



Legal Aid
Agency

Invitation to Tender for 2015 Duty Provider Crime Contracts Information For Applicants

The Legal Aid Agency (LAA) is inviting eligible Applicant Organisations to respond to the Invitations to Tender (ITT) to procure 2015 Duty Provider Crime Contracts (Duty Provider Contracts), under which Contract Work will commence on 11 January 2016.

This is the second stage of the procurement process for Duty Provider Contracts. It is restricted to those Applicant Organisations who have been notified of our intention to award them a 2015 Own Client Crime Contract (the first stage of the procurement process).

The Deadline for submitting responses to this procurement process is 12 noon on 5 May 2015 (the “Deadline”)

The information that Applicant Organisations are required to submit at this stage of the procurement process is more detailed and substantial than at the first stage so Applicant Organisations are strongly advised to access the procurement opportunity early so they have sufficient time to respond. A complete Tender will consist of a response to:

- The Duty Provider Organisation ITT (including all Mandatory Attachments)
This covers requirements applying to the Applicant Organisation as a whole.

AND

- One or more of the Procurement Area ITTs (a Procurement Area Bid)
This covers Selection Criteria and Award Criteria. Competition takes place at Procurement Area level.

Successful Applicant Organisations will be awarded a single Duty Provider Contract requiring them to provide Contract Work in those Procurement Areas in which their Procurement Area Bids have been successful.

This IFA

Applicant Organisations must read this entire document before submitting their Tender.

This Information for Applicants (IFA) document provides information about this stage of the procurement process, including how Applicant Organisations submit a response to the ITTs

and the rules governing the procurement process. Where not defined in the body of this IFA capitalised terms are defined in the Glossaries at Annexes E and F.

Questions about this IFA

If an Applicant Organisation has any questions about the content of this IFA, it may submit them up until **12 noon on 15 December** (note this is referred to in the eTendering system as the 'End date for supplier clarification messages') through the eTendering system. All questions must be submitted using the online secure eTendering system message boards in the relevant ITTs.

Applicant Organisations should assume that questions and answers may be published but the identity of the Applicant Organisation will be anonymised. Questions of wider interest will be collated and answered centrally in writing to ensure that all interested parties have equal access to information. An Applicant Organisation that objects to publication should expressly state this and the LAA will consider its representations.

Questions and answers will be published on the tender pages of our website on 22 December in the 'Invitation to Tender for 2015 Duty Provider Crime Contracts Frequently Asked Questions (FAQ)'.

Technical questions about how to operate the eTendering system

Tenders must be submitted via the eTendering system. Guidance on using the eTendering system is available through the 'Technical Support and Guidance' link on the eTendering system home page. There is also a helpdesk to provide technical support to Applicant Organisations using the eTendering system. However, the helpdesk is **unable** to assist with problems with Applicant Organisations' own computer hardware or systems. For these types of issues, Applicant Organisations should contact their usual IT support.

Questions should be emailed to the following email address: LAATenderHelpdesk@ventura-uk.com. Alternatively, the telephone number for the helpdesk is 03330 037060 (lines are open from 9am to 6pm Monday to Friday).

The LAA recommends that Applicant Organisations start to complete their Tender early so that they identify any areas where they need 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 before the Deadline.

Timetable

Below is a list of indicative dates for key activities in this procurement process. Where there are changes to the dates set out below, the LAA will notify Applicant Organisations through the eTendering system as soon as possible.

Activity	Timescale
Procurement process for 2015 Duty Provider Crime Contracts opens and available via the LAA's eTendering portal	27 November 2014
Final date to submit questions about this procurement process	12 noon on 15 December 2014
Final 'Frequently Asked Questions' to be published	22 December 2014

Deadline for submission of Tenders	12 noon on 5 May 2015
Notification of outcome of Duty Provider Contract Tenders	September 2015
Contract execution and Contract Start Date	Week commencing 5 October 2015
Mobilisation period	October to January 2016
Service Commencement Date	11 January 2016

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SECTION 1: INTRODUCTION AND BACKGROUND

About the LAA and this procurement process

- 1.1 The LAA, on behalf of the Lord Chancellor, is responsible for commissioning and administering legal aid services across England and Wales in accordance with the Legal Aid, Sentencing and Punishment of Offenders Act 2012 (“LASPO”) and associated legislation. All contract documentation will be issued by the LAA on behalf of the Lord Chancellor.
- 1.2 The ‘Transforming Legal Aid: Next Steps’ consultation response, published on 27 February 2014, outlined the procurement model for criminal legal aid contracts from 2015. The subsequent ‘Transforming Legal Aid: Crime Duty Contracts’ consultation response published in November 2014 confirmed that the LAA would procure a limited number of Duty Provider Contracts (527) in 85 Procurement Areas across England and Wales.
- 1.3 The LAA is inviting Applicant Organisations to tender for a Duty Provider Contract to carry out Contract Work in one or more of 85 Procurement Areas within England and Wales from 11 January 2016. Annex A contains a list of Procurement Areas and details of the number of Applicant Organisations that the LAA intends to award Contract Work to in each Procurement Area.
- 1.4 The Applicant Organisation’s Tender to deliver Contract Work under a Duty Provider Contract is governed by this Information for Applicants (IFA) document and any notices amending the procurement process issued in accordance with the rules of this process (set out at paragraph 8.12 below).
- 1.5 Applicant Organisations which are successful in this procurement process will be awarded a Duty Provider Contract, subject to their Tender being satisfactorily verified (see Section 7 for details).
- 1.6 The LAA will enter into contracts with successful Applicant Organisations in early October 2015 (Contract Start Date) with services due to commence on 11 January 2016. The period between October and January 2016 will be a Mobilisation Period, during which the LAA will monitor successful Applicant Organisations’ progress in ensuring they are able to deliver Contract Work from the Service Commencement Date.
- 1.7 This is a Part B services procurement to which the Public Contracts Regulations 2006 (as amended) (the “Regulations”) only apply in part. The LAA is not bound by any of the Regulations except those which specifically apply to Part B services.
- 1.8 In the development of these proposals, the LAA has undertaken due consideration of the Public Services (Social Value) Act 2012. Proposals may improve economic, social and environmental wellbeing in a number of ways, including:
 - Encouraging local business and improving local access to services by requiring Applicant Organisations to have an Office in the Procurement Area they are bidding for (with the exception of London and the Split Procurement Areas).

- Contributing to local skills development by preferring Applicant Organisations that offer training seats and invest in training and improving staff skills.
- Raising standards in client care and confidentiality by requiring Applicant Organisations to have facilities in place to protect client confidentiality, and to have specific plans for helping clients with relevant protected characteristics and particular language requirements.
- Enabling a flexible market by allowing Applicant Organisations, Delivery Partners and Agents to group together to deliver services, according to their individual circumstances and expertise.

1.9 The Deadline for submitting Tenders is **12 noon on 5 May 2015**. All Tenders must be completed and submitted using the LAA's eTendering system. Late submissions will not be considered under any circumstances (see paragraph 8.4).

About the Duty Provider Contract

1.10 Duty Provider Contracts will run for four years from the Service Commencement Date (subject to termination provisions and the LAA's right to extend for up to a further 1 year).

1.11 The Duty Provider Contract is made up of the following documents:

- Contract for Signature
- Standard Terms (which governs the relationship between the LAA and the contract holder and contains overarching terms)
- Specification (which governs how Contract Work must be delivered and includes the service standards and key performance indicators that contract holders must meet)
- Schedules (which set out the Classes of Work that may be performed under the Contract and any bespoke terms relevant to the delivery of Contract Work at a particular Office).

1.12 Responses to Selection and Award Criteria will be incorporated into any Duty Provider Contract awarded and the Delivery Plan will be attached to the Contract Schedule.

1.13 Draft Duty Provider Contract documents are available on our website at:

<https://www.gov.uk/government/publications/draft-documents-for-the-duty-provider-crime-contract-2015>

Outline of the Contract Work

1.14 Applicant Organisations are tendering for a single Duty Provider Contract with authorisation to undertake Contract Work in one or more Procurement Areas. Successful Applicant Organisations will be allocated, as far as possible, an equal share of all Duty Slots in those Procurement Areas where they have been awarded Duty Provider Contract Work. Duty Slots are periods of time where a provider must be on call to attend a police station or Magistrates' Court.

1.15 Duty Slots will be allocated by individual Duty Scheme. There will be separate schemes for police stations and courts and there may be multiple Duty Schemes within a

Procurement Area. Duty Provider Contract holders will be allocated Duty Slots on a rota basis for all schemes within the Procurement Area and will be required to cover all Duty Slots allocated to them. During a Duty Slot a Duty Provider Contract holder will receive a proportion of all requests for a Duty Lawyer. If they are the only organisation on call they will receive all requests.

- 1.16 Duty Slots will be allocated exclusively to those organisations that have been awarded Duty Provider Contract Work in the Procurement Area. All Contract Work flowing from the Duty Slots will be undertaken under the Duty Provider Contract. Duty Provider Contract holders will therefore be required to provide advice and representation in any subsequent criminal proceedings in the Magistrates' Court and where applicable in the Crown Court and Higher Courts (Court of Appeal, High Court, Supreme Court) for a case that originated via their Duty Provider Contract, even if the case subsequently moves outside the Procurement Area.
- 1.17 Duty Slots at police stations may vary in length, depending on the scheme. Duty Slots in less busy schemes will be for longer periods. Busier schemes may require more than one Duty Provider Contract holder to be on call at the same time.
- 1.18 Duty Slots at court will last for the opening hours of the court. Courts generally open in normal business hours (9.30am to 5pm, Monday to Friday); busier courts are also open on Saturdays.
- 1.19 There may be instances where courts are required to stay open later, due to one off increased police activity or national pilots. Duty Provider Contract holders will be expected to cover any such occurrence but by their very nature these are very difficult to predict. Annual and predictable activities that increase police station and court cases such as the Notting Hill Carnival and the Glastonbury Festival will be incorporated into the rotas.
- 1.20 Details of the Duty Provider schemes for each Procurement Area including the number and length of Duty Slots on all schemes can be found in the published indicative duty rotas (which can be found here <https://www.gov.uk/government/publications/legal-aid-crime-tender-2015>). Allocation will take into account busier periods to ensure, as far as possible, fair distribution.

How will the Contract Work be paid?

- 1.21 Payments under the Duty Provider Contract will be set out in Legal Aid Legislation.
- 1.22 As confirmed in the 'Transforming Legal Aid: Next Steps: Government Response' ("Consultation Response") published on 27 February 2014 some changes will be made to the current remuneration mechanisms. Details of the proposed changes to the current remuneration mechanisms and rates of payment can be found at paragraphs 39 to 53 of the Consultation Response introduction and paragraphs 33 to 51 of Annex C of the Consultation Response.

- 1.23 The Consultation Response confirmed that the Government intended to reduce crime fees by a further 8.75% in 2015 (see paragraph 74 of the Consultation Response). However, the Ministry of Justice has subsequently agreed that before implementing this reduction it will consider and take into account the outcome of the Leveson review, on-going criminal justice reforms and any impacts from previous remuneration changes.
- 1.24 Nevertheless, Applicant Organisations should plan and tender for Duty Provider Contracts on the basis of a further 8.75% reduction, as they will be expected to demonstrate that they are capable of delivering at that level. The fee cut will be no greater than this.

Electronic working

- 1.25 The provisions of the Duty Provider Contract provide that the LAA may introduce Electronic Working during the life of the contract on three months' notice. By submitting a Tender you agree that such notice may be given prior to the Service Commencement Date as if it were notice under the Duty Provider Contract.

SECTION 2: WHO CAN SUBMIT A TENDER

Who will be invited to tender?

- 2.1 Only Applicant Organisations that have been notified of our intention to award them a 2015 Own Client Crime Contract are eligible to:
- tender for a Duty Provider Contract; and / or
 - carry out work under another organisation's Duty Provider Contract as a Delivery Partner or Agent.
- 2.2 Different rules apply to working with Delivery Partners and Agents respectively with regard to their performance of Contract Work and the associated requirements of this procurement process.
- 2.3 Further information on those rules and associated requirements and on the distinction between Delivery Partners and Agents is set out from paragraph 2.12. However, Applicant Organisations are reminded of the importance of reading the detailed rules themselves within the draft Duty Provider Contract published on our website (see in particular the Standard Terms and Specification).
- 2.4 There is no obligation for Applicant Organisations invited to this procurement opportunity to tender for a Duty Provider Contract if they do not wish to.

Which entities will the LAA contract with?

- 2.5 The LAA will only contract with a single legal entity but Applicant Organisations may work with Delivery Partners to deliver Contract Work within a Procurement Area (see paragraph 2.12 below).
- 2.6 The Duty Provider Contract is contingent on holding an Own Client Contract. That means that the organisation holding the Duty Provider Contract must be the same entity as that which holds an Own Client Contract.
- 2.7 As permitted under the first stage of this procurement process (see 1.17 to 1.22 of the IFA document which applied to the Own Client Contract), some Applicant Organisations may have submitted a number of Tenders for an Own Client Contract; both as the organisation as constituted at the time of submission and the organisation they intended to become (also referred to in this IFA document as 'newly constituted' organisation).
- 2.8 Where multiple Tenders from the same Applicant Organisation have been successful in being awarded an Own Client Contract, Applicant Organisations must decide which of these "organisations" will tender for a Duty Provider Contract. In making that decision, they must consider and apply the Rules on Submitting Multiple Bids (see paragraphs 2.29 - 2.37 below).
- 2.9 Where an Applicant Organisation intends to tender as a newly constituted organisation awarded an Own Client Contract, it must by the time it submits its Tender have its actual or proposed name, and give this in response to question A.1. of the Duty Provider

Organisation ITT (“Organisation ITT”). For the avoidance of doubt, where an Application Organisation is unable to confirm its name in response to question A.1. (e.g. it enters ‘to be confirmed’), the Tender will fail in its entirety.

- 2.10 Applicant Organisations are also reminded that they are required to inform the LAA of any material change to the information submitted in their Own Client Tender, for example, any failure to fulfil tax liabilities. Paragraph 8.33 of the IFA document which applied to the Own Client Contract sets out that:
- “Where a material change occurs to the tender information submitted by an Applicant Organisation, including issues relating to any current contract the Applicant Organisation holds, the Applicant Organisation must inform the LAA.”
- 2.11 Applicant Organisations must respond to this procurement opportunity via the relevant eTendering system registration. The registration used must be for the entity that intends to hold a Duty Provider Contract.

Applicant Organisations working with Delivery Partners

- 2.12 An Applicant Organisation may submit Procurement Area Bids on the basis that it intends to work with Delivery Partners to deliver Contract Work. All Delivery Partners must have been notified of our intention to award them a 2015 Own Client Crime Contract.
- 2.13 A Delivery Partner is another organisation that an Applicant Organisation intends to work with to help it deliver Contract Work in a particular Procurement Area. An Applicant Organisation can name up to three Delivery Partners in any Procurement Area Bid.
- 2.14 Each Delivery Partner may deliver up to 40% of the value of Contract Work (see paragraph 2.17) within a Procurement Area, subject to the provisions of paragraph 2.15 which specify the minimum levels of Contract Work in a Procurement Area that the Duty Provider Contract holder must undertake itself.
- 2.15 The Applicant Organisation must deliver a larger share of Contract Work in the Procurement Area than any one of its individual Delivery Partners in that Procurement Area and must conduct (as applicable):
- in rural Procurement Areas, at least 30% of the value of Contract Work; and
 - in urban Procurement Areas, at least 45% of the value of Contract Work
- 2.16 Annex A sets out whether a Procurement Area has been defined as rural or urban.
- 2.17 The value of Contract Work referred to in paragraphs 2.14 and 2.15 will be determined by reference to the total value of claims for Contract Work made in each rolling period of 12 consecutive months. Further detail is provided at clause 3.18 of the Duty Provider Contract Standard Terms.
- 2.18 For the avoidance of doubt; where an Applicant Organisation submits one or more successful Procurement Area Bids involving Delivery Partners, the LAA will have a

contractual relationship with the Applicant Organisation only. It will be the Applicant Organisation which will be contractually responsible for the delivery of all Contract Work including compliance with the rules on delivery of Contract Work by Delivery Partners and the client retainer will in each case sit with the Applicant Organisation. Delivery Partners will act as agents of the Applicant Organisation in accordance with the terms of the formal written agreement and the Duty Provider Contract.

- 2.19 The Applicant Organisation must have a formal written agreement in place with each of its Delivery Partners by the time it submits its Tender for a Duty Provider Contract. Details of what the formal written agreement must include as a minimum are outlined at clause 3.26 of the Duty Provider Contract Standard Terms. Confirmation that the requisite written agreements are in place is included in the declarations required from the Compliance Officer for Legal Practice (COLP), or where not regulated by the SRA the intended Head of Legal Practice, at Section D of the Organisation ITT (See Annex C).
- 2.20 Section C of the Procurement Area ITT requires the Applicant Organisation to provide information about the identity of each Delivery Partner it intends to work with to deliver Contract Work. This includes:
- The name of each Delivery Partner
 - The Delivery Partner's Own Client Contract ID number (to be found on the Delivery Partner's Own Client Contract notification letter)
 - The office address of the Delivery Partner
- 2.21 There are limits to the number of times an organisation can be used as a Delivery Partner in the same Procurement Area - see Rules on Submitting Multiple Bids at paragraphs 2.29-2.37 below. Where a Procurement Area Bid breaches these rules, it will be unsuccessful.
- 2.22 Applicant Organisations must therefore undertake due diligence with respect to any Delivery Partners they intend to work with to deliver Contract Work. In carrying out such due diligence, Applicant Organisations must consider the rules on substitution of Delivery Partners at paragraphs 2.26-2.28.

Applicant Organisations' use of Agents

- 2.23 An Agent is defined under the Duty Provider Contract as another organisation that holds a 2015 Own Client Crime Contract which is engaged by the Applicant Organisation to undertake Contract Work in accordance with the contract provisions.
- 2.24 The Applicant Organisation may use Agents to undertake up to 25% of the value of Contract Work in a given Procurement Area (see paragraph 2.6 and 3.2 of the Duty Provider Contract Standard Terms). For the avoidance of doubt, where the Applicant Organisation is working with Delivery Partners to deliver Contract Work, it must still comply with the requirement for it to deliver a minimum share of that Contract Work itself (see paragraphs 2.14 and 2.15).

- 2.25 Delivery Partners differ from Agents in that Delivery Partners are subject to a formal agreement. In addition, they can deliver a higher proportion of Contract Work (see paragraph 2.14), be named in order to meet some of the Selection Criteria (see section 4), and where they are used will be named in an Applicant Organisation's Contract Schedule.

Substitution of Delivery Partners after the Deadline

- 2.26 Applicant Organisations may not substitute any named Delivery Partners in their Tender after the Deadline. Should an Applicant Organisation find itself no longer able to use a named Delivery Partner, it must immediately notify the LAA. Any Procurement Area Bids for which that Delivery Partner is named by the Applicant Organisation will be rejected.
- 2.27 Given the scale of the procurement process the LAA and other Applicant Organisations to the procurement process require certainty and the LAA must be able to make its assessment based on those Delivery Partners named in the Tender as originally submitted. The LAA will not accept arguments that any proposed amendments to Delivery Partners are a "like for like" substitution and would not, therefore, change the original Procurement Area Bid(s).
- 2.28 In carrying out due diligence in respect of Delivery Partners it is, therefore, extremely important that Applicant Organisations take appropriate steps to satisfy themselves that any Delivery Partners named in the Procurement Area Bid(s) will be available to them during the procurement process and, as a minimum, for the first year from the Contract Start Date.

Rules on Submitting Multiple Bids

- 2.29 The fundamental principles to be applied to the Rules on Submitting Multiple Bids are that in any single Procurement Area:
- (a) an Applicant Organisation may not be "Connected" to another Applicant Organisation submitting a Procurement Area Bid in that Procurement Area;
 - (b) an Applicant Organisation may only be "Connected" to one Delivery Partner named in a Procurement Area Bid in that Procurement Area; and
 - (c) a Delivery Partner who is not "Connected" to an Applicant Organisation submitting a Procurement Area Bid in a Particular Procurement Area may only be Connected to one other Delivery Partner named in a Procurement Area Bid in that Procurement Area.
- 2.30 The Rules on Submitting Multiple Bids are set out in paragraph 2.34. All these rules must be complied with. The LAA considers the Rules on Submitting Multiple Bids to be a proportionate way of ensuring that the objectives outlined in the Transforming Legal Aid: Next Steps consultation response published on 27 February 2014 of having

sufficient providers to deal with conflicts of interest and sustainable procurement (including sufficient competition for future tender rounds) is achieved.

Interpretation and definition of “Connected”

2.31 Applicant Organisations and/or Delivery Partnerships may be Connected through corporate entities or through individuals. In the context of the Rules on Submitting Multiple Bids and the LAA’s assessment of compliance with those 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.

2.32 Such Connection may be either direct, for example where an organisation is the parent entity of two Applicant Organisations in the same Procurement Area 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 Organisation.

2.33 Where the Rules on Submitting Multiple Bids have not been complied with, any existing or proposed ethical wall or other information or business partitioning arrangement will not bring any arrangement into compliance with those rules.

Rules

2.34 All of the Rules on Submitting Multiple Bids must be complied with. The Rules on Submitting Multiple Bids are as follows:

1. In any single Procurement Area, an Applicant Organisation may only submit one Procurement Area Bid in that Procurement Area.
 - In order to comply with this rule, an Applicant Organisation may not be Connected to (whether itself or through any organisation or individual Connected with it) any other Applicant Organisation submitting a Procurement Area Bid in the same Procurement Area.
2. Where an Applicant Organisation submits a Procurement Area Bid, it may be named as a Delivery Partner in a maximum of one other Procurement Area Bid in the same Procurement Area.
 - In order to comply with this rule, an Applicant Organisation may not be Connected to (whether itself or through any organisation or individual Connected with it) more than one Delivery Partner in the same Procurement Area.

3. Where an organisation is not an Applicant Organisation submitting a Procurement Area Bid, it can be named as a Delivery Partner in a maximum of two Procurement Area Bids in the same Procurement Area.
 - In order to comply with this rule, an organisation acting solely as a Delivery Partner may not be involved in (whether itself or through any organisation or individual Connected to it) more than two Procurement Area Bids in the same Procurement Area.
4. An organisation acting as a Delivery Partner cannot be named more than once in a Procurement Area Bid.
 - In order to comply with this rule, an organisation acting as a Delivery Partner may not be Connected to (whether itself or through any organisation or individual Connected with it) any other organisation named in the same Procurement Area Bid.

Example

Firm A is a partner in Firm B

Firm B is a shareholder in Company C which submits a Procurement Area Bid in the Central London Procurement Area.

Firm A therefore (via Firm B) is Connected to Company C.

Firm A may not also submit a Procurement Area Bid in the Central London Procurement Area or be Connected to other organisations submitting a Procurement Area Bid in the Central London Procurement Area as this would breach Rule 1.

- 2.35 Where the Rules on Submitting Multiple Bids appear not to have been complied with, the LAA reserves the right to clarify. This includes where a Delivery Partner (or organisations or individuals Connected with it) is named by more than two Applicant Organisations within the same Procurement Area.
- 2.36 Any breach of the Rules on Submitting Multiple Bids shall mean that all those Procurement Area Bids that the LAA deems to be Connected through legal or beneficial interest as set out in paragraphs 2.31 to 2.34 will be rejected.
- 2.37 The Organisation ITT includes a specific declaration from the Applicant Organisation's COLP, or where not regulated by the SRA, the intended Head of Legal Practice, that all of the Rules on Submitting Multiple Bids have been complied with.

SECTION 3: OVERVIEW OF REQUIREMENTS AND HOW TO TENDER

Which requirements will Applicant Organisations need to meet?

3.1 Applicant Organisations will be assessed against the following areas:

- Essential Requirements

These aim to establish whether Applicant Organisations meet our fundamental requirements for the award of a Duty Provider Contract. Applicant Organisations who do not meet these will be excluded and their whole Tender will be unsuccessful.

These are included in the Declaration at Section C of the Organisation ITT. We will also check that some of these requirements are met using Procurement Area Information and Staff Information submitted in response to Sections A and B of the Qualification Envelope in the Procurement Area ITT.

See section 4 of this IFA for further details on the Essential Requirements.

- Selection Criteria

These will be used to shortlist Applicant Organisations in each Procurement Area who meet the Essential Requirements.

Selection Criteria questions are contained at Section B of the Organisation ITT and in Sections D to G of the Qualification Envelope in each Procurement Area ITT. Where relevant, responses given must also correspond with Procurement Area Information and Staff Information provided in Sections A and B of the Qualification Envelope in the Procurement Area ITT.

See section 4 of this IFA for further details on Selection Criteria.

- Financial Assessment

Applicant Organisations shortlisted following assessment of Selection Criteria will be subject to Financial Assessment. This consists of two stages:

- i) Basic Financial Assessment; and, where appropriate
- ii) Expansion Capacity Assessment

Financial Information is collected at Section C of the Organisation ITT.

See section 5 of this IFA for full details of the Financial Assessment process.

- Tiebreak Questions

These will be applied if, after assessing responses to the Selection Criteria and undertaking the Financial Assessment, Applicant Organisations are tied to the extent that the LAA would be shortlisting more Applicant Organisations in a Procurement Area than it intends to.

Tiebreak questions are contained in Section H of the Qualification Envelope in each Procurement Area ITT.

See section 4 of this IFA for further details.

- **Award Criteria**

Applicant Organisations shortlisted in a Procurement Area following the above stages will have their responses to the Award Criteria assessed to determine which organisations are awarded Contract Work in each Procurement Area.

Award Criteria questions are contained in the Technical Envelope in each Procurement Area ITT. In assessing responses, the LAA will check that answers correspond with information provided in the rest of the Applicant Organisation's Tender.

See section 6 of this IFA for further details.

What is a Tender?

3.2 A compliant Tender will consist of a response to:

- The Organisation ITT, including all Mandatory Attachments

AND

- One or more of the Procurement Area ITTs (a Procurement Area Bid)

3.3 If the Organisation ITT is not submitted or is incapable of assessment the Tender will be rejected.

3.4 If a Procurement Area ITT is not submitted or incapable of assessment it will be rejected.

Organisation ITT contents

3.5 The Organisation ITT contains the following sections and Mandatory Attachments:

- Section A: Organisation Information
- Section B: Organisation Selection Criterion
- Section C: Financial Assessment, including Mandatory Attachments
- Section D: Declarations, including confirmation that the Essential Requirements will be met

3.6 The Mandatory Attachments for the Organisation ITT are listed below:

Business Type	Financial Assessment required	Mandatory Attachment that must be completed and included in response
Established Business	Basic Financial Assessment	1) Established Business Financial Assessment Form (Version 3)
Established Business subject to Expansion Capacity Assessment	Basic Financial Assessment and Expansion Capacity Assessment	1) Established Business Financial Assessment Form (Version 3) 2) Business Plan

		3) Cash Flow Forecast Template (Version 3) to support Core Bid 4) Cash Flow Forecast Template (Version 3) to support Maximum Bid (where relevant)
Other Business Types	Basic Financial Assessment and Expansion Capacity Assessment	1) Business Plan 2) Cash Flow Forecast Template (Version 3) to support Core Bid 3) Cash Flow Forecast Template (Version 3) to support Maximum Bid (where relevant)

Procurement Area ITT contents

- 3.7 There is a separate Procurement Area ITT for each of the 85 Procurements Areas in which Applicant Organisations can bid to deliver Contract Work.
- 3.8 Applicant Organisations must complete the relevant Procurement Area ITT for each of the Procurement Areas they wish to deliver Contract Work in. Each Procurement Area ITT is split into a Qualification Envelope and a Technical Envelope containing the following:

Qualification Envelope

- Section A: Procurement Area Information
- Section B: Staff Information
- Section C: Delivery Partner Information
- Section D: Selection Criteria – Management Team Experience
- Section E: Selection Criteria – Delivery Experience
- Section F: Selection Criteria – Staffing & Recruitment
- Section G: Selection Criteria – Office
- Section H: Tiebreak Questions

Technical Envelope

- Section A: Award Criteria – Management Team
- Section B: Award Criteria – Delivery Team and Recruitment
- Section C: Award Criteria – Implementation and Delivery
- Section D: Award Criteria – Flexibility

Considerations when tendering

- 3.9 An Applicant Organisation must ensure that its entire Tender is capable of concurrent delivery. Where it submits a response to multiple Procurement Area ITTs it is warranting that it will be able to deliver all of those Procurement Area Bids concurrently if successful.

- 3.10 Because the LAA will be awarding a single Duty Provider Contract, Applicant Organisations are also reminded that where a contract award is made, they may only accept the entire contract as offered. For example, if an Applicant Organisation has submitted five Procurement Area Bids and all five are successful, it must take up the offer across all five Procurement Areas or decline the offer entirely. It will not be permitted to choose which Procurement Areas it accepts.
- 3.11 A Tender must be submitted by every Applicant Organisation wishing to hold a Duty Provider Contract. For the avoidance of doubt, this does not include those organisations planning to operate only as Delivery Partners or Agents as they will not be a party to the Duty Provider Contract.

Accessing the eTendering system

- 3.12 All Tenders must be completed and submitted using our eTendering system. It can either be accessed through eTendering portal links on the tender pages of our website or directly at www.legalaid.bravosolution.co.uk
- 3.13 Applicant Organisations must familiarise themselves with the eTendering system guides on how to use the eTendering system available through the 'Technical Support and Guidance' link on the eTendering system home page. Detailed step-by-step guidance on how to complete the Duty Provider ITTs is also available at <https://www.gov.uk/government/publications/legal-aid-crime-tender-2015>.
- 3.14 To access the eTendering system, Applicant Organisations will need to use the same username and password as they used when submitting their Tender for an Own Client Contract. Applicant Organisations which used multiple registrations to be able to submit more than one Tender for an Own Client Contract and were subsequently successful must consider which of these "organisations" will tender for a Duty Provider Contract and ensure they use the corresponding eTendering registration to submit their Tender (see paragraph 2.11 above).
- 3.15 If Applicant Organisations have forgotten their password they must click on the 'Forgotten your password?' link on the eTendering homepage to get their password reset.
- 3.16 As communication with Applicant Organisations from the LAA about the procurement process will be undertaken through the secure online eTendering system message boards, it is highly recommended that multiple additional users are set up under an Applicant Organisation's registration (see 'Technical Support and Guidance' link) so urgent messages that may affect an Applicant Organisation's Tender can be dealt with as necessary.

Accessing this procurement opportunity

- 3.17 Eligible Applicant Organisations have been invited to tender for a Duty Provider Contract through the eTendering system. An Applicant Organisation's registered users on the eTendering system will have received an email notifying them of this. By

clicking on the link in the notification email, Applicant Organisations will be taken to the “Project” containing all the ITTs. Once in that “Project”, ITTs for every Procurement Area will be visible. Alternatively, Applicant Organisations that have been invited to tender will be able to access the relevant ITTs via the “My ITTs” link within the eTendering system.

- 3.18 Applicant Organisations must ensure that they access and submit the correct ITTs for Duty Provider Contracts. There is one Duty Provider Organisation ITT (ITT_402) and 85 Procurement Area ITTs, one for each Procurement Area (see Annex A for a full list of Procurement Areas).

Completing a Tender

- 3.19 Detailed step-by-step guidance on how to complete a Tender, including screenshots of the ITTs that Applicant Organisations will see in the eTendering system is available at <https://www.gov.uk/government/publications/legal-aid-crime-tender-2015>.
- 3.20 Please note, all questions marked with a red asterisk on the eTendering system are mandatory and the eTendering system will not permit an Applicant Organisation to submit its Tender unless answers to these questions are provided.
- 3.21 There is a button in the eTendering system called ‘check mandatory questions’. By clicking on this the eTendering system will check that an Applicant Organisation 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.

Completing the Organisation ITT

- 3.22 Applicant Organisations must first complete the Organisation ITT (ITT_402). Having selected the Organisation ITT, Applicant Organisations must click ‘Create Response’ and then ‘Edit Response’ to be able to complete their responses to the questions asked. Applicant Organisations must click the ‘Save Changes’ or ‘Save and Exit Response’ buttons to ensure information inputted is saved.
- 3.23 As detailed in paragraph 2.9, the name of the Applicant Organisation must be provided in response to question A.1. of the Organisation ITT.
- 3.24 Section B requires Applicant Organisations to confirm whether they hold or have applied for authorisation from a legal sector regulator (see paragraphs 4.11-4.13 for further details). This forms part of the Selection Criteria for each Procurement Area Bid an Applicant Organisation submits but is asked here as it applies to the organisation as a whole.

Providing Mandatory Attachments

- 3.25 The Financial Assessment section of the Organisation ITT requires Applicant Organisations to complete and upload Mandatory Attachments. The Established Business Financial Assessment Form (Version 3) and Cash Flow Forecast Template(s) (Version 3) to complete can be accessed from the 'Buyer Attachments' section in the Organisation ITT. Where Applicant Organisations must provide these, details entered into the forms will only be saved if the Applicant Organisation saves the form on its own computer system. Once the relevant forms have been completed and saved on the Applicant Organisation's own system, they can be uploaded into the Organisation ITT response by clicking on the 'Click to attach' button against the relevant question in the ITT.
- 3.26 There is no template for the Business Plan but details of the information that must be contained are at Annex D. Where an Applicant Organisation must submit its Business Plan, this must be uploaded by clicking against the 'Click to attach' button at the relevant question of the Applicant Organisation ITT.
- 3.27 Please note that because the Mandatory Attachments are completed outside of the eTendering system and uploaded into the ITT response, it is not possible for the eTendering system to prevent incorrect or incomplete information being submitted and it is an Applicant Organisation's responsibility to ensure fully completed and accurate information is attached (see paragraph 3.52).
- 3.28 If an Applicant Organisation does not submit all of the Mandatory Attachments that it is required to provide in its Tender, its Tender will be rejected.
- 3.29 An Applicant Organisation's COLP (or intended COLP) or, where not regulated by the SRA, the intended Head of Legal Practice, must complete a declaration at Section D confirming the information provided in the whole of its Tender (it is recommended that this is again reviewed once the Procurement Area ITT(s) are completed). Where the name of a COLP or, where not regulated by the SRA, the intended Head of Legal Practice is not provided or a valid declaration is not given, the Tender will be rejected.

Completing a Procurement Area ITT

- 3.30 Once an Applicant Organisation has completed its response to the Organisation ITT, it must complete a Procurement Area Bid for each Procurement Area in which it wishes to deliver Contract Work. ITTs for each Procurement Area can be found in the "My ITTs" section of the eTendering system. The relevant ITTs for Duty Provider Contracts are numbered ITT_316 to ITT_401 in the eTendering system (please note that there is no ITT_317).
- 3.31 As outlined above, each Procurement Area ITT comprises a Qualification Envelope and a Technical Envelope, both of which must be completed.

Qualification Envelope - Procurement Area Information

- 3.32 Where an Applicant Organisation submits an Office address and postcode in response to questions A.1.a and b as part of its Procurement Area Bid(s), it must check that its Office is in the requisite Procurement Area by using the Procurement Area Rules set out at paragraph 3.35 below.

As most Procurement Areas differ from existing arrangements, Applicant Organisations should be aware that they may no longer be eligible for those police station schemes they are currently eligible for under the current contract arrangements.

- 3.33 If an Applicant Organisation wants to check that it has correctly identified the Procurement Area its Office is in, it can seek confirmation from the LAA. To do this, it must send a message through the relevant Procurement Area ITT message board **by 12 noon on 15 December** providing the address and postcode of its Office and asking the LAA to confirm the Procurement Area it is in based on the rules. Please note that confirmation by the LAA is final and there will be no route for further dialogue or review where an Applicant Organisation does not agree with the rules.
- 3.34 Where an Applicant Organisation wants the LAA to undertake this check, it is recommended that they contact the LAA through the message board as soon as possible before the 15 December deadline so that there is sufficient time for the LAA to undertake the check and for the Applicant Organisation to complete its Tender. The time it takes for the LAA to respond to each request for confirmation will depend on the overall volume received but it will consider each request on a first come, first served basis.
- 3.35 It is the sole responsibility of the Applicant Organisation to ensure that it submits the correct address and postcode for the correct Office in the relevant Procurement Area. Where this is not done, its Procurement Area Bid may be rejected (see paragraph 4.18 for further details). The following rules will be used to determine which Procurement Area an Office is in:

Procurement Area Rules

The rule that applies depends on whether the Procurement Area is:

- Outside of London (excluding Split Procurement Areas)
- A Split Procurement Area
- A London Procurement Area

A list of Split Procurement Areas and London Procurement Areas is provided at Tables 1 and 2 of Annex B.

Procurement Areas outside of London (excluding Split Procurement Areas)

These areas are defined by the boundaries of the police force. This can be identified by entering the Office postcode into www.police.uk, the name of the police service or constabulary provided will correspond with the relevant Procurement Area.

Split Procurement Areas

An Applicant Organisation must first check the wider police force boundary by entering its postcode into www.police.uk as outlined in the rule above. For example, entering the postcode NR1 1GE will identify that the Office is in Norfolk.

It will then be necessary to refer to Annex B, which details which main towns and cities are in which Procurement Area. For example, Norwich is in Norfolk 1. Applicant Organisations should also check the map at Annex B, delineating Procurement Area boundaries to identify which Procurement Area their Office is located in.

London Procurement Areas

These areas are defined by local authority boundaries. This can be identified by entering the Office postcode into <http://local.direct.gov.uk/LDGRedirect/Start.do?mode=1>, the name of the borough will correspond with either the relevant Procurement Area or be listed against the relevant Procurement Area in Table 3 of Annex B.

Qualification Envelope - Staff Information

- 3.36 An Applicant Organisation must provide details of all staff members it will Employ from the Service Commencement Date to be Deployed on Contract Work in the Procurement Area. This must include information about any current vacancies it plans to fill to be able to deliver the Contract Work in the relevant Procurement Area.
- 3.37 Staff Information is split into three sections: an Applicant Organisation must first provide details of members of its Management Team that will be overseeing the delivery of Contract Work in the Procurement Area it is bidding in; it will then need to provide details of Supervisors it will Employ in that Procurement Area to undertake Contract Work (where these have already been detailed in the Management Team responses, details do not need to be repeated) and lastly, its Caseworkers. For each staff member an Applicant Organisations must provide all details requested which include: name, job title, reporting line, SRA roll number or police station representative PIN (where applicable), and qualification in relation to CLAS or PSQ (if not a Supervisor).
- 3.38 Where a position is vacant, the name should be entered as “vacant” and details provided of the individual that the Applicant Organisation plans to recruit (e.g. if a Supervisor not on the Management Team this should be provided in the Supervisor section).
- 3.39 All staff Employed by or with Signed Engagement Agreements with the Applicant Organisation who are relied on in answers to the Selection Criteria questions **must** be listed in the ‘Staff Information’ section of the same Procurement Area Bid. See paragraph 4.40 for details of assessment.
- 3.40 Applicant Organisations must also note that responses to this section will be reviewed by the LAA:

- to ensure the Essential Requirement around supervision is met (i.e. a Supervisor will be Employed in the Procurement Area) - see paragraph 4.18
- to compare the consistency of responses to the Award Criteria (see paragraph 6.16).

3.41 The Declaration at Section D of the Organisation ITT includes confirmation that Named Individuals have given their express authority for inclusion in the Applicant Organisation's Tender.

Qualification Envelope - Delivery Partner Information

3.42 Where an Applicant Organisation indicates it intends to work with Delivery Partners, it will be required to enter information about each Delivery Partner. This includes the Delivery Partner's Own Client Contract ID number which can be found on the top right hand corner (under 'our reference') of its letter from the LAA notifying it of the intention to award an Own Client Contract. These notification letters were sent through the Own Client Contract message board in the eTendering system in June 2014.

Qualification Envelope - Sections D to G (Selection Criteria)

3.43 Applicant Organisations will be asked questions relating to Selection Criteria. For each of the Criteria an Applicant Organisation must select the option from the drop down list that accurately reflects its position. Where an Applicant Organisation provides supplementary information about Named Individuals relied on to meet the Criteria (other than where these will be Employed by a Delivery Partners) they must also be named in the 'Staff Information' (see paragraph 3.39).

3.44 Applicant Organisations must consider the definition of "Employed" and "Signed Engagement Agreement" when responding to questions relating to Employed individuals. This definition can be found at Annex F.

Qualification Envelope - Tiebreak Questions

3.45 Once Applicant Organisations have responded to the Selection Criteria, they will be required to provide free text responses to the three tiebreak questions – for each of these questions Applicant Organisations have a maximum of 4,000 characters to outline their response (an additional text box is provided under each question to accommodate this).

3.46 When responding to the tiebreak questions an Applicant Organisation must consider the rules outlined at paragraph 6.6 regarding the provision of generic information that is not specific to the Applicant Organisation.

Technical Envelope- Award Criteria

3.47 Once an Applicant Organisation has completed the Qualification Envelope it must go on to the Technical Envelope which contains questions relating to the Award Criteria.

Each Award Criteria question requires a free text response covering each of the points in the question. Two response boxes are provided for each question to give Applicant Organisations a maximum of 4,000 characters to respond to each question.

- 3.48 When responding to the Award Criteria questions Applicant Organisations must consider the rules outlined at paragraph 6.6 regarding the provision of generic information that is not specific to the Applicant Organisation.

Submitting a Tender

- 3.49 Once Applicant Organisations have completed their responses to the Organisation ITT and each of the Procurement Area ITTs they wish to respond to, they must submit their Tender by clicking on the “Submit Response” button within each of the ITTs. Please note that the Organisation ITT must be submitted first as it is not possible to submit a response to a Procurement Area ITT until a response to the Organisation ITT has been submitted. The eTendering system, however, will not prevent an Applicant Organisation from submitting a response to the Organisation ITT without a Procurement Area Bid (a response to a Procurement Area ITT).
- 3.50 It is the Applicant Organisation’s sole responsibility to ensure that it submits a complete Tender. The LAA will not check that all required information has been submitted before Tender assessment.
- 3.51 Applicant Organisations can check their ITT response by going back to the response to the ITT within the eTendering system (within the ITT the response to this can be found under ‘My Response’ in the ‘Actions’ menu on the left hand side) and clicking on ‘View Response Details’ in the blue bar above the response. Where Mandatory Attachments have been uploaded, Applicant Organisations can check their contents by going to the question in the ITT against which the information is loaded. The uploaded documents will be visible on the right hand side of the screen and can be downloaded by clicking on the document name. This will open a version of the attachment uploaded as part of the Applicant Organisation’s response.
- 3.52 When Applicant Organisations submit an ITT response for the first time they will receive an automated message that their response has been successfully submitted (a message will be received for each ITT response submitted i.e. the Organisation ITT and each Procurement Area ITT submitted). This only provides an indication of whether the response has been transmitted to the LAA and not whether the Tender is fully completed and/or will be assessed as being successful.
- 3.53 After submitting an ITT response, Applicant Organisations can edit their response and resubmit it up to the Deadline. Where Applicant Organisations do this they must ensure that they have still submitted a valid Tender (i.e. a response to the Organisation ITT and at least one Procurement Area ITT), as the system will not flag where this has not been done. When Applicant Organisations resubmit a Tender, they will not receive the automated message confirming submission again. An Applicant Organisation can though check that it has successfully submitted its

response by going to the 'My ITTs' screen, which will show the new 'Response status' as 'Response submitted to Buyer'.

- 3.54 The Deadline for submitting completed Tenders is **12 noon on 5 May 2015**. Tenders submitted after the Deadline will not be accepted. It is the Applicant Organisation's absolute responsibility to ensure that its complete Tender is submitted before the Deadline.

SECTION 4: ESSENTIAL REQUIREMENTS AND SELECTION CRITERIA

- 4.1 This section provides more detail on the Essential Requirements and Selection Criteria and how the LAA will assess these. Applicant Organisations must declare that they will meet the Essential Requirements for their Tender to be considered further. If Essential Requirements are met, the Selection Criteria will be assessed at Procurement Area level and used to shortlist Applicant Organisations to the next stage of assessment.

Essential Requirements

- 4.2 In order to tender for a Duty Provider Contract an Applicant Organisation must have been notified of the LAA's intention to award it an Own Client Contract. If at any time the LAA withdraws its intention to award an Own Client Contract (for example, because the Applicant Organisation no longer meets the requirements of that contract) that Applicant Organisation will be ineligible for the award of a Duty Provider Contract and any Tender submitted will be rejected.
- 4.3 As part of the Declaration in the Organisation ITT as well as confirming it meets the rules of the procurement process, an Applicant Organisation must commit to meeting certain requirements by the Contract Start Date (anticipated to be week commencing 5 October 2015) and others ahead of the Service Commencement Date. An outline of when each of these Essential Requirements need to be met is set out below.

Requirement	By when?	More Detail
Meet a Relevant Quality Standard	Contract Start Date (week commencing 5 October 2015)	See 4.5 to 4.10 below
Hold appropriate authorisation from a relevant legal sector regulator	Contract Start Date (week commencing 5 October 2015)	See 4.11 to 4.13 below
An Office: <ul style="list-style-type: none"> in the Procurement Area, or in London in the same or an immediately adjacent Procurement Area, or in the Split Procurement Areas the Split Procurement Area they are tendering in or in its Linked Procurement Area as set out in Annex B 	Must be able to identify an Office address by Contract Start Date (week commencing 5 October 2015) Must have Office set up by Service Commencement Date* (11 January 2016)	See 4.14 to 4.15 below
Employ an FTE Supervisor in the Procurement Area	Service Commencement Date* (11 January 2016)	See 4.16 below
Meet a ratio of Employing one FTE Supervisor for every four Designated Fee Earners or Caseworkers who will be Deployed on Contract Work in the Procurement Area	Service Commencement Date* (11 January 2016)	

*Where requirements must be met by the Service Commencement Date, the LAA will require evidence that arrangements are in place (e.g a signed office lease agreement) one month before (i.e. by 11 December 2015) - see section 7 for further details.

- 4.4 All of the Essential Requirements set out above are replicated in the terms of the Duty Provider Contract and must continue to be met throughout the contract term.

Relevant Quality Standard Requirements

- 4.5 Applicant Organisations will be required to either meet the relevant requirements of the LAA's Specialist Quality Mark (SQM) (as audited by the SQM Delivery Partnership), or hold the Law Society's Lexcel practice management standard, by the Contract Start Date. Applicant Organisations will be responsible for paying all necessary fees to the auditing organisation.
- 4.6 In April 2010, the SQM Delivery Partnership was appointed to undertake SQM audits, charging organisations for the service. All Applicant Organisations intending to meet this requirement through holding the SQM will be required to be audited by the SQM Delivery Partnership.
- 4.7 Where an Applicant Organisation already holds the SQM following an audit from the SQM Delivery Partnership or is in the process of being audited by them, it need not reapply for the SQM. Requirements according to the Relevant Quality Standard an Applicant Organisation chooses to hold are detailed below:

<i>Applicant Organisation Type (by organisation)</i>	<i>Requirement</i>
New legal entity (i.e. not currently practising) that intends to obtain SQM	Pass desktop audit by the Contract Start Date and fully pass SQM audit within 6 months of Service Commencement Date
Organisation that intends to obtain Lexcel	Achieve Lexcel by the Contract Start Date
Organisation that intends to obtain SQM (this includes existing contract holders with an SQM but not as audited by SQM Delivery Partnership)	Fully pass the Post SQM audit by the Contract Start Date
Organisation already holding Lexcel	No further audit required
Organisation holding SQM as audited by SQM Delivery Partnership	No further audit required

- 4.8 It is an Applicant Organisation's responsibility to ensure it meets these requirements by the Contract Start Date. Applicant Organisations are therefore advised to apply for the appropriate Relevant Quality Standard early as no extensions of time will be given. It is the absolute responsibility of the Applicant Organisation to contact the auditing organisation (The Law Society or SQM Delivery Partnership) and arrange for any necessary audits. The LAA assumes no responsibility to monitor Applicant Organisations' progress towards achieving a Relevant Quality Standard.
- 4.9 Further information about the SQM and how to register with the SQM Delivery Partnership can be found at <http://www.sqm.uk.com>.
- 4.10 Further information on Lexcel can be found on The Law Society's website: <http://www.lawsociety.org.uk/productsandservices/lexcel.page>.

Regulatory Requirements

- 4.11 By the Contract Start Date Applicant Organisations must have been granted appropriate authorisation by a relevant legal sector regulator to provide criminal legal services.
- 4.12 Applicant Organisations that do not currently meet this requirement must contact their chosen legal sector regulator as soon as possible to ensure that they are clear about the authorisation process and make their application in good time. It is the absolute responsibility of the Applicant Organisation to ensure that this is done.
- 4.13 Further details can be found at:
<http://www.sra.org.uk/authorisation/>
<https://www.barstandardsboard.org.uk/regulatory-requirements/for-prospective-entities/>

Office Requirements

- 4.14 By the Contract Start Date Applicant Organisations must be able to identify an Office in every Procurement Area in which they are offered Contract Work (or in London the same or a immediately adjacent Procurement Area or, in the Split Procurement Areas the Procurement Area they are tendering in or in its Linked Procurement Area – see Annex B for details of these areas). Applicant Organisations need not have signed agreements for Offices at this stage but must have at least identified an address in the Procurement Area from which they intend to deliver Contract Work.
- 4.15 Offices must be set up and operational by the Service Commencement Date. Full details of the requirements an Office must meet are contained in 2.28 and 2.29 of the 2015 Duty Provider Crime Contract Specification.

Supervisor Requirements

- 4.16 Supervisors must meet the requirements set out at 2.1 to 2.13 of the 2015 Duty Provider Crime Contract Specification. Full Time Equivalent (FTE) is the number of working hours that represents a notional full-time individual working 35 hours per week.

Essential Requirments: Assessment

- 4.17 Applicant Organisations who do not include in Section D of their Organisation ITT response a declaration that they will meet the Essential Requirements will be unsuccessful and their Tender will be rejected.
- 4.18 The declaration will be checked against the following information in the Applicant Organisation's Tender:

- Where an Applicant Organisation has provided Office details in the 'Procurement Area Information' at Section A of its Procurement Area Bid(s), the LAA will check that this is in the requisite Procurement Area.
- The LAA will check the 'Staff Information' at Section B of an Applicant Organisation's Procurement Area Bid(s) to ensure that an FTE Supervisor will be Employed.

Where there is any conflict between the information, answers or responses submitted as part of the Tender, the conflict will be resolved by accepting the information, answers or responses least favourable to the Applicant Organisation. This may mean rejection of a Tender or Procurement Area Bid.

Selection Criteria: Overview

4.19 Selection Criteria (see detailed wording at Annex C) will be used to decide which Procurement Area Bids will be shortlisted.

4.20 Selection Criteria will score Applicant Organisations against five main areas:

- Authorisation
- Management Team Experience
- Delivery Experience
- Staffing and Recruitment
- Office Arrangements

4.21 As outlined at paragraph 1.12, responses to Selection Criteria (including Named Individuals and their level of experience) will form part of a Delivery Plan attached to the Contract Schedule. This is to ensure that commitments made in the Tender can be monitored once the contract is operational.

Authorisation

4.22 As outlined at paragraph 3.24, this question is included in the Organisation ITT. Preference will be given to those Applicant Organisations that currently hold or have applied for appropriate authorisation from a recognised legal sector regulator (see 4.11 to 4.13 for further details). Where an Applicant Organisation indicates it has submitted an application for authorisation, it must be able to provide, where requested, evidence that its application has been acknowledged by the legal sector regulator and this must correspond with the date of application entered in its ITT response.

Management Team Experience

4.23 Selection Criteria relating to the Management Team can only be met by the Applicant Organisation as it will have responsibility for operating the contract. In response to these questions, it is not permitted to use the experience of individuals Employed by, or who have Signed Engagement Agreements with, Delivery Partners. The Applicant Organisation must also ensure that the role of the Named Individual meets the definition of Managed at Annex F.

- 4.24 Where Selection Criteria questions ask about equivalent volumes and values these are based on the anticipated volume and value of cases in each Procurement Area detailed in Annex A so will differ according to the Procurement Area bid in.

Delivery Experience

- 4.25 In response to Selection Criteria relating to Delivery Experience, Applicant Organisations can rely on Named Individuals Employed by (or with a Signed Engagement Agreement with) its Delivery Partners as well as the Applicant Organisation itself.
- 4.26 For the most common case types (Drug Offences, Offences Against the Person and Theft) volumes of cases differ by Procurement Area (see Table 2 of Annex A). This is because volumes of cases have been based on the occurrence of these cases in each Procurement Area.
- 4.27 There is one additional type of case that is asked about in the Central London Procurement Area specifically (Extradition) and a further one asked about in all London Procurement Areas (Serious Fraud) because this is where they are most likely to be conducted.

Staffing and Recruitment

- 4.28 Question F1 awards higher points to Applicant Organisations (including their Delivery Partners) who currently Employ or have a Signed Engagement Agreement to Employ a higher proportion of FTE Caseworkers who will be Deployed on Contract Work under the Duty Provider Contract in this Procurement Area, based on a capacity calculation of one FTE Caseworker to every £83,000 (excluding VAT) of the Anticipated Contract Value. The definition of an FTE is set out at Annex F.
- 4.29 The above capacity threshold is also used in question F2 which gives higher points to Applicant Organisations that currently Employ or have a Signed Engagement Agreement to Employ a higher percentage of Caseworkers with CLAS accreditation..

Office Arrangements

- 4.30 The Selection Criterion relating to Office Arrangements can only be met by Applicant Organisations as the requirement to have an Office in the Procurement Area rests with them as Duty Provider Contract holders.
- 4.31 The Criterion differs according to the type of Procurement Area. In Procurement Areas outside London (excluding Split Procurement Areas) preference is given to Applicant Organisations that currently have an Office within the Procurement Area. In London Procurement Areas preference is given to Applicant Organisations that currently have an Office in the Procurement Area or in an immediately adjacent Procurement Area (as listed at Annex B). In the Split Procurement Areas preference is given to Applicant

Organisations that currently have an Office in the Procurement Area in which they are bidding, with next preference being given to those currently with an Office in its Linked Procurement Area (as listed at Annex B).

- 4.32 Detailed Procurement Area Rules are set out at 3.35 and Applicant Organisations must ensure they comply with these in responding to the Selection Criterion question on Office Arrangements (see also paragraph 4.49).

Selection Criteria: Assessment

- 4.33 The LAA will use its assessment of the Selection Criteria to shortlist the top ranked organisations based on the numbers detailed in Annex A. The number of organisations the LAA intends to shortlist is determined by the number of organisations the LAA will award Contract Work to in each Procurement Area.
- 4.34 Where the number of Procurement Area Bids meeting the Essential Requirements within a Procurement Area is equal to or less than the number of Applicant Organisations the LAA intends to contract with in that Procurement Area (set out at Annex A) then, subject to them all passing the Financial Assessment, the LAA will not undertake any further assessment and all Applicant Organisations in the Procurement Area will be awarded a Duty Provider Contract, subject to verification.
- 4.35 Where there are insufficient Procurement Area Bids to shortlist the planned number of Applicant Organisations but there are more Applicant Organisations than the LAA will award Contract Work to, the LAA will shortlist all Applicant Organisations meeting the Essential Requirements, subject to them all passing the Financial Assessment.
- 4.36 Where the number of Procurement Area Bids meeting the Essential Requirements within a Procurement Area is greater than the number of Applicant Organisations the LAA intends to shortlist, the LAA will assess the Selection Criteria.
- 4.37 Selection Criteria responses will be assessed at Procurement Area level. Applicant Organisations will be ranked against other Applicant Organisations bidding in that Procurement Area.
- 4.38 Each Selection Criteria response will be allocated points as set out at Annex C. The points are designed to give a higher number of total points to Applicant Organisations that provide the LAA with a higher level of confidence that they will be able to deliver the Contract Work.

Additional assessment checks

- 4.39 Where supplementary information is required but is not provided, does not answer the question asked, conflicts with the option selected or is incapable of assessment the LAA will award 0 points for the relevant question.
- 4.40 In accordance with paragraph 3.39, the LAA will check that where Named Individuals will be Employed by the Applicant Organisation they have been named in Section B

('Staff Information') of that Procurement Area Bid. Where they have not, the LAA will award 0 points for the relevant question.

- 4.41 To ensure that Named Individuals relied upon to meet each Selection Criterion will be Deployed by the Applicant Organisation to Manage or deliver Contract Work within the Procurement Area for at least 17.5 hours a week, the same individual cannot be named in more than two Procurement Area Bids (either by the same Applicant Organisation or across multiple Applicant Organisations).
- 4.42 Where the same Named Individual has been relied upon in more than two Procurement Area Bids by the same Applicant Organisation the LAA will award 0 points for the relevant question.
- 4.43 Where the same Named Individual has been relied upon in more than two Procurement Area Bids by multiple Applicant Organisations the LAA will clarify with each Applicant Organisation to confirm the information provided in their responses. Each organisation can either provide evidence of Employment or a Signed Engagement Agreement to Employ the Named Individual. Where no evidence is provided by an Applicant Organisation the LAA will award 0 points for the relevant question.
- 4.44 In circumstances where an Applicant Organisation currently Employs or can produce a Signed Engagement Agreement to Employ a Named Individual but it becomes apparent that the Named Individual will not be available to the Applicant Organisation, it will have a single opportunity to substitute that Named Individual with a person with at least the same level of experience. Additional points will not be available where the substitute Named Individual has a higher level of experience.
- 4.45 If the substitute Named Individual is relied upon in either more than two Procurement Area Bids by the same Applicant Organisation or in more than two Procurement Area Bids by multiple Applicant Organisations, the Applicant Organisation that substituted the Named Individual will be awarded 0 points for the relevant question.
- 4.46 The LAA will check responses provided to questions D.1 to D.3 in the Qualification Envelope (Management Team Experience) against data organisations have reported to it to confirm the volume of work Managed.
- 4.47 Where the data held by the LAA does not support the response given, for example LAA data indicated the volume of work undertaken was less than that claimed by the Applicant Organisation, the LAA will request that the Applicant Organisation provide further information to support its response. Where, following this clarification, the Applicant Organisation is unable to support their response the LAA will award 0 points for the relevant question.
- 4.48 The LAA also reserves the right on assessment of questions D.1 to D.3 to clarify where, based on the status and job title provided, it is not clear that a Named Individual meets the definition of Manage as provided at Annex F. Where, following this clarification, the Applicant Organisation is unable to support its response the LAA will award 0 points for the relevant question.

- 4.49 The LAA will compare responses given to question G1 (Office Arrangements) against the response to Section A of the Qualification Envelope (Procurement Area Information) to determine whether the Applicant Organisation has correctly identified whether the Office is in the relevant Procurement Area. Where this does not support an Applicant Organisation's response the LAA will award 0 points for the relevant question.

Shortlisting

- 4.50 Where there are sufficient Procurement Area Bids, the LAA will aim to shortlist twice as many organisations as it will award Contract Work to (i.e. the lowest number in the range detailed at Table 1 in Annex A).
- 4.51 The number of Applicant Organisations the LAA intends to shortlist are listed in Table 1 of Annex A as a range. The higher numbers within the range will only apply where there are a number of organisations tied in the ranking which prevents shortlisting to the target number (the lowest number in the range) but allows shortlisting to a higher number in the range.
- 4.52 For example, the LAA wishes to shortlist between 8 and 10 Applicant Organisations and three Applicant Organisations are ranked seventh in the Procurement Area as they all received the same Selection Criteria score. In this scenario the LAA would short list all four tied Applicant Organisations because it would still enable it to shortlist within the range (i.e. 9 Applicant Organisations in total).
- 4.53 All Applicant Organisations initially shortlisted will be subject to Financial Assessment and any Applicant Organisation failing this assessment will have its affected Procurement Area Bid removed from the shortlist (see Section 5 for full details).
- 4.54 Where the LAA is unable to shortlist within the range outlined at Annex A, it will assess the tiebreak questions of those tied Applicant Organisations.

Tiebreak questions

- 4.55 Applicant Organisations are required to provide free text responses to three tiebreak questions. Responses to these questions will only be considered in the event that the LAA is unable to shortlist its requisite number of Applicant Organisations following assessment of the Selection Criteria and Financial Information.

Tiebreak assessment

- 4.56 Question H.1.a and H.1.b will be jointly assessed first. If Procurement Area Bids are still tied following this assessment, then Question H.2 will be assessed. If Procurement Area Bids are still tied, Question H.3 will be assessed.

- 4.57 Responses to each of the tiebreak questions will be awarded a score of 0-5 using the the Award Criteria marking system in Table A at paragraph 6.12.
- 4.58 The LAA will assess questions H.1.a and H.1.b first and add the scores together to produce a total. If this total score enables the LAA to differentiate between tied bidders and shortlist within the stated range, no subsequent tiebreak questions will be assessed.
- 4.59 If after assessment of questions H.1.a and H.1.b the LAA is able to differentiate between some tied bidders but this is not a sufficient number to meet the target within the stated range, the LAA will add to the shortlist those Applicant Organisations ranked top and consider the responses to question H.2 for those Applicant Organisations still tied. It will not consider the responses to question H.2 of any Applicant Organisations ranked below the tied Applicant Organisations following assessment of questions H.1.a and H.1.b.
- 4.60 For example; the LAA intends to shortlist between 8 and 10 Applicant Organisations in a Procurement Area. Following ranking of Selection Criteria scores, the LAA are able to shortlist 5 Applicant Organisations but a further 8 Applicant Organisations are tied. Those 8 Applicant Organisations are then ranked against questions H.1.a and H.1.b with the following outcomes:

Applicant Organisation	Score	Ranking	Action
A	8	1	Added to shortlist
B	5	2	Added to shortlist
C	4	=3	Consider response to Question H.2
D	4	=3	Consider response to Question H.2
E	4	=3	Consider response to Question H.2
F	4	=3	Consider response to Question H.2
G	2	7	Bid unsuccessful
H	1	8	Bid unsuccessful

- 4.61 In the above example, the LAA differentiates Applicant Organisations A and B from other tied Applicant Organisations because their scores for questions H.1.a and H.1.b are higher. They are therefore added to the shortlist. However, this results in only 7 shortlisted Applicant Organisations when the stated range is between 8 and 10 (with 8 being the target). The LAA will, therefore, assess question H.2 but only for those four Applicant Organisations that continue to be tied (C,D, E and F). Applicant Organisations G and H will be unsuccessful because they have scored and ranked lower against the first tiebreak questions assessed.

- 4.62 Where on assessment of question H.2 the LAA is still unable to shortlist the intended number of Applicant Organisations (in the above example this could be if Applicant Organisations C, D, E, and F all score the same), it will go on to assess question H.3 for those Applicant Organisations that continue to be tied. It will then shortlist those ranking highest against this question.
- 4.63 If the LAA is unable to shortlist to its target (in the above example, where Applicant Organisations D and F score the same points but more than Applicant Organisations C and E) it will shortlist a higher number in the range (e.g. Applicant Organisations D and F would be shortlisted resulting in 9 shortlisted Applicant Organisations as opposed to the target of 8).
- 4.64 In the event that following assessment of all tiebreak questions the LAA is still unable to shortlist the requisite number of Applicant Organisations, it will shortlist all tied Applicant Organisations.

SECTION 5: FINANCIAL ASSESSMENT

- 5.1 All Applicant Organisations who meet Essential Requirements and are shortlisted in one or more Procurement Areas following the assessment of the Selection Criteria will be subject to Financial Assessment.
- 5.2 The Financial Assessment undertaken will depend on the nature of the Applicant Organisation and the total Anticipated Contract Value that is being tendered for.
- 5.3 Financial Assessment will consist of:
- (a) Basic Financial Assessment; and, where appropriate
 - (b) Expansion Capacity Assessment.
- 5.4 Financial Assessment will review the financial position of the Applicant Organisation only. Finances of any third parties, including any Delivery Partners, will not be assessed. Applicant Organisations have the contractual obligation to deliver all Contract Work bid for and are expected to have the financial capacity to do this.

Business entity types

- 5.5 For the purpose of Financial Assessment; Applicant Organisations will be classified as one of two business types:
- (a) Established Business; or
 - (b) Other Business Type.
- 5.6 The table below sets out how Applicant Organisations will be classified.

Business Type	Definition
Established Business	<p>The Applicant Organisation has been trading for more than two years and:</p> <ul style="list-style-type: none">(a) has its previous 2 years Audited or Certified Accounts available (the earliest year starting no earlier than 1 January 2012); and(b) there have been no significant or material changes to its Key Personnel or structure. <p>For the avoidance of doubt; a significant or material change would not include:</p> <ul style="list-style-type: none">(a) a change in the legal status of the Applicant organisation of a minor nature e.g. change of partnership to LLP or limited company; or(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.

Other Business Type	<p>The Applicant Organisation has not been trading for two years; or</p> <p>(a) does not have 2 years audited or certified account available (with the earliest year being not before 2012); or</p> <p>(b) has undergone a material or significant change to its Key Personnel or structure.</p>
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Basic Financial Assessment - purpose and application

- 5.7 The purpose of the Basic Financial Assessment is to assess the general financial health of the Applicant Organisation and to ensure that it is appropriate for it to proceed to the next stage of the tender assessment process.
- 5.8 The Basic Financial Assessment applies at the organisational level and where an Applicant Organisation does not pass this assessment its entire Tender will be rejected.

Expansion Capacity Assessment - purpose and application

- 5.9 Where used, the purpose of the Expansion Capacity Assessment is to assess whether the Applicant Organisation has demonstrated it has the financial capacity to deliver the Contract Work tendered for. It tests whether any expansion appears realistic on the information provided by the Applicant Organisation. The Expansion Capacity Assessment will be conducted by suitably qualified finance professionals based on information provided by the Applicant Organisation.
- 5.10 All Applicant Organisations classified as an Other Business Type will automatically be subject to the Expansion Capacity Assessment.
- 5.11 Established Businesses will be subject to the Expansion Capacity Assessment where the total Anticipated Contract Value bid for is more than three times its average Turnover over the last 2 years' accounts (the period confirmed in the Established Business Financial Assessment Form (Version 3)). Established Businesses will be required to confirm if this is the case in their response to the Organisation ITT.
- 5.12 For example, in the scenario below the Expansion Capacity Assessment would apply to an Applicant Organisation that was an Established Business because the Anticipated Contract Value of all the Contract Work that it is bidding for (£900,000) is more than three times its average Turnover over the last 2 years' accounts (£675,000).

Turnover in accounts for year ending 2012	Turnover in accounts for year ending 2013	Average Turnover (2012 Turnover plus 2013 Turnover divided by 2)	Threshold for Expansion Capacity Assessment (Average Turnover multiplied by 3)	Total Anticipated Contract Value of Contract Work bid for
£200,000	£250,000	£225,000	£675,000	£900,000

Expansion Capacity Assessment - Designating a Core Bid

- 5.13 These rules provide a mechanism to “protect” designated Procurement Area Bids from automatic rejection if an Applicant Organisation’s Maximum Bid fails the Expansion Capacity Assessment. Where an Applicant Organisation submits multiple Procurement Area Bids it may designate one or more as forming a Core Bid. If the Core Bid passes Financial Assessment but the Maximum Bid (i.e. all Procurement Area Bids submitted) does not, the Core Bid will not be automatically rejected.
- 5.14 Where an Applicant Organisation is subject to the Expansion Capacity Assessment and submits one or more Procurement Area Bids it must designate one or more as forming a Core Bid.
- 5.15 Any Procurement Areas not designated as part of the Core Bid will form part the Maximum Bid which amounts to all Procurement Area Bids submitted by the Applicant Organisation.
- 5.16 A Procurement Area Bid will, therefore, always be part of the Maximum Bid and, where designated as such, may also form part of a Core Bid.
- 5.17 An Applicant Organisation may decide to designate all Procurement Areas as forming part of a Core Bid. In which case there would only be a Core Bid.

Example:

Applicant Organisation A submits Procurement Area Bids for:

- Cambridgeshire (Designated as part of the Core Bid):
- Suffolk 1 (Designated as part of the Core Bid); and
- Hertfordshire

The Core Bid contains Cambridgeshire and Suffolk 1.

The Maximum Bid contains Cambridgeshire, Suffolk 1 and Hertfordshire.

Assessment of Core Bids and Maximum Bids

- 5.18 The Core Bid will be subject to the Expansion Capacity Assessment where:

(a) the Applicant Organisations is an Established Business and the total Anticipated Contract Value of the Procurement Area Bids is more than three times its average Turnover over the last 2 years accounts; or

(b) the Applicant Organisation is an Other Business Type.

- 5.19 If the Procurement Areas Bids designated in the Core Bid do not meet the criteria in paragraph 5.18, the Core Bid will not be subject to the Expansion Capacity Assessment.
- 5.20 If the Core Bid fails the Expansion Capacity Assessment all Procurement Area Bids will be rejected, regardless of whether they have been designated as the Core or Maximum Bid.
- 5.21 If the Core Bid is not subject to the Expansion Capacity Assessment or passes the Expansion Capacity Assessment any Procurement Area Bid designated in the Core Bid will not be affected by the Expansion Capacity Assessment undertaken against the Maximum Bid. This means that if the LAA determines that the Applicant Organisation does not have the financial resources to deliver the Maximum Bid but can finance the Core Bid, the Procurement Area Bids designated as forming the Core Bid will be protected.

Example:

The Core Bid containing Cambridgeshire and Suffolk 1 passes the Expansion Capacity Assessment.

The Maximum Bid containing Cambridgeshire, Suffolk 1 and Hertfordshire fails the Expansion Capacity Assessment.

The Core Bid is protected from the failure of the Maximum Bid and only the Hertfordshire Procurement Area Bid would be rejected.

- 5.22 Where the Core Bid has passed the Expansion Capacity Assessment any Procurement Area Bids forming the Maximum Bid will then be subject to the Expansion Capacity Assessment.
- 5.23 As an Applicant Organisation's Tender must be capable of concurrent delivery (see paragraph 3.9), the Expansion Capacity Assessment will be undertaken against every Procurement Area Bid that an Applicant Organisation has submitted, regardless of whether those Procurement Area Bids have all been shortlisted. This means that if only one of three Procurement Area Bids designated as a Core Bid is shortlisted, the Expansion Capacity Assessment will be undertaken against the entire Core Bid.

Financial Information to be submitted in the Tender

- 5.24 The Financial Information that an Applicant Organisation must submit depends on which of the two levels of Financial Assessment will be undertaken.

Basic Financial Assessment for Established Businesses

- 5.25 Applicant Organisations must submit the **Established Business Financial Assessment Form (Version 3)** (Mandatory Attachment) which must:
- i) be fully completed; and
 - ii) contain financial information taken from the Certified or Audited Accounts for 2 years, the earliest year starting no earlier than 1 January 2012.
- 5.26 The LAA reserves the right to call for copies of the accounts referred to in the Established Business Financial Assessment Form (Version 3).

Financial Assessment for Other Business Types and Established Businesses subject to Expansion Capacity Assessment

- 5.27 Applicant Organisations subject to the Expansion Capacity Assessment must submit the following Financial Information (please note where the Applicant Organisation is an Established Business this is in addition to the Established Business Financial Assessment Form):
- (a) **Business Plan** (Mandatory Attachment) where relevant, this must provide sufficient detail to support the Core Bid and Maximum Bid; and
 - (b) **Cash Flow Forecast Template (Version 3)** to support the Core Bid (Mandatory Attachment) which must:
 - i. be completed;
 - ii. contain a Cash Flow Forecast for the next 12 months; and
 - iii. contain a Cash Flow Forecast for the first 12 months of the Duty Provider Contract; and
 - (c) **Cash Flow Forecast Template (Version 3)** to support the Maximum Bid, where the Maximum Bid is different from the Core Bid, (Mandatory Attachment) which must:
 - i. be completed;
 - ii. contain a Cash Flow Forecast for the next 12 months; and
 - iii. contain a Cash Flow Forecast for the first 12 months of the Duty Provider Contract.

- 5.28 Copies of the Established Business Financial Assessment Form (Version 3) and Cash Flow Forecast Template (Version 3) can be accessed and downloaded from the 'Buyer Attachments' section in the Applicant Organisation ITT. No template is provided for the Business Plan but details of the information that must be included is contained at Annex D. See paragraphs 3.25-3.27 for details of how to upload Mandatory Attachments.

Consequences of failure to submit all required Financial Information

- 5.29 The LAA will conduct the Financial Assessment based on the data contained in the Mandatory Attachments. It is the Applicant Organisation's sole responsibility to ensure that these are fully and accurately completed. The LAA will not clarify the data contained in the Mandatory Attachments.
- 5.30 Where the LAA is unable to complete the Financial Assessment because required information has not been included in the Mandatory Attachments the Applicant Organisation will fail the Financial Assessment and its Tender will be rejected in its entirety. Where the Financial Assessment is conducted by a qualified finance professional their judgement as to whether sufficient information has been provided to undertake an informed assessment shall be binding.
- 5.31 Where an Established Business indicates in its Organisation ITT response that it is not bidding for Contract Work with an Anticipated Contract Value of more than three times the average Turnover over the last 2 years' accounts (the period confirmed in the Established Business Financial Assessment Form) but the LAA identifies that this is not the case, the whole Tender will be rejected for failing to submit Financial Information to enable the LAA to undertake the requisite Financial Assessment.

Basic Financial Assessment - Evaluation

- 5.32 Key financial ratios will be calculated using the data contained in the:
- Established Business Financial Assessment Form (Version3) (for Established Businesses); or the
 - Business Plan and the Cash Flow Forecast Template (Version 3) which supports all Procurement Area Bids made (for Other Business Types)
- 5.33 For Established Businesses the key ratios will be automatically calculated. These key ratios will be used to produce a RAG (Red, Amber or Green) rating relating to the level of risk identified.
- 5.34 For Other Business Types the assessment shall be conducted by a qualified finance professional who will assess the level of risk of the Applicant Organisation not fulfilling the full contract term or having inadequate financial resources to perform the Duty Provider Contract. The focus of the review will be to assess the sustainability of the business model and to seek assurance that any contract awarded would be appropriately financed through the initial set-up phase and the first year of contract delivery. This assessment will produce a RAG rating relating to the level of risk identified.
- 5.35 Where an Applicant Organisation receives a Red rating the LAA will conduct an additional stage of the Basic Financial Assessment. This will consist of a review of information provided by the Applicant Organisation at the first stage of the procurement process, its Own Client Contract Tender. The purpose of this review is

to determine if there are additional indicators of financial risk indicating financial instability within the Applicant Organisation.

- 5.36 Where the Applicant Organisation confirms in its Own Client Contract Tender that any of the following criteria apply it will receive a Red Plus rating:
- (a) C1 (a Bankruptcy Order, IVA or CVA is in place); or
 - (b) C2 (failure to fulfil tax liabilities); or
 - (c) C3 (Key Personnel or the Applicant Organisation have outstanding CCJs).
- 5.37 Where in completing Question B.1.ii of the Organisation ITT the Applicant Organisation confirms that it does not have its last 2 years Audited or Certified accounts available (the earliest year starting no earlier than 1 January 2012) it will be required to provide further information regarding why accounts are not available. This information will be used by the LAA to assess an Applicant Organisation's suitability to deliver Contract Work and may result in a Red Plus rating.
- 5.38 Any Applicant Organisation receiving a Red Plus rating will have its entire Tender rejected.
- 5.39 Where the criteria referred to in paragraphs 5.36 and 5.37 do not apply, the Applicant Organisation will retain the Red rating.
- 5.40 Regardless of whether an Applicant Organisation is designated as an Established Business or Other Business Type it will receive a RAG rating at the conclusion of the Basic Financial Assessment process.

Basic Financial Assessment - Outcomes

Green Rating

- 5.41 The Tender will proceed to the next stage of the assessment process; either Expansion Capacity Assessment or assessment of Award Criteria.

Amber or Red Rating

- 5.42 The Tender will proceed to the next stage of the assessment process; either Expansion Capacity Assessment or assessment of Award Criteria.
- 5.43 If the Applicant Organisation is successful in the procurement process and is awarded a Duty Provider Contract conditions designed to protect public funds will be included in the contract. These conditions will give the LAA enhanced access to financial information to enable effective monitoring and risk management and may include (but are not limited to) requirements to:
- (a) disclose annual (audited) accounts to the LAA on an ongoing annual basis;

(b) notify the LAA of any restructuring of debt or new credit facilities obtained;
and

(c) comply with other forms of financial monitoring as considered appropriate.

Expansion Capacity Assessment - Evaluation

- 5.44 The assessment will be conducted by a qualified finance professional who will assess the data contained in the Business Plan and Cash Flow Forecast Templates. The focus of this review will be to assess the sustainability of both business models being proposed in the Core Bid and Maximum Bid and to ensure that any contract awarded would be appropriately financed, not just through any initial set-up phase but throughout the first year of contract delivery. The finance professionals will make an assessment as to whether the entirety of the Financial Information provided supports the conclusion that sufficient financial resources are available to fund delivery of the Anticipated Contract Value bid for.
- 5.45 Where an Applicant Organisation passes the Expansion Capacity Assessment for its shortlisted Core Bid, the LAA will go on to assess any other Procurement Area Bids.
- 5.46 Further information on the content of the Business Plans and the assessment of Financial Information can be found in Annex D of this IFA.

Expansion Capacity Assessment – Outcomes

- 5.47 Assessors will review the Financial Information provided and will make a determination as to whether there are sufficient financial resources available to fund the Anticipated Contract Value bid for. Expansion Capacity Assessment will be a pass/fail assessment, where an Applicant Organisation must be assessed as passing all four minimum thresholds.
- 5.48 Where all four thresholds are met the shortlisted Procurement Area Bid(s) will proceed to Award Criteria Assessment. Where one or more of the minimum thresholds are not met then the Procurement Area Bid(s) will fail the Expansion Capacity Assessment and removed from any shortlists. The judgement of the finance professional in such cases shall be binding.
- 5.49 Where the Core Bid fails the Expansion Capacity Assessment the entire Tender will be rejected.
- 5.50 Where the Core Bid passes the Expansion Capacity Assessment but the Maximum Bid fails, only those Procurement Area Bids that have been shortlisted and designated as the Core Bid will proceed to Award Criteria assessment.
- 5.51 Where the Maximum Bid passes the Expansion Capacity Assessment then all Procurement Area Bids that have been shortlisted will proceed to Award Criteria assessment.

SECTION 6: AWARD CRITERIA

Overview

- 6.1 Award Criteria (see detailed wording at Annex C) will be used to determine which shortlisted Applicant Organisations in a Procurement Area will be awarded Contract Work in that Procurement Area.
- 6.2 Award Criteria will assess Applicant Organisations against four main areas:
- Management Team
 - Delivery Team and Recruitment
 - Implementation and Delivery
 - Flexibility
- 6.3 Applicant Organisations are reminded that responses to Award Criteria questions will form part of their Delivery Plan attached to the Contract Specification where they are successful.
- 6.4 An Applicant Organisation must ensure that its Procurement Area Bid contains all the information which it wishes the LAA to consider in the assessment of that Procurement Area Bid (see paragraph 6.15)
- 6.5 The LAA recognises that it is common for bidders in this sector to engage consultants to assist them with putting together their Tenders, particularly in drafting free text answers such as those required in the Award Criteria. In the LAA's experience this risks an Applicant Organisation's response not being specific to its own position. In past procurement exercises a number of generic, template or substantially similar responses have been received from different Applicant Organisations.
- 6.6 The LAA requires Applicant Organisations to give their **own** response in their Tenders that is specific to the Procurement Area in which they are bidding. Applicant Organisations that submit generic responses risk being awarded lower scores against those responses and consequently prejudice their chances of being awarded a Duty Provider Contract. This is because a response which does not clearly demonstrate that it is specific to the Applicant Organisation concerned will give the LAA a lower degree of confidence in that response.

Management Team

- 6.7 Award Criteria relating to the Management Team can only be met by the Applicant Organisation as it will have responsibility for Managing the contract. It is not permitted to use the experience of individuals working for Delivery Partners.
- 6.8 Higher scores will be awarded where the Applicant Organisation can evidence that it will have a capable Management Team with a clearly defined approach to Managing the delivery of Contract Work in accordance with the Duty Provider Contract from the Service Commencement Date.

Delivery Team and Recruitment

- 6.9 This section assesses the Applicant Organisation's readiness to deliver Contract Work. Higher scores will be awarded where the Applicant Organisation is able to demonstrate that it will be in a position to commence delivery of the service in the Procurement Area as required by having the necessary staff resources in place from the Service Commencement Date.

Implementation and Delivery

- 6.10 This section assesses the Applicant Organisation's plan for delivering Contract Work in the Procurement Area. Higher scores will be awarded where the Applicant Organisation can evidence that it has clear, well developed plans that will ensure that services will be delivered effectively and sustainably in the Procurement Area from the Service Commencement Date. Conversely, fewer marks will be awarded to Applicant Organisations where the plans are lacking in detail or are not yet finalised.

Flexibility

- 6.11 This section examines the flexibility of the Applicant Organisation in the context of both routine fluctuations and sustained increases in the volume of Contract Work. Higher scores will be awarded where the Applicant Organisation is able to demonstrate that, from the Service Commencement Date, it will be able to manage fluctuations and sustained increases in Contract Work volumes under the Duty Provider Contract in the Procurement Area.

Award Criteria Assessment

- 6.12 Detail of scoring and weighting for each question is set out at Annex C. All questions will be given a score of 0-5 based on the scoring criteria set out at Table A below.

Table A

Score (0-5)	Scoring Criteria
0	Very Poor: The following is indicative of factors that would lead to a score of 0: <ul style="list-style-type: none"> • The Applicant Organisation fails to respond to the criterion or there is substantial failure to properly address any issues/areas listed in the criteria
1	Poor: The following is indicative of factors that would lead to a score of 1: <ul style="list-style-type: none"> • Little or no detail provided to answer the criterion or a generic or vague response is provided making no reference to the specific issues/areas listed in the criterion • The response provided requires the reviewer to make assumptions • The response provides confused and/or contradictory information in relation to other responses
2	Fair: The following is indicative of factors that would lead to a score of 2: <ul style="list-style-type: none"> • The response engages with the criterion but does not specifically address all issues/areas listed in the criterion • The Applicant Organisation provides limited evidence/information indicating how it meets the criterion
3	Good: The following is indicative of factors that would lead to a score of 3: <ul style="list-style-type: none"> • The response addresses all issues/areas listed in the criterion • The Applicant Organisation provides some evidence/information how it meets the criterion • The response provides information consistent with that provided in relation to other responses
4	Very Good: The following is indicative of factors that would lead to a score of 4: <ul style="list-style-type: none"> • The response addresses all issues/areas listed in the criterion with a high level of detail • The Applicant Organisation provides a good level of evidence/information indicating how it meets the criterion • The response provides consistent information in relation to other responses
5	Excellent: The following is indicative of factors that would lead to a score of 5: <ul style="list-style-type: none"> • The response addresses all issues/areas listed in the criterion in a comprehensive manner • The Applicant Organisation provides high quality, detailed evidence/information indicating how it meets the criterion • The response provides consistent information in relation to other responses

6.13 Please note that each section attracts a different weighting as do the questions within each section. For example, see Table B below: section X is weighted as 15% out of the possible 100% Award Criteria score. There are three questions in section X each weighted 30%, 50% and 20% respectively.

Table B

	Weighting	Score	Weighted Score
Question 1	30%	4/5	24%
Question 2	50%	3/5	30%
Question 3	20%	5/5	20%
Total for section			74%
Total out of 15%			11%

- 6.14 The LAA will assess responses from shortlisted Applicant Organisations to all the Award Criteria within each Procurement Area.
- 6.15 Each Procurement Area Bid will be assessed separately. The Applicant Organisation cannot rely on information given in response to other Procurement Area Bids that it may have submitted. When assessing the responses, the LAA will take into account all information given in the text boxes for that question. Some questions require an answer which includes several different elements. If information is incomplete or does not address all elements required by the question, this will be reflected in the score given.
- 6.16 The LAA will also take into account information submitted in the rest of an Applicant Organisation's Procurement Area Bid (e.g. staff information). If contradictory information is given between answers to Award Criteria questions and other parts of its Procurement Area Bid, the Applicant Organisation will score lower points for the relevant Award Criteria question in the affected Procurement Area Bid (e.g. lower points would be awarded where in response to a Award Criteria question an Applicant Organisation makes reference to Employing a particular individual as a Supervisor and that individual is not named in its staff information).

Ranking

- 6.17 Once all Procurement Area Bids have been assessed, they will be ranked within each Procurement Area according to the overall scores.
- 6.18 Contract Work will be awarded to the top ranked Applicant Organisations in each Procurement Area up to the number of Applicant Organisations required, as detailed in Table 1 of Annex A.
- 6.19 If following assessment of Award Criteria responses Applicant Organisations are tied and as a result the LAA is unable to award the number of contracts outlined at Annex A, the LAA will review responses to questions in Section C of the Technical Envelope as this is the highest weighted section. If it cannot distinguish based on the overall percentage score for this section, it will review scores for questions C1 and C2. Those Applicant Organisations with the highest combined score to these questions will be awarded a contract. In the event that the LAA still cannot distinguish it will review scores for question C3 and those tied Applicant Organisations with the highest score to this question will be awarded a contract.

- 6.20 In the event that the LAA is still unable to distinguish between tied Applicant Organisations based on these questions because too many remain tied, the LAA will select on a random basis. This process will randomly select Applicant Organisations up to the number of contracts available within the relevant Procurement Area(s). The method of the random selection used will be capable of validation to ensure Applicant Organisations are selected on a random basis.
- 6.21 All Applicant Organisations will be notified of the outcome through the relevant eTendering message board. Notifications to Applicant Organisations will include confirmation of whether the LAA is awarding a Duty Provider Contract and details of our assessment of their Procurement Area Bid.
- 6.22 There is no right of internal appeal where Applicant Organisations have been unsuccessful following the assessment of Award Criteria.

SECTION 7: CONTRACT AWARD AND MOBILISATION

- 7.1 Successful Applicant Organisations will be awarded a Duty Provider Contract requiring them to deliver Contract Work in those Procurement Areas in which their Procurement Area Bid(s) have been successful. An Applicant Organisation must accept the entire contract offer made to it. If it decides to refuse the contract offer, it must refuse that offer in its entirety and cannot elect to deliver Contract Work in only some of the Procurement Areas that it has been successful in.
- 7.2 Where an Applicant Organisation is awarded a Duty Provider Contract it will be subject to a verification process. The verification process is set out below. This process covers both the Applicant Organisation's Duty Provider Contract and its Own Client Contract.

Information to be submitted before the Contract Start Date

- 7.3 In advance of issuing contract documentation successful Applicant Organisations must evidence the following by the Contract Start Date (anticipated to be week commencing 5 October 2015):

What will we verify?	Evidence requested
Hold appropriate authorisation from a relevant legal sector regulator	Confirmation of authorisation from a relevant legal sector regulator
Hold a Relevant Quality Standard	Confirmation from a Relevant Quality Standard auditing organisation that the Applicant Organisation has achieved the appropriate standard as set out at paragraph 4.7 of this IFA
Can identify an Office in the Procurement Area to deliver Contract Work (or in London the same or an immediately adjacent Procurement Area or, in the Split Areas, the Procurement Area or its Linked Procurement Area)	Confirmation of address and postcode
Each Office has a LAA Account number (to enable to production of contract documentation etc)	Where required; completed AC1 form received plus all required information, such as confirmation Professional Indemnity Insurance is in place
Applicant Organisations with limited liabilities have provided appropriate indemnities	Properly completed Indemnity form

- 7.4 Requests for this evidence will be sent to Applicant Organisations at the same time as they are notified that their Tender has been successful in September 2015, and they will be required to provide this information before the Contract Start Date.

Failure to verify

- 7.5 If an Applicant Organisation fails to provide the required and/or satisfactory information by the deadline requested, its contract offer will be withdrawn and the contract will be awarded to the next highest ranked Applicant Organisation in the relevant Procurement Area(s). Where the requirement is at Applicant Organisation level (e.g. holding appropriate authorisation) the entire Duty Provider Contract offer will be withdrawn, including all Procurement Area Bids.

Issuing of contract documentation

- 7.6 Where Applicant Organisations are able to satisfactorily validate their Tender through the above process, they will be notified that their contract documentation is available to view and execute online.
- 7.7 Applicant Organisations will be required to execute both their Own Client and Duty Provider Contracts at the same time. The Duty Provider Contract is contingent on holding the Own Client Contract. Therefore, if an Applicant Organisation does not execute the Own Client Contract offer any Duty Provider Contract that has been executed will be terminated for failure to hold the Own Client Contract.
- 7.8 Contract documentation will be issued and executed electronically in the LAA's Controlled Work and Administration ("CWA") system. Successful Applicant Organisation(s) will need to access this system to execute their Contracts by clicking the "Accept Contract" button within the system. By doing this, a successful Applicant Organisation agrees to be bound by the terms of the Contract for Signature and corresponding Schedule(s), the Standard Terms and the other documents which are attached to the contract.
- 7.9 In order to execute their contract an Applicant Organisation must have been set up on the LAA systems and issued with an LAA Account Number for each Office. Therefore, Applicant Organisations with new Offices must ensure that they complete and return their AC1 and supporting documentation in time to allow this to happen. Where relevant, the AC1 form and supporting documentation will be requested in September 2015 alongside the notification that Applicant Organisations have been successful.
- 7.10 In addition, an Applicant Organisation must have set up designated signatories on CWA before it can execute the contract. Guidance on how to do this will be provided.

Information to be submitted before the Service Commencement Date

- 7.11 Applicant Organisations will be required to verify remaining Own Client and Duty Provider Contract Criteria one month before the Service Commencement Date (i.e. by 11 December 2015) and their contracts will be conditional on satisfying verification.
- 7.12 Requests for verification of this information will be sent to Applicant Organisations at the same time as they are notified that their Tender has been successful in September 2015.
- 7.13 Set out below is the information Applicant Organisations will be required to verify one month before the Service Commencement Date (by 11 December 2015) in relation to their Own Client and Duty Provider Contracts:

Office requirements

Contract	What will we verify?	Evidence requested
Duty Provider Contract	Where required, that an Office will be set up and operational	Written agreement to use Office (e.g lease arrangement)

Supervisor requirements

Contract	What will we verify?	Evidence requested
Own Client Contract	Applicant Organisation Employs a FTE Supervisor that meets the Crime Supervisor Standard	Compliant Supervisor Declaration Form(s)
Duty Provider Contract	Applicant Organisation Employs at least one Supervisor who is available to supervise the undertaking of Contract Work on a FTE basis in each Procurement Area that it has been awarded Contract Work in Applicant Organisation Employs a ratio of one FTE Supervisor to four Designated Fee Earners or Caseworkers in each Procurement Area that it has been awarded Contract Work in	Compliant Supervisor Declaration Form(s) for each Procurement Area Contract(s) of employment/Signed Engagement Agreement(s) to Employ
PRISON LAW ONLY (where an Applicant Organisation indicated in its Own Client Contract that it intended to undertake this work)		

Own Client Contract	Applicant Organisation Employs a Supervisor that meets the Prison Law Supervisor Standard	Compliant Prison Law Supervisor Declaration Form(s)
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IT requirements

Own Client Contract/Duty Provider Contract	Secure email account set up	Confirmation of email address
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Mobilisation of Duty Provider Contracts

7.14 The LAA Contract Management team will seek to verify the commitments made by Applicant Organisations in their Tender for Duty Provider Contract Work and will monitor successful Applicant Organisations' progress during the Mobilisation Period to ensure that they are able to deliver the service under the terms of the contract from the Service Commencement Date (11 January 2016).

7.15 As a minimum the Contract Management team will monitor the following information during the Mobilisation Period. Specific information requested will depend on the Applicant Organisation's circumstances:

What will we monitor	How
Confirmation that responses provided in the Qualification Envelope of the Procurement Area ITT(s) remain valid	<p>Monitored via site visits and other methods as appropriate and will include, for example:</p> <p>Confirmation that Named Individuals (or where applicable, substitutes -see paragraph 7.20) are/will be Employed by the Applicant Organisation (or where relevant its Delivery Partners)</p> <p>Regular reviews against milestones provided in Award Criteria responses in respect of Delivery Team & Recruitment and Implementation & Delivery</p>
<p>Confirmation that responses provided to Award Criteria questions remain valid.</p> <p>Applicant Organisation is on course to meet the commitments given in its responses to Award Criteria questions</p>	

LAA Mobilisation Check

7.16 One month before the Service Commencement Date the LAA will undertake a review of all Applicant Organisations to confirm the outstanding position in respect of verification and mobilisation to determine whether the Applicant Organisation will be in a position to commence work in accordance with their contract.

- 7.17 The LAA reserves the right to terminate the relevant Schedule(s) of an Applicant Organisation's Duty Provider Contract where it is not able to verify information required. This is to provide assurance that services will be in place from the Service Commencement Date.

Failure to verify Own Client Criteria

- 7.18 Where an Applicant Organisation fails to verify its Own Client Contract by the Service Commencement Date, the contract will be terminated. As the Duty Provider Contract is contingent on holding the Own Client Contract this will also result in the termination of the Duty Provider Contract.

Substitution of Named Individuals in response to Selection Criteria questions

- 7.19 The LAA recognises that Named Individuals referred to in Selection Criteria responses may leave the employment of either the Applicant Organisation or Delivery Partners following the submission of the Tender. In accordance with paragraph 8.29, Applicant Organisations must inform us where this happens.
- 7.20 Where a Named Individual will no longer be Employed and/or Deployed on Contract Work in the relevant Procurement Area by the Applicant Organisation (or one of its Delivery Partners) the Applicant Organisations will be permitted to substitute an alternative individual who meets the Criterion.
- 7.21 The Applicant Organisation must inform the LAA of a substitution as soon as possible via the relevant Procurement Area's eTendering system message board and provide the following information:
- (a) The Selection Criterion against which the Named Individual is being substituted; and
 - (b) The name of the substitute Named Individual, their roll number or police station representative PIN (where applicable) and the date Employment commenced with the Applicant Organisation/Delivery Partner who meets the Criterion; and
 - (c) A declaration that the substitute Named Individual would score at least the same number of points in response to the Criterion as the individual originally named in the Procurement Area Bid.
- 7.22 Where an Applicant Organisation fails to confirm all of the information outlined above, and it impacts on whether they would have been shortlisted, the Procurement Area Bid will be rejected. If this is following a contract award, the relevant Schedule to undertake Contract Work in the affected Procurement Area will be terminated.

Substitution of Delivery Partners following contract award

- 7.23 The procurement process and the terms of the Duty Provider Contract require that agreements with Delivery Partners have a minimum term of one year from the Contract Start Date.
- 7.24 However, the Duty Provider Contract Standard Terms allow for the LAA to agree to a substitution of Delivery Partners during the contract term. This allows for some flexibility during the contract term to allow for unanticipated events. The LAA is, however, under no obligation to agree to any changes proposed and will need to be satisfied that any amendments during the contract term do not materially affect the service provided or, if the Tender had been submitted on this basis, it would have adversely affected the decision to award the Contract. See clauses 3.22 to 3.24 of the Standard Terms for further details.

SECTION 8: RULES OF THIS PROCUREMENT PROCESS

- 8.1 'Legal services' are classified as 'Part B' services to which the Public Contracts Regulations 2006 (the "Regulations") only apply in part. The LAA is not bound by any of the Regulations except those which specifically apply to Part B services. Accordingly the following rules apply.
- 8.2 The Duty Provider Contract procurement process is governed by this IFA which represents a complete statement of the rules of the Duty Provider Contract procurement process. This IFA supersedes all prior negotiations, representations or undertakings, whether written or oral.
- 8.3 The Applicant Organisation agrees to the rules of the Duty Provider Contract procurement process (contained in this Section 8 and elsewhere in this IFA), the terms of the user agreement governing the use of the LAA eTendering system and any contract awarded to them by the LAA (including any conditions of contract award). If the Applicant Organisation fails to meet the rules of the Duty Provider Contract procurement process and/or the terms of the user agreement, the LAA will assess the Applicant Organisation's Tender as unsuccessful.
- 8.4 The Applicant Organisation must submit a complete Tender (in accordance with paragraph 3.2) by the Deadline. For the purposes of the Deadline, the time specified on the eTendering system shall be the definitive time. A Tender will be unsuccessful if it is submitted by the Applicant Organisation after the Deadline. The LAA will not consider (1) any requests by the Applicant Organisation to amend or submit the Tender after the Deadline or (2) any requests by the Applicant Organisation for an extension of the time or date fixed for the submission of the Tender. The Applicant Organisation accepts all responsibility for ensuring all parts of its Tender are submitted through the eTendering system by the Deadline.
- 8.5 The Applicant Organisation must fill in and submit its complete Tender (see paragraph 3.2) using the eTendering system at www.legalaid.bravosolution.co.uk. The LAA will not consider any Tender submitted by the Applicant Organisation in any other form, or by any other method.
- 8.6 A Tender must be authorised by the Applicant Organisation's COLP (or proposed COLP) or, where not regulated, by the SRA the intended Head of Legal Practice.
- 8.7 For a Tender to be complete, the Applicant Organisation must, prior to the Deadline, submit a complete response to this procurement opportunity. To constitute a complete Tender the Applicant Organisation must reply to all the questions in the Tender and submit all Mandatory Attachments, 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.
- 8.8 The Applicant Organisation may amend and re-submit its Tender at any time up to the Deadline. If so amended and re-submitted by the Applicant Organisation, only the latest Tender submitted by an Applicant Organisation prior to the Deadline will be visible to the LAA.
- 8.9 It is the Applicant Organisation's responsibility to ensure that its Tender is fully and accurately completed. The Applicant Organisation 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.

- 8.10 The Applicant Organisation is not permitted to amend or alter the Tender after the Deadline except in circumstances expressly permitted by the LAA.
- 8.11 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 Duty Provider Contract procurement process, the conflict will be resolved by accepting the information, answer or document least favourable to the Applicant Organisation. For the avoidance of doubt, in these circumstances, the LAA will not contact the Applicant Organisation.
- 8.12 The LAA reserves the right to amend the Duty Provider procurement process (including the IFA and ITTs) at any time. Any notices of amendments will be published on the LAA website:
<http://www.justice.gov.uk/legal-aid/contracts-and-tenders/tenders/2015-crime-tender>
and all Applicant Organisations that have expressed an interest will be notified individually through a message in the eTendering system.
- 8.13 A Tender submitted by an Applicant Organisation, which does not comply with any amendments made in accordance with 8.12 before the Deadline will be rejected.
- 8.14 It is the Applicant Organisation's responsibility to monitor messages received through the eTendering system throughout the process and the LAA accepts no liability where this is not done. All communication with Applicant Organisations through the eTendering system, including that outlined in 8.12 will be deemed to have been received by the Applicant Organisation at the time of transmission in the eTendering system. The time specified in the eTendering system shall be the definitive time.
- 8.15 Any Frequently Asked Questions published on the LAA website in accordance with page 2 of this IFA will form part of the tender documentation. Applicant Organisations should ensure that prior to submitting a Tender they consider the relevant Frequently Asked Questions documents published.
- 8.16 The LAA may at its sole discretion seek to clarify or verify the Applicant Organisation's Tender. In these circumstances, the LAA will not take into account any information provided that would result in an improvement to the Applicant Organisation's Tender.
- 8.17 Where the LAA contacts the Applicant Organisation in circumstances outlined in 8.16, the Applicant Organisation must provide the information requested by the date specified by the LAA. Any information provided by the Applicant Organisation after the specified date will not be taken into account by the LAA when evaluating the Applicant Organisation's Tender.
- 8.18 The LAA reserves the right at its absolute discretion to disqualify from the procurement process any Applicant Organisation for submitting (regardless of whether done intentionally or not):
- (i) false information; and/or
 - (ii) information which misrepresents the Applicant Organisation's actual position; and/or
 - (iii) misleading information
- 8.19 The Applicant Organisation, by submitting a Tender, warrants to the LAA that:

- (i) it has complied with all the rules and instructions in this IFA and the eTendering system in all respects; and
 - (ii) all information, representations and other matters of fact communicated (whether in writing or otherwise) to the LAA by the Applicant Organisation are true, complete and accurate in all respects.
- 8.20 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 will undertake such enquiries as it considers necessary in relation to the Applicant Organisation or its Tender to determine the accuracy of the Tender responses. The Applicant Organisation is obliged to assist with any enquiries. Should the LAA find any part of the Tender to be incorrect the LAA reserves the right to disqualify the Applicant Organisation from the procurement process.
- 8.21 After assessment of a Tender is complete, 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.
- 8.22 The LAA has 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.
- 8.23 The Applicant Organisation agrees to keep any Tender valid and capable of acceptance by LAA up to the Service Commencement Date.
- 8.24 The Applicant Organisation is solely responsible for the costs and expenses incurred in connection with the preparation and submission of a Tender or associated with any 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.
- 8.25 By submitting a Tender Applicant Organisations agree to enter into the Duty Provider Contract without further negotiation or amendment should they be successful in this procurement process.
- 8.26 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.
- 8.27 All information supplied by the LAA to the Applicant Organisation, including that within the IFA, is subject to that Applicant Organisation's own due diligence. The LAA accepts no liability to the Applicant Organisation whatsoever resulting from the use of the IFA, or any omissions from or deficiencies in them.
- 8.28 Without prejudice to any warranties given, these Rules of the Procurement Process do not form a separate collateral contract between the Applicant Organisation and the LAA. The relevant parts of the Applicant Organisation's Tender may form part of any Contract subsequently awarded.
- 8.29 If there is a change in circumstances that results in a material change to the Applicant Organisation's submitted Tender, the Applicant Organisation must inform the LAA through the eTendering system. In such circumstances (other than those set out a paragraph 2.26), the LAA will conduct a re-assessment to ensure the bid is not

adversely impacted. If upon re-assessment, the Applicant Organisation'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 the Duty Provider Contract. Failure to notify the LAA of a material change may result in disqualification from the procurement process (see paragraph 8.20).

- 8.30 The LAA reserves the right, prior to any execution of an Duty Provider Contract, to carry out further due diligence checks. Where, as part of any due diligence, an Applicant Organisation is found not to comply with any material elements of its Tender, the LAA will not proceed with any decision made to award Duty Provider Contract.
- 8.31 The LAA reserves the right to place additional contractual conditions on the award of a Duty Provider Contract to an individual Applicant Organisation.
- 8.32 The Applicant Organisation (including its employees, Key Personnel and agents) must not;
- (a) canvass any officers, employees, agents or advisers of the LAA in connection with this procurement process; or
 - (b) offer or agree to pay or give any sum of money, inducement or valuable consideration (directly or indirectly) to any person for doing or having done or causing or having caused to be done in relation to this IFA, any act or omission.
- 8.33 The Applicant Organisation must not collude with any other person or organisation in any way, in this procurement process. For the purpose of this rule, "collude" means the conspiring of the Applicant Organisation with any other person or organisation to breach the rules of this procurement process which rules include, for the avoidance of doubt, the Rules on Submitting Multiple Bids.
- 8.34 The award of a Duty Provider Contract does not guarantee any minimum amount of work.
- 8.35 In submitting its Tender, the Applicant Organisation further acknowledges that the 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 of the LAA for example, but not limited to, its treatment of Applicant Organisations, assessment of Tenders or related processes can be relied upon by the Applicant Organisation as setting any precedent for the LAA's conduct in respect of this procurement process.
- 8.36 All intellectual property rights in the IFA and associated documents, the 2015 Duty Provider Crime Contract and any associated documents are and shall remain the LAA's property.

Confidentiality and Freedom of Information Act 2000

- 8.37 The LAA may share any information contained in an Applicant Organisation's Tender with the provider of the eTendering system for the purposes of administering the procurement process.

- 8.38 The Applicant Organisation 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.
- 8.39 If an Applicant Organisation 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 Organisation 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.
- 8.40 The Applicant Organisation 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 Organisation as confidential will not be disclosed where the public interest favours disclosure pursuant to our obligations under FOIA.
- 8.41 The LAA will publish details of all contract awards in accordance with government transparency standards.
- 8.42 The LAA, will collect, hold and use personal data obtained from and about the Applicant Organisation and its Key Personnel during the course of the procurement process ("Personal Data").
- 8.43 By submitting a Tender Applicant Organisations consent and confirm 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 contract management of any Contract subsequently awarded.
- 8.44 The Applicant Organisation 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 Regulations (which means the Data Protection Act 1998, the Privacy and Electronic Communications (EC Directive) Regulations 2003 and all 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 Regulations, in order to disclose to the LAA the Personal Data, and allow the LAA to carry out the procurement process. The Applicant Organisation shall immediately notify the LAA if any of the consents is revoked or changed in any way which impacts on the LAA's rights or obligations in relation to such Personal Data.
- 8.45 Applicant Organisations wishing to provide Contract Work within Wales 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 statutory instruments which come into force from time to time under the Welsh Language Act 1993.

- 8.46 This IFA and any supplementary documents issued as part of this procurement process (including the ITTs) are governed and construed in accordance with English Law.

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Information Sharing

- 8.50 All Central Government Departments and their Executive Agencies and Non Departmental Public Bodies are subject to control and reporting within Government. In particular, they report to the Cabinet Office and HM Treasury for all expenditure. Further, the Cabinet Office has a cross-Government role delivering overall Government policy on public procurement - including ensuring value for money and related aspects of good procurement practice. For these purposes, the LAA may disclose within Government any of the Applicant Organisation's documentation/information (including any that the Applicant Organisation considers to be confidential and/or commercially sensitive such as specific bid information) submitted by the Applicant Organisation to the LAA during this Procurement. The information will not be disclosed outside Government pursuant to this clause. Applicant Organisations taking part in this procurement consent to these terms as part of the procurement process.

Annex A: Procurement Area Contract Information and Case Volume Data relating to Case Experience

Table 1: Procurement Area Contract Information

ITT Ref	Procurement Area (including former names)	Urban/ Rural/ London	No. Of Contracts to be awarded	No. Of Applicant Organisations to be Shortlisted	Estimated number of Police Station Cases per contract per annum	Estimated number of Magistrate Courts Cases per contract per annum	Estimated number of Crown Courts Cases per contract per annum	Anticipated Contract Value
ITT_401	AVON & SOMERSET 1	Rural	5	10 to 13	521	462	93	£316,283
ITT_400	AVON & SOMERSET 2	Urban	5	10 to 13	697	682	125	£389,758
ITT_399	BARKING AND DAGENHAM (BARKING)	London	5	10 to 13	416	275	78	£349,337
ITT_398	BARNET (HENDON/BARNET)	London	5	10 to 13	316	231	59	£268,803
ITT_397	BEDFORDSHIRE	Rural	5	10 to 13	449	356	102	£328,656
ITT_396	BEXLEY	London	5	10 to 13	176	127	33	£134,693
ITT_395	BRENT	London	11	22 to 28	257	173	48	£214,018
ITT_394	BROMLEY	London	8	16 to 20	180	132	34	£145,090
ITT_393	CAMBRIDGESHIRE	Rural	7	14 to 18	458	369	72	£252,177
ITT_392	CAMDEN (CLERKENWELL/HAMPSTEAD)	London	9	18 to 23	221	153	41	£186,797
ITT_391	CENTRAL LONDON	London	15	30 to 38	436	286	82	£386,869
ITT_390	CHESHIRE	Rural	7	14 to 18	448	453	61	£232,663

ITT Ref	Procurement Area (including former names)	Urban/ Rural/ London	No. Of Contracts to be awarded	No. Of Applicant Organisations to be Shortlisted	Estimated number of Police Station Cases per contract per annum	Estimated number of Magistrate Courts Cases per contract per annum	Estimated number of Crown Courts Cases per contract per annum	Anticipated Contract Value
ITT_389	CITY OF LONDON (BISHOPSGATE)	London	5	10 to 13	164	110	31	£145,065
ITT_388	CLEVELAND	Urban	4	8 to 10	350	446	64	£229,955
ITT_387	CROYDON	London	7	14 to 18	327	223	61	£268,768
ITT_386	CUMBRIA 1	Rural	4	8 to 10	278	308	60	£152,110
ITT_385	CUMBRIA 2	Rural	4	8 to 10	297	272	65	177,704
ITT_384	DERBYSHIRE	Rural	5	10 to 13	613	513	100	£337,642
ITT_383	DEVON & CORNWALL 1	Rural	8	16 to 20	562	425	88	£275,876
ITT_382	DEVON & CORNWALL 2	Rural	4	8 to 10	478	343	75	£261,746
ITT_381	DORSET	Rural	5	10 to 13	640	496	89	£356,712
ITT_380	DURHAM*	Rural	7	12 to 15	233	269	28	£150,391
ITT_379	DYFED-POWYS 1	Rural	4	8 to 10	134	153	20	£71,515
ITT_378	DYFED-POWYS 2	Rural	4	8 to 10	284	291	41	£166,127
ITT_377	EALING	London	5	10 to 13	491	324	92	£422,531
ITT_376	ENFIELD	London	4	8 to 10	331	248	62	£280,686

ITT Ref	Procurement Area (including former names)	Urban/ Rural/ London	No. Of Contracts to be awarded	No. Of Applicant Organisations to be Shortlisted	Estimated number of Police Station Cases per contract per annum	Estimated number of Magistrate Courts Cases per contract per annum	Estimated number of Crown Courts Cases per contract per annum	Anticipated Contract Value
ITT_375	ESSEX	Rural	7	14 to 18	1,031	704	148	£477,634
ITT_374	GLOUCESTERSHIRE*	Rural	4	6 to 8	473	323	69	£230,635
ITT_373	GREATER MANCHESTER	Urban	17	34 to 43	556	567	136	£464,533
ITT_372	GREENWICH AND LEWISHAM (GREENWICH/WOOLWICH)	London	7	14 to 18	542	378	102	£433,145
ITT_371	GWENT	Rural	5	10 to 13	319	401	52	£202,391
ITT_370	HACKNEY (OLD STREET)	London	9	18 to 23	230	158	43	£193,288
ITT_369	HAMMERSMITH AND FULHAM (WEST LONDON)	London	5	10 to 13	433	277	81	£375,335
ITT_368	HAMPSHIRE 1	Urban	7	14 to 18	1,067	965	156	£601,291
ITT_367	HAMPSHIRE 2	Rural	4	8 to 10	156	132	23	£75,902
ITT_366	HARINGEY	London	9	18 to 23	211	147	40	£183,016
ITT_365	HARROW	London	5	10 to 13	222	155	42	£182,436
ITT_364	HAVERING	London	4	8 to 10	257	187	48	£201,868
ITT_363	HEATHROW	London	4	8 to 10	66	42	12	£66,477
ITT_362	HERTFORDSHIRE	Urban	5	10 to 13	740	600	112	£441,519

ITT Ref	Procurement Area (including former names)	Urban/ Rural/ London	No. Of Contracts to be awarded	No. Of Applicant Organisations to be Shortlisted	Estimated number of Police Station Cases per contract per annum	Estimated number of Magistrate Courts Cases per contract per annum	Estimated number of Crown Courts Cases per contract per annum	Anticipated Contract Value
ITT_361	HILLINGDON (UXBRIDGE)	London	5	10 to 13	375	259	70	£298,365
ITT_360	HOUNSLOW (BRENTFORD)	London	5	10 to 13	379	254	71	£317,848
ITT_359	HUMBERSIDE	Rural	5	10 to 13	603	666	126	£351,308
ITT_358	ISLINGTON (HIGHBURY CORNER)	London	9	18 to 23	220	159	41	£194,190
ITT_357	KENT	Urban	7	14 to 18	1,204	811	119	£584,206
ITT_356	KINGSTON-UPON-THAMES	London	5	10 to 13	177	115	33	£147,263
ITT_355	LAMBETH (CAMBERWELL GREEN)	London	7	14 to 18	160	108	30	£135,862
ITT_354	LANCASHIRE	Urban	13	26 to 33	347	443	70	£255,295
ITT_353	LEICESTERSHIRE	Rural	4	8 to 10	748	662	116	£448,223
ITT_352	LINCOLNSHIRE	Rural	5	10 to 13	749	516	72	£347,052
ITT_351	MERSEYSIDE	Urban	8	16 to 20	529	576	119	£490,616
ITT_350	MERTON (WIMBLEDON)	London	6	12 to 15	79	53	15	£65,815
ITT_349	NEWHAM	London	9	18 to 23	205	134	38	£169,830
ITT_348	NORFOLK 1	Rural	4	8 to 10	880	595	97	£400,374

ITT Ref	Procurement Area (including former names)	Urban/ Rural/ London	No. Of Contracts to be awarded	No. Of Applicant Organisations to be Shortlisted	Estimated number of Police Station Cases per contract per annum	Estimated number of Magistrate Courts Cases per contract per annum	Estimated number of Crown Courts Cases per contract per annum	Anticipated Contract Value
ITT_347	NORFOLK 2	Rural	4	8 to 10	377	249	42	£165,576
ITT_346	NORTH WALES 1	Rural	4	8 to 10	358	443	53	£215,446
ITT_345	NORTH WALES 2	Rural	4	8 to 10	198	202	29	£119,544
ITT_344	NORTH YORKSHIRE 1*	Rural	4	6 to 8	190	214	27	£126,558
ITT_343	NORTH YORKSHIRE 2	Rural	4	8 to 10	363	435	51	£194,339
ITT_342	NORTHAMPTONSHIRE	Rural	5	10 to 13	592	440	78	£330,258
ITT_341	NORTHUMBRIA 1	Rural	5	10 to 13	279	368	44	£190,369
ITT_340	NORTHUMBRIA 2	Rural	7	14 to 18	389	450	62	£248,131
ITT_339	NOTTINGHAMSHIRE	Rural	4	8 to 10	882	795	163	£544,347
ITT_338	REDBRIDGE	London	5	10 to 13	368	245	69	£314,027
ITT_337	RICHMOND-UPON-THAMES	London	4	8 to 10	88	58	17	£78,319
ITT_336	SOUTH WALES*	Rural	9	16 to 20	413	544	91	£279,400
ITT_335	SOUTH YORKSHIRE	Urban	7	14 to 18	525	693	116	£395,748
ITT_334	SOUTHWARK (TOWER BRIDGE)	London	9	18 to 23	349	236	65	£308,462

ITT Ref	Procurement Area (including former names)	Urban/ Rural/ London	No. Of Contracts to be awarded	No. Of Applicant Organisations to be Shortlisted	Estimated number of Police Station Cases per contract per annum	Estimated number of Magistrate Courts Cases per contract per annum	Estimated number of Crown Courts Cases per contract per annum	Anticipated Contract Value
ITT_333	STAFFORDSHIRE	Rural	6	12 to 15	515	575	72	£318,572
ITT_332	SUFFOLK 1	Rural	4	8 to 10	380	363	56	£204,285
ITT_331	SUFFOLK 2	Rural	4	8 to 10	339	330	50	£177,149
ITT_330	SURREY	Urban	4	8 to 10	1,006	623	126	£504,616
ITT_329	SUSSEX 1	Urban	5	10 to 13	903	642	97	£460,835
ITT_328	SUSSEX 2	Urban	5	10 to 13	869	610	93	£484,719
ITT_327	SUTTON	London	5	10 to 13	290	207	54	£241,960
ITT_326	THAMES VALLEY	Urban	9	18 to 23	875	741	104	£496,447
ITT_325	TOWER HAMLETS (THAMES)	London	7	14 to 18	289	201	54	£239,635
ITT_324	WALTHAM FOREST	London	9	18 to 23	301	197	56	£231,582
ITT_323	WANDSWORTH (SOUTH LONDON)	London	5	10 to 13	474	311	89	£405,953
ITT_322	WARWICKSHIRE	Rural	4	8 to 10	463	331	56	£239,641
ITT_321	WEST MERCA 1	Rural	5	10 to 13	487	455	66	£291,778
ITT_320	WEST MERCA 2	Rural	4	8 to 10	331	314	45	£196,502

ITT Ref	Procurement Area (including former names)	Urban/ Rural/ London	No. Of Contracts to be awarded	No. Of Applicant Organisations to be Shortlisted	Estimated number of Police Station Cases per contract per annum	Estimated number of Magistrate Courts Cases per contract per annum	Estimated number of Crown Courts Cases per contract per annum	Anticipated Contract Value
ITT_319	WEST MIDLANDS	Urban	13	26 to 33	725	623	166	£542,802
ITT_318	WEST YORKSHIRE	Urban	17	34 to 43	386	363	82	£286,495
ITT_316	WILTSHIRE	Rural	5	10 to 13	570	438	45	£243,509

*Procurement Areas where the PDS will maintain their presence and undertake a contract share of the work.

Data Information

The Procurement Areas and their type are the same as set-out in 'Transforming Legal Aid - Next Steps: Government Response'. The number of contracts available is as set out in 'Transforming Legal Aid: Crime Duty Contracts: Government Response'.

The number of Applicant Organisations to be shortlisted is specified as a range. The minimum in the range is two times the number of contracts to be awarded and the maximum in the range is two times the number of contracts plus 25% (rounded up to the nearest whole number).

The estimated case volumes and Anticipated Contract Values are based on April 2013 to March 2014 data. Police station volumes (and values) are estimated based on fee claims data received for duty work assigned a police station code. The volume of Magistrates' Court duty work in each Procurement Area is estimated based on the proportion of duty work arising in the police station in each Procurement Area, accounting for Magistrates' Court duty sessions. The volume of Crown Court duty work in each procurement area is estimated using the same method. The estimated volumes are rounded to the nearest whole case.

The total value of duty work is estimated using the same principles as for volume e.g. an assumption of how much work continues from police station work. The estimated total values are exclusive of VAT and disbursements and include an estimated fee reduction in each Procurement Area (17.5% average).

Table 2: Average volumes by Procurement Area for case types which relate to Selection Criteria questions E.3 – E.5

Procurement Area (including former names)	Drug offences	Offences against the person	Offences of Dishonesty
Avon and Somerset 1	14	33	20
Avon and Somerset 2	21	58	32
Barking and Dagenham (Barking)	4	9	7
Barnet (Hendon/Barnet)	4	6	5
Bedfordshire	10	21	18
Bexley	5	7	6
Brent	5	9	5
Bromley	4	8	6
Cambridgeshire	10	24	16
Camden (Clerkenwell/Hampstead)	3	5	5
Central London	5	8	10
Cheshire	8	17	12
City of London (Bishopsgate)	2	2	3
Cleveland	16	32	40
Croydon	5	11	6
Cumbria 1	11	29	15
Cumbria 2	8	17	9
Derbyshire	14	27	18
Devon and Cornwall 1	15	58	30
Devon and Cornwall 2	13	40	14

Dorset	10	32	20
Durham	6	16	14
Dyfed Powys 1	14	22	10
Dyfed Powys 2	9	29	8
Ealing	5	8	6
Enfield	5	7	5
Essex	9	26	18
Gloucestershire	16	30	27
Greater Manchester	17	42	28
Greenwich and Lewisham (Greenwich/Woolwich)	7	13	8
Gwent	12	26	17
Hackney (Old Street)	4	7	5
Hammersmith and Fulham (West London)	3	5	6
Hampshire 1	13	45	29
Hampshire 2	18	33	21
Haringey	4	8	5
Harrow	3	6	3
Havering	6	7	6
Heathrow	2	3	3
Hertfordshire	8	15	15
Hillingdon (Uxbridge)	4	9	7
Hounslow (Brentford)	5	9	6
Humberside	16	37	36
Islington (Highbury Corner)	4	6	6
Kent	13	37	26

Kingston Upon Thames	3	5	4
Lambeth (Camberwell Green)	3	4	2
Lancashire	11	37	25
Leicestershire	11	29	24
Lincolnshire	11	28	23
Merseyside	32	37	28
Merton (Wimbledon)	2	4	2
Newham	3	9	5
Norfolk 1	19	43	36
Norfolk 2	14	23	25
Northamptonshire	11	24	24
North Wales 1	8	27	16
North Wales 2	7	20	9
North Yorkshire 1	4	7	5
North Yorkshire 2	11	17	14
Northumbria 1	16	29	30
Northumbria 2	14	30	36
Nottinghamshire	17	36	27
Redbridge	3	9	5
Richmond - Upon Thames	2	4	2
South Wales	19	52	27
Southwark (Tower Bridge)	5	9	6
South Yorkshire	15	29	30
Staffordshire	9	28	16
Suffolk 1	6	16	8
Suffolk 2	7	20	20

Surrey	8	14	11
Sussex 1	14	33	29
Sussex 2	11	25	15
Sutton	4	8	6
Thames Valley	12	28	25
Tower Hamlets (Thames)	4	8	5
Waltham Forest	4	10	6
Wandsworth (South London)	4	6	6
Warwickshire	6	11	8
West Mercia 1	7	18	13
West Mercia 2	7	21	14
West Midlands	17	45	33
West Yorkshire	18	45	36
Wiltshire	12	36	27

Annex B: Procurement Area Rules and scheme information

Table 1: Split Procurement Areas

There are 24 Split Procurement Areas, where an Applicant Organisation may bid if it will have an Office in the Split Procurement Area or its Linked Procurement Area as set out in the table below. The Selection Criteria will give preference to Applicant Organisations that have an Office in the Split Procurement Area they are tendering in.

Split Procurement Areas	Linked Procurement Area
Avon & Somerset 1	Avon & Somerset 2
Avon & Somerset 2	Avon & Somerset 1
Cumbria 1	Cumbria 2
Cumbria 2	Cumbria 1
Devon & Cornwall 1	Devon & Cornwall 2
Devon & Cornwall 2	Devon & Cornwall 1
Dyfed Powys 1	Dyfed Powys 2
Dyfed Powys 2	Dyfed Powys 1
Hampshire 1	Hampshire 2
Hampshire 2	Hampshire 1
Norfolk 1	Norfolk 2
Norfolk 2	Norfolk 1
North Wales 1	North Wales 2
North Wales 2	North Wales 1
North Yorkshire 1	North Yorkshire 2
North Yorkshire 2	North Yorkshire 1
Northumbria 1	Northumbria 2
Northumbria 2	Northumbria 1
Suffolk 1	Suffolk 2
Suffolk 2	Suffolk 1
Sussex 1	Sussex 2
Sussex 2	Sussex 1
West Mercia 1	West Mercia 2
West Mercia 2	West Mercia 1

Table 2: London Procurement Areas

Listed below are all 32 London Procurement Areas and their immediately adjacent Procurement Areas. Applicant Organisations bidding in London Procurement Areas must have an Office either in the Procurement Area itself or in one of the immediately adjacent Procurement Areas listed.

London Procurement Areas (including former names)	Immediately Adjacent London Procurement Areas
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Barking and Dagenham (Barking)	Redbridge, Havering, Newham
Barnet (Hendon/Barnet)	Brent, Harrow, Enfield, Haringey, Camden (Clerkenwell/Hampstead)
Bexley	Bromley, Greenwich and Lewisham (Greenwich/Woolwich)
Brent	Harrow, Barnet (Hendon/Barnet), Camden (Clerkenwell/Hampstead), Central London, Hammersmith and Fulham (West London), Ealing
Bromley	Croydon, Greenwich and Lewisham (Greenwich/Woolwich), Southwark (Tower Bridge), Bexley, Lambeth (Camberwell Green)
Camden (Clerkenwell/Hampstead)	Central London, Brent, Haringey, Islington (Highbury Corner), City of London (Bishopsgate), Barnet (Hendon/Barnet)
Central London	Hammersmith and Fulham (West London), Brent, City of London (Bishopsgate), Camden (Clerkenwell/Hampstead), Lambeth (Camberwell Green), Wandsworth (South London)
City of London (Bishopsgate)	Central London, Islington (Highbury Corner), Tower Hamlets (Thames), Hackney (Old Street), Camden (Clerkenwell/Hampstead), Southwark (Tower Bridge), Lambeth (Camberwell Green)
Croydon	Bromley, Lambeth (Camberwell Green), Sutton, Merton (Wimbledon)
Ealing	Hammersmith and Fulham (West London), Hillingdon (Uxbridge), Heathrow, Harrow, Brent, Hounslow (Brentford)
Enfield	Barnet (Hendon/Barnet), Haringey, Waltham Forest
Greenwich and Lewisham (Greenwich/Woolwich)	Southwark (Tower Bridge), Bromley, Bexley
Hackney (Old Street)	Islington (Highbury Corner), Haringey, Waltham Forest, Newham, Tower Hamlets (Thames), City of London (Bishopsgate)
Hammersmith and Fulham (West London)	Brent, Central London, Ealing, Hounslow (Brentford), Richmond, Wandsworth (South London)
Haringey	Camden (Clerkenwell/Hampstead), Enfield, Waltham Forest , Hackney (Old Street), Islington (Highbury Corner), Barnet (Hendon/Barnet)
Harrow	Barnet (Hendon/Barnet), Brent, Hillingdon (Uxbridge), Heathrow, Ealing
Havering	Barking and Dagenham (Barking), Redbridge
Heathrow	Hillingdon (Uxbridge), Harrow, Ealing, Hounslow (Brentford)
Hillingdon (Uxbridge) (Please note access to this Procurement Area also includes	Harrow, Ealing, Hounslow (Brentford), Heathrow

access to Heathrow)	
Hounslow (Brentford)	Hammersmith and Fulham (West London), Hillingdon (Uxbridge), Ealing, Richmond, Heathrow
Islington (Highbury Corner)	Hackney (Old Street), City of London (Bishopsgate), Camden (Clerkenwell/Hampstead), Haringey
Kingston-upon-Thames	Richmond-upon-Thames, Merton (Wimbledon), Sutton, Wandsworth (South London)
Lambeth (Camberwell Green)	Central London, City of London (Bishopsgate), Southwark (Tower Bridge), Croydon, Merton (Wimbledon), Wandsworth (South London)
Merton (Wimbledon)	Sutton, Kingston-upon-Thames, Lambeth (Camberwell Green), Croydon, Wandsworth (South London)
Newham	Tower Hamlets (Thames), Hackney (Old Street), Waltham Forest, Redbridge, Barking and Dagenham (Barking)
Redbridge	Newham, Waltham Forest, Havering, Barking and Dagenham (Barking)
Richmond-upon-Thames	Hammersmith and Fulham (West London), Hounslow (Brentford), Kingston-upon-Thames, Wandsworth (South London)
Southwark (Tower Bridge)	City of London (Bishopsgate), Greenwich and Lewisham (Greenwich/Woolwich), Bromley, Lambeth (Camberwell Green)
Sutton	Kingston-upon-Thames, Merton (Wimbledon), Croydon
Tower Hamlets (Thames)	City of London (Bishopsgate), Hackney (Old Street), Newham
Waltham Forest	Hackney (Old Street), Haringey, Redbridge, Newham, Enfield
Wandsworth (South London)	Central London, Hammersmith and Fulham (West London), Richmond, Merton (Wimbledon), Lambeth (Camberwell Green), Kingston-upon-Thames.

Table 3: Procurement Area Rules and schemes covered by each Procurement Area

Outlined below are the Procurement Area Rules that apply to each Procurement Area and the Schemes covered within each

Procurement Area (including former names)	Rule determining Procurement Area (as set out at paragraph 3.35 of the IFA)	<u>Special Rules Procurement Areas only</u> Towns/Cities falling within Special Rules Procurement Areas (not exhaustive)	Police Station Duty Schemes within Procurement Area	Magistrates Court Duty Schemes within Procurement Area
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Avon and Somerset 1	Special Rules Procurement Area (Avon and Somerset Constabulary)	Bridgwater, Bruton, Burnham-on-Sea, Castle Cary, Chard, Crewkerne, Frome, Glastonbury, Highbridge, Ilminster, Langport, Minehead, North Petherton, Shepton Mallet, Somerton, Street, Taunton, Watchet, Wellington, Wells, Weston-super-Mare, Wincanton, Wiveliscombe, Yeovil	Mendip, Weston Super Mare, Sedgemoor	Avon & Somerset
Avon and Somerset 2	Special Rules Procurement Area (Avon and Somerset Constabulary)	Axbridge, Bath, Bradley Stoke, Bristol, Clevedon, Filton, Keynsham, Patchway, Portishead, Midsomer Norton, Radstock, Stoke Gifford, Thornbury, Yate	Avon North, Bath, Bristol	Bath and Wansdyke, Bristol and North Avon
Barking and Dagenham (Barking)	London Procurement Area (London Borough of Barking and Dagenham)	N/A	Barking police station duty scheme	N/A
Barnet (Hendon/Barnet)	London Procurement Area (London Borough of Barnet)	N/A	Hendon/Barnet police station duty scheme	Hendon/Barnet
Bedfordshire	Procurement Areas outside of London (excluding Special Rules Procurement Areas) (Bedfordshire Police)	N/A	Bedford, Luton	Bedford, Luton
Bexley	London Procurement Area (London Borough of Bexley)	N/A	Bexley police station duty scheme	Bexley
Brent	London Procurement Area (London Borough of Brent)	N/A	Brent police station duty scheme	Brent (Willesden) Youth Court
Bromley	London Procurement Area (London Borough of Bromley)	N/A	Bromley police station duty scheme	Bromley
Cambridgeshire	Procurement Areas outside of London (excluding	N/A	Huntingdon, Peterborough, Cambridge	Cambridge, Peterborough, Huntingdon

	Special Rules Procurement Areas) (Cambridgeshire Constabulary)			
Camden (Clerkenwell/Hampstead)	London Procurement Area (London Borough of Camden)	N/A	Clerkenwell/Hampstead police station duty scheme	N/A
Central London	London Procurement Area (London Boroughs of City of Westminster and Kensington and Chelsea)	N/A	Central London police station duty scheme	Central London
City of London (Bishopsgate)	London Procurement Area (City of London)	N/A	Bishopsgate police station duty scheme	Bishopsgate
Cheshire	Procurement Areas outside of London (excluding Special Rules Procurement Areas) (Cheshire Constabulary)	N/A	Crewe and Nantwich/Sandbach and Congleton/Macclesfield, Warrington/Halton, and Chester	Chester, Crewe/Macclesfield and, Halton,
Cleveland	Procurement Areas outside of London (excluding Special Rules Procurement Areas) (Cleveland Police)	N/A	Hartlepool, Teeside	Hartlepool, Teeside
Croydon	London Procurement Area (London Borough of Croydon)	N/A	Croydon police station duty scheme	Croydon
Cumbria 1	Special Rules Procurement Area (Northumbria Police)	Broughton-in-Furness, Dalton-in-Furness, Keswick, Maryport, Millom, Whitehaven, Workington	Barrow in Furness, Whitehaven	Barrow in Furness, Whitehaven/Workington
Cumbria 2	Special Rules Procurement Area (Northumbria Police)	Ambleside, Brampton, Carlisle, Kendal, Longtown, Penrith, Ulverston, Wigton,	Kendal, Penrith/Carlisle	Carlisle, Kendal

Derbyshire	Procurement Areas outside of London (excluding Special Rules Procurement Areas) (Derbyshire Constabulary)	N/A	High Peak, Chesterfield, Derby	High Peak, Chesterfield, Derby
Devon and Cornwall 1	Special Rules Procurement Area (Devon and Cornwall Police)	Ashburton, Axminster, Barnstaple, Bideford, Brixham, Buckfastleigh, Chagford, Chulmleigh, Crediton, Cullompton, Dartmouth, Dawlish, Exeter, Exmouth, Great Torrington, Hartland, Hatherleigh, Holsworthy, Honiton, Ilfracombe, Ivybridge, Kingsbridge, Lynton, Moretonhampstead, Newton Abbot, Northam, Okehampton, Paignton, Plymouth, Salcombe, Seaton, Sidmouth, South Molton, Tavistock, Teignmouth, Tiverton, Torquay, Totnes,	Barnstable, Exeter, Plymouth, Teignbridge	Barnstaple (North and West Devon) Exeter and Plymouth
Devon and Cornwall 2	Special Rules Procurement Area (Devon and Cornwall Police)	Bodmin, Bude, Callington, Camborne, Camelford, Falmouth/Penryn, Fowey, Hayle, Helston, Launceston, Liskeard, Looe, Lostwithiel, Marazion, Newlyn, Newquay, Padstow, Penzance, Redruth, Saltash, St.Austell, St. Ives, St. Just, St. Mawes, Stratton, Torpoint, Truro, Wadebridge	East Cornwall, Carrick	East Cornwall, West Cornwall
Dorset	Procurement Areas outside of London (excluding Special Rules Procurement Areas) (Dorset Police)	N/A	East Dorset, West Dorset	East Dorset, West Dorset
Durham	Procurement Areas outside of London (excluding Special Rules Procurement Areas) (Durham Constabulary)	N/A	Darlington and South Durham, Derwentside	Darlington and South Durham

Dyfed-Powys 1	Special Rules Procurement Area (Dyfed-Powys Police)	Ammanford, Carmathen, Kidwelly, Llandeilo, Llandovery, Llanelli, St. Clears	Amman Valley, Llanelli, Carmarthen	Llanelli
Dyfed-Powys 2	Special Rules Procurement Area (Dyfed-Powys Police)	Aberaeron, Aberystwyth, Brecon, Bulith Wells, Cardigan, Crickhowell, Fishguard, Goodwick, Haverfordwest, Knighton, Lampeter, Llandrindod Wells, Llandysul, Llanfair Caereinion, Llanfyllin, Llangurig, Llanidloes, Llanrhystud, Llanwrtyd Wells, Machynlleth, Milford Haven, Narberth, Newport (Pembrokeshire), New Quay, Neyland, Newtown, Pembroke, Pembroke Dock, Rhayader, St David's, Talgarth, Tenby, Tregaron, Welshpool, Ystradgynlais	Pembrokeshire, Mid Wales, North Ceredigion, Brecon	Pembrokeshire, Newtown, Brecon and Radnor, North Ceredigion
Ealing	London Procurement Area (London Borough of Ealing)	N/A	Ealing police station duty scheme	Ealing
Enfield	London Procurement Area (London Borough of Enfield)	N/A	Enfield police station duty scheme	Enfield (Tottenham)
Essex	Procurement Areas outside of London (excluding Special Rules Procurement Areas) (Essex Police)	N/A	Colchester, Clacton, Braintree, Harlow and Chelmsford, Basildon/Grays, Rayleigh	Basildon/Grays, Harlow and Chelmsford, Colchester, Rayleigh
Gloucestershire	Procurement Areas outside of London (excluding Special Rules Procurement Areas) (Gloucestershire Constabulary)	N/A	Gloucester	Gloucester
Greater Manchester	Procurement Areas outside of London (excluding Special Rules Procurement Areas)	N/A	Bolton, Bury, Manchester, , Stockport, Tameside, and Wigan	Bolton, Bury and Rochdale, Manchester, Oldham, Tameside, Trafford, Wigan

	(Greater Manchester Police)			and Leigh, Stockport
Greenwich and Lewisham (Greenwich/Woolwich)	London Procurement Area (London Boroughs of Greenwich and Lewisham)	N/A	Greenwich/Woolwich police station duty scheme	Greenwich
Gwent	Procurement Areas outside of London (excluding Special Rules Procurement Areas) (Gwent Police)	N/A	East Gwent, Lower Rhymney Valley / North Bedwellty / South Bedwellty, Newport	East Gwent, Lower Rhymney Valley / North Bedwellty / South Bedwellty, Newport
Hackney (Old Street)	London Procurement Area (London Borough of Hackney)	N/A	Old Street police station duty scheme	N/A
Hammersmith and Fulham (West London)	London Procurement Area (London Borough of Hammersmith and Fulham)	N/A	West London police station duty scheme	Hammersmith Magistrates court (previously West London Magistrates court)
Hampshire 1	Special Rules Procurement Area (Hampshire Constabulary)	Aldershot, Alton, Andover, Basingstoke, Bordon, Eastleigh, Fareham Farnborough, Gosport, Havant, Hythe, Lymington, New Alresford, Petersfield, Portsmouth, Ringwood, Romsey, Southampton, Tadley, Totton and Eling, Waterloo, Winchester	Aldershot, Andover, Portsmouth, Gosport, Southampton	Aldershot, Andover and Basingstoke, Gosport and Fareham, Portsmouth, West Hampshire
Hampshire 2	Special Rules Procurement Area (Hampshire Constabulary)	Brading, Cowes/East Cowes, Newport, Ryde, Sandown, Shanklin, Ventnor, Yarmouth	Isle of Wight	Isle of Wight
Haringey	London Procurement Area (London Borough of Haringey)	N/A	Haringey police station duty scheme	N/A
Harrow	London Procurement Area (London Borough of Harrow)	N/A	Harrow police station duty scheme	N/A

Havering	London Procurement Area (London Borough of Havering)	N/A	Havering police station duty scheme	Havering
Heathrow	London Procurement Area (London Borough of Hillingdon)	N/A	Heathrow police station duty scheme	N/A
Hertfordshire	Procurement Areas outside of London (excluding Special Rules Procurement Areas) (Hertfordshire Constabulary)	N/A	North and East Hertfordshire, Central and West Hertfordshire	North and East Hertfordshire, Central and West Hertfordshire
Hillingdon (Uxbridge)	London Procurement Area (London Borough of Hillingdon)	N/A	Uxbridge police station duty scheme	Uxbridge
Hounslow (Brentford)	London Procurement Area (London Borough of Hounslow)	N/A	Brentford police station duty scheme	Brentford
Humberside	Procurement Areas outside of London (excluding Special Rules Procurement Areas) (Humberside Police)	N/A	Goole, Grimsby and Cleethorpes, Hull and Holderness, Beverley and Bridlington, Scunthorpe	Beverley and Bridlington, Hull and Holderness, Scunthorpe
Islington (Highbury Corner)	London Procurement Area (London Borough of Islington)	N/A	Highbury Corner police station duty scheme	Highbury Corner
Kent	Procurement Areas outside of London (excluding Special Rules Procurement Areas) (Kent Police)	N/A	West Kent (Tonbridge), Maidstone & West Malling (includes Canterbury and Thanet, Ashford/Tenterden/Dover), Medway, Dartford and Gravesend (includes Swale)	Medway, Maidstone and West Malling

Kingston-upon-Thames	London Procurement Area (London Borough of Kingston)	N/A	Kingston-upon-Thames police station duty scheme	N/A
Lambeth (Camberwell Green)	London Procurement Area (London Borough of Lambeth)	N/A	Camberwell Green police station duty scheme	Camberwell Green
Lancashire	Procurement Areas outside of London (excluding Special Rules Procurement Areas) (Lancashire Constabulary)	N/A	Burnley/Rossendale, Chorley and Leyland, Blackpool and Fleetwood, Blackburn/Accrington/Ribble Valley, Lancaster, Preston	Blackburn/Accrington/Ribble, Blackpool and Fleetwood, Burnley/Rossendale, Chorley and Leyland, Lancaster, Preston
Leicestershire	Procurement Areas outside of London (excluding Special Rules Procurement Areas) (Leicestershire Police)	N/A	Loughborough, Leicester, Hinckley	Hinckley, Leicester, Loughborough
Lincolnshire	Procurement Areas outside of London (excluding Special Rules Procurement Areas) (Lincolnshire Police)	N/A	Boston/Bourne/Stamford, Grantham and Sleaford, Skegness, Lincoln/Gainsborough	Boston, Grantham, Lincoln, Skegness
Merseyside	Procurement Areas outside of London (excluding Special Rules Procurement Areas) (Merseyside Police)	N/A	Liverpool/Knowsley, Sefton (includes Bootle, Crosby and Southport), Wirral	Liverpool/Knowsley, Sefton, Wirral
Merton (Wimbledon)	London Procurement Area (London Borough of Merton)	N/A	Wimbledon police station duty scheme	Wimbledon
Newham	London Procurement Area (London Borough of Newham)	N/A	Newham police station duty scheme	Stratford (Newham) Youth court

Norfolk 1	Special Rules Procurement Area (Norfolk Constabulary)	Acle, Attleborough, Aylsham, Caister-on-Sea, Cromer, Dereham, Diss, Great Yarmouth, Holt, Loddon, North Walsham, Norwich, Redenhall with Harleston, Sheringham, Stalham, Watton, Wymondham	Cromer, Great Yarmouth, Norwich, Lowestoft, Dereham	Great Yarmouth, Norwich, Lowestoft
Norfolk 2	Special Rules Procurement Area (Norfolk Constabulary)	Downham Market, Fakenham, Hunstanton, Kings Lynn, Swaffham, Wells-next-the-Sea	Kings Lynn	Kings Lynn
North Wales 1	Special Rules Procurement Area (North Wales Police)	Abergele, Caerwys, Colwyn Bay, Connah's Quay, Corwen, Denbigh, Flint, Holywell, Llandudno, Llangollen, Llanrwst, Mold, Prestatyn, Queensferry, Rhyl, Ruthin, Wrexham	Colwyn Bay, Denbighshire, Mold, Wrexham	Colwyn Bay, Denbighshire, Mold, Wrexham
North Wales 2	Special Rules Procurement Area (North Wales Police)	Amlwch, Bala, Bangor, Barmouth, Beaumaris, Bethesda, Blaenau Ffestiniog, Caernarfon, Criccieth, Dolgellau, Harlech, Holyhead, Llanfairfechan, Llangefni, Nefyn, Porthmadog, Pwllheli, Tywyn,	Bangor, Dolgellau, North Anglesey, Pwllheli	Bangor and Caernarfon, North Anglesey
North Yorkshire 1	Special Rules Procurement Area (North Yorkshire Police)	Bedale, Benthams, Boroughbridge, Catterick, Grassington, Harrogate, Hawes, Knaresborough, Leyburn, Masham, Middleham, Northallerton, Richmond, Ripon, Settle, Skipton, Tadcaster, Thirsk	Northallerton, Harrogate, Skipton	Harrogate and Ripon, Northallerton and Richmond, Skipton/Settle and Ingleton
North Yorkshire 2	Special Rules Procurement Area (North Yorkshire Police)	Easingwold, Filey Helmsley, Malton, Pickering, Scarborough, Selby, Stokesley, Whitby, York	Scarborough, Malton, York	York/Selby, Scarborough and Whitby
Northamptonshire	Procurement Areas outside of London (excluding Special Rules Procurement Areas) (Northamptonshire Police)	N/A	Corby/Kettering, Northampton, Daventry and Towcester	Corby/ Kettering, Northampton
Northumbria 1	Special Rules Procurement Area	Gateshead, South Shields, Sunderland	Gateshead, South Tyneside, Sunderland	Gateshead, South Tyneside,

	(Northumbria Police)			Sunderland/Houghton Le Spring
Northumbria 2	Special Rules Procurement Area (Northumbria Police)	Alnwick, Amble, Ashington, Bedlington, Berwick-upon-Tweed, Blyth, Haltwhistle, Hexham, Morpeth, Newbiggin-by-the-Sea, Newcastle-upon-Tyne, North Shields, Tynemouth, Whitley Bay, Wooler	Berwick and Alnwick, S. E. Northumberland, Newcastle Upon Tyne, N.Tyneside, Tyndale	Berwick & Alnwick, Southeast Northumberland, Newcastle, North Tyneside
Nottinghamshire	Procurement Areas outside of London (excluding Special Rules Procurement Areas) (Nottinghamshire Police)	N/A	Mansfield, Nottingham	Mansfield, Nottingham
Redbridge	London Procurement Area (London Borough of Redbridge)	N/A	Redbridge police station duty scheme	Redbridge
Richmond-upon-Thames	London Procurement Area (London Borough of Richmond)	N/A	Richmond-upon-Thames police station duty scheme	N/A
South Wales	Procurement Areas outside of London (excluding Special Rules Procurement Areas) (South Wales Police)	N/A	Cardiff, Vale of Glamorgan, Merthyr Tydfil/ Cynon Valley, Mid Glamorgan and Miskin, Neath/Port Talbot, Newcastle and Ogmore, Swansea,	Cardiff, Neath/Port Talbot, Merthyr Tydfil/ Cynon Valley, Mid Glamorgan and Miskin, Swansea, Vale of Glamorgan, Newcastle and Ogmore
South Yorkshire	Procurement Areas outside of London (excluding Special Rules Procurement Areas) (South Yorkshire Police)	N/A	Barnsley, Doncaster, Rotherham, Sheffield	Barnsley, Doncaster, Rotherham, Sheffield
Southwark (Tower Bridge)	London Procurement Area (London Borough of Southwark)	N/A	Tower Bridge police station duty scheme	N/A

Staffordshire	Procurement Areas outside of London (excluding Special Rules Procurement Areas) (Staffordshire Police)	N/A	Cannock and Rugeley/Stafford, Stoke on Trent, Tamworth, Burton upon Trent	Burton upon Trent, Cannock and Rugeley, Stafford, Stoke on Trent
Suffolk 1	Special Rules Procurement Area (Suffolk Constabulary)	Aldeburgh, Beccles, Brandon, Bungay, Bury St Edmunds, Eye, Framlingham, Hadleigh, Halesworth, Haverhill, Leiston, Lowestoft, Mildenhall, Newmarket, Saxmundham, Southwold, Stowmarket, Sudbury, Thetford	Bury St Edmunds (including Sudbury and Thetford)	Bury, West Suffolk and Thetford
Suffolk 2	Special Rules Procurement Area (Suffolk Constabulary)	Felixstowe, Ipswich, Woodbridge	Ipswich	Ipswich
Surrey	Procurement Areas outside of London (excluding Special Rules Procurement Areas) (Surrey Police)	N/A	Staines, Northwest Surrey (Woking), Southeast Surrey, Guildford and Farnham	Staines, Southeast Surrey, Guildford and Farnham
Sussex 1	Special Rules Procurement Area (Sussex Police)	Battle, Bexhill-on-Sea, Brighton, Crowborough, Eastbourne, Hastings, Heathfield, Lewes, Newhaven, Rye, Seaford, Uckfield, Wadhurst	Brighton, Hastings, Eastbourne	Brighton and Hove and Lewes, Eastbourne, Hastings
Sussex 2	Special Rules Procurement Area (Sussex Police)	Arundel, Bognor Regis, Burgess Hill, Chichester, Crawley, East Grinstead, Haywards Heath, Horsham, Littlehampton, Midhurst, Petworth, Selsey, Shoreham-by-Sea, Steyning, Worthing	Chichester, Crawley, Worthing	Chichester and District, Crawley/Horsham/Haywards Heath, Worthing
Sutton	London Procurement Area (London Borough of Sutton)	N/A	Sutton police station duty scheme	N/A
Thames Valley	Procurement Areas outside of London (excluding	N/A	Newbury, Reading, Slough (East Berkshire), High Wycombe and	Aylesbury, Oxfordshire, High Wycombe and Amersham,

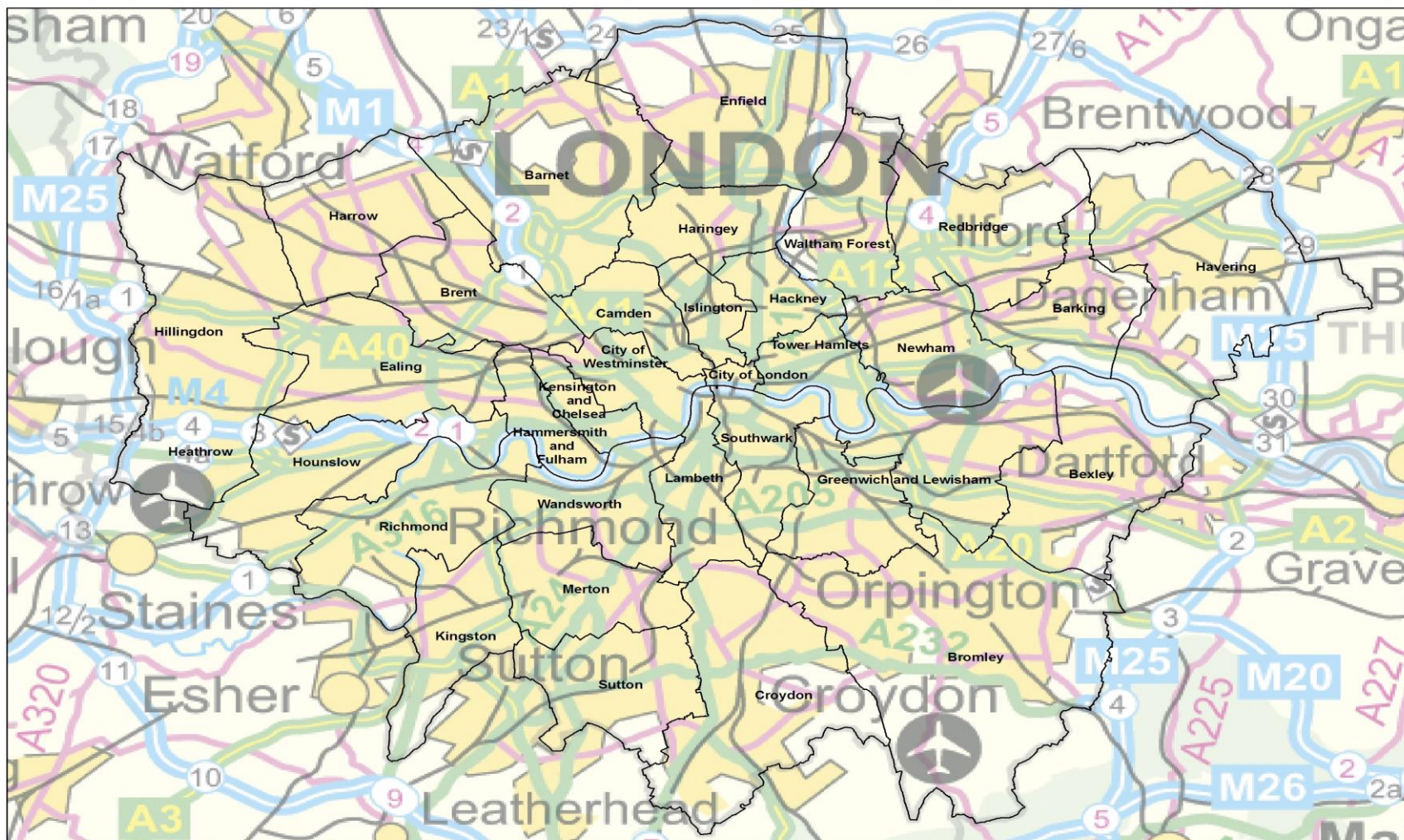
	Special Rules Procurement Areas) (Thames Valley Police)		Amersham, Milton Keynes, Aylesbury, Oxford (including Abbingdon/Didcot and Bicester)	Milton Keynes, Reading, Newbury
Tower Hamlets (Thames)	London Procurement Area (London Borough of Tower Hamlets)	N/A	Thames police station duty scheme	Thames
Waltham Forest	London Procurement Area (London Borough of Waltham Forest)	N/A	Waltham Forest police station duty scheme	N/A
Wandsworth (South London)	London Procurement Area (London Borough of Wandsworth)	N/A	South London police station duty scheme	N/A
Warwickshire	Procurement Areas outside of London (excluding Special Rules Procurement Areas) (Warwickshire Police)	N/A	Nuneaton/Leamington Spa,	Nuneaton/Leamington Spa
West Mercia 1	Special Rules Procurement Area (West Mercia Police)	Bewdley, Bromsgrove, Bromyard, Droitwich Spa, Evesham, Hereford, Kidderminster, Ledbury, Leominster, Pershore, Redditch, Ross-on-Wye, Worcester	Hereford, Kidderminster, Worcester	Hereford/Leominster, Kidderminster, Redditch/ Bromsgrove, Worcestershire
West Mercia 2	Special Rules Procurement Area (West Mercia Police)	Bishop's Castle, Bridgnorth, Church Stretton, Clun, Ellesmere, Ludlow, Market Drayton, Much Wenlock, Newport, Oswestry, Shrewsbury, Telford, Wem, Whitchurch	Shrewsbury, Telford	Shrewsbury, Telford
West Midlands	Procurement Areas outside of London (excluding Special Rules Procurement Areas) (West Midlands Police)	N/A	Birmingham, Coventry, Dudley, Halesowen and Stourbridge, Sandwell, Solihull, Walsall, Wolverhampton	Walsall, Birmingham, Coventry, Dudley, Sandwell, Wolverhampton

West Yorkshire	Procurement Areas outside of London (excluding Special Rules Procurement Areas) (West Yorkshire Police)	N/A	Keighley, Bradford, Halifax, Dewsbury and Huddersfield, Leeds, Pontefract and Castleford, Wakefield	Bradford and Keighley, Halifax, Dewsbury, Leeds, Wakefield
Wiltshire	Procurement Areas outside of London (excluding Special Rules Procurement Areas) (Wiltshire Police)	N/A	Southeast Wiltshire (includes Swindon, Salisbury and Chippenham)	Southeast Wiltshire

Map 1: Procurement Area Map (excluding London)



Map 2: London Procurement Areas Map



Annex C: ITT Questions & Assessment

Duty Provider Organisation ITT

Section A- Organisation Information

No.	Question	Response options and assessment
Note	Applicant Organisations must ensure that they complete and submit at least one Procurement Area ITT in addition to this Duty Provider Organisation ITT	N/a
Note	Where the Applicant Organisation submitted a number of Tenders for an Own Client Contract, it must respond to this procurement opportunity from the relevant eTendering system registration(s). The registration(s) used must be for the entity/ies that it intends to hold a Duty Provider Contract as. For more information see section 2 of the IFA.	N/a
A.1.	Full name of Applicant Organisation	Free text
Note	Please give the details of the person completing this Tender:	N/a
A.2.a	Name	Free text
A.2.b	Job title	Free text
A.2.c	Telephone number	Free text
A.2.d	Email address	Free text

Section B – Organisation Selection Criterion

Note	This Selection Criteria question appears here because it applies to the Applicant Organisation as a whole and gives preference to those organisations that currently hold or have applied for authorisation by a relevant legal sector regulator.	
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	Other Selection Criteria questions appear in the Qualification Envelope of the Procurement Area ITTs. Any points that an Applicant Organisation receives for this question will be added to its Selection Criteria score for each of its Procurement Area Bids.	
B.1.	Does your Applicant Organisation currently hold appropriate authorisation by a relevant legal sector regulator?	Options list: i) Hold authorisation (5 points) (answer question B.1.a) ii) Submitted fully completed application (5 points) (answer question B.1.b) iii) Neither of the above (0 points)
B.1.a.	Please enter the number provided to the Applicant Organisation by the legal sector regulator, for example the SRA number.	Numeric field
B.1.b.	Please enter the date on which your Applicant Organisation applied for authorisation	Date field

Section C - Financial Assessment

Note	For the Basic Financial Assessment the Financial Information that Applicant Organisations are required to provide differs according to whether the Applicant Organisation is an 'Established Business' or an 'Other Business Type'. Please see paragraph 5.5 of the IFA for more information. Your answer to questions C.1.i and C.1.ii below will determine what Financial Information you are then asked to provide in questions C.2 (for Established Businesses) or C.4 (for Other Business Types)	N/a
C.1.i	Has the Application Organisation been trading for at least 2 years in its current form? Please refer to Section 5 of this IFA for further information	Options list: i) Yes (answer question C.1.ii) ii) No (answer questions C.1.iii and C.4)

C.1.ii	Does the Applicant Organisation have its last 2 years audited or certified accounts available (the earliest year starting no earlier than 1 January 2012) from which to complete the Established Business Financial Assessment Form	Options list: i) Yes (answer question C.2) ii) No (answer questions C.1.iii and C.4)
C.1.iii	Please confirm why the last 2 years' audited or certified accounts are not available. Information submitted here will be used to assess an Applicant Organisation's suitability to deliver Contract Work. You will be required to provide the Financial Information for 'Other Business Types' as set out in C.4.iii, C.4.iv and C.4.v.	Free Text
C.2.i	Established Business Financial Assessment Form (Mandatory Attachment) Applicant Organisations must download a template Established Business Financial Assessment Form from the "Buyer Attachments" section in the Duty Provider Organisation ITT Please note you will not be able to access the "Buyer Attachments" section once you have clicked on the "Edit Response" button. To upload this Mandatory Attachment you must: 1. Download and save the Established Business Financial Assessment Form to your own computer system; and 2. Complete and save the form on your own computer system; and 3. Upload the completed Established Business Financial Assessment Form by clicking on the "Click to attach" button to the right of this question.	Upload attachment
C.2.ii Note	Expansion Capacity Assessment - see section 5 of the IFA for more information Applicant Organisations which answer "Yes" will be required to upload additional information at questions C.3.ii, C.3.iii and C.3.iv below. Please note that answers to this question will be checked against other information given in your Tender.	

C.2.ii	Is the Applicant Organisation tendering to deliver Contract Work with a total Anticipated Contract Value of more than three times the average Turnover over the last 2 years' accounts (the period confirmed in the Established Business Financial Assessment Form)?	Options list: i) Yes (answer C.3) ii) No
C.3.i	Is the Applicant Organisation submitting a Core Bid only?	Options list: i) Yes (answer C.3ii, C.3.iii and C.3.iv) ii) No (answer C.3.ii, C.3.iii, C.3.iv and C.3.v)
C.3.ii	<p>Expansion Capacity Assessment for Established Businesses</p> <p>Please select from the list on the right which Procurement Area(s) will form your Core Bid.</p> <p>You must only tick those Procurement Area Bids that you wish to designate as part of your Core Bid.</p> <p><u>Applicant Organisations submitting Core and Maximum Bids:</u> Please note that any Procurement Area(s) which you do not include in this list will be treated as being part of your Maximum Bid only.</p>	Options list: Multiple selections can be made from the list which includes all 85 Procurement Areas.
C.3.iii	<p>Please upload your Applicant Organisation's Business Plan by clicking on the "Click to attach" button to the right of this question.</p> <p>For more information on the required minimum content of the Business Plan, please see Annex D.</p>	Upload Attachment
C.3.iv	<p>Applicant Organisations must download a Cash Flow Forecast Template Form to support its Core Bid (Mandatory Attachment)</p> <p>Applicant Organisations must download a Cash Flow Forecast Template Form from the "Buyer Attachments" section in the Duty Provider Organisation ITT.</p> <p>Please note you will not be able to access the "Buyer Attachments" section once you have clicked on the "Edit Response" button.</p> <p>To upload this Mandatory Attachment you must:</p> <p>1. Download and save the Cash Flow Forecast Template Form to your own computer system; and</p>	Upload Attachment

	<p>2. Complete and save the form on your own computer system; and</p> <p>3. Upload the completed Cash Flow Forecast Template Form by clicking on the “Click to attach” button to the right of this question.</p>	
C.3.v	<p>Applicant Organisations must download a Cash Flow Forecast Template Form to support its Maximum Bid (Mandatory Attachment)</p> <p>Applicant Organisations must download a Cash Flow Forecast Template Form from the “Buyer Attachments” section in the Duty Provider Organisation ITT.</p> <p>Please note you will not be able to access the “Buyer Attachments” section once you have clicked on the “Edit Response” button.</p> <p>To upload this Mandatory Attachment you must:</p> <ol style="list-style-type: none"> 1. Download and save the Cash Flow Forecast Template Form to your own computer system; and 2. Complete and save the form on your own computer system; and 3. Upload the completed Cash Flow Forecast Template Form by clicking on the “Click to attach” button to the right of this question. 	Upload Attachment
C.4 Note	<p>Other Business Types</p> <p>Basic Financial and Expansion Capacity Assessment (see section 5 of the IFA for more information)</p>	
C.4.i	Is the Applicant Organisation submitting a Core Bid only?	<p>Options list:</p> <p>i) Yes (answer C.4.ii, C.4.iii and C.4.iv)</p> <p>ii) No (answer C.4.ii, C.4.iii, C.4.iv and C.4.v)</p>
C.4.ii	<p>Please select from the list on the right which Procurement Area(s) will form your Core Bid.</p> <p>You must only tick those Procurement Area Bids that you wish to designate as part of your Core Bid.</p> <p>Please note that any Procurement Area(s) which you do not include in this list will be treated as your Maximum Bid.</p>	<p>Options list:</p> <p>Multiple selections can be made from the list which includes all 85 Procurement Areas.</p>

C.4.iii	<p>This section must be completed by Other Business Types and where the Applicant Organisation cannot provide its last two years' accounts (the earliest year starting no earlier than 1 January 2012).</p> <p>Please upload your Applicant Organisation's Business Plan by clicking on the "Click to attach" button to the right of this question.</p> <p>For more information on the required minimum content of the Business Plan, please see Annex D.</p>	Upload Attachment
C.4.iv	<p>This section must also be completed by Other Business Types and where the Applicant Organisation cannot provide its last two years' accounts (the earliest year starting no earlier than 1 January 2012).</p> <p>Applicant Organisations must download a Cash Flow Forecast Template Form to support its Core Bid (Mandatory Attachment)</p> <p>Applicant Organisations must download a Cash Flow Forecast Template Form from the "Buyer Attachments" section in the Duty Provider Organisation ITT.</p> <p>Please note you will not be able to access the "Buyer Attachments" section once you have clicked on the "Edit Response" button.</p> <p>To upload this Mandatory Attachment you must:</p> <ol style="list-style-type: none"> 1. Download and save the Cash Flow Forecast Template Form to your own computer system; and 2. Complete and save the form on your own computer system; and 3. Upload the completed Cash Flow Forecast Template Form by clicking on the "Click to attach" button to the right of this question. 	Upload Attachment
C.4.v	<p>This section must also be completed by Other Business Types and where the Applicant Organisation cannot provide its last two years' accounts (the earliest year starting no earlier than 1 January 2012).</p> <p>Applicant Organisations must download a Cash Flow Forecast Template Form to support its Maximum Bid (Mandatory Attachment)</p> <p>Applicant Organisations must download a Cash Flow Forecast Template Form from the "Buyer Attachments" section in the Duty Provider Organisation ITT.</p> <p>Please note you will not be able to access the "Buyer Attachments" section once you have clicked on the "Edit Response" button.</p>	

	<p>To upload this Mandatory Attachment you must:</p> <ol style="list-style-type: none"> 1. Download and save the Cash Flow Forecast Template Form to your own computer system; and 2. Complete and save the form on your own computer system; and 3. Upload the completed Cash Flow Forecast Template Form by clicking on the “Click to attach” button to the right of this question. 	
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Section D – Essential Requirements and Declarations – must be completed by the Applicant Organisation’s Compliance Officer for Legal Practice (COLP) (or individual intending to be the COLP), or where not regulated by the SRA the intended Head of Legal Practice, by entering their name and job title after declaration 6 below.

1	<p>I confirm that I am the COLP (or intend to be the COLP) or, where not regulated by the SRA, the intended Head of Legal Practice and am authorised to make this submission on behalf of the Applicant Organisation and that the answers submitted to this Duty Provider Organisation ITT and all Procurement Area ITTs are correct. I understand that the information will be used in the process to assess the Applicant Organisation’s suitability to be offered a Duty Provider 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.</p> <p>By signing this declaration in my capacity as COLP/Head of Legal Practice of the Applicant Organisation, I confirm that the Applicant Organisation will comply with the rules of this procurement process as set out in section 8 of the IFA and elsewhere in this IFA, and that the Applicant Organisation will or does (as applicable) meet the requirements set out below.</p>	
2	<p>I confirm that by the Contract Start Date the Applicant Organisation will:</p> <ul style="list-style-type: none"> • meet the requirements at paragraph 4.7 of the IFA in relation to the Relevant Quality Standard; and • have been granted appropriate authorisation by a relevant legal sector regulator; and • be able to identify an Office address in the Procurement Area in which it is tendering to deliver Contract Work (or in London the same or an immediately adjacent Procurement Area or, in the Split 	

	Areas, the Procurement Area it is tendering in or in its Linked Procurement Area – see Annex B of the IFA for details of these areas).	
3	<p>I confirm that by the Service Commencement Date, the Applicant Organisation will meet all of the following requirements in every Procurement Area in which it submits a Procurement Area Bid:</p> <ul style="list-style-type: none"> i) Employ at least one Supervisor who is available to supervise the undertaking of Contract Work on a Full Time Equivalent (FTE) basis in each Procurement Area that it must deliver Contract Work in; and ii) Employ a ratio of one Full-Time Equivalent Supervisor to four Designated Fee Earners or Caseworkers in each Procurement Area that it must deliver Contract Work in; and iii) Have an Office which is set up and operational in the Procurement Area in which it is tendering to deliver Contract Work (or in London the same or an immediately adjacent Procurement Area or, in the Split Areas, the Procurement Area it is tendering in or in its Linked Procurement Area – see Annex B of the IFA for details of these areas). 	
4	<p>I confirm that I have undertaken all reasonable enquiries to satisfy myself and accordingly now declare that the Applicant Organisation's Tender complies with the Rules on Submitting Multiple Bids.</p> <p>In making this declaration I understand and acknowledge that when applying the Rules on Submitting Multiple Bids, the term 'Connected' and "Connection" will be interpreted by the LAA as meaning:</p> <ul style="list-style-type: none"> - having a legal or beneficial interest; or - being able to effect substantive influence or control over the business affairs of the relevant organisation. 	
5	I declare that I have discussed and agreed with all Named Individuals described in the Tender and they have given their express authority for their inclusion in any Procurement Area Bid where they are named.	

6	I confirm that the Applicant Organisation has formal written agreements in place with all Delivery Partners meeting the requirements of clause 3.26 of the Duty Provider Crime Contract Standard Terms and that I will be able to provide this if requested by the LAA.	
	Name of COLP/Individual intending to be the COLP/where not regulated by the SRA, the intended Head of Legal Practice	Free Text
	Job title of COLP or individual intending to be COLP/where not regulated by the SRA, the intended Head of Legal Practice	Free Text
Note	Applicant Organisations must ensure that they complete at least one Procurement Area ITT in addition to this Duty Provider Organisation ITT	N/a

Procurement Area ITTs

Qualification Envelope. Selection Criteria are set out in sections D - G

Section A – Procurement Area Information

Note	Applicant Organisations must ensure that they complete the Duty Provider Organisation ITT in addition to at least one of these Procurement Area ITTs	N/a
This section must be completed by the Applicant Organisation and requests information relating to its Office, staff and Delivery Partners (where applicable). For the avoidance of doubt Delivery Partners are not required to submit a separate Tender.		
A.1.a.	Please enter the address of your Office in this Procurement Area [or in London the same or an immediately adjacent Procurement Area or, in the Split Areas, the Procurement Area it is tendering in or in its Linked Procurement Area] Where you do not currently have an Office in this Procurement Area please enter TBC	Free text
A.1.b.	Please enter the postcode of your Office in this Procurement Area [or in London the same or an immediately adjacent Procurement Area or, in the Split Areas, the Procurement Area it is tendering in or in its Linked Procurement Area] Where you do not currently have an Office in this Procurement Area please enter TBC	Free text

Section B – Staff Information

Note	Applicant Organisations must enter information relating to ALL staff members who will be Employed by the Applicant Organisation and who will be Deployed on Contract Work under the Duty Provider Contract. Please note that staff members must comply with the definition of a Named Individual as set out in the Defined Terms (see Annex F of the IFA). Where you currently have a vacancy, you MUST enter the information for the vacant post which you expect to fill. For the avoidance of doubt you should NOT include administrative staff.	
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B.1 Note	In this section please give details of all members of the Applicant Organisation's Management Team who will be Managing the delivery of Contract Work under the Duty Provider Contract in the Procurement Area.	
B.1.a.i	Please enter your first member of the Management Team's full name (forename(s) and surname). If this post is currently vacant, please enter "Vacant" and answer all questions below in relation to what the individual will do and qualifications they will hold when the vacancy is filled.	Free Text Box
B.1.a.ii	Please enter this individual's job title	Free Text Box
B.1.a.iii	Who does this individual report to?	Free Text Box
B.1.a.iv	Please enter this individual's SRA Roll Number or Police Station Representative PIN. If this is not applicable to the individual or the post is vacant, please enter N/A.	Free Text Box
B.1.a.v	In addition to forming part of the Management Team; will this individual be a Supervisor in this Procurement Area as defined at paragraph 2.1 to 2.13 of the 2015 Duty Provider Crime Contract Specification?	Yes/No
B.1.a.vi	In addition to forming part of the Management Team; will this individual be a Caseworker in this Procurement Area? If you indicated this individual will be a Supervisor in this Procurement Area please do not answer Yes to this question.	Yes/No
B.1.a.vii	What level of qualification does this individual hold?	Options list: i) CLAS ii) PSQ iii) None of the above
B.1.a.viii	Will you Employ a second member of the Management Team in this Procurement Area? If you indicate "Yes", you will be able to enter their details below	Yes/No
Note – Where the Applicant Organisation indicates that they will Employ a second member of the Management Team in the Procurement Area, they will then be required to enter the details set out at B.1.a.i to B.1.a.viii for that second member of the Management Team. They will then be asked to indicate whether they will Employ a third member of the Management Team in the Procurement Area and give their details, and so on for up to 10 staff members.		

Where an Applicant Organisation indicates that they employ more than 10 members of the Management Team in this Procurement Area, they will be able to download a Management Team Additional Staff Information Form to give details of these additional staff members.		
B.2 Note	<p>In this section please give details of all staff members who will be Employed by the Applicant Organisation and will be carrying out Contract Work under the Duty Provider Contract as a Supervisor.</p> <p>If you have already provided the details of a member of the Management Team who will also be a Supervisor you do not need to include them here.</p> <p>Supervisor Standards are set out at 2.1 – 2.13 of the Duty Provider Contract Specification</p>	
B.2.a.i	Will you Employ Supervisors in addition to individuals named as part of the Management Team in this Procurement Area?	Yes (answer question B.2.a.ii) No
B.2.a.ii	Please enter your first Supervisor's full name (forename(s) and surname). If this post is currently vacant, please enter "Vacant" and answer all questions below in relation to what the individual will do and qualifications they will hold when the vacancy is filled.	Free Text Box
B.2.a.iii	Please enter this individual's job title	Free Text Box
B.2.a.iv	Who does this individual report to?	Free Text Box
B.2.a.v	Please enter this individual's SRA Roll Number or Police Station Representative PIN. If the post is vacant, please enter N/A.	Free Text Box
B.2.a.vi	Will you Employ a second staff member as a Supervisor in this Procurement Area? If you indicate "Yes", you will be able to enter their details below.	Yes/ No
Note - Where the Applicant Organisation indicates that they will Employ a second staff member as a Supervisor in the Procurement Area, they will then be required to enter the details set out at B.2.a.i to B.2.a.vi for that second staff member. They will then be asked to indicate whether they will Employ a third staff member as a Supervisor in the Procurement Area and give their details, and so on for up to 10 staff members. Where an Applicant Organisation indicates that they will employ more than 10 staff members as Supervisors in this Procurement Area, they will be able to download a Supervisor Additional Staff Information Form to give details of these additional staff members.		
B.3 Note	<p>In this section please give details of all staff members who will be Employed by the Applicant Organisation and will be carrying out Contract Work under the Duty Provider Contract as a Caseworker.</p> <p>For the avoidance of doubt, details of Supervisors do not need to be repeated here.</p>	

B.3.a.i	Will you Employ Caseworkers in addition to individuals named as part of the Management Team in this Procurement Area?	Yes (answer question B.3.a.ii) No
B.3.a.ii	Please enter your first Caseworker's full name (forename(s) and surname). If this post is currently vacant, please enter "Vacant" and answer all questions below in relation to what the individual will do and qualifications they will hold when the vacancy is filled.	Free Text Box
B.3.a.iii	Please enter this individual's job title	Free Text Box
B.3.a.iv	Who does this individual report to?	Free Text Box
B.3.a.v	Please enter this individual's SRA Roll Number or Police Station Representative PIN. If this is not applicable to the individual or the post is vacant, please enter N/A.	Free Text Box
B.3.a.vi	What level of qualification does this individual hold?	Options list: i) CLAS ii) PSQ iii) None of the above
B.3.a.vii	Will you Employ a second staff member as a Caseworker in this Procurement Area? If you indicate "Yes", you will be able to enter their details below	Yes/No
<p>Note – Where the Applicant Organisation indicates that they will Employ a second staff member as a Caseworker in the Procurement Area, they will then be required to enter the details set out at B.3.a.i to B.3.a.vii for that second staff member. They will then be asked to indicate whether they will Employ a third staff member in the Procurement Area as a Caseworker and give their details, and so on for up to 15 staff members. Where an Applicant Organisation indicates that they employ more than 15 staff members as Caseworkers in this Procurement Area, they will be able to download a Caseworker Additional Staff Information Form to give details of these additional staff members.</p>		

Section C: Delivery Partner Information

C.1.	Will you be using Delivery Partners to deliver Contract Work in this Procurement Area?	Yes/No
Where the Applicant Organisation indicates “Yes” in question C.1., they will then be able to give information about their first Delivery Partner		

Section C.1. - First Delivery Partner Information		
C.1.a.i.	Organisation name of first Delivery Partner	Free Text Box
C.1.a.ii	Please enter the first Delivery Partner's Own Client Contract ID Number (this can be found on the Delivery Partner's Own Client Contract notification letter). We require this information to verify that the proposed Delivery Partner is eligible to act in that capacity.	Numerical field
C.1.a.iii	Please enter the office address, including postcode, of your first Delivery Partner.	Free Text Box
C.1.b.	Will you be using a second Delivery Partner to deliver Contract Work in this Procurement Area? If you indicate "Yes", you will be required to enter their details below.	Yes/No
Section C.2. - Second Delivery Partner Information <p>Note – this section can only be completed where the Applicant Organisation has indicated in response to C.1.b that they will be using a second Delivery Partner in this Procurement Area.</p> <p>Question C.2.b. will ask the Applicant Organisation to indicate whether they will be using a third Delivery Partner. Where they answer “yes” to this question, they will be asked to complete Section C.3 to give information about that third Delivery Partner.</p>		

Section D - Management Team Experience

Please note, in this section you may only rely on individuals Employed by the Applicant Organisation or individuals who have a Signed Engagement Agreement with the Applicant Organisation.

<p>Preference will be given to Applicant Organisations who currently Employ, or have a Signed Engagement Agreement to Employ a Named Individual in their Management Team, who will be Deployed on Duty Provider Contract Work in this Procurement Area for at least 17.5 hours per week and has experience of Managing contracts of an equivalent value and equivalent size at each level of advice and representation.</p> <p>For the avoidance of doubt, Manage is defined as active involvement in ensuring the delivery of legal advice and representation, including ensuring KPIs are met, overseeing staffing arrangements, rotas and work allocation and casework quality assurance. The LAA would not expect this to include Key Personnel who have not been involved in managing the operational delivery of services directly to clients.</p>		
D.1.a.i	The Applicant Organisation currently Employs (or has a Signed Engagement Agreement to Employ) a Named Individual who:	A (10 points) B (7 points) C (5 points)

	<ul style="list-style-type: none"> was a member of the Management Team at the Applicant Organisation and/or another organisation for the entire 12 month period immediately preceding the submission of the Procurement Area Bid; and will be Deployed on Contract Work in the Procurement Area for at least 17.5 hours per week; and Managed the volume of police station cases indicated below in the 12 month period immediately preceding the submission of the Procurement Area Bid. <p>Please select the option giving the volume of police station cases Managed by this member of the Applicant Organisation's Management Team:</p> <p>A : [number specific to Procurement Area] (100% of the estimated volume under this Contract)</p> <p>B: [number specific to Procurement Area] (80-99% of the estimated volume under this Contract)</p> <p>C: [number specific to Procurement Area] (60-79% of the estimated volume under this Contract)</p> <p>D: [number specific to Procurement Area] (40-59% of the estimated volume under this Contract)</p> <p>E: [number specific to Procurement Area] (20-39% of the estimated volume under this Contract)</p> <p>F: none of the above</p>	D (3 points) E (1 points) F (0 points)
Note	<p>If you have selected responses A-E in question D.1.a.i above, you must provide the information requested in D.1.a.ii to D.1.a.v below.</p> <p>If you have selected response F above, please put "Not Applicable" in D.1.a.ii to D.1.a.v below.</p> <p>Please note that Applicant Organisations who are shortlisted may be required to provide further evidence of their response.</p>	
D.1.a.ii	<p>The name of the Named Individual in your Management Team</p> <p>(NB. The Named Individual must appear in Section B above)</p>	Free text box
D.1.a.iii	<p>The date their Employment commenced/will commence with the Applicant Organisation</p>	Free text box

D.1.a.iv	Their status in the organisation and job title in the organisation where the criminal legal service was delivered	Free text box
D.1.a.v	The organisation with which the experience was gained.	Free text box
D.2.a.i	<p>The Applicant Organisation currently Employs (or has a Signed Engagement Agreement to Employ) a Named Individual who:</p> <ul style="list-style-type: none"> was a member of the Management Team at the Applicant Organisation and/or another organisation for the entire 12 month period immediately preceding the submission of the Procurement Area Bid; and will be Deployed on Contract Work in the Procurement Area for at least 17.5 hours per week; and Managed the volume of Magistrates Court cases indicated below in the 12 month period immediately preceding the submission of the Procurement Area Bid. <p>Please select the option giving the volume of Magistrates Court cases Managed by this member of the Applicant Organisation's Management Team:</p> <p>A : [number specific to Procurement Area] (100% of the estimated volume under this Contract)</p> <p>B: [number specific to Procurement Area] (80-99% of the estimated volume under this Contract)</p> <p>C: [number specific to Procurement Area] (60-79% of the estimated volume under this Contract)</p> <p>D: [number specific to Procurement Area] (40-59% of the estimated volume under this Contract)</p> <p>E: [number specific to Procurement Area] (20-39% of the estimated volume under this Contract)</p> <p>F: none of the above</p>	<p>A (10 points)</p> <p>B (7 points)</p> <p>C (5 points)</p> <p>D (3 points)</p> <p>E (1 points)</p> <p>F (0 points)</p>
D.2 Note	<p>If you have selected responses A-E in question D.2.a.i above, you must provide the information requested in D.2.a.ii to D.2.a.v below.</p> <p>If you have selected response F above, please put "Not Applicable" in D.2.a.ii to D.2.a.v below.</p>	

	Please note that Applicant Organisations who are shortlisted may be required to provide further evidence of their response.	
D.2.a.ii	The name of the Named Individual in your Management Team (NB. The Named Individual must appear in Section B above)	Free text box
D.2.a.iii	The date their Employment commenced/will commence with the Applicant Organisation	Free text box
D.2.a.iv	Their status in the organisation and job title in the organisation where the criminal legal service was delivered	Free text box
D.2.a.v	The organisation with which the experience was gained.	Free text box
D.3.a.i	<p>The Applicant Organisation currently Employs (or has a Signed Engagement Agreement to Employ) a Named Individual who:</p> <ul style="list-style-type: none"> • was a member of the Management Team at the Applicant Organisation and/or another organisation for the entire 12 month period immediately preceding the submission of the Procurement Area Bid; and • will be Deployed on Contract Work in the Procurement Area for at least 17.5 hours per week; and • Managed the volume of Crown Court cases indicated below in the 12 month period immediately preceding the submission of the Procurement Area Bid. <p>Please select the option giving the volume of Crown Court cases Managed by this member of the Applicant Organisation's Management Team:</p> <p>A : [number specific to Procurement Area] (100% of the estimated volume under this Contract)</p> <p>B: [number specific to Procurement Area] (80-99% of the estimated volume under this Contract)</p> <p>C: [number specific to Procurement Area] (60-79% of the estimated volume under this Contract)</p> <p>D: [number specific to Procurement Area] (40-59% of the estimated volume under this Contract)</p> <p>E: [number specific to Procurement Area] (20-39% of the estimated volume under this Contract)</p> <p>F: none of the above</p>	<p>A (10 points)</p> <p>B (7 points)</p> <p>C (5 points)</p> <p>D (3 points)</p> <p>E (1 points)</p> <p>F (0 points)</p>

D.3 Note	<p>If you have selected responses A-E in question D.3.a.i above, you must provide the information requested in D.3.a.ii to D.3.a.v below.</p> <p>If you have selected response F above, please put “Not Applicable” in D.3.a.ii to D.3.a.v below.</p> <p>Please note that Applicant Organisations who are shortlisted may be required to provide further evidence of their response.</p>	
D.3.a.ii	The name of the Named Individual in your Management Team (NB. The Named Individual must appear in Section B above)	Free text box
D.3.a.iii	The date their Employment commenced/will commence with the Applicant Organisation	Free text box
D.3.a.iv	Their status in the organisation and job title in the organisation where the criminal legal service was delivered	Free text box
D.3.a.v	The organisation with which the experience was gained.	Free text box
D.4.a.i	<p>The Applicant Organisation currently Employs (or has a Signed Engagement Agreement to Employ) a Named Individual who:</p> <ul style="list-style-type: none"> was a member of the Management Team at the Applicant Organisation and/or another organisation for the entire 12 month period immediately preceding the submission of the Procurement Area Bid; and will be Deployed on Contract Work in the Procurement Area for at least 17.5 hours per week; and Managed contracts for the provision of legal advisory and representation services worth at least the values indicated below in the 12 month period immediately preceding the submission of the Procurement Area Bid. <p>The contract need not have been with the LAA and need not relate to the provision of criminal defence services.</p> <p>More than one contract may be aggregated to reach a figure for the total value.</p> <p>Please select the option giving the value of contracts for the provision of legal advisory and representation services Managed by this member of the Applicant Organisation’s Management Team:</p>	<p>A (10 points)</p> <p>B (7 points)</p> <p>C (5 points)</p> <p>D (3 points)</p> <p>E (1 points)</p> <p>F (0 points)</p>

	<p>A : [number specific to Procurement Area] (100% of the Anticipated Contract Value)</p> <p>B: [number specific to Procurement Area] (80-99% of the Anticipated Contract Value)</p> <p>C: [number specific to Procurement Area] (60-79% of the Anticipated Contract Value)</p> <p>D: [number specific to Procurement Area] (40-59% of the Anticipated Contract Value)</p> <p>E: [number specific to Procurement Area] (20-39% of the Anticipated Contract Value)</p> <p>F: none of the above</p>	
Note	<p>If you have selected responses A-E in question D.4.a.i above, you must provide the information requested in D.4.a.ii to D.4.a.vi below.</p> <p>If you have selected response F above, please put “Not Applicable” in D.4.a.ii to D.4.a.vi below.</p> <p>Please note that Applicant Organisations who are shortlisted may be required to provide further evidence of their response.</p>	
D.4.a.ii	<p>The name of the Named Individual in your Management Team</p> <p>(NB. The Named Individual must appear in Section B above)</p>	Free text box
D.4.a.iii	The date their Employment commenced/will commence with the Applicant Organisation	Free text box
D.4.a.iv	Their status in the organisation and job title in the organisation where the legal advisory and representation services were delivered	Free text box
D.4.a.v	The organisation with which the experience was gained.	Free text box
D.4.a.vi	The type of service and contract with start and end dates (where applicable) from which their experience was obtained.	Free text box
D.5.a.i	<p>The Applicant Organisation currently Employs (or has a Signed Engagement Agreement to Employ) a Named Individual who:</p> <ul style="list-style-type: none"> was a member of the Management Team at the Applicant Organisation and/or another organisation for the entire 12 month period immediately preceding the submission of the Procurement Area Bid; and 	<p>A (5 points)</p> <p>B (3 points)</p> <p>C (0 points)</p>

	<ul style="list-style-type: none"> • will be Deployed on Contract Work in the Procurement Area for at least 17.5 hours per week; and • Managed a single contract for the provision of legal advisory and representation services worth £[number specific to Procurement Area] per annum for the periods indicated which immediately precede the submission of the Procurement Area Bid. <p>Please note that the experience may have been gained through Managing different contracts in different years, but each year the individual must have Managed a single contract worth at least £(x).</p> <p>Please select the option giving the number of years of experience of Managing a single contract for the provision of legal advisory and representation services worth £[number specific to Procurement Area] per annum by this member of the Applicant Organisation's Management Team:</p> <p>A: 3 – 4 years' experience of Managing a single contract for the provision of legal advisory and representation services worth £[number specific to Procurement Area] per annum</p> <p>B: 2 – 3 years' experience of Managing a single contract for the provision of legal advisory and representation services worth £[number specific to Procurement Area] per annum</p> <p>C: Under 2 years' experience of Managing a single contract for the provision of legal advisory and representation services worth £[number specific to Procurement Area] per annum</p>	
Note	<p>If you have selected responses A-B in question D.5.a.i above, you must provide the information requested in D.5.a.ii to D.5.a.vi below.</p> <p>If you have selected response C above, please put "Not Applicable" in D.5.a.ii to D.5.a.vi below.</p> <p>Please note that Applicant Organisations who are shortlisted may be required to provide further evidence of their response.</p>	
D.5.a.ii	The name of the Named Individual in your Management Team (NB. The Named Individual must appear in Section B above)	Free text box
D.5.a.iii	The date their Employment commenced/will commence with the Applicant Organisation	Free text box
D.5.a.iv	Their status in the organisation and job title in the organisation where the legal advisory and representation services was delivered	Free text box

D.5.a.v	The organisation with which the experience was gained.	Free text box
D.5.a.vi	The type of service and contract with start and end dates (where applicable) from which their experience was obtained.	Free text box

Section E- Delivery Experience

Please note, in this section you may rely on individuals Employed by either the Applicant Organisation or its Delivery Partners, or individuals who have a Signed Engagement Agreement with the Applicant Organisation or one of its Delivery Partners.

Preference will be given to Applicant Organisations and its Delivery Partners who currently Employ (or have a Signed Engagement Agreement to Employ) a member of staff, who will be Deployed on Contract Work under the Duty Provider Contract in this Procurement Area for at least 17.5 hours per week and have previous experience of having professional conduct of particular specialist case matters.		
E.1.a	<p>Please select the option which applies to the Applicant Organisation or one of its Delivery Partners:</p> <p>A: Currently Employs (or has a Signed Engagement Agreement to Employ) at least one individual who will be Deployed on Contract Work under the Duty Provider Contract in this Procurement Area for at least 17.5 hours per week and has had professional conduct of an Entire Case of 'Homicide or wounding with intent' within the 12 month period immediately preceding the submission of the Procurement Area Bid.</p> <p>B: Currently Employs (or has a Signed Engagement Agreement to Employ) at least one individual who will be Deployed on Contract Work under the Duty Provider Contract in this Procurement Area for at least 17.5 hours per week and has had professional conduct of an Entire Case of 'Homicide or wounding with intent' within the 3 year period immediately preceding the submission of the Procurement Area Bid.</p> <p>C: None of the above.</p>	<p>A (3 points)</p> <p>B (1 points)</p> <p>C (0 points)</p>
Note	<p>If you have selected responses A-B in question E.1.a above, you must provide the information requested in E.1.b to E.1.e below. If you have selected response C above, please put "Not Applicable".</p> <p>Please note that this information will be checked against your staff details given in response to section B above. Applicant Organisations who are shortlisted may be required to provide further evidence of their response.</p>	

E.1.b	Please give the name of the individual referred to in your answer to E.1.a	Free Text box
E.1.c.	Please give this individual's roll number/PIN (where applicable)	Free Text box
E.1.d.	Please confirm the organisation name (limited to the Applicant Organisation or one of its Delivery Partners) that currently Employs or has a Signed Engagement Agreement to Employ this individual	Free Text box
E.1.e.	Please give the date that this individual's Employment commenced with the Applicant Organisation or Delivery Partner (or, if the staff member has a Signed Engagement Agreement, the date Employment will commence).	Free Text box
E.2.a	<p>Please select the option which applies to the Applicant Organisation or one of its Delivery Partners:</p> <p>A: Currently Employs (or has a Signed Engagement Agreement to Employ) at least one individual who will be Deployed on Contract Work under the Duty Provider Contract in this Procurement Area for at least 17.5 hours per week and has had professional conduct of an Entire Case of Sexual Offences (class J serious sexual offences as specified in the Criminal Legal Aid (Remuneration) Regulations 2013 (Schedule 1 part 7)), within the 12 month period immediately preceding the submission of the Procurement Area Bid.</p> <p>B: Currently Employs (or has a Signed Engagement Agreement to Employ) at least one individual who will be Deployed on Contract Work under the Duty Provider Contract in this Procurement Area for at least 17.5 hours per week and has had professional conduct of an Entire Case of Sexual Offences (class J serious sexual offences as specified in the Criminal Legal Aid (Remuneration) Regulations 2013 (Schedule 1 part 7)), within the 3 year period immediately preceding the submission of the Procurement Area Bid.</p> <p>C: None of the above.</p>	<p>A (3 points)</p> <p>B (1 points)</p> <p>C (0 points)</p>
Note	<p>If you have selected responses A-B in question E.2.a above, you must provide the information requested in E.2.b to E.2.e below. If you have selected response C above, please put "Not Applicable".</p> <p>Please note that this information will be checked against your staff details given in response to section B above. Applicant Organisations who are shortlisted may be required to provide further evidence of their response.</p>	
E.2.b.	Please give the name of the individual referred to in your answer to E.2.a	Free Text box
E.2.c.	Please give this individual's roll number/PIN (where applicable)	Free Text box

E.2.d.	Please confirm the organisation name (limited to the Applicant Organisation or one of its Delivery Partners) that currently Employs or has a Signed Engagement Agreement to Employ this individual	Free Text box
E.2.e.	Please give the date that this individual's Employment commenced with the Applicant Organisation or Delivery Partner (or, if the staff member has a Signed Engagement Agreement, the date Employment will commence).	Free Text box
E.3.a.	<p>Please select the option which applies to the Applicant Organisation or one of its Delivery Partners:</p> <p>A: Currently Employs (or has a Signed Engagement Agreement to Employ) at least one individual who will be Deployed on Contract Work under the Duty Provider Contract in this Procurement Area for at least 17.5 hours per week and has had professional conduct of [X¹] Entire Cases of offences of dishonesty (Theft offences committed under the Theft Act 1968), within the 12 month period immediately preceding the submission of the Procurement Area Bid.</p> <p>B: Currently Employs (or has a Signed Engagement Agreement to Employ) at least one individual who will be Deployed on Contract Work under the Duty Provider Contract in this Procurement Area for at least 17.5 hours per week and has had professional conduct of [X²] Entire Cases of offences of dishonesty (Theft offences committed under the Theft Act 1968) Cases, within the 12 month period immediately preceding the submission of the Procurement Area Bid.</p> <p>C: None of the above.</p> <p>Note: Volumes will vary according to the Procurement Area. These are set out in the relevant Procurement Area ITT and also listed in Table 2 at Annex A.</p>	<p>A (3 points)</p> <p>B (1 points)</p> <p>C (0 points)</p>
Note	If you have selected responses A-B in question E.3.a above, you must provide the information requested in E.3.b to E.3.e below. If you have selected response C above, please put "Not Applicable" in E.3.b to E.3.e below.	

¹ Volumes will vary according to the Procurement Area. These are set out in the relevant Procurement Area ITT and also listed in Table 2 at Annex A.

² Volumes will vary according to the Procurement Area and are based on 50% of the figures outlined in Table 2 at Annex A. Actual figures are set out in the relevant Procurement Area ITT.

	Please note that this information will be checked against your staff details given in response to section B above. Applicant Organisations who are shortlisted may be required to provide further evidence of their response.	
E.3.b.	Please give the name of the individual referred to in your answer to E.3.a	Free Text box
E.3.c.	Please give this individual's roll number/PIN (where applicable)	Free Text box
E.3.d.	Please confirm the organisation name (limited to the Applicant Organisation or one of its Delivery Partners) that currently Employs or has a Signed Engagement Agreement to Employ this individual	Free Text box
E.3.e.	Please give the date that this individual's Employment commenced with the Applicant Organisation or Delivery Partner (or, if the staff member has a Signed Engagement Agreement, the date Employment will commence).	Free Text box
E.4.a.	<p>Please select the option which applies to the Applicant Organisation or one of its Delivery Partners:</p> <p>A: Currently Employs (or has a Signed Engagement Agreement to Employ) at least one individual who will be Deployed on Contract Work under the Duty Provider Contract in this Procurement Area for at least 17.5 hours per week and has had professional conduct of [X³] Entire Cases of Drug Offences, within the 12 month period immediately preceding the submission of the Procurement Area Bid.</p> <p>B: Currently Employs (or has a Signed Engagement Agreement to Employ) at least one individual who will be Deployed on Contract Work under the Duty Provider Contract in this Procurement Area for at least 17.5 hours per week and has had professional conduct of [X⁴] Entire Cases of Drug Offences, within the 12 month period immediately preceding the submission of the Procurement Area Bid.</p> <p>C: None of the above.</p> <p>Note: Volumes will vary according to the Procurement Area. These are set out in the relevant Procurement Area ITT and also listed in Table 2 at Annex A.</p>	<p>A (3 points)</p> <p>B (1 points)</p> <p>C (0 points)</p>

³ Volumes will vary according to the Procurement Area. These are set out in the relevant Procurement Area ITT and also listed in Table 2 at Annex A.

⁴ Volumes will vary according to the Procurement Area and are based on 50% of the figures outlined in Table 2 at Annex A. Actual figures are set out in the relevant Procurement Area ITT.

Note	<p>If you have selected responses A-B in question E.4.a above, you must provide the information requested in E.4.b to E.4.e below. If you have selected response C above, please put “Not Applicable” in E.4.b to E.4.e below.</p> <p>Please note that this information will be checked against your staff details given in response to section B above. Applicant Organisations who are shortlisted may be required to provide further evidence of their response.</p>	
E.4.b.	Please give the name of the individual referred to in your answer to E.4.a	Free Text box
E.4.c.	Please give this individual’s roll number/PIN (where applicable)	Free Text box
E.4.d.	Please confirm the organisation name (limited to the Applicant Organisation or one of its Delivery Partners) that currently Employs or has a Signed Engagement Agreement to Employ this individual	Free Text box
E.4.e.	Please give the date that this individual’s Employment commenced with the Applicant Organisation or Delivery Partner (or, if the staff member has a Signed Engagement Agreement, the date Employment will commence).	Free Text box
E.5.a.	<p>Please select the option which applies to the Applicant Organisation or one of its Delivery Partners:</p> <p>A: Currently Employs (or has a Signed Engagement Agreement to Employ) at least one individual who will be Deployed on Contract Work under the Duty Provider Contract in this Procurement Area for at least 17.5 hours per week and has had professional conduct of [X⁵] Entire Cases of Offences Against the Person, within the 12 month period immediately preceding the submission of the Procurement Area Bid.</p> <p>B: Currently Employs (or has a Signed Engagement Agreement to Employ) at least one individual who will be Deployed on Contract Work under the Duty Provider Contract in this Procurement Area for at least 17.5 hours per week and has had professional conduct of [X⁶] Entire Cases of Offences Against the Person, within the 12 month period immediately preceding the submission of the Procurement Area Bid.</p> <p>C: None of the above.</p>	<p>A (3 points)</p> <p>B (1 points)</p> <p>C (0 points)</p>

⁵ Volumes will vary according to the Procurement Area. These are set out in the relevant Procurement Area ITT and also listed in Table 2 at Annex A.

⁶ Volumes will vary according to the Procurement Area and are based on 50% of the figures outlined in Table 2 at Annex A. Actual figures are set out in the relevant Procurement Area ITT.

Note	<p>If you have selected responses A-B in question E.5.a above, you must provide the information requested in E.5.b to E.5.e below. If you have selected response C above, please put “Not Applicable” in E.5.b to E.5.e below.</p> <p>Please note that this information will be checked against your staff details given in response to section B above. Applicant Organisations who are shortlisted may be required to provide further evidence of their response.</p>	
E.5.b.	Please give the name of the individual referred to in your answer to E.5.a	Free Text box
E.5.c.	Please give this individual’s roll number/PIN (where applicable)	Free Text box
E.5.d	Please confirm the organisation name (limited to the Applicant Organisation or one of its Delivery Partners) that currently Employs or has a Signed Engagement Agreement to Employ this individual	Free Text box
E.5.e.	Please give the date that this individual’s Employment commenced with the Applicant Organisation or Delivery Partner (or, if the staff member has a Signed Engagement Agreement, the date Employment will commence).	Free Text box
E.6.a	<p>Please select the option which applies to the Applicant Organisation or one of its Delivery Partners:</p> <p>A: Currently Employs (or has a Signed Engagement Agreement to Employ) at least one individual who will be Deployed on Contract Work under the Duty Provider Contract in this Procurement Area for at least 17.5 hours per week and has had professional conduct of an Entire Case of Terrorism offences (under the Terrorism Act 2000), within the 12 month period immediately preceding the submission of the Procurement Area Bid.</p> <p>B: Currently Employs (or has a Signed Engagement Agreement to Employ) at least one individual who will be Deployed on Contract Work under the Duty Provider Contract in this Procurement Area for at least 17.5 hours per week and has had professional conduct of an Entire Case of Terrorism offences (under the Terrorism Act 2000), within the 3 year period immediately preceding the submission of the Procurement Area Bid.</p> <p>C: None of the above.</p>	<p>A (3 points)</p> <p>B (1 point)</p> <p>C (0 points)</p>
Note	If you have selected responses A-B in question E.6.a above, you must provide the information requested in E.6.b to E.6.e below. If you have selected response C above, please put “Not Applicable”.	

	Please note that this information will be checked against your staff details given in response to section B above. Applicant Organisations who are shortlisted may be required to provide further evidence of their response.	
E.6.b.	Please give the name of the individual referred to in your answer to E.6.a	Free Text box
E.6.c.	Please give this individual's roll number/PIN (where applicable)	Free Text box
E.6.d.	Please confirm the organisation name (limited to the Applicant Organisation or one of its Delivery Partners) that currently Employs or has a Signed Engagement Agreement to Employ this individual	Free Text box
E.6.e.	Please give the date that this individual's Employment commenced with the Applicant Organisation or Delivery Partner (or, if the staff member has a Signed Engagement Agreement, the date Employment will commence).	Free Text box
E.7.a	<p>Please select the option which applies to the Applicant Organisation or one of its Delivery Partners:</p> <p>A: Currently Employs (or has a Signed Engagement Agreement to Employ) at least one individual who will be Deployed on Contract Work under the Duty Provider Contract in this Procurement Area for at least 17.5 hours per week and has had professional conduct of an Entire Case relating to a contested crown court matter, within the 12 month period immediately preceding the submission of the Procurement Area Bid.</p> <p>B: Currently Employs (or has a Signed Engagement Agreement to Employ) at least one individual who will be Deployed on Contract Work under the Duty Provider Contract in this Procurement Area for at least 17.5 hours per week and has had professional conduct of an Entire Case relating to a contested crown court matter, within the 3 year period immediately preceding the submission of the Procurement Area Bid.</p> <p>C: None of the above.</p> <p>Conduct of a crown court matter means that the solicitor has:</p> <ol style="list-style-type: none"> 1. Provided advice on the plea 2. Taken detailed instructions from the client and undertaken analysis of evidence 3. Briefed and instructed counsel 4. Regularly reviews clients instructions to ensure these are correct based on further disclosure. 	<p>A (3 points)</p> <p>B (1 points)</p> <p>C (0 points)</p>
Note	If you have selected responses A-B in question E.7.a above, you must provide the information requested in E.7.b to E.7.e below. If you have selected response C above, please put "Not Applicable".	

	Please note that this information will be checked against your staff details given in response to section B above. Applicant Organisations who are shortlisted may be required to provide further evidence of their response.	
E.7.b.	Please give the name of the individual referred to in your answer to E.7.a	Free Text box
E.7.c.	Please give this individual's roll number/PIN (where applicable)	Free Text box
E.7.d.	Please confirm the organisation name (limited to the Applicant Organisation or one of its Delivery Partners) that currently Employs or has a Signed Engagement Agreement to Employ this individual	Free Text box
E.7.e.	Please give the date that this individual's Employment commenced with the Applicant Organisation or Delivery Partner (or, if the staff member has a Signed Engagement Agreement, the date Employment will commence).	Free Text box
E.8.a	<p>Please select the option which applies to the Applicant Organisation or one of its Delivery Partners:</p> <p>A: Currently Employs (or has a Signed Engagement Agreement to Employ) at least one individual who will be Deployed on Contract Work under the Duty Provider Contract in this Procurement Area for at least 17.5 hours per week and has professional conduct of an Entire Case in which it has represented a minor, within the 12 month period immediately preceding the submission of the Procurement Area Bid.</p> <p>B: Currently Employs (or has a Signed Engagement Agreement to Employ) at least one individual who will be Deployed on Contract Work under the Duty Provider Contract in this Procurement Area for at least 17.5 hours per week and has professional conduct of an Entire Case in which it has represented a minor, within the 3 year period immediately preceding the submission of the Procurement Area Bid.</p> <p>C: None of the above.</p>	<p>A (3 points)</p> <p>B (1 points)</p> <p>C (0 points)</p>
Note	<p>If you have selected responses A-B in question E.8.a above, you must provide the information requested in E.8.b to E.8.e below. If you have selected response C above, please put "Not Applicable".</p> <p>Please note that this information will be checked against your staff details given in response to section B above. Applicant Organisations who are shortlisted may be required to provide further evidence of their response.</p>	
E.8.b.	Please give the name of the individual referred to in your answer to E.8.a	Free Text box
E.8.c.	Please give this individual's roll number/PIN (where applicable)	Free Text box

E.8.d.	Please confirm the organisation name (limited to the Applicant Organisation or one of its Delivery Partners) that currently Employs or has a Signed Engagement Agreement to Employ this individual	Free Text box
E.8.e.	Please give the date that this individual's Employment commenced with the Applicant Organisation or Delivery Partner (or, if the staff member has a Signed Engagement Agreement, the date Employment will commence).	Free Text box

London Only

Please note, in this section you may rely on individuals Employed by either the Applicant Organisation or its Delivery Partners, or individuals who have a Signed Engagement Agreement with the Applicant Organisation or one of its Delivery Partners.

E.9.a	<p>Please select the option which applies to the Applicant Organisation or one of its Delivery Partners:</p> <p>A: Currently Employs (or has a Signed Engagement Agreement to Employ) at least one individual who will be Deployed on Contract Work under the Duty Provider Contract in this Procurement Area for at least 17.5 hours per week and has had professional conduct of an Entire Case of Serious Fraud (prosecuted by the Serious Fraud Office), within the 12 month period immediately preceding the submission of the Procurement Area Bid.</p> <p>B: Currently Employs (or has a Signed Engagement Agreement to Employ) at least one individual who will be Deployed on Contract Work under the Duty Provider Contract in this Procurement Area for at least 17.5 hours per week and has had professional conduct of an Entire Case of Serious Fraud (prosecuted by the Serious Fraud Office), within the 3 year period immediately preceding the submission of the Procurement Area Bid.</p> <p>C: None of the above.</p>	<p>A (3 points)</p> <p>B (1 points)</p> <p>C (0 points)</p>
Note	<p>If you have selected responses A-B in question E.9.a above, you must provide the information requested in E.9.b to E.9.e below. If you have selected response C above, please put "Not Applicable".</p> <p>Please note that this information will be checked against your staff details given in response to section B above. Applicant Organisations who are shortlisted may be required to provide further evidence of their response.</p>	

E.9.b.	Please give the name of the individual referred to in your answer to E.9.a	Free Text box
E.9.c.	Please give this individual's roll number/PIN (where applicable)	Free Text box
E.9.d.	Please confirm the organisation name (limited to the Applicant Organisation or one of its Delivery Partners) that currently Employs or has a Signed Engagement Agreement to Employ this individual	Free Text box
E.9.e.	Please give the date that this individual's Employment commenced with the Applicant Organisation or Delivery Partner (or, if the staff member has a Signed Engagement Agreement, the date Employment will commence).	Free Text box

Central London Only

Please note, in this section you may rely on individuals Employed by either the Applicant Organisation or its Delivery Partners, or individuals who have a Signed Engagement Agreement with the Applicant Organisation or one of its Delivery Partners.

E.10.a	<p>Please select the option which applies to the Applicant Organisation or one of its Delivery Partners:</p> <p>A: Currently Employs (or has a Signed Engagement Agreement to Employ) at least one individual who will be Deployed on Contract Work under the Duty Provider Contract in this Procurement Area for at least 17.5 hours per week and has professional conduct of an Entire Case of Extradition, within the 12 month period immediately preceding the submission of the Procurement Area Bid.</p> <p>B: Currently Employs (or has a Signed Engagement Agreement to Employ) at least one individual who will be Deployed on Contract Work under the Duty Provider Contract in this Procurement Area for at least 17.5 hours per week and has professional conduct of an Entire Case of Extradition, within the 3 year period immediately preceding the submission of the Procurement Area Bid.</p> <p>C: None of the above.</p>	<p>A (3 points)</p> <p>B (1 points)</p> <p>C (0 points)</p>
Note	If you have selected responses A-B in question E.10.a above, you must provide the information requested in E.10.b to E.10.e below. If you have selected response C above, please put "Not Applicable".	

	Please note that this information will be checked against your staff details given in response to section B above. Applicant Organisations who are shortlisted may be required to provide further evidence of their response.	
E.10.b.	Please give the name of the individual referred to in your answer to E.10.a	Free Text box
E.10.c.	Please give this individual's roll number/PIN (where applicable)	Free Text box
E.10.d.	Please confirm the organisation name (limited to the Applicant Organisation or one of its Delivery Partners) that currently Employs or has a Signed Engagement Agreement to Employ this individual	Free Text box
E.10.e.	Please give the date that this individual's Employment commenced with the Applicant Organisation or Delivery Partner (or, if the staff member has a Signed Engagement Agreement, the date Employment will commence).	Free Text box

Section F- Staffing & Recruitment

Please note, in this section you may rely on individuals Employed by either the Applicant Organisation or its Delivery Partners, or individuals who have a Signed Engagement Agreement with the Applicant Organisation or one of its Delivery Partners.

<p>Higher points will be awarded where an Applicant Organisation (and its Delivery Partners) currently Employ or have a Signed Engagement Agreement to Employ a higher proportion of FTE Caseworkers who will be Deployed on Contract Work under the Duty Provider Contract in this Procurement Area, based on a capacity calculation of one FTE Caseworker to every £83,000 (excluding VAT) of the Anticipated Contract Value.</p> <p>Full Time Equivalent (FTE) is the number of working hours that represents a notional full-time individual working 35 hours per week. For example the following working pattern would represent one Full Time Equivalent individual:</p> <ul style="list-style-type: none"> • Person A: 20 hours per week; • Person B: 10 hours per week; and • Person C: 5 hours per week <p>PLEASE NOTE: For the purposes of calculating FTE, a single individual may not contribute more than 35 hours per week to the FTE total.</p>

F.1	<p>The Applicant Organisation and named Delivery Partner(s) currently Employ or have a Signed Engagement Agreement to Employ as a minimum the number of FTE Caseworkers indicated below who will be Deployed on Contract Work under the Duty Provider Contract in this Procurement Area.</p> <p>Please select the option indicating the number of FTE Caseworkers which applies to the Applicant Organisation and named Delivery Partner(s):</p> <p>A: Currently Employ or have a Signed Engagement Agreement to Employ FTE Caseworkers to cover a minimum of [number specific to Procurement Area] hours per week (i.e. [number specific to Procurement Area] FTE Caseworkers) (100% of the Anticipated Contract Value).</p> <p>B: Currently Employ or have a Signed Engagement Agreement to Employ FTE Caseworkers to cover a minimum of [number specific to Procurement Area] hours per week (i.e. [number specific to Procurement Area] FTE Caseworkers) (75% of the Anticipated Contract Value).</p> <p>C: Currently Employ or have a Signed Engagement Agreement to Employ FTE Caseworkers to cover a minimum of [number specific to Procurement Area] hours per week (i.e. [number specific to Procurement Area] FTE Caseworkers) (50% of the Anticipated Contract Value).</p> <p>D: Currently Employ or have a Signed Engagement Agreement to Employ FTE Caseworkers to cover less than [number specific to Procurement Area] hours per week (i.e. [number specific to Procurement Area] FTE Caseworkers) (50% of the Anticipated Contract Value).</p>	<p>A (5 points)</p> <p>B (3 points)</p> <p>C (1 point)</p> <p>D (0 points)</p>
<p>Higher points will be awarded where an Applicant Organisation (and its Delivery Partners) currently Employ or have a Signed Engagement Agreement to Employ a higher proportion of FTE CLAS accredited Caseworkers who will be Deployed on Contract Work under the Duty Provider Contract in this Procurement Area, based on a capacity calculation of one FTE Caseworker to every £83,000 (excluding VAT) of the Anticipated Contract Value. Full Time Equivalent (FTE) is the number of working hours that represents a notional full-time individual working 35 hours per week.</p> <p>PLEASE NOTE: For the purposes of calculating FTE, a single individual may not contribute more than 35 hours per week to the FTE total.</p>		
F.2	<p>The Applicant Organisation and named Delivery Partner(s) currently Employ or have a Signed Engagement Agreement to Employ as a minimum the number of FTE CLAS accredited Caseworkers indicated below who will be Deployed on Contract Work under the Duty Provider Contract in this Procurement Area.</p> <p>Please select the option indicating the number of FTE Caseworkers which applies to the Applicant Organisation and named Delivery Partner(s):</p>	<p>A (3 points)</p> <p>B (2 points)</p> <p>C (1 point)</p> <p>D (0 points)</p>

	<p>A: Currently Employ or have a Signed Engagement Agreement to Employ FTE CLAS accredited Caseworkers to cover a minimum of [number specific to Procurement Area] hours per week (i.e. [number specific to Procurement Area] FTE CLAS accredited Caseworkers) (75% of the Anticipated Contract Value).</p> <p>B: Currently Employ or have a Signed Engagement Agreement to Employ FTE CLAS accredited Caseworkers to cover a minimum of [number specific to Procurement Area] hours per week (i.e. [number specific to Procurement Area] FTE CLAS accredited Caseworkers) (50% of the Anticipated Contract Value).</p> <p>C: Currently Employ or have a Signed Engagement Agreement to Employ FTE CLAS accredited Caseworkers to cover a minimum of [number specific to Procurement Area] hours per week (i.e. [number specific to Procurement Area] FTE CLAS accredited Caseworkers) (25% of the Anticipated Contract Value).</p> <p>D: Currently Employ or have a Signed Engagement Agreement to Employ FTE CLAS accredited Caseworkers to cover less than [number specific to Procurement Area] hours per week (i.e. [number specific to Procurement Area] FTE CLAS accredited Caseworkers) (25% of the Anticipated Contract Value).</p> <p>(PLEASE NOTE: All individuals contributing to the FTE total for this question must hold CLAS).</p>	
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Section G- Office

Applicant Organisation only – You may not rely on Delivery Partners

Preference will be given to Applicant Organisations who currently have an Office within this Procurement Area.		
G.1.	<p>Please select the option which applies to the Applicant Organisation:</p> <p>A: Currently have an Office in the Procurement Area⁷[(London Procurement Areas) or an immediately adjacent Procurement Area] that meets the definition of Office set out in the Duty Provider Contract and which will be used for the purposes of this contract (10 points).</p>	<p>A (10 points)</p> <p>B (0 points)</p>

⁷ In London Procurement Areas this will also refer to immediately adjacent Procurement Areas

	<p>B: Do not currently have an Office in the Procurement Area ⁸[(London Procurement Areas) or an immediately adjacent Procurement Area] to be used for the purpose of this contract and that meets the definition of Office set out in the Duty Provider Contract (0 points).</p> <p>Please note that your response to this question will be checked against your response to question A.1 above.</p>	
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Split Procurement Areas

Preference will be given to Applicant Organisations who currently have an Office within this Procurement Area.		
G.1.	<p>Please select the option which applies to the Applicant Organisation:</p> <p>A: Currently have an Office in the Split Procurement Area that meets the definition of Office set out in the Duty Provider Contract and which will be used for the purposes of this contract.</p> <p>B: Currently have an Office in the relevant Linked Procurement Area that meets the definition of Office set out in the Duty Provider Contract and which will be used for the purposes of this contract.</p> <p>C: None of the above</p> <p>Please note that your response to this question will be checked against your response to question A.1 above.</p>	<p>A (10 points)</p> <p>B (5 points)</p> <p>C (0 points)</p>

Section H- Tiebreak questions

In the event of a tiebreak, we will use the information you give below to decide between Applicant Organisations.

Preference will be given to Applicant Organisations who are able to describe clearly how they (or Named Individuals Employed or with a Signed Engagement Agreement who will be Delivering Contract Work) would deal with the following situations giving examples of previous best practice.		
H.1.a	<p>In the text box provided, please describe how the Applicant Organisation (or Named Individuals who will be delivering Contract Work that are Employed by/hold a Signed Engagement Agreement with the Applicant Organisation) will ensure that clients receive an end-to-end service so that they are represented</p>	Free Text Box

⁸ In London Procurement Areas this will also refer to immediately adjacent Procurement Areas

	<p>appropriately from first contact through to instructing advocates at the Crown Court in this Procurement Area.</p> <p>The response should include examples of how the Applicant Organisation (or Named Individuals who will be delivering Contract Work that are Employed by/hold a Signed Engagement Agreement with the Applicant Organisation) has previously done this covering the Applicant Organisation's policies and how they are implemented including:</p> <ul style="list-style-type: none"> - delivery, management and supervision of cases; - interactions with clients; and - interactions with external partners including instructing advocates. 	
H.1.b	<p>In the text box provided, please describe how the Applicant Organisation (or Named Individuals who will be delivering Contract Work that are Employed by/hold a Signed Engagement Agreement with the Applicant Organisation) will ensure that all cases are managed and tracked as they move through the criminal justice system from police station to court(s) in this Procurement Area.</p> <p>The response should include examples of how the Applicant Organisation (or Named Individuals who will be delivering Contract Work that are Employed by/hold a Signed Engagement Agreement with the Applicant Organisation) has previously done this covering the Applicant Organisations policies and how they are implemented including:</p> <ul style="list-style-type: none"> - delivery, management and supervision of an Entire Case; - interactions with clients; and - interactions with relevant third parties including instructing advocates and any other lawyers involved in the case and how information is shared. 	Free Text box
H.2.	<p>In the text box provided, please describe how the Applicant Organisation will facilitate the training and development of members of staff throughout their time employed by the organisation in this Procurement Area.</p>	Free Text Box

	<p>The response should include examples of how the Applicant Organisation (or Named Individuals who will be delivering Contract Work that are Employed by/hold a Signed Engagement Agreement with the Applicant Organisation) has previously done this covering the Applicant Organisations policies and how they are implemented including:</p> <ul style="list-style-type: none"> - an overview of the training and development opportunities offered to employees; - the management and supervision of training and development provided; - the benefits training and development has brought to the Applicant Organisation. 	
H.3.	<p>In the text box provided please provide details of how the Applicant Organisation (or Named Individuals who will be delivering Contract Work that are Employed by/hold a Signed Engagement Agreement with the Applicant Organisation) has implemented a significant change programme. A “significant change programme” includes, but is not limited to, mergers and similar organisational changes, expansion into other areas or categories of work, implementing new IT case management systems or working practices (with particular focus on transferring bulk data whilst ensuring security and data integrity), and changes resulting from major changes in the justice system, such as local police station closures. The response should cover:</p> <ul style="list-style-type: none"> - A description of the change programme; - The management of the programme; - The implementation of the programme; and - An evaluation of the success of the programme. 	Free Text Box

Technical Envelope. Award Criteria are set in sections A – D.

Question weightings

Section A- Management Team (20%)

No.	Question	Rationale
	<p>This section assesses the capability of the Applicant Organisation's Management Team to Manage the delivery of Contract Work. Award Criteria relating to the Management Team can only be met by the Applicant Organisation as it will have responsibility for Managing the contract. It is not permitted to use the experience of individuals working for Delivery Partners.</p> <p>Higher scores will be awarded where the Applicant Organisation can evidence that it will have a capable Management Team with a clearly defined approach to Managing the delivery of Contract Work in accordance with the Duty Provider Contract from the Service Commencement Date.</p> <p>Organisations who can illustrate their response with examples of previous experience are more likely to provide us with a higher level of confidence and achieve higher scores.</p>	
<p>A.1. (40%)</p>	<p>With reference to specific staff and their standing within the Applicant Organisation, please explain how the Applicant Organisation's Management Team will ensure delivery of a quality service in this Procurement Area from the Service Commencement Date and throughout the Duty Provider Contract term. This response should include:</p> <ul style="list-style-type: none"> - How the Management Team will monitor the day-to-day performance of Contract Work in this Procurement Area to ensure it meets quality standards and KPIs set out in the Duty Provider Contract; 	<p>This question is intended to assess the Applicant Organisation's capacity and readiness to manage a quality service in this Procurement Area throughout the life of the contract.</p> <p>Higher marks will be awarded to Applicant Organisations that:</p> <ul style="list-style-type: none"> - provide the LAA with assurance that the delivery of Contract Work will be consistently monitored to ensure that quality standards and KPIs are met; - provide evidence that individuals in their Management Team have experience of successfully Managing similar operations; - will have a robust and practical system in place for identification of any areas of poor performance including: -> evaluation of staff performance

	<ul style="list-style-type: none"> - Evidence of relevant experience of the individual having successfully implemented similar practices previously; - A summary of the policy and process in place to manage poor performance issues; - Where applicable, this response should include how the Management Team will manage its relationship with Delivery Partners in this Procurement Area to ensure delivery of a high quality service; and - How the Management Team will ensure that Contract Work carried out by the Applicant Organisation and any Delivery Partners meets the standards required for peer review 	<ul style="list-style-type: none"> -> improving performance under the contract -> implementing corrective action arising from LAA audits or contract notices; and - where applicable, explain how they will take responsibility for ensuring the quality of Contract Work undertaken by Delivery Partners.
A.2. (20%)	<p>With reference to specific staff and their standing within the Applicant Organisation, please explain what the distribution of roles and responsibilities will be in the Applicant Organisation's Management Team from the Service Commencement Date and throughout the Duty Provider Contract term. This explanation should cover all key roles and elements of the business. This response should include:</p> <ul style="list-style-type: none"> - The full name and areas of responsibility of each member of the Management Team and the reasons why they are suitable to manage that aspect of the business; - The process used to designate members of the Management Team, and the procedures followed to ensure that the authorised role holders meet the requirements of legal sector regulators (e.g. COLP, COFA); and - The approach for building and maintaining an effective Management Team. 	<p>This question is intended to provide the LAA with an understanding of how roles and responsibilities are assigned to members of the Management Team and assurance that all key aspects of Managing the contract have designated owners.</p> <p>Higher marks will be awarded to Applicant Organisations that:</p> <ul style="list-style-type: none"> - provide assurance that all key elements of the business related to the delivery of Contract Work will be covered by the Management Team; - provide assurance that the members of the Management Team are selected on the basis of their suitability and credentials for managing that specific area of business based on experience relevant to the work to be delivered in this Procurement Area; and - will have an effective succession or contingency plan in place to ensure continuity of the Management Team.

A.3. (40%)	<p>With reference to specific staff and their standing within the Applicant Organisation, please explain how the Applicant Organisation's Management Team will manage staff resources in this Procurement Area from the Service Commencement Date and throughout the Duty Provider Contract term. This response should include:</p> <ul style="list-style-type: none"> - A summary of line-management procedures in the Applicant Organisation; - How the Management Team will assign and monitor the working patterns of Caseworkers, Designated Fee Earners and Supervisors; - How the Management Team will manage the number of Caseworkers, Designated Fee Earners and Supervisors during periods of staff absence; and - A strategy for motivating and retaining staff. 	<p>This question is intended to provide the LAA with an understanding of how the Management Team Manages all Caseworkers delivering Contract work on behalf of the Applicant Organisation.</p> <p>Higher marks will be awarded to Applicant Organisations that:</p> <ul style="list-style-type: none"> - provide assurance that the Management Team will oversee all Caseworkers, Designated Fee Earners and Supervisors and Manage them effectively; - will have a robust line-management system for staff; - provide evidence of a realistic plan for effectively Managing Caseworkers, Designated Fee Earners and Supervisors working shifts in the Procurement Area; - provide a plan for Managing the number of Caseworkers, Designated Fee Earners and Supervisors during periods of staff absence; and - provide assurance that the Management Team will motivate and retain staff.
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Section B- Delivery Team & Recruitment (30%)

No.	Question	Rationale
	<p>This section assesses the Applicant Organisation's readiness to deliver Contract Work from the Service Commencement Date in this Procurement Area.</p> <p>Higher scores will be awarded where the Applicant Organisation is able to demonstrate that it will be in a position to commence delivery of the service in this Procurement Area as required by having the necessary staff resources in place from the Service Commencement Date.</p>	

Organisations who can illustrate their response with examples of previous experience are more likely to provide us with a higher level of confidence and achieve higher scores		
B.1. (20%)	<p>Please explain the Applicant Organisation's staff recruitment and induction process. The response should include (with timescales/milestones where applicable):</p> <ul style="list-style-type: none"> - plans to recruit (if necessary) and induct staff in this Procurement Area before the Service Commencement Date, including the number and qualification of Caseworkers, Designated Fee Earners and Supervisors to be recruited; - an overview of the Applicant Organisation's succession plan to replace outgoing staff; and - the full name and experience of the person who will be responsible for induction and training of new staff and why they are suitable. <p>(Please note: All Applicant Organisations should answer this question irrespective of whether they have staff to recruit. Applicant Organisations with no staff to recruit should describe their general recruitment and induction processes).</p>	<p>This question is intended to provide the LAA with and understanding of the Applicant Organisation's plans to recruit before the Service Commencement Date in this Procurement Area as well as its wider recruitment and induction process.</p> <p>Higher marks will be awarded to Applicant Organisations that:</p> <ul style="list-style-type: none"> -give details of a systematic and comprehensive process for recruitment and induction of new staff in this Procurement Area; - demonstrate a realistic understanding of the recruitment needs of the organisation in the run up to the Service Commencement Date; -have an effective long-term succession planning strategy to identify future staffing gaps and a plan to fill these; - will designate a Named Individual with the right experience to lead on the induction and training of new staff; and - already have sufficient staff in place to deliver Contract Work in this Procurement Area.
B.2. (27%)	<p>Please explain how the Applicant Organisation will identify the necessary skills and qualifications required to carry out Contract Work in this Procurement Area from the Service Commencement Date and throughout the Duty Provider Contract term. This response should include:</p> <ul style="list-style-type: none"> - Steps to be taken to increase the number of appropriately qualified staff in the Applicant Organisation, if necessary. 	<p>This question is intended to provide the LAA with assurance that the Applicant Organisation will have an appropriate level of qualified staff in place to deliver Contract Work in this Procurement Area.</p> <p>Higher marks will be awarded to Applicant Organisations that:</p>

		<p>- explain how they will ensure that they have an appropriate level of qualified staff to effectively deliver Contract Work in this Procurement Area; and</p> <p>- where appropriate, demonstrate what steps will be taken to achieve the appropriate level of staff qualification.</p>
B.3. (33%)	<p>With reference to the staff information submitted in section B of the qualification envelope, please provide details of the supervisory arrangements (including for any Delivery Partners) the Applicant Organisation will have in place in this Procurement Area from the Service Commencement Date and throughout the Duty Provider Contract term. The response should include:</p> <p>-how the Applicant Organisation will organise the supervision of Contract Work both inside and outside the Office;</p> <p>-plans to cover temporary Supervisor absence;</p> <p>-details of the experience of Supervisors in supervising high volumes of work;</p> <p>-details of the experience of Supervisors in supervising high case values; and</p> <p>-details of the experience of Supervisors in managing staff with differing levels of experience, including trainees.</p>	<p>This question is intended to give the LAA confidence that the Applicant Organisation will adequately supervise all Caseworkers – including Delivery Partners - delivering the Contract Work in the Procurement Area.</p> <p>Higher marks will be awarded to Applicant Organisations that:</p> <p>- describe a workable plan to ensure access to supervision both inside and outside the office to cover all areas of Contract Work;</p> <p>- have plans in place to cover temporary Supervisor absence;</p> <p>- will Employ Supervisors with experience of supervising high volumes of work;</p> <p>- will Employ Supervisors with experience of supervising high case values; and</p> <p>- adopt supervisory procedures that identify and take into account the supervisory needs of staff with different levels of experience.</p>
B.4. (20%)	<p>Please demonstrate how the training needs of individuals Deployed to undertake Contract Work in this Procurement Area will be identified and addressed from the Service Commencement Date and throughout the Duty Provider Contract term. The response should include:</p>	<p>This question is intended to assess the Applicant Organisation's understanding of its skills base and its ability to identify and address the training needs of staff.</p> <p>Higher marks will be awarded to Applicant Organisations that:</p>

	<ul style="list-style-type: none"> - Plans for longer term skills development of staff; and - If the Applicant Organisation offers a training contract for lawyers, the training seats offered by the Applicant Organisation. 	<ul style="list-style-type: none"> - have a longer term vision of the training needs of their organisation and have a plan for managing this; -will have a plan in place to continually improve the skills of staff; and -can demonstrate their active promotion of the sustainability of the wider profession by offering training contracts.
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Section C- Implementation & Delivery (40%)

No.	Question	Rationale
<p>This section assesses the Applicant Organisation's plan for delivering Contract Work in this Procurement Area.</p> <p>Higher scores will be awarded where the Applicant Organisation can evidence that it has clear, well developed plans that will ensure that services will be delivered effectively and sustainably in this Procurement Area from the Service Commencement Date. Conversely, fewer marks will be awarded to Applicant Organisations where the plans are lacking in detail or are not yet finalised.</p> <p>Organisations who can illustrate their response with examples of previous experience are more likely to provide us with a higher level of confidence and achieve higher scores</p>		
C.1. (25%)	<p>Please explain how clients from across the whole of the Procurement Area will be able to access the Applicant Organisation's services (including, where applicable, those of Delivery Partners) from the Service Commencement Date and throughout the Duty Provider Contract term. This response should include:</p> <ul style="list-style-type: none"> - how clients will be able to access face-to-face advice; and 	<p>This question focuses on the extent to which clients will be able to access the Applicant Organisation's services. It also assesses the suitability of the offices of Applicant Organisations and their Delivery Partners for delivering Contract Work.</p> <p>Higher marks will be awarded to Applicant Organisations that:</p> <ul style="list-style-type: none"> - can demonstrate how clients from across the whole Procurement Area will have access to the Applicant Organisation's services;

	<p>- how client privacy and confidentiality will be maintained at all times.</p>	<p>- have regular and formalised arrangements in place that ensure that clients will know how to access the service;</p> <p>- ensure that clients can access services without delay or additional cost; and</p> <p>- have measures in place to maintain client privacy and confidentiality at all times.</p>
C.2. (25%)	<p>Please explain how the Applicant Organisation will ensure that Caseworkers, Designated Fee Earners and Supervisors (including Delivery Partners, where applicable) will be Deployed across the whole Procurement Area to effectively deliver all aspects of Contract Work from the Service Commencement Date and throughout the Duty Provider Contract term. This response should include:</p> <p>- how Caseworkers, Designated Fee Earners and Supervisors (including Delivery Partners, where applicable) will cover Duty Slots across the Procurement Area at both magistrates' courts and police stations; and</p> <p>- evidence that the Applicant Organisation has taken into account the size of the Procurement Area bid for and the distribution of population centres, police stations and courts in that area.</p>	<p>This question is intended to give the LAA an understanding of how the Applicant Organisation will ensure that all Duty Slots across the Procurement Area are covered and that this coverage is both effective and sustainable.</p> <p>Higher marks will be awarded to Applicant Organisations that:</p> <p>- efficiently Deploy Caseworkers (including Delivery Partners, where applicable) to cover all required Duty Slots across the Procurement Area at both magistrates' courts and police stations; and</p> <p>- take into account the size of the Procurement Area bid for and the distribution of population centres, police stations and courts in that area.</p>
C.3. (15%)	<p>Please explain how Contract Work will be allocated to staff with the appropriate skills by the Applicant Organisation (including Delivery Partners, where applicable) in this Procurement Area from the Service Commencement Date and throughout the Duty Provider Contract term.</p>	<p>This question is intended to give the LAA assurance that the Applicant Organisation will make effective use of its staff resources in allocating Contract Work.</p> <p>Higher marks will be awarded to Applicant Organisations that:</p>

	<p>This response should include:</p> <ul style="list-style-type: none"> - how cases will be handled from the Defence Solicitor Call Centre (DSCC) and triaged by the Applicant Organisation and how the Applicant Organisation ensures qualified staff provide quality services 	<ul style="list-style-type: none"> - provide assurance that cases will be triaged according to their complexity; and - have a business model that adequately considers the skills and qualifications of staff Deployed to cases.
C.4. (10%)	<p>Please explain how IT and digital technology will be used to support the delivery of Contract Work in this Procurement Area from the Service Commencement Date and throughout the Duty Provider Contract term. This response should include:</p> <ul style="list-style-type: none"> - how digital technology is used or planned to be used to maximise efficiency and ensure that the Applicant Organisation can effectively interface with other CJS partners; - where applicable, how the Applicant Organisation will procure the digital infrastructure necessary to deliver Contract Work; and - how the Applicant Organisation will ensure day-to-day and long-term data security on all its IT and communications systems. 	<p>This question focuses on the ability of the Applicant Organisation to effectively and securely deploy digital resources.</p> <p>Higher marks will be awarded to Applicant Organisations that:</p> <ul style="list-style-type: none"> - will use digital technology to deliver a more efficient and more effective service; - where applicable, have a realistic and cost-effective plan for procuring the necessary digital infrastructure; and - provide evidence of cyber-secure practices both inside and outside the Office, including at magistrates' courts and police stations.
C.5. (5%)	<p>Please explain how the Business Continuity Plan that the Applicant Organisation will have in place from the Service Commencement Date and throughout the Duty Provider Contract term in this Procurement Area will deal with internal and external disruptions to the provision of Contract Work including (but not limited to) the following:</p> <ul style="list-style-type: none"> - IT Failure; - Fire damage; - Flooding damage; 	<p>This question examines the readiness of the Applicant Organisation for unanticipated disruption to work, and ability to continue to deliver Contract Work in those circumstances.</p> <p>Higher marks will be awarded to Applicant Organisations that:</p> <ul style="list-style-type: none"> - describe a Business Continuity Plan that adequately takes into account the particular risks to delivery of Contract Work relevant to the Procurement Area bid for.

	<ul style="list-style-type: none"> - Severe transport disruption; and - Civil disturbance. 	
C.6. (10%)	<p>Please describe the arrangements that the Applicant Organisation will have in place in this Procurement Area for the appointment and use of external experts and legal service providers (e.g. barristers) from the Service Commencement Date and throughout the Duty Provider Contract term. The response should include</p> <ul style="list-style-type: none"> - the Applicant Organisation's method for selecting experts with a view to obtaining a good quality service while obtaining best value for money for the taxpayer; and - how the Applicant Organisation would evaluate service providers to ensure that service delivery met or exceeded expectations. 	<p>This question deals with arrangements for appointing external experts and the extent to which Applicant Organisations use their resources efficiently, including making best use of Legal Aid funds to obtain the best outcome for their client.</p> <p>Higher marks will be awarded to Applicant Organisations that:</p> <ul style="list-style-type: none"> - provide details of due diligence in selecting experts and legal service providers; - consider value for money in using public funds to appoint external experts and legal service providers; and - have a plan for ensuring that service providers deliver a quality service.
C.7. (10%)	<p>Please explain how the Applicant Organisation will understand and respond to the individual needs of clients in this Procurement Area from the Service Commencement Date and throughout the Duty Provider Contract term. The response should include:</p> <ul style="list-style-type: none"> - how the Applicant Organisation will serve clients with Relevant Protected Characteristics and additional language requirements; and - an explanation of the Applicant Organisation's policy and process for dealing with complaints. 	<p>This question is intended to give the LAA confidence that the Applicant Organisation has adequately identified and considered the individual needs of different types of clients.</p> <p>Higher marks will be awarded to Applicant Organisations that:</p> <ul style="list-style-type: none"> - describe a developed customer service policy that takes into account the diversity, Relevant Protected Characteristics and additional language requirements of different categories of clients; and - provide an account of a clear and expedient process for dealing with complaints.

Section D- Flexibility (10%)

No.	Question	Rationale
<p>This section examines the flexibility of the Applicant Organisation in the context of both routine fluctuations and sustained increases in the volume of Contract Work.</p> <p>Higher scores will be awarded where the Applicant Organisation is able to demonstrate that, from the Service Commencement Date, it will be able to manage fluctuations and sustained increases in Contract Work volumes under the Duty Provider Contract in this Procurement Area.</p> <p>Organisations who can illustrate their response with examples of previous experience are more likely to provide us with a higher level of confidence and achieve higher scores</p>		
D.1. (30%)	<p>Please explain how the Applicant Organisation will manage the risk of dependency on the Duty Provider Contract as the primary source of organisational income from the Service Commencement Date and throughout the Duty Provider Contract term. The response should include:</p> <ul style="list-style-type: none"> - an overview of any other sources of income, including own client work; and - a brief summary of any plans to diversify the Applicant Organisation's income streams beyond publicly funded work. 	<p>This question seeks to provide the LAA with assurance that the Applicant Organisation has considered the risk of dependency on the Duty Provider Contract as the primary source of organisational income and taken steps to address this.</p> <p>Higher marks will be awarded to Applicant Organisations that:</p> <ul style="list-style-type: none"> - will have diversified income streams that will enable them to deal with any variations in the volume of work to be carried out under the Duty Provider Contract without adversely affect the resourcing, management or quality of Contract Work; and - have a credible plan in place to develop their business to include sources of income in addition to publicly funded work.
D.2. (40%)	<p>Please explain how the Applicant Organisation will manage short-term fluctuations in the volume of Contract Work in this Procurement Area from the Service Commencement Date and throughout the Duty Provider Contract term.</p> <p>This should cover short-term increases and decreases in demand at:</p> <ul style="list-style-type: none"> - Police Stations; - Magistrates Courts; and 	<p>This question is intended to provide the LAA with assurance that the Applicant Organisation will be able to manage predictable short-term peaks and troughs in the volume of Contract Work across the Procurement Area During the Duty Provider Contract term.</p> <p>Higher marks will be awarded to Applicant Organisations that:</p>

	- Crown Courts.	- provide assurance that they will be able to maintain a consistent level of quality through normal short-term fluctuations in demand.
D.3. (30%)	<p>Please explain the Applicant Organisation's ability to expand the volume of Contract Work delivered under the Duty Provider Contract for a sustained period if necessary from the Service Commencement Date and throughout the Duty Provider Contract term in this Procurement Area. The response should include:</p> <ul style="list-style-type: none"> - the Applicant Organisation's contingency plan for taking on further work; and - any previous instances where staff to be Employed by the Applicant Organisation have taken on up to an additional 50% of their regular volume of Contract Work for a sustained period. 	<p>This question is intended to provide the LAA with an understanding of the Applicant Organisation's ability to take on additional Contract Work if required.</p> <p>Higher marks will be awarded to Applicant Organisations that:</p> <ul style="list-style-type: none"> - have a credible plan to meet the possible 50% increase in the volume of Contract Work set out in the Duty Provider Contract, including managing staff resources during 'peak' periods; and -will Employ Caseworkers, Designated Fee Earners and Supervisors with experience of having managed higher volumes of work for a sustained period.

Annex D: Information to support Financial Assessment

What is a Business Plan?

Your Business Plan should collate and clarify your business proposal, what you want to achieve with it, how you want to do it and plan for the future of your business. It should help to show whether your business model and financing is realistic and workable.

As set out at paragraph 5.27, Applicant Organisations must provide sufficient detail to support its Core Bid and Maximum Bid (where relevant) submitted as part of its Tender in its Business Plan.

What information should be included in a Business Plan?

Your Business Plan must contain sufficient information to allow a financial professional to assess the viability of your business and/or any business expansion being tendered for. Set out below is a table which confirms the minimum information you must provide as part of your Business Plan and how the LAA will use this information to evaluate your ability to deliver and/or expand your organisation to deliver Duty Provider Contract Work.

How will assessors evaluate the information provided in your Business Plan?

Information provided as part of your Business Plan will be evaluated in conjunction with the other Financial Information provided as part of an Applicant Organisation's Tender.

Assessors will evaluate the viability of your business model and/or business expansion being tendered for. Examples of what and how information will be evaluated is set out below.

These are not exhaustive and give an indication only of how the information contained in your Business Plan, and other Financial Information submitted with your Tender, will be evaluated.

What happens if an Applicant Organisation does not provide the information requested or does not provide sufficient information to enable to LAA to undertake the Financial Assessment and/or Expansion Capacity Assessment?

Where an Applicant Organisation fails to provide the Financial Information requested, or does not provide sufficient detail to enable the LAA to undertake a Financial Assessment, the Applicant Organisation's entire Tender (or where applicable, impacted Procurement Area Bids) will be rejected. Please see Section 5 of the Information For Applicants for further information.

Information which must be provided in your Business Plan

Applicant Organisations must ensure that they provide sufficient detail to support their Core Bid and Maximum Bid submitted as part of their Tender in its Business Plan.

Structure and management	The (proposed) ownership structure of the business including: <ul style="list-style-type: none"> Names and positions of all Partners, Members and Directors within the organisation; and A brief description of their experience
	Details of each management role and current staffing level including: <ul style="list-style-type: none"> A short description which confirms how the organisation intends to cover the key areas of service delivery, practice management, finance and administration under its new business model
	Mission statement including: <ul style="list-style-type: none"> 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; Where applicable, how growth will be achieved e.g. through a proposed merger, capital investment from owners, increase in lending
	Risk analysis of your business model including; <ul style="list-style-type: none"> What risks have been identified with the business model (financial, organisational, personnel, service delivery); and Detailed information on how these risks will be mitigated
Operations and market analysis	Details of your client base including: <ul style="list-style-type: none"> Total number of clients advised/represented in last 12 months Total revenue received in last 12 months Expected trends in client base over the next 12 – 24 months i.e. how new clients will be attracted
	Key delivery milestones which must be met to enable your organisation to begin delivering services and/or expand your current operations including: <ul style="list-style-type: none"> A detailed set of planning assumptions including the cost of each activity

	<ul style="list-style-type: none"> Contingencies (financial, personnel, service delivery) should key dates be missed
	<p>Details of the split between expected public/private paying income, including</p> <ul style="list-style-type: none"> The ratio of current public to private paying clients The expected ratio of public to private paying clients after 12 months <p>These should also feature on the completed Cash Flow Forecast Templates submitted as part of your Tender</p>
	<p>Details of access to sources of income other than those expected under Duty Provider Contracts including:</p> <ul style="list-style-type: none"> Confirmation of other current publicly funded work and/or privately funded revenue and current turnover Any anticipated revenue sources, including expected income, being developed and which will be operational within the next 12 months
Financial	<p>Use of capital and credit facilities including:</p> <ul style="list-style-type: none"> Details of capital; and 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
	<p>Confirmation of availability of current working capital</p>
	<p>Details of the assumptions made in developing your Cash Flow Forecast(s) including:</p> <ul style="list-style-type: none"> A summary of the key assumptions in producing financial forecasts, such as average time for debtor and creditor payments.
	<p>Detailed assumptions should be included on the Cash Flow Forecast Templates submitted as part of your Tender</p>

Assessment of Business Plans and other Financial Information

Applicant Organisations will be required to demonstrate the following minimum thresholds through the Financial Information submitted as part of their Tender. If the Financial Information submitted by the Applicant Organisation meets these minimum thresholds LAA financial assessors will go on to consider whether the information provided gives the LAA sufficient confidence that assumptions have been adequately considered and resourced.

The LAA will use these minimum thresholds to assess both the Basic Financial Assessment for Other Business Types only and any Expansion Capacity Assessment.

Basic Financial Assessment

The Business Plan and Cash Flow Forecast Template which supports the Maximum Bid will be assessed.

The assessment will result in the Applicant Organisation being given a RAG rating (Red, Amber or Green) based on how they are assessed against each of the 4 minimum thresholds as follows:

All minimum thresholds assessed as Pass	Green
3 minimum thresholds assessed as Pass and 1 minimum threshold assessed as Fail	Amber
2 minimum thresholds assessed as Pass and 2 minimum threshold assessed as Fail	Red
All minimum thresholds assessed as Fail	Red

Expansion Capacity Assessment

In the first instance the Business Plan and Cash Flow Forecast Template which supports the Core Bid will be assessed against the minimum thresholds. Where the Financial Information submitted for the Core Bid is assessed as passed, the LAA will go on to assess an Applicant Organisation's Maximum Bid (where relevant).

Expansion Capacity Assessment will be a Pass/Fail assessment, where an Applicant Organisation must be assessed as passing all 4 minimum thresholds:

All minimum thresholds assessed as Pass	Pass
All other scores	Fail

The minimum thresholds which will be used to assess the Basic Financial Assessment and any Expansion Capacity Assessment are set out below:

Minimum thresholds
<p>That the Applicant Organisation has sufficient funds available to set up and/or expand the business in the way proposed in the Business Plan</p> <p>Pass – There is available cash to fund the business e.g. to pay debts and/or running costs of the business as they fall due. The cash could be own capital, bank facilities or other mixture of funds.</p> <p>Fail – No capital or finance in place and no clear plan for where funds will be obtained.</p>
<p>That the Applicant Organisation's forecasting is based on realistic assumptions as to when payment will be received by debtors (LAA, private clients etc) which ensures that the organisation has sufficient funds available to meet its short term liabilities.</p> <p>Pass – Has demonstrated that, for example,</p> <ul style="list-style-type: none"> • There is a realistic time lag between billing and payment • The timing of VAT, rent, tax payment • That the work completed in the Cash Flow Forecast is in line with contract awarded and legacy cases where applicable. <p>Fail – Has not demonstrated:</p> <ul style="list-style-type: none"> • A realistic time lag between billing and payment • Timing of VAT, rent, tax payments

- That the work completed in the Cash Flow Forecast is in line with contract bid for and legacy cases where applicable

That the Applicant Organisation has sufficient income over the first two years of trading to meet its liabilities, including for example the wage bill of increased service delivery and all incidentals

Pass – The business does not exceed the headroom in any one month throughout the first 12 months of the Duty Provider Contract or cash flow is mainly break even throughout the first 12 months of the Duty Provider Contract.

Fail – The business exceeds bank facility in any one month throughout the first 12 months of the Duty Provider Contract.

That there are reserves available to deal with a 5% unforeseen costs or delays in payment through the period set out in the Cash Flow Forecast

Pass – Can accommodate a 5% unforeseen increase in costs (calculated from Cash Outgoings on the Cash Flow Forecast)

Fail – Cannot accommodate a 5% unforeseen increase in costs (calculated from Cash Outgoings on the Cash Flow Forecast).

Annex E: Defined Terms in the Mandatory Attachments

Financial term	Definition
Acid test	<p>This is an indicator that determines whether a firm has enough short-term assets to cover its immediate liabilities without selling inventory/stock/WIP.</p> <p>Ratio calculation:</p> <p>(current assets – stock) / current liabilities</p>
Balance Sheet	A financial statement that shows the financial position of an organisation at a point in time. It is a snapshot picture of the organisation's assets, liabilities and shareholders' equity.
Cash (in hand/at bank)	Currency which can be accessed immediately or near-immediately.
Cash Flow Forecast	A cash flow forecast indicates the likely future movement of cash inflows (e.g. receipts, income, loan, and overdraft) and outflows (e.g. wages, rent). It is an estimate of the amount of money you expect to flow in (receipts) and out (payments) of your business and includes all your projected income and expenses. It covers 24 months.
Credit facilities (agreed in principal)	The value of credit facilities agreed by a lender but not in use e.g. an overdraft facility which has been agreed for future use.
Credit facilities (in use)	The value of credit facilities already in use e.g. a loan which the organisation is currently repaying.
Creditors	A party (e.g. person, organisation or company) to whom money is owed.
Current assets	Assets that the organisation intends to consume, turn into cash, or sell in the normal course of business, usually within twelve months of the date of the Balance Sheet. They usually include stocks and work in progress, cash in hand and at bank, and debtors.
Current liabilities	Liabilities which fall due for payment within a year from the date of the Balance Sheet and include bank overdraft, trade creditors, taxation, and dividends which have not yet been paid.

Debtors	<p>A debtor is an entity that owes a debt to your organisation. The entity may be an individual, a firm, a government, a company or other legal person.</p> <p>This does not include Work in Progress.</p>
Financial statements	<p>Records that outline the financial activities of a business or entity. Financial statements quantify the financial strength, performance and liquidity of a business.</p> <p>Financial statements for businesses include: income statements, balance sheet, cash flow statement, and changes in equity as well as notes to the accounts.</p>
Gearing and debt	<p>Gearing measures the level of a company's debt related to its equity capital. Gearing is a measure of a company's financial leverage and shows the extent to which its operations are funded by lenders versus shareholders (owners).</p> <p>A company is said to be highly geared when it has a high ratio of borrowing to shareholders funds/cash reserves.</p>
Goodwill	<p>The difference between the value of the business as a whole and the fair value of its separable net assets. Purchased goodwill must be capitalised and amortised over time.</p> <p>Only purchased goodwill can be shown on the Balance Sheet.</p>
Headroom	<p>This is the anticipated amount left over after using your own capital, overdraft and loan. A positive value means that the overdraft and loan is not exceeded, while a negative value means the overdraft and loan is exceeded.</p>
Interest cover	<p>This ratio determines how easily a firm can pay interest on outstanding debt. The interest coverage ratio is calculated by dividing a company's earnings before interest and taxes (EBIT) of one period by the company's interest expenses of the same period. The higher the ratio the better.</p> <p>Ratio calculation:</p> <p>profit before interest and tax / interest charges</p>

Interest payable	The amount paid by an organisation for borrowed funds.
Interest receivable	The amount received in the form of interest payment on cash held.
Invested capital	Invested capital represents the total investment that business owners or shareholders have made in a company.
Liquidity	A measure of the extent to which a person or organisation has cash to meet immediate and short-term obligations, or assets that can be quickly converted to do this.
Long term leverage ratio	<p>This shows the financial leverage of a firm, calculated by dividing long-term debt by the amount of capital available. This value computes the proportion of a company's long-term debt compared to its available capital.</p> <p>Ratio calculation:</p> <p>(long-term debt or liabilities / net worth)</p>
Long term liabilities	<p>Financial obligations which are due more than one year into the future and typically include long-term loans and debentures.</p> <p>Examples of long-term liabilities are debentures, mortgage loans and other bank loans.</p>
Net worth	In simple terms, net worth of a firm is, total assets minus total liabilities. Net worth is an important determinant of the value of a firm.
Operating profit/surplus	Profit net of selling and administration expenses, but before interest and tax.
PBIT margin	<p>An indicator of a company's profitability.</p> <p>Ratio calculation:</p> <p>(profit before interest and tax / turnover) \times 100 = %</p>
Profit and Loss Account	Shows the results of operations in terms of profitability over a period of time, usually the Applicant Organisation's accounting year. It is also referred to as the Income Statement and basically includes details of sales revenue less the cost of sales and the components of that cost, gross profit, expenses, profit before tax, and net profit.

Profitability	The ratio of profit to revenue/income/turnover/fees.
Short term investments	Investments made for 12 months or less.
Solvency	The ability of the organisation (a) to pay off its debt i.e. liabilities as and when they become due; and (b) to maintain total assets in excess of total liabilities. An organisation is technically insolvent when its liabilities exceed its assets. The only justification for an organisation to continue to trade in this situation is when the management knows that the position is temporary and is certain to be retrieved.
Tangible assets	Also known as fixed assets these are assets, including plant, machinery and property that cannot easily be converted into cash.
Work in Progress	Work in Progress in the context of legal work is the value of work done which has not been billed to client or LAA.

Annex F: Defined Terms in the IFA

Defined Term	Definition
Agent	Another organisation that holds an Own Client Contract and which is engaged by you to undertake Contract Work in accordance with the provisions of the Duty Provider Contract
Anticipated Contract Value	The estimated annual value of Contract Work available under the Duty Provider Contract in a Procurement Area, as set out in Table 1 of Annex A.
Appeals & Reviews	Work in respect of an appeal or review of a criminal conviction or sentence, and the making of an application to the Criminal Cases Review Commission (CCRC)
Applicant Organisation	A single legal entity tendering for a Duty Provider Crime Contract. This term has the same meaning as "Lead Contractor" in the government's response to consultation "Transforming Legal Aid: Next Steps" published in February 2014.
Applicant Organisation ITT	The ITT within the eTendering system which must be completed by all Applicant Organisations wishing to hold a Duty Provider Contract. This ITT contains questions relating to the Applicant Organisation as a whole, not to individual Procurement Area Bids.
Associated Civil Work	Legal Help and civil Legal Representation in actual or proposed proceedings: (a) for judicial review (including proceedings under the Human Rights Act 1998) or proceedings for habeas corpus, provided those proceedings arise from a Matter or Case within the "Crime" Category of Law; or (b) under the Proceeds of Crime Act 2002
Audited Accounts	Accounts that have been subjected to independent scrutiny resulting in a report stating that the auditors have found no material misstatements in the company's accounts. Public Limited Company (PLC), Limited Company (Ltd) and Limited Liability Partnership (LLP) are required to submit annual accounts to Companies House, unless they qualify for the audit exemption set out in the Companies Act 1985.
Award Criteria	Criteria used to determine which shortlisted Applicant Organisations in a Procurement Area will be awarded a Duty Provider Contract
Basic Financial Assessment	The process which assesses the general financial health of the Applicant Organisation
Business Continuity Plan	As defined at Clause 1.1 the Duty Provider Contract Standard Terms
Business Plan	A formal statement of a set of business goals and how you plan to achieve them. It may also contain background information about the organisation or team attempting to reach those goals.

	A good business plan states clearly how a business aims to achieve their goals.
Caseworker	An employee who is not a Supervisor, but who is a fee-earner who regularly undertakes criminal defence work to whom a specific caseload of Contract Work is allocated and is responsible for the progression of those cases, within their specific caseload, under supervision. Caseworker includes paralegals.
Certified Accounts	Certified accounts are prepared by an independent accountant or auditor but not audited. This applies where the turnover is less than £6.5m.
CLAS	The Law Society's Criminal Litigation Accreditation Scheme.
Class of Work	Criminal Investigations, Criminal Proceedings, Appeals and Reviews, Prison Law and Associated Civil Work and "Class" and "Classes" have the corresponding meaning
Contract Start Date	The date specified in the Contract holder's Contract for Signature as the date this Contract starts.
Contract Volume	The number of Applicant Organisations to whom the LAA intends to award Schedule Authorisation in a Procurement Area, as set out in Table 1 of Annex A.
Contract Work	The work that Contract holders may perform for Clients in the Category or Categories of Law and/or Class(es) of Work specified in their Schedule(s) and the Specification under, or by virtue of, the Duty Provider Contract
Core Bid	Those Procurement Areas which for the purposes of Financial Assessment the Applicant Organisation chooses to prioritise as part of its Tender where an Expansion Capacity Assessment takes place
Criteria	Considerations that an Applicant Organisation will be assessed against to inform the award of 2015 Duty Provider Crime Contracts. "Criterion" shall be construed accordingly.
Deadline	The deadline for submitting a Tender to this procurement process (12 noon on 5 May 2015)
Delivery Partner	An organisation, acting under a formalised agency agreement to deliver Contract Work for a Duty Provider Contract holder and which is included in a tender for a Duty Provider Contract and assessed against the tender Criteria.
Delivery Plan Annex	Responses to Selection and Award Criteria that will be incorporated into any Duty Provider Contract and that will be attached to the Contract Schedule
Deployed	Undertaking Contract Work, Managing or acting as a Supervisor for Contract Work in a Procurement Area.

Designated Fee Earner	A person designated by you to undertake Contract Work under the Duty Provider Contract Specification in accordance with Paragraphs 2.22 and 2.24 of the Duty Provider Contract Specification.
Duty Lawyer	An Employee, Designated Fee Earner, Caseworker or Agent of the Applicant Organisation or Delivery Partner who is undertaking Contract Work in the relevant Procurement Area
Duty Provider Contract	The 2015 Duty Provider Crime Contract which will govern the provision of criminal legal aid services for clients accessing advice via Duty Schemes
Duty Scheme	A duty scheme operating under the Duty Provider Contract covering one or more magistrates' courts or police stations.
Duty Slot	A period during which a Duty Provider Contract holder is required to be available to undertake Contract Work on a particular Duty Scheme in a Procurement Area
Employee	<p>An individual engaged by you who:</p> <ul style="list-style-type: none"> (a) is a director, member or partner of your organisation; or (b) who holds a contract of employment/contract of service with you; and (c) who you acknowledge has employment rights including but not limited to the right to claim unfair dismissal and statutory redundancy payments and who is fully integrated into your organisation, is under the control of your organisation and mutuality of obligation is present. For the avoidance of doubt, individuals who are self-employed, independent contractors or hold a contract for services do not meet this definition. <p>"Employ" and "Employed" shall be construed accordingly.</p>
Entire Case	A case which the person in question must, from initial conduct of the case to final hearing, have had professional conduct of or had direct supervision of, including the provision of advice and assistance at police station, and the representation of the client in at least one hearing at a Magistrates Court (and/or Crown Court where applicable), not including a case management or committal hearing.
Essential Requirements	The requirements an Applicant Organisation must meet in this procurement process.
Established Business	An organisation which has been trading for a minimum of 2 years with no significant or material changes to Key Personnel or organisational structure and which has 2 years of Audited or Certified Accounts available.
Expansion Capacity Assessment	The process which assesses whether the Applicant Organisation has demonstrated it has the financial capacity to deliver the Contract Work tendered for. It tests whether any expansion appears realistic on the information provided by the Applicant Organisation.
Financial Assessment	The process by which an Applicant Organisation's financial viability will be assessed. This will consist of two stages:

	<p>Basic Financial Assessment – undertaken for all Applicant Organisations to test financial viability</p> <p>Expansion Capacity Assessment – undertaken for those Applicant Organisations who are Established Businesses and who are seeking to expand by two times their annual Turnover in each of the previous two years and any Other Business Type.</p>
Financial Information	Information that the LAA will assess as part of the Financial Assessment, as set out at section 5 of the IFA
Full Time Equivalent/FTE	<p>The number of working hours that represents a notional full-time individual working 35 hours per week. For example the following working pattern would represent one Full Time Equivalent individual:</p> <ul style="list-style-type: none"> • Person A: 20 hours per week; • Person B: 10 hours per week; and • Person C: 5 hours per week <p>For the purposes of the FTE calculation, the LAA will not accept an individual as working more than a 35 hour week (i.e. an individual working more than 35 hours per week cannot count as more than one FTE).</p>
Head of Legal Practice	As defined in Part 2 Clause 91 of the Legal Services Act 2007
Information For Applicants (IFA)	This Information for Applicants (in its entirety)
Invitation to Tender (ITT)	An invitation to tender for Duty Provider Contracts.
Key Personnel	Any person who has or is held out as having either expressly or impliedly, (or will have by the start date of the Contract) powers of representation, decision or control of an Applicant Organisation including partners, directors, trustees and other senior managers and who is employed by the Applicant Organisation
LAA Account Number	The unique reference assigned to each provider Office from which criminal legal aid work is undertaken
Manage	<p>Active involvement in ensuring the delivery of legal advice and representation, including ensuring KPIs are met, overseeing staffing arrangements, rotas and work allocation and casework quality assurance.</p> <p>For the avoidance of doubt, those that have not been directly involved in overseeing the delivery of legal advice and representation (i.e. administrative oversight such as an HR or IT Manager) would not meet the definition of “Manage”.</p>
Legal Aid Legislation	As defined at Clause 1.1 the Duty Provider Contract Standard Terms
Management Team	One or more individuals who have responsibility for maintaining and reviewing the service and its delivery in the Procurement Area with oversight for staffing arrangements, work allocation and casework quality assurance.

	The term does not necessarily include the activities of Supervisors, though these may also be members of the Management Team.
Mandatory Attachment	An attachment that an Applicant Organisation must complete and submit with its Tender in order for it to be complete. A full list of relevant Mandatory Attachments is provided at paragraph 3.6
Maximum Bid	For the purposes of the Expansion Capacity, where applicable, the total number of Procurement Area Bids tendered for.
Mobilisation Period	The period between Contract Start Date and Service Commencement Date during which the LAA will monitor successful Applicant Organisations' progress to ensure that they are able to deliver Contract Work under the terms of the contract on Service Commencement Date.
Named Individuals	Individuals named in an Applicant Organisation's Tender and in Section B (the 'Staff Information' section of the Procurement Area ITT) that it relies on to meet the Criteria
Office	As set out in 2.27 of the Duty Provider Contract Specification
Organisation ITT/Duty Provider Organisation ITT	The Duty Provider Organisation Invitation to Tender covering information about the Applicant Organisation, Financial Information and Declarations. Applicant Organisations must submit a response to this in addition to at least one Procurement Area ITT.
Other Business Type	<p>An organisation which is not yet trading, have started trading within the last two years or who have undergone significant changes to the make-up of its Key Personnel or organisational structure.</p> <p>An organisation that</p> <ul style="list-style-type: none"> (a) has not been trading for two years; or (b) does not have 2 years Audited or Certified Account available (with the earliest year being not before 2012); or (b) has undergone a material or significant change to its Key Personnel or structure.
Own Client Contract	The 2015 Own Client Crime Contract
Prison Law	<p>(a) cases covered by regulation 12(2)(d), 12(2)(f) and 12(2)(g) of the Criminal Legal Aid (General) Regulations 2013; and</p> <p>(b) Minimum Term Review cases covered by Regulation 12(2)(c) of the Criminal Legal Aid (General) Regulations 2013</p>
Procurement Area	A geographical area within which the LAA will procure services. Holders of a Duty Provider Contract will be responsible for delivering Contract Work across the whole of a Procurement Area
Procurement Area ITT	Invitation to Tender to hold Schedule Authorisation in a Procurement Area. There will be 85 Procurement Area ITTs in the eTendering system. Applicant Organisations must submit a response to at least one Procurement Area ITT in addition to the Organisation ITT.

Procurement Area Bid	A response to a Procurement Area ITT.
Qualification Envelope	The part of the Procurement Area ITT within the eTendering system which contains questions relating to the Office, staff, Selection Criteria and tiebreaks.
Relevant Quality Standard	Either the LAA Specialist Quality Mark (SQM) or the Law Society's Lexcel Practice Management Standard
Rules on Submitting Multiple Bids	The rules which must be complied with by Applicant Organisations in respect of their Tender and following the award of Duty Provider Contracts in as set out at paragraphs 2.29 to 2.37
Schedule	A contract document issued by the LAA as specified in Clause 12 of the Duty Provider Contract Standard Terms and a contract holder's Contract for Signature
Selection Criteria	Criteria used to shortlist Applicant Organisations in a Procurement Area to the award stage
Service Commencement Date	The date set out in your Contract for Signature on which the Contract holder is entitled to commence performance of Contract Work.
Signed Engagement Agreement	Signed agreement between an individual and an Applicant Organisation or Delivery Partner confirming that the individual will be Employed by the Applicant Organisation or Delivery Partner from Service Commencement Date.
Split Procurement Area	Procurement Area in which it is an Essential Requirement that the Applicant Organisation has an Office in either that Procurement Area or in its Linked Procurement Area specified in Table 1 of Annex B.
Supervisor	An individual meeting the requisite Supervisor Standard. The Crime Supervisor Standard is set out at 2.1 – 2.13 of the Duty Provider Contract Specification.
Supervisor Declaration Form	A form, completed by you evidencing an individual's compliance as a Supervisor.
Technical Envelope	The part of the Procurement Area ITT within the eTendering system which contains questions relating to Award Criteria.
Tender	An Applicant Organisation's response to this procurement process, including as a minimum the Organisation ITT, one or more Procurement Area Bids and all relevant Mandatory Attachments.
Turnover	Sales income or fee generation of the organisation. May also be described as revenue, income or fees.