

## ASC Evaluation Criteria and Scoring Scheme Appendix X

The scheme below sets out the evaluation criteria and scoring for the PQQ:

- If a provider is, at any point during the scoring of the paper, scored with a ‘Fail’, this will mean that provider will not be invited to submit an Invitation to Tender (ITT).
- Where a maximum word count is stipulated, you must ensure you do not go over. Any words surplus to stipulated word count will be disregarded and therefore not evaluated as part of the PQQ submission.

<b>Form A - ORGANISATION &amp; CONTACT DETAILS</b>		
Not scored, although must be completed in full		
<b>A.1 - CQC REGISTRATION FOR PERSONAL CARE</b>		<b>Scoring Result</b>
<b>PASS / FAIL</b>		
A1.1-3	Potential Providers answer ‘yes’ to A1.1 and supply requested information in A1.2 & A1.3.	<b>Pass</b>
	Potential Providers answer ‘no’ to A1.1	<b>Fail</b>
<b>A.2 - MINIMUM OF 3 YEARS EXPERIENCE OF PROVIDING AUTISTIC SPECTRUM CONDITION (ASC) SERVICES</b>		
PASS / FAIL Word Counts - Max 500 words (A2.1)		
A2.1	Potential Providers answer ‘yes’ to A2.1 and supply sufficient details in their Appendix 3A to evidence 3 years experience in providing ASC Services.	<b>Pass</b>
	Potential Providers answer ‘no’ to A2.1 or fail to provide sufficient information to evidence 3 years experience in providing ASC Services.	<b>Fail</b>
<b>A.3 - FOR COMPLETION BY NON-UK BUSINESSES ONLY</b>		
Not scored, although must be answered if applicable.		

<b>FORM B - GROUNDS FOR MANDATORY REJECTION</b>	
<b>PASS / FAIL</b>	
A ‘yes’ to any question will result in a fail and the provider will not be invited to tender	
<b>FORM C - GROUNDS FOR DISCRETIONARY REJECTION</b>	
<b>POSSIBLE PASS / FAIL</b>	
A ‘yes’ to any question will normally result in a fail. Full details of any incident must be provided along with remedial action taken. The Authority will take this into account in considering whether or not the provider will be able to proceed further in respect of this tender.	



<b>FORM D - ECONOMIC AND FINANCIAL STANDING (Regulation 24)</b>	
<b>PASS / FAIL</b>	
If provider is unable to supply sufficient and satisfactory financial information then this will result in a <b>Fail</b> and the provider will not be invited to tender	
<b>D1 - FINANCIAL INFORMATION</b>	<b>Scoring Result</b>
<b>PASS / FAIL</b>	
Credit reference indicates good or very good credit rating and information provided does not reveal any substantial financial weakness.	<b>Pass</b>
If Credit reference indicates no rating or rating below good; Further information may be requested to determine the financial stability of the organisation.	<b>MORE INFO</b>
<b>D1 - IF MORE INFORMATION IS REQUESTED</b>	<b>Scoring Result</b>
<b>PASS / FAIL</b>	
Further information provides assurance that the organisation is financially capable of fulfilling the requirements of the contract and provided information does not reveal some substantial financial weakness.	<b>Pass</b>
Further information provides inadequate assurance that the organisation is financially capable of fulfilling the requirements of the contract or reveals some substantial financial weakness.	<b>Fail</b>
<b>D2 - RATES</b>	<b>Scoring Result</b>
<b>PASS / FAIL</b>	
A 'no' to any question will result in a fail and the provider will not be invited to tender	
D2.1 - D2.3	Potential Providers answer 'yes' to all 3 questions.
	<b>Pass</b>
D2.1 - D2.3	Potential Providers answer 'no' to any of the 3 questions.
	<b>Fail</b>
<b>D3 - INSURANCE</b>	<b>Scoring Result</b>
<b>PASS / FAIL</b>	
If provider is unable to evidence ability to acquire adequate insurance for both D3.1 and D3.2 then this will result in a fail and the provider will not be invited to tender	
Potential Providers that demonstrate existing Employer's Liability Insurance cover complying with legal requirements (£5 million minimum) <b>Or</b> Can provide evidence that level of cover can be obtained	<b>Pass</b>
Potential Providers that cannot demonstrate existing Employer's Liability Insurance cover meeting legal requirements (£5 million minimum) <b>And</b> Cannot provide evidence that this level of Insurance cover can be obtained	<b>Fail</b>
Potential Providers that demonstrate existing Public Liability Insurance cover of £10m or more	<b>Pass</b>

Or Can provide evidence that level of cover can be obtained	
Potential Providers that cannot demonstrate existing Public Liability Insurance cover of £10m or more And Cannot provide evidence that this level of Insurance cover can be obtained	Fail
Potential Providers that demonstrate existing Medical Malpractice Insurance cover of £10m or more (£10m minimum requirement) OR unless Public Liability insurance is extended to cover the Medical tasks specified Or Can provide evidence that level of cover can be obtained	Pass
Potential Providers that cannot demonstrate existing Medical Malpractice Insurance cover of £10m or more (£10m minimum requirement) OR that Public Liability insurance is extended to cover the Medical tasks specified And Cannot provide evidence that this level of Insurance cover can be obtained	Fail

## Form E - TECHNICAL AND PROFESSIONAL ABILITY (Regulation 25)

<b>E1 - EXPERIENCE &amp; CONTRACT EXAMPLES (AUTISTIC SPECTRUM CONDITION)</b> <b>FAIL / SCORED</b> Word Counts - Max 250 words each (E1.4)	<b>Scoring Result</b>
--	-----------------------

The contract examples provided in this section should be the same as the references provided in E2 and will only be accepted if they name a representative of the Local Authority who is authorised to give references on behalf of that organisation.

**Please Note: Of these three contracts; a minimum of two references must be received back by the stated deadline or your PQQ will be rejected.**

E1.1 - E1.4	Potential Provider has provided three references; all of which relate to contracts with significant relevance to the provision of autistic spectrum condition services. Experience clearly defined	20
	Potential Provider has provided three references; two of which relate to contracts with significant relevance to the provision of autistic spectrum condition services. Experience clearly defined	15
	Provider has provided two or more references; one of which relates to a contract with significant relevance to the provision of autistic spectrum condition services, and the other contract/s description evidences some experience but are considered to hold a lesser relevance to the provision of autistic spectrum condition services.	10
	Provider has provided two or more references, however all contracts are detailed in a way that evidence a small amount of experience / relevance to the provision of autistic spectrum condition services	5
	Provider has either; provided less than two relevant contracts/ references, no relevant contracts to evidence their experience in the provision of autistic spectrum condition services or less than two references received back by deadline.	FAIL



<b>E1.5 - CONTRACT PENALTIES/TERMINATION</b>		<b>Scoring Result</b>
<b>SCORED</b> - Note: Answers will also be checked against referee responses that come back in Appendix Z (and scored accordingly)		
Potential Provider answers NO and references support that there have been NO contract penalties, early termination or early withdrawal from a contract		5
Potential Provider answers YES and found to have had either contract penalties, early termination or early withdrawal from a contract but has evidenced clear strategies to avoid this taking place in the future in E1.5.4 - and the level is deemed acceptable		2
Potential Provider found to have had contract penalties, early termination or early withdrawal from a contract but insufficient or no evidence of strategies provided to avoid this taking place in the future - or level is deemed unacceptable		0

<b>E2 - REFERENCES</b>		<b>Scoring Result</b>
<b>SCORED (BUT FAIL IF LESS THAN TWO RELEVANT REFERENCES RETURNED)</b>		
E2.1	Potential Provider has provided two or more references relating to contracts with significant relevance to the outline requirement	<b>PASS</b>
	Potential Provider has provided less than two relevant references (in either E2 section or returned)	<b>FAIL</b>
This is how two or more references will be scored:		
E2.2A	<b>Reference Form PART A:</b> All referees will be asked to rate candidates on five different elements of contract performance on a scale of 0 (poor) to 3 (good) - Questions A2, A6, A7, A8, A12 - Will be scored. All other Questions (A1, A3, A4, A5, A9, A10, A11) are for information only. Evaluation scores will be calculated as the average of all referee's responses to all five questions	0 - 15
E2.2B	<b>Reference Form PART B:</b> All referees will be asked to rate candidates on sixteen different elements of contract performance on a scale of 1 (unacceptable) to 10 (excellent). All Questions are scored. Evaluation scores will be calculated as the average of all referee's responses to all sixteen questions	1 - 10

<b>E3.1 STAFFING SCORED</b>		<b>Scoring Result</b>
E3.1	Local office structure and organisational charts submitted are of a high standard in quality and clearly outline all partner/associated organisations, how they link together, all staff (job titles & hourly rates of pay) and any relevant vacancies. Salaries and clear supervision lines included.	5
	Local office structure and organisational charts submitted are of a reasonable standard in quality and outline partner/associated organisations and staff, including vacancies, with little or no inconsistencies.	2
	Local office structure and organisational charts submitted but are of a low standard in quality and do not clearly outline all partner/associated organisations, all staff and any relevant vacancies. No chart submitted.	0
<b>E3.2 STAFFING PASS / FAIL</b>		<b>Scoring Result</b>
E3.2	Potential Providers answer 'yes' to E3.2	Pass
	Potential Providers answer 'no' to E3.2	Fail
<b>E3.3 TUPE PASS / FAIL</b>		<b>Scoring Result</b>
E3.3	Potential Providers answer 'yes' to E3.3	Pass
	Potential Providers answer 'no' to E3.3	Fail

<b>E4 - BUSINESS CONTINUITY SCORED</b> Word Counts - Max 500 words (E4.3) and 300 words (E4.5)		<b>Scoring Result</b>
E4.1 - E4.3	Comprehensive plan in place, with well articulated examples of various scenario planning covering most feasible risks	5
	Good plan in place or E4.3 response provides evidence of business continuity arrangements covering major risks	2
	Inadequate, or no evidence of business continuity arrangements covering major risks	0
E4.4	Not scored - Information purposes only (must be completed)	0
E4.5	Potential Provider gave adequate answer to question	2
	Potential Provider did not give adequate answer to question	0

<b>E5 - QUALITY ASSURANCE</b> <b>SCORED</b> Word Count - Max 300 words each (E5.2 + E5.3)		<b>Scoring Result</b>
E5.1 - E5.2	Potential Providers answer 'yes' to E5.1 and certificate / evidence supplied for having ISO9001 or other thorough Quality Assurance scheme in place - covering key activities to a high standard	5
	Potential Providers answer 'yes' to E5.1 and provide sufficient evidence to support having a Quality Assurance Scheme in place covering some of, but not all key activities	2
	Potential Providers answer 'no' to E5.1 and/or fail to sufficiently evidence that they have a robust systematic Quality Assurance scheme in place	0
E5.3	Not scored - Information purposes only (must be answered if Potential Providers answer 'no' to E5.1) Word Count - Max 300 words	0

<b>E6 - HEALTH AND SAFETY</b> <b>SCORED</b> Word Counts - Max 200 words each (E6.5 + E6.7)		<b>Scoring Result</b>
6.1 - 6.2	Potential Providers answer 'yes' to E6.1 and appropriate certificate supplied	2
	Potential Providers answer 'no' to E6.1	0
6.3 - 6.5	Potential Providers answer 'yes' to E6.3 and provide a policy that evidences high standards of Health and Safety covering high risk activities	5
	Potential Providers answer 'yes' to E6.3 and provide a policy that evidences good standards of Health and Safety covering high risk activities	2
	Potential Providers answer 'yes' or 'no' to E6.3 but only provide limited evidence of Health and Safety management policies to a reasonable standard	1
	Potential Providers answer 'no' to E6.3 and/or did not supply adequate evidence of Health and Safety management policies in place	0
6.6	Potential Providers answer 'no' to E6.6	2
	Potential Providers answer 'yes' to E6.6	0
6.7	Not scored but must be answered if Potential Providers answer 'yes' to E6.6	0

<b>E7 - ENVIRONMENTAL MANAGEMENT</b>		<b>Scoring Result</b>
<b>SCORED</b> Word Count - Max 250 words (E7.3)		
7.1 - 7.2	Potential Providers answer 'yes' to E7.1 and provide certificate and / or an appropriate Environmental Policy of a good standard	5
	Potential Providers answer 'yes' to E7.1 and provide certificate and / or an appropriate Environmental Policy of an adequate standard	2
	Potential Providers answer 'yes' to E7.1 but do not provide adequate evidence or answer 'no' to E7.1	0
7.3	Not scored - Information purposes only (must be answered if Potential Providers answer 'no' to E7.1) Word Count - Max 250 words	0

<b>E8 - EQUAL OPPORTUNITIES</b>		<b>Scoring Result</b>
<b>SCORED</b> Word Counts - Max 200 words each (E8.2 + E8.3 + E8.5 + E8.7 + E8.9)		
8.1	Not scored - Information purposes only (must be answered)	0
8.2 - 8.3	Potential Providers answer 'yes' to E8.1 and policy supplied. Comprehensive policies and/or procedures offering good assurance of meeting legal obligations and high standards of practice	5
	Potential Providers answer 'yes' to E8.1 and policy supplied. Adequate policies and/or procedures offering reasonable assurance of meeting legal obligations and good standards of practice	2
	Unsatisfactory and/or absent policies and procedures offering poor assurance of meeting legal obligations and below average standards of practice	0
8.4 - 8.5	Potential Providers answer 'yes' to E8.4 and satisfactorily answered E8.5 with higher than average standards of practice	5
	Potential Providers answer 'yes' to E8.4 and satisfactorily answered E8.5 with reasonable standards of practice	2
	Potential Providers answer 'no' to E8.4 or answered 'yes' but fail to satisfactorily answer E8.5 with lower than average standards of practice	0
8.6 - 8.7	Potential Providers answer 'yes' to E8.6 and supply a good answer in E8.7, showing good assurance of meeting this requirement with high standards of practice	2
	Potential Providers answer 'no' to E8.6 or answered 'yes' but fail to satisfactorily answer E8.7, by supplying a poor answer offering inadequate assurance of meeting this requirement or show low standards of practice	0

8.8	No finding of unlawful discrimination in past three years	2
	One or more findings against the organisation of unlawful discrimination in the past three years	0
8.9	Not scored - Information purposes only (must be answered if Potential Providers answer 'yes' to E8.8)	0

<b>E9 - SAFEGUARDING</b>		<b>Scoring Result</b>
<b>SCORED</b> Word Counts - Max 250 words (9.2)		
9.1	Potential Providers answer 'yes' to E9.1 (and policy supplied)	<b>Pass</b>
	Potential Providers answer 'no' to E9.1	<b>Fail</b>
9.2	Policy supplied and well communicated to staff. Comprehensive policies and/or procedures offering good protection safeguards for vulnerable Clients. High standards of practice.	7
	Policy supplied and reasonable answer given in relation to communication with staff. Adequate policies and/or procedures offering reasonable assurance of protection safeguards for vulnerable Clients. Good standards of practice.	3
	No policy supplied and/or poor example given in relation to communication with staff. Unsatisfactory and/or absent policies and procedures offering poor assurance of protection for vulnerable Clients. Low standards of practice.	0
9.3	Potential Provider has supplied their safeguarding incidents log for the last 3 years. It has been anonymised and evidences high standards of practice and lessons learned.	7
	Potential Provider has supplied their safeguarding incidents log for the last 3 years. It has been anonymised and evidences good standards of practice and lessons learned.	4
	Potential Provider has supplied their safeguarding incidents log for the last 3 years. It evidences reasonable standards of practice.	2
	Potential Provider has not supplied their safeguarding incidents log for the last 3 years or what is supplied evidences low standards of practice.	0



<b>E10 - TECHNICAL CAPABILITY</b>		<b>Scoring Result</b>
<b>SCORED Word Count - Max 1200 words (in total)</b>		
10.1	Comprehensive answer which evidences that provider promotes social inclusion for Clients to be socially active in and outside Clients homes - to a high standard	7
	Some aspects of social inclusion for Clients evidenced in and outside Clients homes - average expectations met	3
	Answer does not adequately address or evidence that provider promotes social inclusion for Clients	1
10.2	Comprehensive answer which evidences a thorough understanding and incorporation of person centred approach with all Clients - to high standard	7
	Some aspects of person centred approach incorporated and evidenced - average expectations met	3
	Answer does not adequately address or evidence a person centred approaches with Clients	1
10.3	Comprehensive answer which evidences that provider has a good training and recruitment program in place for new staff entering their organisation, with appropriate refresher courses being offered and undertaken as required - high standards	7
	Answer provides some evidence to confirm that provider has reasonable training and recruitment program in place for new staff entering their organisation, with appropriate refresher courses being offered and undertaken as required - average expectations met	3
	Answer does not adequately address or evidence that provider trains staff to a sufficient level	1
10.4	Comprehensive answer which evidences that provider actively enables Clients to be involved in the development and evaluation of their services on a regular basis - high standards	7
	Some evidence provided to support the inclusion of Clients in the development and evaluation of their services on a regular basis - average expectations met	3
	Answer does not adequately address or evidence that provider actively enables Clients to be involved in the development and evaluation of their service on a regular basis	1
10.5	Comprehensive answer which evidences a thorough understanding of delivering a needs led service and that provider tailors their services around the needs and goals of the Clients	7

	Some evidence provided to support a needs and goals led service and approach with Clients - average expectations met	3
	Answer does not adequately address or evidence that provider takes a needs and goals led approach with their services or Clients	1
10.6	Comprehensive answer which evidences that outcome measurement tools are being used to record and maximise Client outcomes and are being used as standard practice - expectations met or exceeded	7
	Some evidence provided to support providers use of outcome measurement tools contained in answer - average expectations met	3
	Answer does not adequately address or evidence the use of outcome measurement tools	1
10.7	Potential provider has demonstrated comprehensive strategies in place and offered a good example of how they have succeeded in moving Client/s on	7
	Potential provider has evidenced that they have strategies in place and are still working towards clients moving on	3
	Potential provider has evidenced inadequate strategy or have provided insufficient evidence that clients are in process of moving on	1

#### FORM F - UNDERTAKING

Not scored, although must be completed.

## Scoring and Weighting

The tables below shows the overall weightings for each individual section of the PQQ. The detailed breakdown is given on the appended PQQ Scoring Sheet and Weighting. This assumes that the organisation has passed all the pass/fail sections of the questionnaire.

The pass/fail sections are as follows:

Section of PQQ	Description
A1.1	CQC Registration for Personal Care
A2.1	Minimum of 3 years experience of providing Autistic Spectrum Condition (ASC) Services
Form B	Mandatory Rejection
Form C	Discretionary Rejection
D1	Economic and Financial Standing
D2	Rates
D3	Insurances
E2.1 (Linked with E1)	Minimum number of References returned
E3.2	Team Teach or SCIPr Trained
E3.3	TUPE
E9.1	Safeguarding Policy

## Scored sections of PQQ

Description		Sub-section points available	Section weighting as % of overall score (100%)
<b>Technical and Professional Ability (Form E)</b>		<b>Max 109 points</b>	<b>70%</b>
E1.1 - E1.4	Experience and Contract examples (Autistic Spectrum Condition) (E1.1-4)	Max 20 points	10%
E1.5	Contract Penalties and termination (E1.5)	Max 5 points	5%
E2.2 A+B	References - PART A & PART B	Max 25 points	15%
E3.1	Local Office Structure / Organisational Chart (E3.1)	Max 5 points	5%
E4	Business Continuity (E4)	Max 7 points	5%
E5	Quality Assurance (E5)	Max 5 points	5%
E6	Health and Safety (E6)	Max 9 points	5%
E7	Environmental Management (E7)	Max 5 points	5%
E8	Equal Opportunities (E8)	Max 14 points	5%
E9	Safeguarding (E9)	Max 14 points	10%



Description		Sub-section points available	Section weighting as % of overall score (100%)
<b>Technical capabilities (E10)</b>		<b>Max 49 points</b>	<b>30%</b>
<b>E10.1</b>	Promotion of Social Inclusion	Max 7 points	<b>4.285 %</b>
<b>E10.2</b>	Delivery of Person Centred Approach	Max 7 points	<b>4.285 %</b>
<b>E10.3</b>	Specialist Staff Training	Max 7 points	<b>4.285 %</b>
<b>E10.4</b>	Actively enable service users in developing their service and service evaluation	Max 7 points	<b>4.285 %</b>
<b>E10.5</b>	The service should be needs and goals led	Max 7 points	<b>4.285 %</b>
<b>E10.6</b>	Outcome measurement tools	Max 7 points	<b>4.285 %</b>
<b>E10.7</b>	Ability to assist clients to move on to other housing/support options	Max 7 points	<b>4.285 %</b>
<b>Total</b>		<b>Max 158 points</b>	<b>100%</b>

### Criteria for determining size of shortlist

The number of candidates to be invited to tender will be based on the highest score, with a minimum of three providers and up to a maximum of five providers. Selection of these organisations will be based upon the top five highest scores.