



Invitation to Participate

Living Well at Home PDPS

Appendix 5 – Application Evaluation Criteria



EVALUATION OVERVIEW

All Applications will be marked using the following process before the PDPS Agreement is awarded in relation to each individual Lot.

Selection Evaluation Criteria – Acceptance/rejection of Applicants based on business standing, financial standing, technical and professional ability.

In these procurement documents the term "Self-cleaning" is used. This term arises out of Regulation 57(13) of The Public Contracts Regulations 2015. Self-cleaning allows Applicants to provide evidence that any breaches that may have occurred in the grounds for exclusion outlined in this document have now been rectified and measures have put in place to ensure compliance. The Authority reserves the right to consider the measures taken and deem whether the remedial action taken is sufficient and whether the Authority requires the submission of satisfactory evidence by the Applicant prior to appointment.

CRITERIA	SECTION NUMBERS	DOCUMENT	EXPLANATION FOR ALLOCATION OF WEIGHTING	CRITERIA WEIGHTING
Selection	1 - 7	Selection Criteria Questionnaire	Must pass all questions to be eligible to be appointed	Pass or Fail

Where appropriate, the Authority will request evidence of the self-cleaning measures implemented following the evaluation process. If any of the successful Applicants are found to have failed the selection criteria or fail to provide the information required by the Authority, they will be rejected from the process.

Please note, owing to the existence of Lot specific selection criteria within Part 3, Applicants will be awarded a PASS / FAIL for each Lot they bid for, as indicated in their response to Question 1.4 in Section 1.

Part 1: Potential supplier Information

Section 1 - Potential supplier information (1.1), Bidding model (1.2 and 1.3)	
1.1 (a-f)	
PASS	All information has been provided for all questions.
FAIL	Information requested not provided in respect of all of the questions.
1.1 (g i)	
PASS	A response of 'Yes', or a response of N/A if not applicable
FAIL	A response of 'No'
1.1 (g ii)	
PASS	If response to 1.1 (g i) is 'Yes' All information has been provided for all questions.
FAIL	If response to 1.1 (g i) is 'Yes' but no response to 1.1 (g ii)
1.1 (h i)	
PASS	A response of 'Yes' or 'No' is provided (if applicable); or no response as the question is not applicable as the procurement is not for services.
FAIL	A failure to provide a response to 1.1 (h-i) where appropriate.
1.1 (h ii)	
PASS	If response to 1.1 (h-i) is 'Yes', the requested information and confirmation of compliance has been provided.
FAIL	If response to 1.1 (h-i) is 'Yes' but no confirmation of compliance is given in response to 1.1 (h-ii).
1.1 (i – m)	
PASS	All information has been provided for all questions.
FAIL	Information requested not provided for some or any of the questions.
1.2	
PASS	If bidding as a single supplier (information 1.2 a-e not required) OR part of a group or consortium all information is provided for 1.2 a-e.
FAIL	If bidding as part of a group or consortium, information requested not provided in respect of any of the questions.
1.3	
PASS	All information has been provided for all questions.
FAIL	Information requested not provided in respect of some or any of the questions.
1.4	
PASS	A response has been provided for all questions.
FAIL	Information requested not provided in respect of some or any of the questions.

Part 2: Exclusion Grounds

Section 2 - Grounds for mandatory exclusion (2.1)	
See Annex D of the questionnaire for guidance	
2.1 (a)	
For the questions within 2.1 you must self-certify whether any of the grounds for mandatory exclusion apply, as specified by the questions.	
The detailed grounds for mandatory exclusion of an organisation are set out in Annex D of the Selection Criteria Questionnaire, which should be referred to before completing these questions.	

If a supplier is scored a FAIL for a question within these sections, then this will result in the supplier's elimination from the evaluation process and the Authority will not proceed with the scoring of its Evaluation Criteria for this ITT.

2.1

PASS	Responses of 'No' to 2.1(a) each question, or a response of a 'Yes' 2.1(a) but appropriate evidence of self-cleaning is provided within 2.1(b) and 2.1(c) (see section on 'Self-cleaning' below for guidance and instructions on this).
FAIL	The Authority is entitled to exclude Applicants from the ITP if any of the mandatory and discretionary grounds for exclusion apply, as indicated by a Applicant responding 'Yes' to a question, and/or the Authority has other external evidence. However, the Authority will consider all the relevant circumstances, and will at its discretion allow an Applicant to score a PASS and proceed if it provides evidence of 'Self-cleaning' to the Authority's satisfaction.

Section 3 - Mandatory and discretionary grounds relating to the payment of taxes and social security contributions (3.2 – 3.3)

3.2 (a) – (b) and 3.3

You must self-certify whether any of the grounds for mandatory and discretionary exclusion apply, as specified by the questions.

PASS	Responses of 'YES' to 3.2(a), or a response of a 'No' 3.2(a) but appropriate evidence of self-cleaning is provided within 3.2(b) and 3.3 (see section on 'Self-cleaning' below for guidance and instructions on this).
FAIL	The Authority is entitled to exclude Applicants from the ITP if any of the mandatory and discretionary grounds for exclusion apply, as indicated by a Applicant responding 'No' to a question, and/or the Authority has other external evidence. However, the Authority will consider all the relevant circumstances, and will at its discretion allow an Applicant to score a PASS and proceed if it provides evidence of 'Self-cleaning' to the Authority's satisfaction.

Section 4- Grounds for discretionary exclusion (4.1 – 4.4)

4.1 (a) – (j) and (j) (i-iv)

You must self-certify whether any of the grounds for discretionary exclusion apply, as specified by the questions.

PASS	Responses of 'No' to each question, or a response of a 'Yes' to one or more questions but appropriate evidence of self-cleaning is provided within 4.4 (see section on 'Self-cleaning' below for guidance and instructions on this).
FAIL	The Authority is entitled to exclude Applicants from the ITP if any of the discretionary grounds for exclusion apply, as indicated by an Applicant responding 'Yes' to a question, and/or the Authority has other external evidence. However, the Authority will consider all the relevant circumstances, and will at its discretion allow an Applicant to score a PASS and proceed if it provides evidence of 'Self-cleaning' to the Authority's satisfaction.

4.2

PASS	If the statement is applicable and you have responded 'Yes' to all parts of the question and 4.3
FAIL	If the statement is applicable and you responded 'No' to any or all parts of the question and did not provide the required information for 4.3.

Self-cleaning: important instructions

Self-cleaning: If a Applicant responds 'Yes' to any of the questions within **2.1(a), or 4.1(a)**, or 'No' to any of the questions within **3.2(a), 4.2**, the Authority may request further evidence of self-cleaning at any time prior to award.

In order for the evidence referred to above to be sufficient, the Applicants shall, as a minimum, prove that it has:

- Paid or undertaken to pay compensation in respect of any damage caused by the criminal offence or misconduct;
- clarified the facts and circumstances in a comprehensive manner by actively collaborating with the investigating authorities; and
- taken concrete technical, organisational and personnel measures that are appropriate to prevent further criminal offences or misconduct.

The measures taken by the Applicant shall be evaluated taking into account the gravity and particular circumstances of the criminal offence or misconduct. Where the measures are considered by the Authority to be insufficient, the Applicant shall be given a statement of the reasons for that decision, and the question(s) shall be scored as a FAIL.

The Authority can use its discretion as to whether the Applicant may be awarded a PASS, provided the Applicant can demonstrate remedial action to the Authority's satisfaction.

If an Applicant responds 'Yes' to any of the questions within **2.1(a), or 4.1(a)**, or 'No' to any of the questions within **3.2(a), 4.2** and subsequently **does not provide any evidence that is requested** of Self-cleaning the Applicant will fail that question and be excluded from the process.

Self-cleaning is not applicable to discretionary exclusion grounds which are procurement-specific and which do not arise from Applicants misdeeds (“conflict of interest” and “distortion of competition from prior involvement”).

Part 3: Selection Questions

Section 5 – Economic and financial standing (5.1 – 5.4)	
5.1-5.3 (a-b)	
PASS	The Tenderer can provide the requested details to one of the questions 5.1, 5.2, 5.3(a) or 5.3(b).
FAIL	The Authority may fail a Tenderer if they cannot provide the requested details for at least one of the questions 5.1, 5.2, 5.3(a), or 5.3(b).
5.4	
PASS	<p>The specified minimum level of economic and financial standing for this procurement is set out below: <i>If both of the following criteria are achieved, the Applicant will achieve a PASS and should select Yes within the selection questionnaire.</i></p> <ul style="list-style-type: none"> • A result of 0.7 or above for the current ratio; and • A result of 1 or below for the debt ratio. <p><i>These ratios must apply to the two most recent financial periods where accounts have been required to be filed.</i></p> <p><u>To calculate the financial ratios:</u></p>
FINANCIAL INFORMATION – evaluation method	

	Current ratio	Current assets divided by current liabilities
	Debt ratio	Total debt divided by total assets
	<p>The Authority reserves the right to use a third-party provider of business information, this may be to validate the financial information provided by the Applicant, to identify areas of concern and/or for further information where required.</p> <p>The Authority reserves the right to carry out further financial stability evaluation if it deems it necessary, which may involve seeking further information such as details of your accounting model or information concerning any underwritten debt.</p> <p>At the sole discretion of the Authority, the further information provided may be taken into account to assess whether your organisation will PASS the question.</p>	
FAIL	<p>If a Tenderer selects 'No' for Question 5.4 as they did not satisfy both of the above criteria they may FAIL that question in which case the Authority will not proceed with the scoring of their Application.</p> <p>Applicants may be required to confirm the following information during evaluation stage when requested:</p> <ul style="list-style-type: none"> • Current assets • Current liabilities • Total debt • Total assets <p>The Authority reserves the right to use a third party provider of business information, this may be to validate the financial information provided by the Applicant, to identify areas of concern and/or for further information where required.</p> <p>The Authority will use the above information to calculate the ratios and/or a third-party provider of business information. If an Applicant is found not to satisfy both the above criteria they may fail question 5.4 and be excluded from the procurement.</p> <p>The Authority reserves the right to carry out further financial stability evaluation if it deems it necessary, which may involve seeking further information such as details of your accounting model or information concerning any underwritten debt.</p> <p>At the sole discretion of the Authority, the further information provided may be taken into account to assess whether your organisation will PASS the question.</p>	
5.4		
PASS	If the statement is applicable and you have responded 'Yes'.	
FAIL	If the statement is applicable and you responded 'No'.	
Section 6 – Technical and professional ability (6.1 - 6.3)		
6.1		
<p>This question requires contract(s) that are relevant to the Authority's requirement. The Authority's requirements are set out within the ITP and Service Specification documents. Examples of contracts relevant to the Authority's requirements may include:</p>		

- Contract(s) for services similar to those set out with in the Authority's ITP and Specification documents;
- Contract(s) for services which are similar in nature to those set out within the Authority's ITP documents specifically the service specifications.
- Other contracts or major grants as the Authority sees appropriate.

Applicants must provide:

1. references from staff in other authorities, e.g. Contract Managers;

in the event that this is not possible, tenderers must provide:

2. references from other public sector bodies - e.g. if you have been contracted by other local authorities, the NHS, CCGs, schools, or universities;

and in the event that this is not possible, tenderers must provide:

3. references from the Authority staff. This could be the relevant, Service Manager Contract Monitoring Officer, Contract Assurance Officer, Commissioning Manager or other job title.

The relevancy of your contracts to the Authority's requirements will be assessed on the following. As part of your responses you must address the nature of the service (service description).

Selection Criteria – Reference Request – See Appendix 4b.

IMPORTANT – References Instructions below:

- 1) Applicants are required to contact the referee(s) indicated above for each contract to obtain the references.
- 2) Applicants must use the template provided at 'Appendix 4b - Selection Criteria Reference Request'. The text must be replicated into the body of an Email. Questions 1-4 in the template are for the referee to complete.
- 3) Applicants must submit the Email trail which includes their request and the referee's response to questions 1-4 with their Application. Each Reference response must:
 - a. be submitted as a separate Email, and;
 - b. be submitted as an Email Message format, pdf or any other format which is created when you save an Email (rather than copying and pasting the text from an Email into a word or other document).
- 4) The Authority may contact the referees to validate their responses during the evaluation stage of the process.
- 5) In the event that it is not possible to provide the email trail which includes the Applicants request and the referee's response with their Application, Applicants must provide:
 - a. The email trail to evidence that they have sent the reference request to the referee, and;
 - b. The correct contact details at section 6.1 of the Selection Criteria Questionnaire for the Council to issue the reference request, or follow up on their request.
- 6) Applicants are reminded that the Council may require satisfactory references to enable a pass for this question, therefore they should use best endeavours and allow enough time to acquire the necessary references from the referees.

PASS	The information is complete and the reference(s) which the Authority obtains are satisfactory.
FAIL	<p>If one or more references gives evidence of a failure to deliver the required levels of contract performance it may result in a FAIL.</p> <p>No description(s) provided in response to the question, or the contracts provided are not relevant to the Authority's requirements may result in a FAIL.</p> <p>If it is not possible to validate the accuracy of the information provided or if the accuracy of the information provided is put in significant doubt by the referee this may result in a FAIL.</p> <p>However, the information for the other questions within section 6 will be taken into account by the Authority to assess whether your organisation will PASS the question.</p> <p>Please note that the Authority will check the word-count of your response(s), any words above the word-count will not be evaluated. The word-count applies to each contract, i.e. you have 500 words for Contract 1, 500 words for Contract 2, 500 words for Contract 3.</p>
6.2	
This question requires an explanation as to why examples cannot be given within 6.1 and how you meet the selection criteria relating to technical and professional ability.	
PASS	Explanation not required by virtue of the response given to 6.1, or the explanation provided is satisfactory.
FAIL	No response to the question, or the explanation is not satisfactory. However, the information for the other questions within section 6 will be taken into account by the Authority to assess whether your organisation will PASS the question.
6.3	
This question requires previous experience of working with subcontractors.	
PASS	The evidence submitted is satisfactory, even if limited, or no response due to no subcontracting in proposed delivery model.
FAIL	No description(s) provided in response to the question where the Applicant has stated they would use subcontracting within the delivery model.
Section 7 – Additional Questions (7.1-7.15)	
7.1 Insurance	
PASS	You either have or can commit to obtain, prior to the commencement of the contract, the levels of insurance cover indicated set out within 7.1.
FAIL	You have not got the necessary cover and are not willing to obtain this if offered a contract.
7.2 Data Protection	
PASS	A response of 'Yes' to question 7.2(a) and provided sufficient details of the technical facilities and measures you have in place or will have in place by contract award which includes facilities and measures as set out in 7.2(b).
FAIL	A response of 'No' to question 7.2(a) and/ or did not provide sufficient details of the technical facilities and measures you have in place or will have in place by contract award which includes facilities and measures as set out in 7.2(b).
7.3 (a) Health and Safety	
PASS	A response providing a sufficient description of arrangement in place to manage health and safety effectively and control significant risks relevant to the requirement.

FAIL	No response or an insufficient description of arrangements in place to manage health and safety effectively and control significant risks relevant to the requirement.
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7.11 CQC Regulated Activity Registration and Rating

PASS	The requirement to achieve a PASS are set out in the Invitation to Tender document section 1.7 (Care Quality Commission registration & Rating) and the Applicant must have completed the relevant information within Appendix 4a Selection Criteria Additional Information.
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FAIL	The Applicant fails to meet the requirements set out in the Invitation to Tender document section 1.7 (Care Quality Commission registration & Rating).
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7.12 Electronic Time Management Systems Lot 1a, Lot 1b and Lot 1c Planned Care only

PASS	A response of 'Yes' to this question
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FAIL	A response of 'No' to this question
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7.13 Price Lot 1b Homecare Services

PASS	A Response of 'Yes' to this question
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FAIL	A response of 'No' to this question
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7.14 Lot 2 Non Regulated Geographical Location

PASS	A Response of 'Yes' to this question
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FAIL	A response of 'No' to this question
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7.15 Relevant Experience – Lot 1a Short Term Care at Home only

Pass	<p>The response demonstrated evidence of past experience which is relevant to the service requirements, as per Lot 1a Short Term Care at Home specification, and demonstrates all of the following capabilities (same or similar) :</p> <ul style="list-style-type: none"> • Ability to respond, co-ordinate and mobilise care rapidly with high volume of referrals over 7 days • Deliver services across urban and rural areas • Delivered services with a reablement care approach or similar • Joint working with a Local Authority or NHS organisation or similar
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Fail	<p>There is no response, or the response demonstrates past experience with no relevance, or is of little relevance to the service requirements, as per Lot 1a Short Term Care at Home specification and does not adequately demonstrate all of the following capabilities (same or similar):</p> <ul style="list-style-type: none"> • Ability to respond, co-ordinate and mobilise care rapidly with high volume of referrals over 7 days • Deliver services across urban and rural areas • Delivered services with a reablement care approach or similar • Joint working with a Local Authority or NHS organisation or similar
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