          |                                |



|  |                                      |   |   |    |    |
|--|--------------------------------------|---|---|----|----|
|  |                                      | <div>b) IT &amp; telephony infrastructure;<br/>c) Office requirements;<br/>d) Induction plan;<br/>e) Achievement of Quality Standard;</div> <div>Copies of the Implementation Plan pro forma can be accessed and downloaded from the 'Buyer Attachments' section in the applicable ITT.</div> |   |    |    |
|  | 1: Staffing the Service              | 1.1: Skills and experience of staff delivering specialist legal advice  | 7 | 22 | 60 |
|  |                                      | 1.2: Skilled and experienced staff delivering Remote Advice   | 6 |    |    |
|  |                                      | 1.3 Staff Recruitment   | 3 |    |    |
|  |                                      | 1.4 Succession Planning   | 3 |    |    |
|  |                                      | 1.5 Staff Training  | 3 |    |    |
|  | 2: Delivering a Quality Service      | 2.1: Supervision of staff delivering specialist legal advice - <i>Minimum scoring requirement of 2</i>  | 5 | 14 |    |
|  |                                      | 2.2 Compliance with Service Standards   | 5 |    |    |
|  |                                      | 2.3 Performance against KPIs  | 4 |    |    |
|  | 3: Capacity Planning for the Service | 3.1: Infrastructure   | 4 | 18 |    |
|  |                                      | 3.2a): Contract Resourcing - <i>Minimum scoring requirement of 2</i>  | 5 |    |    |
|  |                                      | 3.2 b) Ongoing Forecasting and Resourcing. -  | 4 |    |    |
|  |                                      | 3.3: Expansion Resourcing   | 3 |    |    |
|  |                                      | 3.4 Business Continuity and Disaster Recovery plan  | 2 |    |    |
|  | 4: Implementation of the Service     | 4.1: Implementation Plan - <i>Minimum scoring requirement of 2</i>  | 6 | 6  |    |
|  | Declaration                          | Pass/Fail   |   |    |    |

It is recommended that the Applicant review the Award Criteria Guidance at Annex E to understand the approach that will be taken to evaluating each question within the Award Criteria.

| <i>Award Criteria:<br/>1: Staffing the Service</i>                                  | This Award Criterion is about how the Applicant will ensure it has staff with sufficient skills and experience to deliver the Contract Work in accordance with the CLA Contract.  | Weighting in Education and Discrimination Categories |    | Weighting in Family and Housing and Debt Categories |    |
|---|---|--|----|---|----|
| 1.1<br><br><i>Skills and experience of staff delivering specialist legal advice</i> | Using the Named Individuals in your Staff Organogram in question N.1, please use the text box(es) provided to explain how the Caseworkers, Supervisors and Key Personnel have the skills and experience in delivering specialist legal advice in the Category of Law for which they have bid to effectively deliver a high quality of legal advice to clients.  | 7  | 22 | 7   | 22 |
| 1.2<br><br><i>Skills and experience of staff in delivering Remote Advice</i>        | Using the Named Individuals in your Staff Organogram in question N.1, please use the text box(es) provided to explain how the Caseworkers, Supervisors and Key Personnel have the skills and experience to deliver Remote Advice within a Dedicated Telephone Advice Service.   | 6  |    | 6   |    |
| 1.3<br><br><i>Staff Recruitment</i>   | <p>With reference to any vacancies identified in your Staff Organogram, in the text box(es) provided please outline the recruitment processes that you will undertake to fill any vacant post in your Staff Organogram (provided in answer to question N1) by the Service Commencement Date.</p> <p>If you currently have no vacant posts to fill you should state this and explain the process that you will follow if a post currently filled becomes vacant prior to the Service Commencement Date.</p> <p>This question is intended to assess the Applicant's plans to ensure the Service will be fully resourced with sufficiently skilled staff by the Service Commencement Date.</p> | 3  |    | 3   |    |

|   |   |   |    |   |    |
|---|---|---|----|---|----|
| 1.4<br><i>Succession Planning</i>                                     | Referring to the roles in your Staff Organogram given in answer to question N.1, in the text box(es) provided please outline how you will manage your ongoing recruitment and staff succession requirements throughout the entire Contract Period (including any extension periods) including the measures that you will take to motivate and retain staff.   | 3 |    | 3 |    |
| 1.5<br><i>Staff Training</i>  | Using the Named Individual (s) on your staff organogram given in answer to question N.1, in the text box(es) provided please explain how you will develop the knowledge and skills of staff in the longer term to maintain and increase the quality of the Service provided throughout the Contract Period. The response should include how you will assess the skills base of your Caseworker and Supervisor staff and ensure they develop their knowledge and skills. | 3 |    | 3 |    |
| <i>Delivering a Quality Service</i>                                   | This Award Criterion is about how Applicants will deliver a high-quality service with high levels of client care.   |   |    |   |    |
| 2.1<br><i>Supervision of staff delivering specialist legal advice</i> | Please use the text box(es) provided to outline how you will ensure effective Supervision to ensure the delivery of high-quality Contract Work.   | 5 | 13 | 5 | 14 |
| 2.2<br><i>Compliance with Service Standards</i>                       | Please use the text box(es) provided to outline how you will ensure you will comply with the Service Standards in Section 4 of the Specification.   | 4 |    | 5 |    |

|  |  |   |    |   |    |
|--|--|---|----|---|----|
| 2.3<br><br><i>Performance against KPIs</i> | <p>Please use the text box(es) provided to describe how you will monitor performance against Contract KPIs and how you will quickly and effectively take action in the event of a failure, or an identified risk of future failure, to meet a KPI</p> <p>As part of your response please refer, where applicable, to the Named Individual in your Staff Organogram given in answer to question N.1 who will be responsible for managing the delivery of the Service to meet the KPIs, and the skills and experience which will support their effective performance in this role.</p> | 4 |    | 4 |    |
| <i>Capacity Planning for the Service</i>   | This Award Criterion is about putting in place sufficient capacity to effectively deliver the Service.   |   |    |   |    |
| 3.1<br><br><i>Infrastructure</i>           | <p>Referring to the Implementation Plan given in answer to question N.3, please use the text box(es) provided to describe the telephony infrastructure which you will use to effectively deliver the Service stating clearly how you will manage and maintain this infrastructure to support the delivery of Contract Work throughout the Contract Period.</p> <p>If you already have the telephony infrastructure in place, please state this and outline how this meets the Contract requirement.</p>  | 4 | 17 | 4 | 18 |

|  |  |   |  |   |  |
|--|--|---|--|---|--|
| <p>3.2 a)</p> <p><i>Contract Resourcing</i></p>                | <p>In assessing the Contract resourcing proposed by the Applicant, the LAA will consider both the information contained in the Resourcing Plan submitted and the responses to question 3.2a) and 3.2b).</p> <p>Copies of the Resourcing Plan pro forma can be accessed and downloaded from the 'Buyer Attachments' section in the ITT.</p> <p>Please use the text box(es) provided to describe how you have determined that the number of Caseworkers and Supervisors which you have set out in the Resourcing Plan is sufficient to deliver the Contract Work. Your response should include how your Resourcing Plan will address unexpected short-term increases in Case volumes and any contingency processes if staff members are unavailable at short notice.</p> | 4 |  | 5 |  |
| <p>3.2b)</p> <p><i>Ongoing Forecasting and Resourcing.</i></p> | <p>In assessing the response to question 3.2 b) the LAA will consider both the information contained in the text boxes below and the Resourcing Plan submitted.</p> <p>Please use the text box(es) provided to describe how you will forecast Case volumes on an ongoing basis throughout the Contract Period and how you will adjust staffing resources delivering the Contract Work to ensure the Contract requirements are met in the event of:</p> <ul style="list-style-type: none"> <li>• Increasing Case volumes.</li> <li>• Decreasing Case volumes.</li> </ul>  | 4 |  | 4 |  |

|  |   |   |  |   |  |
|--|---|---|--|---|--|
| <p>3.3</p> <p><i>Expansion Resourcing</i></p>                                  | <p>If you are successfully awarded a Contract, the LAA may require you to deliver increased Case volumes during Core Hours and cover all Rota Hours at short notice (e.g. in circumstances where another CLA Provider in the Category is unable to fulfil their Contract).</p> <p>In the text box(es) provided, please describe how – in a short time frame - you would increase your capacity to effectively manage an increase in the Case volumes allocated to you by 100% (i.e. double) in the Category bid for using forecast Case Volumes provided in Annex A <b>and</b> cover double the Rota Hours.</p> <p>For the avoidance of doubt, in the Family Category this would mean providing the Contract Work as the sole Provider. In Education, Discrimination and Housing and Debt Categories it would mean delivering two thirds of the Case Volumes and Rota Hours across the Category.</p> <p>Your expansion plan should be outlined in the text box(es) provided, and you are not permitted to attach additional documents in response to this question.</p> | 3 |  | 3 |  |
| <p>3.4</p> <p><i>Business Continuity and Disaster Recovery plan (BCDR)</i></p> | <p>In the text box(es) provided please describe your BCDR which sets out how you will respond to an event which significantly disrupts, or threatens to significantly disrupt, the provision of the Contract Work. As a minimum, the BCDR should comply with the requirements of Annex 4 (IT requirements, the CMS and Business Continuity) of the CLA Contract and should cover risks identified to business continuity in the following areas:</p> <ul style="list-style-type: none"> <li>▪ Geographical;</li> <li>▪ Infrastructure;</li> <li>▪ Staff; and</li> <li>▪ Data.</li> </ul>  | 2 |  | 2 |  |

|   |  |   |   |     |     |
|---|--|---|---|-----|-----|
|   | <p>It should also outline plans for maintaining delivery of the Contract Work in the event that a risk, or another unforeseen event, materialises.</p> <p>Your BCDR must only be outlined in the text box(es) provided, and you are not permitted to attach additional documents in response to this question</p>  |   |   |     |     |
| <i>4 Implementing the Service</i>   | This Award Criterion is about how the Applicant would ensure they are ready to deliver the Contract Work for the Service Commencement Date.  |   |   |     |     |
| <p>4.1</p> <p><i>Implementation Plan</i></p>  | <p>We will assess the Implementation Plan provided in response to N3.</p> <p>Applicants that are currently delivering a service similar to the CLA Contract Work and are intending to utilise existing resources (e.g. infrastructure, processes) to deliver the CLA Contract should demonstrate how they will ensure those resources are adequate to successfully deliver the Contract Work from the Service Commencement Date in line with the CLA Contract.</p> | 5 | 5 | 6   | 6   |
| <p>5. Delivery of a Face-to-Face CLA Service</p> <p><i>(Discrimination and Education Categories only)</i></p> | This Award Criterion is about ensuring that an Applicant will be able to effectively deliver a national face-to-face service in each of the 7 Procurement Areas (in accordance with the CLA Contract) by the Service Commencement Date.  |   |   |     |     |
| <p>5.1</p> <p><i>Delivering Face-to-Face CLA Services</i></p>   | In the text box(es) provided and referring to the Implementation Plan given in answer to question N.3, please describe how you will effectively deliver a national Face-to-Face service.   | 3 | 3 | N/A | N/A |

## DECLARATION

**This section MUST BE COMPLETED by all Applicants wishing to bid for Services**

### Declaration

By completing and submitting this Tender the Applicant confirms that it will meet the following Minimum Requirements by the relevant latest date specified at paragraph 1.60 of the Civil Legal Advice Invitation To Tender Information For Applicants:

- Will have appropriate authorisation from a relevant legal sector regulator to deliver legal services; and
- Will have at least one Office that meets the relevant requirements set out in the Specification; and
- Will employ at least one Full-Time Equivalent Supervisor who meets the relevant Supervisor Standard in the Category; and
- Will have telephony and IT which meets the CLA Contract requirements in place and operational; and
- Will maintain a ratio of one Full-Time Equivalent Supervisor to four Caseworkers; and
- Will hold a relevant Quality Standard.

By completing and submitting this Tender I give my undertaking that I am either:

- the Compliance Officer for Legal Practice (COLP) or the individual intending to be the COLP where the Applicant is or intends to be authorised by the Solicitor Regulation Authority (SRA); or
- the Head of Legal Practice (HOLP) or the individual intending to be the HOLP where the Applicant is or intends to be authorised by the Bar Standards Board (BSB); or
- the Compliance Manager (CM) or the individual intending to be the CM where Applicant is or intends to be authorised by the Chartered Institute of Legal Executives (CILEx); or
- where the Applicant is not (and will not be) authorised by the SRA the BSB or CILEx, a member of Key Personnel who either (i) has decision and / or veto rights over decisions relating to the running of the Applicant; or (ii) has the right to exercise, or actually exercises, significant influence or control over the Applicant;

and am authorised to make this submission on behalf of the Applicant and that the answers submitted in this Tender are correct. I understand that the information will be used in the process to assess the Applicant's suitability to be offered a CLA Contract. I understand that the LAA may conduct verification checks and may reject this Tender if there is a failure to answer all relevant questions fully or the information provided is inaccurate in any material way. I understand the LAA will verify my Tender and I will be required to evidence the information and warranties in the Applicant's Tender, including in this ITT Response, at least six weeks before the Contract Start Date. I confirm that this Tender is compliant with the rules in relation to Connected Entities set out in paragraphs 2.7 to 2.13 of the IFA.



|     | <b>Question</b>  | <b>Response Type</b> |
|-----|--|----------------------|
| 5.1 | Name of person completing this Tender                            | Free Text Box        |
| 5.2 | Status within the Applicant organisation                         | Free Text Box        |
| 5.3 | Name of individual making declaration on behalf of the Applicant | Free Text Box        |
| 5.4 | Status within the Applicant organisation                         | Free Text Box        |

## ANNEX E: QUALITY AWARD CRITERIA GUIDANCE

It is recommended that Applicants review this guidance to understand the approach that will be taken to evaluating each question within the Quality Award Criteria.

### Award Criteria 1- Staffing the Service

| No.  | Sub-criteria  | Rationale   | Guidance   |
|--|---|---|--|
| This Award Criterion is about how the Applicant will ensure it has staff with sufficient skills and experience to deliver the Contract Work in accordance with the CLA Contract. |   |   |  |
| 1.1<br><br><i>Skills and experience of staff delivering specialist legal advice</i>  | Using the Named Individuals in your Staff Organogram in question N.1, please use the text box(es) provided to explain how the Caseworkers, Supervisors and Key Personnel have the relevant skills and experience in delivering specialist legal advice in the Category of Law for which they have bid to effectively deliver a high quality of legal advice to clients. | <p>This question is intended to assess the skills and experience of the Applicant and the Named Individuals relevant to Contract Work.</p> <p>Higher scores will be awarded to Applicants that provide the LAA with a high level of confidence that the Applicant will have skilled and experienced staff in place to deliver specialist legal advice in the relevant Category.</p> | <p><b>The answer should include:</b></p> <ul style="list-style-type: none"> <li>- A description of the breadth and depth of the skills and experience of: <ul style="list-style-type: none"> <li>• Caseworkers,</li> <li>• Supervisors, and</li> <li>• Key Personnel</li> </ul> </li> <li>- Details showing that Contract Work will be delivered by individuals with relevant skills and experience to deliver the Contract Work in the Category for which they have bid.</li> </ul> <p><b>Extra points may be awarded if the answer provides a higher level of assurance that advice will be delivered by individuals with significant skills and experience. This could include:</b></p> <ul style="list-style-type: none"> <li>- Supervisors to be deployed by the Applicant having experience in supervising the delivery of advice across a broad range of case types in the Category for which they have bid.</li> </ul> |

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|   |  |   | <ul style="list-style-type: none"> <li>- Caseworkers deployed by the Applicant having significant experience in delivering casework in the Category for which they have bid.</li> <li>- A high ratio of the staff the Applicant will deploy to perform Casework also meet the definition of a Supervisor in the Category for which they have bid.</li> </ul>   |
| <p>1.2</p> <p><i>Skills and experience of staff in delivering Remote Advice</i></p> | <p>Using the Named Individuals in your Staff Organogram in question N.1, please use the text box(es) provided to explain how the Caseworkers, Supervisors and Key Personnel have the skills and experience to deliver Remote Advice within a Dedicated Telephone Advice Service.</p> | <p>This question is intended to assess the skills and experience of the Applicant and the Named Individuals in delivering Remote Advice.</p> <p>For the avoidance of doubt, this question is concerned with the delivery and management of advice delivered to Clients through a Dedicated Telephone Advice Service as opposed to providing advice over the telephone as part of a Case which is primarily conducted through Face-to-Face Advice.</p> <p>Higher scores will be awarded to Applicants that provide the LAA with a high level of confidence that the Applicant will have an appropriate level of skilled and experienced staff in place to deliver Contract Work.</p> | <p><b>The answer should include:</b></p> <p>A description of the skills and experience of</p> <ul style="list-style-type: none"> <li>• Caseworkers,</li> <li>• Supervisors,</li> <li>• Key Personnel, and</li> <li>• Management Team</li> </ul> <ul style="list-style-type: none"> <li>- In delivering and managing advice to Clients through a Dedicated Telephone Advice Service.</li> <li>- Details showing that the Applicant will use Named Individuals with relevant skills and experience to deliver a Remote Advice services</li> <li>- Details showing that the Applicant will use Named Individuals who are experienced in identifying and responding to the needs of Clients in providing Remote Advice.</li> </ul> <p><b>Extra points may be awarded if the answer provides a higher level of assurance that advice will be delivered and managed by Named Individuals with significant skills and experience. This could include:</b></p> |

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|                                 |   |  | <ul style="list-style-type: none"> <li>- The majority of Caseworkers and Supervisors to be deployed on the Service having relevant skills and experience in the delivery of specialist legal advice delivered as Remote Advice.</li> <li>- Key Personnel and members of the Management Team having high levels of skills and experience of managing the delivery of a Dedicated Telephone Advice Service.</li> </ul>   |
| 1.3<br><i>Staff Recruitment</i> | <p>With reference to any vacancies identified in your Staff Organogram, in the text box(es) provided please outline the recruitment processes that you will undertake to fill any vacant post in your Staff Organogram (provided in answer to question N.1) by the Service Commencement Date.</p> <p>If you currently have no vacant posts to fill you should state this and explain the process that you will follow if posts currently filled become vacant prior to the Service Commencement Date.</p> | <p>This question is intended to assess the Applicant's plans to ensure the Service will be fully resourced with sufficiently skilled staff by the Service Commencement Date.</p> <p>Higher scores will be awarded to Applicants who provide the LAA with a higher level of confidence that the Applicant will have staff with sufficient skills and experience deployed to the Service by the Service Commencement Date.</p> | <p><b>The answer should include:</b></p> <ul style="list-style-type: none"> <li>- A description of the Applicant's plans to fill any vacant posts to ensure they are fully resourced with appropriately skilled staff for the Service Commencement Date.</li> <li>- In providing a response to this question the Applicant's answer should include dates and timescales for any recruitment activity along with the names and responsibilities of Key Personnel involved.</li> </ul> <p><b>Extra points may be awarded if the answer provides a higher level of assurance that the Individuals necessary to deliver the Service will be in place. This could include;</b></p> <ul style="list-style-type: none"> <li>- Evidence that the Applicant has a low number of individuals to recruit for the Service Commencement Date.</li> <li>- Evidence that the process(es) to attract, select and appoint sufficiently skilled and experienced staff are likely to lead to successful and timely recruitment.</li> <li>- A nominated recruitment lead with sufficient standing within the organisation, who has significant and relevant</li> </ul> |

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|  |  |  | recruitment skills and experience.   |
| <p>1.4</p> <p><i>Succession Planning</i></p> | <p>Referring to the roles in your Staff Organogram given in answer to question N.1, in the text box(es) provided please outline how you will manage your ongoing recruitment and staff succession requirements throughout the entire Contract Period (including any extension periods) including the measures that you will take to motivate and retain staff.</p> | <p>This question is intended to assess the Applicant's plans to ensure the Service will be fully resourced with sufficiently skilled staff throughout the Contract Period.</p> <p>Higher scores will be awarded to Applicants who provide the LAA with a higher level of confidence that the Applicant will be able to recruit and maintain adequate numbers of staff with sufficient skills and experience from the Service Commencement Date and throughout the Contract Period.</p> | <p><b>The answer should include:</b></p> <ul style="list-style-type: none"> <li>- An outline of the approach to succession planning and replacement of outgoing staff deployed to the Service, including <ul style="list-style-type: none"> <li>• Caseworkers,</li> <li>• Supervisors and</li> <li>• Management Team</li> </ul> </li> <li>- A description of how the Applicant will ensure that it offers a salary and benefits package that will attract high-quality applicants to fill positions including <ul style="list-style-type: none"> <li>○ Caseworkers,</li> <li>○ Supervisors and</li> <li>○ Management Team</li> </ul> </li> <li>- A description of how the Applicant will motivate, upskill and retain staff.</li> </ul> <p><b>Extra points may be awarded if the answer provides a higher level of assurance that they will have effective succession-planning processes in place, for example:</b></p> <ul style="list-style-type: none"> <li>- Evidence that the succession-planning processes outlined above have been successfully used by the Applicant previously</li> </ul> |
| <p>1.5</p> <p><i>Staff Training</i></p>      | <p>Using the Named Individual (s) on your Staff Organogram given in answer to</p>  | <p>This question is intended to assess the Applicant's understanding of its skills base and its ability to identify and address the training needs of staff.</p>   | <p><b>The answer should include:</b></p> <ul style="list-style-type: none"> <li>- A credible approach for regularly assessing the current skills base and identifying development and training requirements in relation to:</li> </ul>   |

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|  | <p>question N.1, in the text box(es) provided please explain how you will develop the knowledge and skills of staff in the longer term to maintain and increase the quality of the Service provided throughout the Contract Period. The response should include how you will assess the skills base of your Caseworker and Supervisor staff to ensure they develop their knowledge and skills.</p> | <p>Higher scores will be awarded to Applicants that can provide the LAA with a higher level of confidence that the longer-term training needs of staff will be identified and addressed throughout the Contract Period.</p> | <ul style="list-style-type: none"> <li>• specialist legal knowledge to deliver the Service in the Category for which they have bid, including assessing whether a prospective Client's problem falls within the scope of Civil Legal Aid funding within the Category or which they have bid, applying the means, merits eligibility tests;</li> <li>• providing Remote Advice in accordance with the CLA Contract, including responding to the needs of Clients with Relevant Protected Characteristics;</li> </ul> <ul style="list-style-type: none"> <li>- Evidence of how identified development and training requirements of staff will be addressed to improve the skills of staff throughout the Contract Period.</li> <li>- Nominated training leads with relevant subject matter expertise and experience in delivering training.</li> </ul> <p><b>Extra points may be awarded if the answer provides a higher level of assurance that the Applicant will have effective staff training processes in place, for example:</b></p> <ul style="list-style-type: none"> <li>- A demonstrable investment in learning and development to develop staff beyond the minimum level of skills required to deliver Contract Work.</li> <li>- A Named Individual responsible for developing and implementing a training programme and who has significant experience of successfully developing staff skills at an organisational level.</li> </ul> |
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## Award Criteria 2- Delivery of a Quality Service

| No.   | Sub-criteria  | Rationale   | Guidance  |
|---|---|---|---|
| This Award Criterion is about how Applicants will deliver a high-quality service with high levels of Client care. |   |   |   |
| 2.1<br><i>Supervision of staff delivering specialist legal advice</i>   | Please use the text box(es) provided to outline how you will ensure effective Supervision to ensure the delivery of high-quality Contract Work. | <p>This question is intended to assess the effectiveness of the Applicant's Supervision of the Caseworkers delivering advice and management of the quality of Contract Work.</p> <p>Higher points will be awarded to Applicants who provide the LAA with a high level of confidence that the Applicant will effectively Supervise the delivery of high-quality Contract Work in accordance with the requirements of the CLA Contract.</p> | <p><b>The answer should include:</b></p> <ul style="list-style-type: none"> <li>- A description of how the Applicant will deliver effective Supervision of Caseworkers to ensure that Contract Work delivered by Caseworkers is subject to quality assurance.</li> <li>- With reference to Named Individuals provided, a description of how the Applicant will use Supervision to ensure that <ul style="list-style-type: none"> <li>• There is accurate assessment of whether Clients and their legal problems are within scope for Legal Aid funding.</li> </ul> </li> </ul> <p>Determinations of whether a Client is suitable for Remote Advice are effective and occur <b>before</b> a Case is opened</p> <ul style="list-style-type: none"> <li>• Cases are closed in a timely manner once they have been actioned appropriately, taking into consideration the nature and complexity of the Client's issue.</li> <li>• Caseworkers have and use appropriate skills when delivering Remote Advice.</li> </ul> <p>In providing a response to this question the Applicant's answer should also include details of file review processes, including the frequency and Named Individual(s) undertaking the reviews.</p> <p><b>Extra points may be awarded where the answer provided gives a higher level of assurance that Supervision will be effectively carried out, for example:</b></p> |

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|  |  |   | <ul style="list-style-type: none"> <li>- Evidence and examples of how the Supervision processes above will be tailored to supervise Caseworkers with different levels of skills and experience</li> <li>- Evidence and examples of how the Supervision approach has been successfully used by the Applicant previously, including the outcome.</li> </ul>   |
| <p>2.2</p> <p><i>Compliance with Service Standards</i></p> | <p>Please use the text box(es) provided to outline how you will ensure you will comply with the Service Standards in Section 4 of the Specification.</p> | <p>This question is intended to assess the effectiveness of the Applicant's plans to ensure compliance with the Service Standards.</p> <p>Higher points will be awarded to Applicants who provide the LAA with a high level of assurance that the Applicant will deliver Contract Work in compliance with the Service Standards in the Specification.</p> | <p><b>The answer should include:</b></p> <ul style="list-style-type: none"> <li>- Details of a systematic approach to ensure compliance with the Service Standards in the Specification throughout the Contract Period.</li> <li>- An adequate number of staff resources deployed for compliance purposes, with an outline of their skills and experience relevant to achieving success in a compliance role.</li> <li>- The Named Individuals with sufficient standing in the organisation with accountability for the compliance with the Service Standards.</li> </ul> <p><b>Extra points may be awarded if the answer provides a higher level of assurance that the Applicant will deliver work in compliance with the Service Standards.</b></p> |
| <p>2.3</p> <p><i>Performance against KPIs</i></p>          | <p>Please use the text box(es) provided to describe how you will monitor performance against Contract KPIs and how you will you will quickly and</p>     | <p>This question is intended to assess the Applicant's plan to monitor Contract KPIs and to ensure that Contract KPIs are met throughout the Contract Period.</p> <p>Higher scores will be awarded to Applicants that can provide evidence of considered and well-developed</p>   | <p><b>The answer should include:</b></p> <ul style="list-style-type: none"> <li>- Details of the practical processes the Applicant will have in place to monitor performance against Contract KPIs</li> <li>- Robust plans to address any failure to meet a Contract KPI.</li> </ul>  |



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|  | <p>effectively take action in the event of a failure, or an identified risk of future failure, to meet a KPI</p> <p>As part of your response please refer, where applicable, to the Named Individual(s) in your Staff Organogram given in answer to question N.1 who will be responsible for managing the delivery of the Service to meet the KPIs and the skills and experience which will support their effective performance in this role</p> <p>.</p> | <p>processes together with staff with relevant skills and experience that will ensure effective identification of potential or actual failures in KPIs and that will enable the Applicant to react quickly and effectively.</p> | <ul style="list-style-type: none"> <li>- The steps the Applicant will take to notify the LAA of a failure to meet a Contract KPI in accordance with the CLA Contract.</li> <li>- Full details of the staff responsible for ensuring that service delivery will meet the KPIs.</li> <li>- A clear internal escalation process in the event that the Applicant fails to meet at KPI.</li> </ul> <p><b>Extra points may be awarded if the answer provides a higher level of assurance that the Applicant will meet the Contract KPI's, for example:</b></p> <ul style="list-style-type: none"> <li>- Evidence that the Applicant has an effective approach to identify the likelihood of failing to meet a KPI and details of the action an Applicant will take to prevent a KPI failure occurring.</li> <li>- a higher level of assurance that staff with the appropriate standing in the organisation will have responsibility for managing the KPIs.</li> </ul> |
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### Award Criteria 3 - Capacity Planning

| No.  | Sub-criteria  | Rationale   | Guidance                         |
|--|---|---|----------------------------------|
| This Award Criterion is about putting in place sufficient capacity to effectively deliver the Service. |   |   |                                  |
| 3.1<br><i>Infrastructure</i>   | Referring to the Implementation Plan given in answer to | This question is intended to assess whether the Applicant will have | <b>The answer should include</b> |

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|   | <p>question N.3, please use the text box(es) provided to describe the telephony infrastructure which you will use to effectively deliver the CLA Service, stating clearly how you will manage and maintain this infrastructure to support the delivery of the Service throughout the Contract Period.</p> <p>If you already have the telephony infrastructure in place, please state this and outline how this meets the Contract requirements.</p> | <p>adequate telephony infrastructure in place to deliver Contract Work</p> <p>Higher scores will be awarded to Applicants that can evidence that they have clear, well-developed and credible plans to deliver high-quality, resilient and secure telephony infrastructure that will be used to deliver a high-quality service to the CLA Clients.</p> | <ul style="list-style-type: none"> <li>- A description of the telephony infrastructure that will be used to deliver the Contract Work</li> <li>- How the telephony infrastructure will meet the requirements in Annex 4 of the CLA Contract, including: <ul style="list-style-type: none"> <li>• Different DDI numbers being used for front-door and back-door telephony.</li> <li>• That standard PSTN connections will be in place for connecting to the communications infrastructure used by the CLA Operator Service.</li> <li>• Sufficient capacity to receive and make telephone calls based on the Call volume information published in this IFA</li> <li>• Evidence that the telephony infrastructure can operate in accordance with the LAA Remote Specialist Telephony Handbook.</li> <li>• Evidence that the telephony infrastructure and overall Service can be delivered in accordance with the LAA Data Security requirements and guidance.</li> </ul> </li> </ul> <p><b>Extra points may be awarded if the answer provides a higher level of assurance, for example</b></p> <ul style="list-style-type: none"> <li>- Evidence that the Applicant employs a Named Individual with experience of managing and maintaining a telephony system.</li> </ul> |
| <p>3.2 a)</p> <p><i>Contract Resourcing</i></p> | <p>In assessing the Contract resourcing proposed by the Applicant, the LAA will consider both the information contained in the Resourcing Plan</p>  | <p>This question will assess whether the Applicant will have sufficient staff resources in place to deliver Contract Work.</p> <p>In assessing the Contract resourcing proposed by the Applicant, higher</p>   | <p><b>The answer to 3.2a should include:</b></p> <ul style="list-style-type: none"> <li>- Information to demonstrate that the Resourcing Plan is underpinned by accurate calculations of the demands of the service using call and Case volumes provided in this IFA.</li> </ul>   |

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|  | <p>submitted and the responses to question 3.2a) and 3.2b)</p> <p>Copies of the Resourcing Plan pro forma can be accessed and downloaded from the 'Buyer Attachments' section in the ITT.</p> <p>Please use the text box(es) provided to describe how you have determined the number of Caseworkers and Supervisors which you have set out in the Resourcing Plan is sufficient to deliver the Contract Work. Your response should include how your Resourcing Plan will address unexpected short term increases in Case volumes and contingency processes if staff members are unavailable at short notice.</p> | <p>scores will be awarded to Applicants that can provide a higher level of confidence that their resources will be sufficient to deliver the Service based on</p> <ul style="list-style-type: none"> <li>• A clear understanding of Service Requirements.</li> <li>• Adequate levels of staff to ensure that Calls are dealt with in line with the Specification</li> <li>• Maintaining appropriate levels of Supervision.</li> <li>• Availability of staff with appropriate skills in the relevant Category from the Service Commencement Date</li> </ul> | <ul style="list-style-type: none"> <li>- Evidence that sufficient staff with the appropriate skills will be available to deliver Contract Work during all Core Hours and Rota Hours</li> <li>- Contingency arrangements to meet both unexpected short-term peaks in demand, or unexpected staff unavailability.</li> </ul> <p><b>Extra points may be awarded if the answer provides a higher level of assurance that the Applicant will effectively resource the Service, for example</b></p> <ul style="list-style-type: none"> <li>- Strong contingency processes in the event of unexpected short-term increases in volumes or the unavailability of staff, whereby the Applicant can draw on a significant number of suitably qualified staff who are available at short notice.</li> </ul> |
| <p>3.2b)</p> <p><i>Ongoing Forecasting</i></p> | <p>In assessing the response to question 3.2 b) the LAA will consider both the information contained in the text</p>   | <p>This question is intended to give the LAA confidence that the Applicant will have sufficient staff resources in place to maintain the delivery of</p>   | <p><b>Your answer to 3.2b should include:</b></p> <ul style="list-style-type: none"> <li>- Details about the processes that will be used to successfully monitor Service capacity and forecast future demand on a</li> </ul>  |

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| <p><i>and Resourcing.</i></p>                 | <p>boxes below and the Resourcing Plan submitted.</p> <p>Please use the text box(es) provided to describe how you will forecast Case volumes on an ongoing basis throughout the Contract Period and how you will adjust staffing resources delivering the Contract Work to ensure the Contract requirements are met in the event of:</p> <ul style="list-style-type: none"> <li>• increasing Case volumes; and</li> <li>• decreasing Case volumes.</li> </ul> | <p>Contract Work throughout the Contract Period.</p> <p>In assessing the response to Q3.2b, higher scores will be awarded to Applicants that can provide a high level of confidence that their resources will be sufficient to maintain delivery of the Service based on:</p> <ul style="list-style-type: none"> <li>• evidence of considered and well-constructed processes that demonstrate an effective approach for forecasting future capacity requirements; and</li> <li>• evidence of considered and well-constructed processes that will enable the Applicant to react quickly and flexibly to meet fluctuations in demand for the Service</li> </ul> | <ul style="list-style-type: none"> <li>• daily,</li> <li>• weekly, and</li> <li>• monthly basis.</li> </ul> <ul style="list-style-type: none"> <li>- Details of the processes the Applicant will follow to adjust resources to ensure the Contract requirements continue to be met in the event of: <ul style="list-style-type: none"> <li>• increasing Case volumes; and</li> <li>• decreasing Case volumes</li> </ul> </li> <li>- Details of the Named Individual(s) with responsibility for ensuring the monitoring and resourcing processes above are implemented</li> </ul> <p><b>Extra points may be awarded if the answer provides a higher level of assurance that the Applicant will effectively forecast Case volumes and resource the Service on an ongoing basis, for example:</b></p> <ul style="list-style-type: none"> <li>- Employing staff with the appropriate standing in the organisation who will have responsibility for this activity;</li> <li>- Relevant experience of successfully delivering other services that required similar forecasting and resourcing activities, using staff and/or processes that will be used in delivering the Contract Work; or</li> <li>- A flexible staffing approach which allows ongoing increasing or decreasing of staffing resources to meet fluctuations on Case volumes.</li> </ul> |
| <p>3.3</p> <p><i>Expansion Resourcing</i></p> | <p>If you are successfully awarded a Contract, the LAA may require you to deliver increased Case volumes during Core Hours and cover all Rota Hours at short notice</p>   | <p>This question is intended to assess the Applicant's ability to expand capacity to take on additional Case allocations, if required.</p> <p>Higher points will be awarded to Applicants that can provide a higher</p>   | <p><b>The answer should include:</b></p> <ul style="list-style-type: none"> <li>- A detailed plan for ensuring sufficient staff with the appropriate skills will be available to deliver a 100% uplift in Case volumes and Rota Hours</li> </ul>  |

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|  | <p>(e.g. in circumstances where another CLA Provider in the Category is unable to fulfil their Contract).</p> <p>In the text box(es) provided please describe how – in a short time frame - you would increase your capacity to effectively manage an increase in the Case volumes allocated to you by 100% (i.e. double) in the Category bid for using forecast Case Volumes provided in Annex A <b>and</b> cover double the Rota Hours.</p> <p>For the avoidance of doubt, in the Family Category this would mean providing the Contract Work as the sole Provider. In Education, Discrimination and Housing and Debt Categories it would mean delivering two thirds of the Case Volumes and Rota Hours across the Category.</p> | <p>level of confidence that they can quickly and flexibly scale up to deliver an increase in Case volumes based on:</p> <ul style="list-style-type: none"> <li>• Their ability to deploy staff with sufficient skills and experience to manage Calls in line with the Specification.</li> <li>• Provision of additional infrastructure (where necessary) to support the scaling up of Service delivery.</li> <li>• Whether appropriate standards of service would be maintained, and the time it would take to achieve full implementation.</li> </ul> | <ul style="list-style-type: none"> <li>- A description of how the Applicant will scale up infrastructure (if necessary) to meet the additional requirements.</li> </ul> <p>In providing a response to this question the Applicant's answer should include timescales for expansion activity together with the names and responsibilities of Key Personnel involved.</p> <p><b>Extra points may be awarded if the Applicant's answer provides a higher level of assurance that service continuity will be maintained, for example:</b></p> <ul style="list-style-type: none"> <li>- A higher level of detail about the steps required to expand Service capacity.</li> <li>- Evidence that the expansion plan could be successfully implemented with Contract KPIs met within 2 months or less.</li> <li>- Evidence that Service Standards will be met during the time that Service capacity is being expanded.</li> </ul> |
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|  | <p>Your expansion plan should be outlined in the text box(es) provided, and you are not permitted to attach additional documents in response to this question.</p>  |  |   |
| <p>3.4</p> <p><i>Business Continuity and Disaster Recovery plan (BCDR)</i></p> | <p>In the text box(es) provided please describe your BCDR which sets out how you will respond to an event which significantly disrupts, or threatens to significantly disrupt, the provision of the Contract Work. As a minimum, the BCDR should comply with the requirements of Annex 4 (IT requirements, the CMS and Business Continuity) of the CLA Contract and should cover risks identified to Business Continuity in the following areas:</p> <ul style="list-style-type: none"> <li>▪ Geographical;</li> <li>▪ Infrastructure;</li> </ul> | <p>This question is intended to give the LAA confidence that the Applicant will ensure continuity of Contract Work following any failure or disruption of any element of the business processes and operations.</p> <p>Higher points will be awarded to Applicants who can demonstrate that they will have a robust BCDR in place by the Service Commencement Date that adequately takes into account the particular risks to delivery of Contract Work relevant to the location of the Office and the business systems in place for the delivery of the Service</p> | <p><b>The BCDR should include:</b></p> <ul style="list-style-type: none"> <li>- the key risks identified to service continuity including: <ul style="list-style-type: none"> <li>• Geographical.</li> <li>• Infrastructure.</li> <li>• Data.</li> <li>• Staff.</li> </ul> </li> <li>- An outline of countermeasures to manage the risks identified.</li> <li>- Details of the roles and responsibilities of the staff responsible for the BCDR</li> <li>- An outline of the processes the Applicant will follow in activating their BCDR;</li> </ul> <p><b>Extra points may be awarded if the BCDR provides a higher level of confidence that service continuity will be maintained, for example:</b></p> <ul style="list-style-type: none"> <li>- Detailed evidence of a well thought out BCDR that is relevant to the location and scale of the operation.</li> <li>- a higher level of assurance that staff with appropriate standing in the organisation will have responsibility for implementing the BCDR.</li> </ul> |

|  |   |  |  |
|--|---|--|--|
|  | <ul style="list-style-type: none"> <li>▪ Staff; and</li> <li>▪ Data.</li> </ul> <p>It should also outline plans for maintaining delivery of the Contract Work in the event that a risk, or another unforeseen event, materialises.</p> <p>Your BCDR must only be outlined in the text box(es) provided, and you are not permitted to attach additional documents in response to this question</p> |  | <ul style="list-style-type: none"> <li>- The BCDR is reviewed and tested at least annually.</li> <li>- The BCDR significantly exceeds requirements of Good Industry Practice (see the Standard Terms of the CLA Contract)</li> </ul> |
|--|---|--|--|

#### Award Criteria 4- Implementing the Service

| No.   | Sub-criteria                           | Rationale   | Guidance                                       |
|---|--|---|--|
| This Award Criterion is about how the Applicant would ensure they are ready to deliver the Contract Work for the Service Commencement Date. |  |   |  |
| 4.1<br>Implementa<br>tion Plan  | We will assess the Implementation Plan | The assessment of the plan is intended to give the LAA confidence that the Applicant will be ready to deliver | <b>The Implementation Plan should include:</b> |

|  |   |   |   |
|--|---|---|---|
|  | <p>provided in response to N3.</p> <p>Applicants that are currently delivering a service similar to the CLA Contract Work and are intending to utilise existing resources (e.g. infrastructure, processes) to deliver the CLA Contract should demonstrate how they will ensure those resources are adequate to successfully deliver the Contract Work from the Service Commencement Date in line with the CLA Contract.</p> | <p>Contract Work by the Service Commencement Date</p> <p>Higher scores will be awarded where the Applicant can evidence that it has clear, well-developed and credible plans that will ensure that key milestones are met. Conversely, lower scores will be awarded to Applicants where the plans are lacking in detail or credibility, or are not yet finalised.</p> | <ul style="list-style-type: none"> <li>- Details of all key resources and infrastructure required to deliver the Contract Work based on a full understanding of the requirements of the CLA Contract.</li> <li>- A credible Implementation Plan outlining key activities and realistic milestones.</li> <li>- A clear allocation of deliverables to Named Individuals who have the required expertise to deliver the individual elements of the Plan.</li> <li>- Full details of the Named Individual(s) with accountability for ensuring the Plan is implemented</li> </ul> <p><b>Extra points may be awarded if the answer provides a higher level of assurance that the Applicant will be ready to deliver the Contract Work by the Service Commencement Date, for example</b></p> <ul style="list-style-type: none"> <li>- Evidence that the plan will largely utilise pre-existing resources and infrastructure which will meet the requirements of the CLA Contract</li> <li>- The plan clearly identifies risks to the implementation of the Contract Work along with well thought-out contingencies.</li> </ul> |
|--|---|---|---|

#### Award Criteria 5- Delivering of a Face-to-Face Service (Education and Discrimination Categories only)

| No.   | Sub-criteria | Rationale | Guidance |
|---|--------------|-----------|----------|
| <p>This Award Criterion is about ensuring that the Applicant will be able to effectively deliver a national face-to-face service in each of the 7 Procurement Areas, in accordance with the CLA Contract, by the Service Commencement Date.</p> |              |           |          |



|   |   |  |   |
|---|---|--|---|
| <p>5.1</p> <p>Delivering a Face-to-Face Service</p> | <p>In the text box(es) provided and referring to the Implementation Plan given in answer to question N.3, please describe how you will effectively deliver a national Face-to-Face service.</p> | <p>This question assesses the Applicant's ability to deliver a high-quality face-to-face service.</p> <p>Higher scores will be awarded to Applicants that can provide the LAA with a high level of confidence that Exempted Persons will easily access Face-to-Face advice which meets the requirements of the CLA Contract.</p> | <p><b>The answer should include:</b></p> <ul style="list-style-type: none"> <li>- How the Applicant will identify and confirm a Client's need for Face-to-Face advice.</li> <li>- The processes the Applicant will use to effectively refer Exempted Persons to Face-to-Face advice.</li> <li>- How the Applicant will deliver a Face-to-Face service in each of the 7 Procurement Areas</li> <li>- A credible description of how the Applicant will ensure the Face-to-Face Contract Work will meet the quality requirements of the CLA Contract.</li> </ul> <p><b>Extra points may be awarded if the answer provides a higher level of assurance that a Face-to-Face advice service will be effectively delivered, for example:</b></p> <ul style="list-style-type: none"> <li>- Evidence that an Applicant has well developed plans for the delivery of Face-to-Face advice including the names of any Agents that will be used (where applicable)</li> <li>- Evidence of an effective approach to monitoring the quality of Contract Work delivered via Agents (where applicable).</li> </ul> |
|---|---|--|---|

## ANNEX F: PRICE AWARD CRITERIA

### CLA Family Price Form

|                         | Question  | Weighting |
|-------------------------|---|-----------|
| Family Lower Fixed Fee  | Please submit your <b>Lower</b> Fixed Fee (exclusive of VAT) for the CLA Family Category Contract Work. The maximum price which can be submitted is £94.50    | X0.92     |
| Family Higher Fixed Fee | Please submit your <b>Higher</b> Fixed Fee (exclusive of VAT) for the <b>Family Category</b> Contract Work. The maximum price which can be submitted is £293. | X0.08     |

### CLA Housing & Debt Price Form

|                                 | Question  | Weighting |
|---------------------------------|---|-----------|
| Housing & Debt Lower Fixed Fee  | Please submit your <b>Lower Fixed Fee</b> (exclusive of VAT) for the provision of Services in the CLA <b>Housing and Debt</b> Category.<br><br>The fee submitted must be lower in value than the Higher Fixed Fee submitted by the Applicant in this Category       | X0.87     |
| Housing & Debt Higher Fixed Fee | Please submit your <b>Higher Fixed Fee</b> (exclusive of VAT) for the provision of Contract Work in the CLA <b>Housing and Debt</b> Category<br><br>The fee submitted must be higher in value than the Lower Fixed Fee submitted by the Applicant in this Category. | X0.13     |

### Discrimination Price Form

|                                 | Question  | Weighting |
|---------------------------------|---|-----------|
| Discrimination Lower Fixed Fee  | Please submit your <b>Lower Fixed Fee</b> (exclusive of VAT) for the provision of Contract Work in the <b>Discrimination</b> Category<br><br>The fee submitted must be lower in value than the Higher Fixed Fee submitted by the Applicant in this Category | X0.1      |
| Discrimination Higher Fixed Fee | Please submit your Higher Fixed Fee (exclusive of VAT) for the provision of Contract Work in the <b>Discrimination</b> Category<br><br>The fee submitted must be higher in value than the Lower Fixed Fee submitted by the Applicant in this Category.      | X0.05     |

|            |   |       |
|------------|---|-------|
|            | The fee submitted must be no greater than ten times the value of the Escape Fee hourly rate submitted by the Applicant in this Category.  |       |
| Escape Fee | <p>Please submit your <b>Escape Fee</b> hourly rate (exclusive of VAT) for the provision of Contract Work in the <b>Discrimination</b> Category</p> <p>The fee submitted must be no more than 10% of the value of the Higher Fixed Fee submitted by the Applicant in this Category.</p> | X0.85 |

### Education Price Form

|                            | Question   | Weighting |
|----------------------------|--|-----------|
| Education Lower Fixed Fee  | <p>Please submit your <b>Lower Fixed Fee</b> (exclusive of VAT) for the provision of Contract Work in the <b>Education</b> Category</p> <p>The fee submitted must be lower in value than the Higher Fixed Fee submitted by the Applicant in this Category</p>  | X0.05     |
| Education Higher Fixed Fee | <p>Please submit your Higher Fixed Fee (exclusive of VAT) for the provision of Contract Work in the <b>Education</b> Category</p> <p>The fee submitted must be higher in value than the Lower Fixed Fee submitted by the Applicant in this Category.</p> <p>The fee submitted must be no greater than ten times the value of the Escape Fee hourly rate submitted by the Applicant in this Category.</p> | X0.02     |
| Education Escape Fee       | <p>Please submit your <b>Escape Fee</b> hourly rate (exclusive of VAT) for the provision of Contract Work in the <b>Education</b> Category</p> <p>The fee submitted must be no more than 10% of the value of the Higher Fixed Fee submitted by the Applicant in this Category.</p>   | X0.93     |

## ANNEX G: TUPE & CONFIDENTIALITY AGREEMENT

*[Instructions: When requesting TUPE information, please provide a signed copy of the Confidentiality Agreement below on your organisation's headed paper filling in the relevant sections where appropriate]*

### **CONFIDENTIALITY AGREEMENT RELATING TO WORKFORCE INFORMATION COVERED BY THE TRANSFER OF UNDERTAKINGS (PROTECTION OF EMPLOYMENT) REGULATIONS 2006 (TUPE).**

**For the attention of: Andrew Hubbard**

Dear Sirs

#### **INVITATION TO TENDER FOR PROVISION OF CIVIL LEGAL ADVICE ("CLA") TELEPHONE ADVICE SERVICES FROM 2018 – TUPE CONFIDENTIALITY AGREEMENT**

The Legal Aid Agency ("**LAA**") commenced a procurement process for CLA Telephone Advice Services (the "**Contract Work**") by publishing an Information for Applicants (IFA) document entitled "Procurement of Civil Legal Aid Services in England and Wales from 1 September 2018: Civil Legal Advice Invitation To Tender Information for Applicants."

We [*insert name of Applicant*] (the "**Applicant**") wish to apply to deliver the Contract Work and are requesting further relevant (and appropriately anonymised) workforce information (to the extent required by and in accordance with applicable law) from the existing provider(s) of the CLA services in order to ensure that relevant TUPE obligations can be complied with.

This letter sets out the conditions on which such information is made available to the Applicant. In this letter "**Confidential Information**" means all information relating to persons employed by current providers of the CLA service (including, without limitation, the ages, roles, salary and benefits package and relevant employment history of such persons) which has been provided to the LAA (by existing providers of the service) in order that it may be passed on to the Applicant (in whatever medium such information is disclosed whether orally, pictorially, electronically, in writing or by any other means).

In consideration of such Confidential Information being made available to the Applicant, the Applicant undertakes to comply with the terms and conditions of this letter.

In particular, the Applicant agrees:

- (a) to hold the Confidential Information in strict confidence and will keep in safe custody all media recording the same;
- (b) except as expressly permitted by this letter, not to copy or reproduce, publish or distribute the Confidential Information or disclose the Confidential Information in whole or in part to third parties; and
- (c) to use the Confidential Information for the sole purpose of preparing its tender to deliver the Services and in accordance with all applicable laws (including the Data Protection Act 1998 and associated legislation) (the "**Purpose**").

The Applicant may disclose the Confidential Information:

- (a) to such officers and employees of the Applicant as it reasonably considers necessary solely in connection with and in furtherance of the Purpose;
- (b) to professional advisers or consultants engaged to advise in connection with the Purpose provided the LAA has given its prior written consent (which in turn shall be dependent upon the consent of the relevant existing provider being received by the LAA);
- (c) as required by law; and/or
- (d) to anyone else whom the parties have agreed in writing may receive the Confidential Information.

Where information is disclosed to a recipient referred to in paragraph (b) or (d) the Applicant shall ensure that the recipient is informed of and agrees to the obligations of confidentiality contained in this letter and that they subsequently comply with the terms of this letter as if it were provided by them.

The restrictions on use or disclosure of the Confidential Information will not apply to:

- (a) any information which is in the public domain except due to a breach of this letter by the Applicant;
- (b) any information which the Applicant possessed prior to disclosure by the LAA, without restriction as to its disclosure;
- (c) any information independently obtained by the Applicant or acquired by the Applicant from a third party in circumstances in which the third party is free to disclose it to others.

The obligations of this letter shall survive for so long as information disclosed under it constitutes Confidential Information.

The Applicant shall ensure that all Confidential Information and any copies made thereof, or other documents reproducing or generated from such Confidential Information, shall upon request by LAA at any time be promptly returned to LAA, or at LAA's request, destroyed. A senior officer of the Applicant shall certify in writing as to the completeness of such return and/or destruction.

The Applicant acknowledges and accepts that LAA makes no representation and provides no warranty regarding the accuracy, completeness or freedom from defects of any Confidential Information provided and any reliance placed on such information shall be entirely at the Applicant's own risk.

The Applicant further acknowledges that unless otherwise expressed by the LAA in writing, no failure or delay by the LAA in exercising any of its rights hereunder shall operate as a waiver of such rights, nor shall any single or partial exercise preclude any further exercise of such rights.

The Applicant agrees that it shall not assign this letter or any of its rights and obligations hereunder without the prior written consent of the LAA.

This letter or any part of it shall not be enforceable, by virtue of the Contracts (Rights of Third Parties) Act 1999, by any person who is not a party to this letter.

This letter shall be governed by and construed in all respects according to the laws of England and the parties hereby submit to the exclusive jurisdiction of the English courts in all matters relating to this letter.

**SIGNED** by [NAME] )  
duly authorised to sign for and on behalf )  
of [**APPLICANT**] [**type of organisation**]<sup>2</sup> )

.....

**Authorised Signatory**

**Position:**<sup>3</sup>

**Date:**

*This letter must be signed for you by a person who can bind you to it. If you are a partnership, a partner must sign. If you are a sole practitioner solicitor, the sole practitioner (principal) must sign. If you are a company, a director must sign. If you are a limited liability partnership, a designated member must sign. If you are an unincorporated charity, two trustees must sign.*

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<sup>2</sup> e.g. partnership, incorporated practice. limited liability partnership, public limited company, private limited company, company limited by guarantee, unincorporated charity. Where appropriate state registration number.

<sup>3</sup> e.g. partner, designated member, director, trustees.

## ANNEX H: BUSINESS PLAN GUIDANCE

### What is a Business Plan?

A Business Plan should collate and clarify the Applicant's business proposal, what it wants to achieve, how it wants to do it and a plan for the future of the organisation. It should help to show whether the Applicant's business model and financing is realistic and workable.

### How long should the Business Plan be?

Applicants should limit their Business Plan submitted should be no more than 10 pages.

### What information should be included in a Business Plan?

A Business Plan submitted as part of an Applicant's Tender must contain sufficient information to allow a financial professional to assess the viability of its business and/or any business expansion being tendered for.

Set out below is a table which confirms the minimum information that a Business Plan should include to enable the LAA to evaluate the Applicant's ability to deliver and/or expand to deliver the CLA Contract.

### Information which must be provided in a Business Plan

|                          |   |
|--------------------------|---|
| Structure and management | The (proposed) ownership structure of the business including: <ul style="list-style-type: none"><li>• Names and positions of all Partners, Members and Directors within the organisation; and</li><li>• A brief description of their experience</li></ul>   |
|                          | Details of each management role and current staffing level including: <ul style="list-style-type: none"><li>• A short description which confirms how the Applicant intends to cover the key areas of service delivery, practice management, finance and administration under its new business model</li></ul> |
|                          | Mission statement including: <ul style="list-style-type: none"><li>• A description of the aims and objectives of the business and how the vision of the business will be different, where applicable, following expansion; and;</li></ul>   |

|                                |   |
|--------------------------------|---|
|                                | <ul style="list-style-type: none"> <li>• Where applicable, how growth will be achieved e.g. through a proposed merger, capital investment from owners, increase in lending</li> </ul>   |
|                                | <p>Risk analysis of your business model including;</p> <ul style="list-style-type: none"> <li>• What risks have been identified with the business model (financial, organisational, personnel, service delivery); and</li> <li>• Detailed information on how these risks will be mitigated</li> </ul>   |
| Operations and market analysis | <p>Details of your client base including:</p> <ul style="list-style-type: none"> <li>• Total number of clients advised/represented in last 12 months; and</li> <li>• Total revenue received in last 12 months; and</li> <li>• Expected trends in client base over the next 24 months i.e. how new clients will be attracted</li> </ul>  |
|                                | <p>Key delivery milestones which must be met to enable your organisation to begin delivering Contract Work and/or expand your current operations including:</p> <ul style="list-style-type: none"> <li>• A detailed set of planning assumptions including the cost of each activity</li> <li>• Contingencies (financial, personnel, service delivery) should key dates be missed</li> </ul>                                 |
|                                | <p>Details of the split between expected public/private paying income, including</p> <ul style="list-style-type: none"> <li>• The ratio of current public to private paying clients; and</li> <li>• The expected ratio of public to private paying clients after 24 months</li> </ul> <p>These should also feature on the completed Financial Assessment Form submitted as part of your Tender</p>                          |
|                                | <p>Details of access to sources of income other than those expected under the Crime Contract including:</p> <ul style="list-style-type: none"> <li>• Confirmation of other current publicly funded work and/or privately funded revenue and current turnover; and</li> <li>• Any anticipated revenue sources, including expected income, being developed and which will be operational within the next 24 months</li> </ul> |
| Financial                      | <p>Use of capital and credit facilities including:</p> <ul style="list-style-type: none"> <li>• Details of capital; and</li> </ul>  |



|  |   |
|--|---|
|  | <ul style="list-style-type: none"> <li>• A summary of how capital and/or credit facilities will be used to fund the set up and/or expansion of your business e.g. refurbishing office space, buying equipment, recruitment costs etc.</li> </ul>  |
|  | Confirmation of availability of current working capital   |
|  | <p>Details of the assumptions made in developing your Cash Flow Forecast including:</p> <ul style="list-style-type: none"> <li>• A summary of the key assumptions in producing financial forecasts, such as average time for debtor and creditor payments.</li> </ul> <p>Detailed assumptions should be included on the Financial Assessment Form submitted as part of the Applicant's Tender</p> |

## ANNEX I: GLOSSARY OF DEFINED TERMS

Unless otherwise expressly stated, words and expressions defined in this IFA and ITTs shall have the same meaning as defined in the Contract Documents.

In this IFA and the ITTs the following terms shall have the meaning set out below.

| Term  | Definition   |
|---|--|
| 2018 HPCDS Contract                                   | The 2018 Housing Possession Court Duty Scheme Contract   |
| Amber   | A possible RAG rating achieved on completion of the Financial Assessment Form.   |
| Applicant   | A single legal entity submitting a Tender to deliver the Services.   |
| Award Criteria Guidance                               | Information on the LAA's approach to its evaluation of Award Criteria as set out in Annex E  |
| Award Criteria  | The award criteria within the CLA Category ITTs including the Technical Envelope and the Commercial Envelope as also set out at Annexes D and F of the IFA.  |
| Authorised Litigator                                  | An individual who conducts litigation services as an authorised person in accordance with the Legal Services Act 2007.   |
| Business Plan   | As set out in Annex H of the IFA.  |
| Business Continuity and Disaster Recovery Plan (BCDR) | A published plan setting out the processes and arrangements which the Applicant will follow to ensure continuity of its business processes and operations following any failure or disruption of any element of the provision of Services and the recovery of the provision of Services in the event of an unplanned interruption. |
| Call(s)   | The referral of a potential Client to a Provider by the CLA Operator Service.  |
| Case(s)   | Contract Work provided by a Provider to a Client on a particular issue which has been assessed by that Provider as qualifying for legal aid following referral through a Call to them in accordance with the requirements of the Contract. For the avoidance of doubt, a Determination does not fall within the scope of a Case.   |
| Caseworker  | An employee who is not a Supervisor, but who is a fee-earner who regularly undertakes Contract Work to whom a specific caseload of Contract Work is allocated and who is responsible for the progression of those Cases, under supervision.  |
| Category(ies)   | As defined in the Specification  |
| CLA Operator Service                                  | means any call centre operation appointed by us or online system developed by us, or on our behalf to receive initial contact from a member of the public in respect of CLA to distribute the same to a Provider;  |
| Client  | As defined in the Specification  |
| Commercial Envelope                                   | The section in the e-Tendering system where Applicants submit the maximum prices they will charge for delivering the Services.   |
| Connected   | Has the meaning given in paragraph x of the IFA and "Connection" shall be construed accordingly  |
| Connected Entity                                      | An Applicant who is Connected to one or more other Applicants.   |

|                                    |   |
|------------------------------------|---|
| Contract or CLA Contract           | The 2018 Civil Legal Advice contract for delivery of Contract Work which will be awarded to each successful Applicant.  |
| Contract for Signature             | The document of that name which forms part of the Contract.   |
| Contract Period                    | Has the meaning given in the Contract for Signature.  |
| Contract Start Date                | Has the meaning given in the Contract for Signature.  |
| Contract Work                      | Services to be delivered under a CLA Contract in accordance with the requirements of the CLA Contract   |
| Controlled Work                    | Has the meaning given in regulation 21(2) of the Procedure Regulations;   |
| Core Hours                         | Has the meaning set out at paragraph 1.12 of this IFA.  |
| Cross Border Cases                 | As defined in the Specification   |
| Current Financial Performance      | Tab 1 and Tab 2 of the Financial Assessment Form to be completed by Established Businesses as set out in paragraph 3.41   |
| Data Protection Legislation        | As defined in the Contract.   |
| DDI                                | Direct Dial Inwards   |
| Dedicated Telephone Advice Service | <p>is one where:</p> <ul style="list-style-type: none"> <li>○ the service has advertised opening hours and telephone lines are manned at all times during those opening hours;</li> <li>○ the service is delivered primarily via the telephone and correspondence;</li> <li>○ all initial enquiries from clients are made by and the overall nature of the problem is diagnosed over the telephone with clients informed of whether the service can help or if a formal referral process is required;</li> <li>○ the service can provide the client with specific advice based on an analysis of the client's situation and desired outcome and, where necessary, with the Caseworker taking responsibility for further actions;</li> </ul> <p>and</p> <ul style="list-style-type: none"> <li>○ operator staff and/or Caseworkers have been provided with specific call-handling training,</li> </ul> <p>and does not include triage or the provision of initial general information.</p> |
| Deadline                           | The deadline to submit a Tender under this process which is 5pm 10 November.  |
| Debt                               | Work within the scope of publicly funded Face-to-Face Advice and representation in the Debt Category(ies)   |
| Determination                      | means the performance of the eligibility assessment and a scope and merits assessment in respect of a potential Case  |
| Determination Fee                  | As defined in the Specification   |
| Digital CLA Service                | <a href="https://www.gov.uk/check-legal-aid">https://www.gov.uk/check-legal-aid</a>   |
| Director(s)                        | As defined in the Companies Act 2006  |
| Discrimination                     | Work within the scope of publicly funded face-to-face or telephone advice and representation in the Discrimination Category as defined in the Category Definitions 2018 document  |
| Education                          | Work within the scope of publicly funded face-to-face or telephone advice and representation in the Education Category as defined in the Category Definitions 2018 document   |
| Escape Fee                         | The definition of Escape Fee Cases in the Specification applies.  |

|                                |  |
|--------------------------------|--|
| Established Business           | As set out in paragraph 3.40 of the IFA.   |
| e-Tendering system             | The LAA's secure Internet site at <a href="http://www.legalaid.bravosolution.co.uk">www.legalaid.bravosolution.co.uk</a> through which Tenders and the procurement process as a whole are managed  |
| Exempted Person                | As defined in the Specification  |
| Face-to-Face Advice            | As defined in the Specification.   |
| Face-to-Face Contract          | The 2018 Standard Civil Contract   |
| FAQ                            | Frequently asked questions as provided for under this procurement process and referred to in the IFA.  |
| Family                         | Work within the scope of publicly funded face-to-face or telephone advice and representation in the Family Category(ies) as defined in the Category Definitions 2018 document  |
| Final Score                    | The score (out of a maximum of 100) achieved by the Applicant following the LAA's assessment of the Technical Envelope and the Commercial Envelope.  |
| Final Score Tab                | The section in the Financial Assessment Form showing the RAG rating achieved on completion that form by the Applicant.   |
| Financial Assessment           | Stage 2 of the Tender Evaluation, as set out in Section 4 of the IFA.  |
| Financial Assessment Form      | The Mandatory Attachment, as set out in paragraph 3.41 of the IFA.   |
| Forecast Financial Performance | Tab 3 and Tab 4 of the Financial Assessment Form which must be completed by all Applicants.  |
| Full-Time Equivalent (FTE)     | <p>The equivalent of one individual working 5 days a week and 7 hours on each such day (excluding breaks). For example the following working patten would represent on Full Time Equivalent:</p> <ul style="list-style-type: none"> <li>- Person A – 20 hours per week</li> <li>- Person B - 10 hours per week</li> <li>- Person C – 5 hours per week</li> </ul> <p>One FTE is based on a 35 hour working week. Applicants are not permitted to claim an individual member of staff as more than one FTE even if they work more than 35 hours per week</p> |
| Gateway                        | As set out in paragraph 1.3 of the IFA   |
| Green Rating                   | A possible RAG rating achieved on completion of the Financial Assessment Form.   |
| Higher Fixed Fee               | As defined in paragraph 1.35   |
| Hourly Rate                    | The hourly payment applicable for Escape Fees  |
| Housing                        | Work within the scope of publicly funded Face-to-Face or telephone advice and representation in the Housing Category of Law as defined in the Category Definitions 2018 document   |
| IFA                            | This document entitled "Procurement of Civil Legal Aid Services in England and Wales from 1 October 2018 Civil Legal Advice Invitation to Tender Information for Applicants"   |
| Implementation Plan            | Mandatory Attachment N3 as set out in paragraph 3.66 of the IFA.   |
| Invitation to Tender (ITT)     | Means either the CLA Financial Assessment ITT or any of the 4 CLA Category ITTs (one for each Category) for CLA Contract.  |
| ITU-T                          | International Telecommunication Union-Telecommunication  |
| Key Personnel                  | Any individual who has, or is held out as having either expressly or impliedly, or exercises, (or will have, be held out as having or exercise by the Contract Start Date) powers of representation, decision, veto, influence or control in relation to an Applicant including partners, directors, trustees and other senior managers and employees of the Applicant.  |

|  |  |
|--|--|
|  | Where a trust or company would satisfy the above in relation to an Applicant, any individual who has the right to exercise significant influence or control over the activities of that trust or company.  |
| Key Performance Indicators               | The key performance indicators specified in the KPI Annex of the Contract Documents  |
| LAA Remote Specialist Telephony Handbook | As defined in paragraph 1.69.  |
| Legal Aid Agency or LAA                  | The Executive Agency of the Ministry of Justice that is responsible for the administration of legal aid (including this procurement process).  |
| Lexcel                                   | The Law Society's legal practice quality mark, which is a Quality Standard under the Contract.   |
| Licensed Work                            | Has the meaning given in regulation 2 of the Procedure Regulations. In general terms, it covers the legal representation element of Contract Work. There is no limit to the volume of Licensed Work a Provider can perform.  |
| Logical Architecture                     | High level diagram showing all major Solution components, locations, users and interfaces with 3rd party systems e.g. CMS, Agilisys telephony, PSTN etc. together with a narrative explaining the various logical domains or layers and the components which are represented, as well as their role within the overall context of the solution |
| Lower Fixed Fee                          | As defined in paragraph 1.34   |
| Management Team                          | Having responsibility for maintaining and reviewing the Services and its delivery at Office level with oversight for staffing arrangements, work allocation and casework quality assurance.<br>The term does not necessarily include the activities of Supervisors, though these may also be members of the Management Team.                   |
| Mandatory Attachment                     | As set out at paragraph 3.17 and 3.18 of the IFA   |
| Minimum Requirement(s)                   | As set out at paragraph 1.60 of the IFA  |
| Mobilisation Period                      | The period between the Contract Start Date and the Service Commencement Date, as provided for in the Contract.   |
| Named Individual                         | Individuals employed by the Applicant (or Individuals with a Signed Engagement Agreement) named on the Applicant's Staff Organogram  |
| Office                                   | As defined paragraph 4.28 in the Specification   |
| Other Business                           | As set out in paragraph 3.40 of this IFA   |
| Partner                                  | A member of a partnership as defined by Section 1 of The Partnership Act 1890  |
| Personal Data                            | Has the meaning ascribed to it in the Data Protection Act;   |
| Price Award Criteria                     | The Award Criteria against which the Applicant's pricing submission will be assessed   |
| Price Form                               | The section of the Commercial Envelope in the e-Tendering system where Applicants are required to submit their <ul style="list-style-type: none"> <li>• Lower Fixed Fees</li> <li>• Higher Fixed Fee and</li> <li>• Determination Fee (if applicable)</li> </ul> in respect of the Contract Work   |
| Priority Questions                       | Specific questions which will be given additional priority and used to differentiate between Applicants in the event that: <ul style="list-style-type: none"> <li>• 2 or more Applicants are tied at tenth place in any Category at Stage 3 of the evaluation process;</li> </ul>  |

|                                    |   |
|------------------------------------|---|
|                                    | <ul style="list-style-type: none"> <li>2 or more Applicants are tied for third place (in Education, Discrimination and Housing and Debt Categories) or second place (in Family Category) at Stage 6 of the evaluation process.</li> </ul>   |
| Procedure Regulations              | The Civil Legal Aid (Procedure) Regulations 2012.   |
| Procurement Areas                  | As defined in the Specification   |
| Provider                           | A party to a contract with the LAA substantially in the same form as the CLA Contract, in respect of the provision of telephone and online legal advice.  |
| PSTN                               | Public Switched Telephone Network   |
| Qualification Envelope             | Specific questions in the e-Tendering system which cover the Selection Criteria as set out in Annex C of this IFA   |
| Quality Award Criteria             | The Award Criteria against which the Applicant's responses in the Technical Envelope will be assessed.  |
| Quality Standard                   | Either the LAA Specialist Quality Mark (SQM) or the Law Society's Lexcel Practice Management Standard   |
| Red Rating                         | A possible RAG rating achieved on completion of the Financial Assessment Form.  |
| Red Plus Rating                    | A possible RAG rating achieved on completion of the Financial Assessment Form.  |
| Resourcing Plan                    | The resourcing plan which is required to be attached to an Applicant's Tender, as required by the IFA.  |
| Remote Advice                      | As defined in the Specification   |
| Response                           | An Applicant's response to any of the procurement documents, including the SQ, CLA Financial Assessment ITT, the CLA Category ITTs as applicable; and which form a part of its Tender.  |
| Rota Hours                         | As defined in the Specification.  |
| Rules for Connected Entities       | The rules set out at paragraph 2.6 of the IFA.  |
| Selection Criteria                 | Requirements Applicants will be assessed against to be shortlisted for a CLA Contract.  |
| Signed Engagement Agreement        | A legally binding agreement between and executed by an individual and an Applicant confirming that the individual will be employed or otherwise engaged by the Applicant to conduct Contract Work for or on behalf of the Applicant from the Service Commencement Date in accordance with the requirements of the CLA Contract. |
| Service Commencement Date          | 1 September 2018  |
| Specification                      | The Specification of the Contract Work at Annex 1 of the CLA Contract   |
| Specialist Quality Mark (SQM)      | The LAA's legal practice quality mark which is a Quality Standard under the CLA Contract.   |
| Sub-criteria                       | An element of an Award Criterion within the Technical Envelope and the Commercial Envelope of the ITT and as also set out at Annex D of the IFA.  |
| Stage(s)                           | A reference to one or more of stages 1 – 6 of the Tender evaluation process as set out in Section 4 of the IFA.   |
| Supervisor                         | As defined in the CLA 2018 Standard Terms   |
| Supervisor Standard                | As defined in the Specification.  |
| Supporting Financial Documentation | As set out in paragraph 3.51 of the IFA.  |

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| Technical Envelope   | Specific technical questions in the e-Tendering system which cover the Award Criteria as set out in Annex D of the IFA  |
| Tender               | <p>An Applicant's complete response to the procurement process consisting of a Response to the following:</p> <ul style="list-style-type: none"> <li>• the SQ;</li> <li>• CLA Financial Assessment ITT; and</li> <li>• one or more of the four CLA Category ITTs</li> </ul> <p>which, if the Applicant is successful, will form part of the CLA Contract.</p> |
| Total Weighted Price | The total sum of all of an Applicant's Weighted Prices.   |
| UFN                  | Unique File Number  |
| Weighted Price       | The individual prices submitted by an Applicant for each Sub-criterion in the Commercial Envelope after the specified weightings have been applied to them by the LAA.  |