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promoting supply chain excellence

Assessment Guidance

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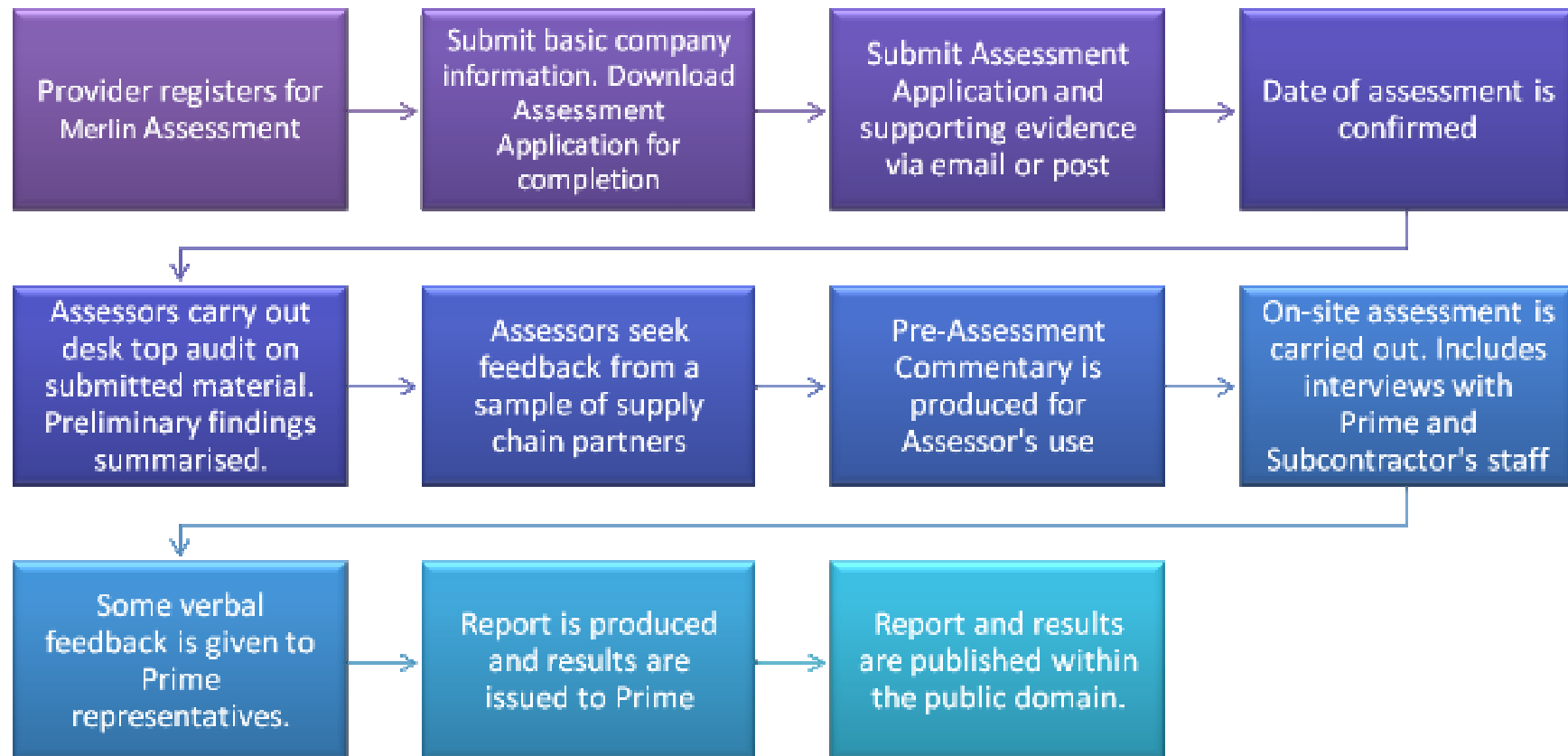
Overview

The Guidance document is designed to offer practical advice for preparing for assessment as well as providing information regarding the assessment process

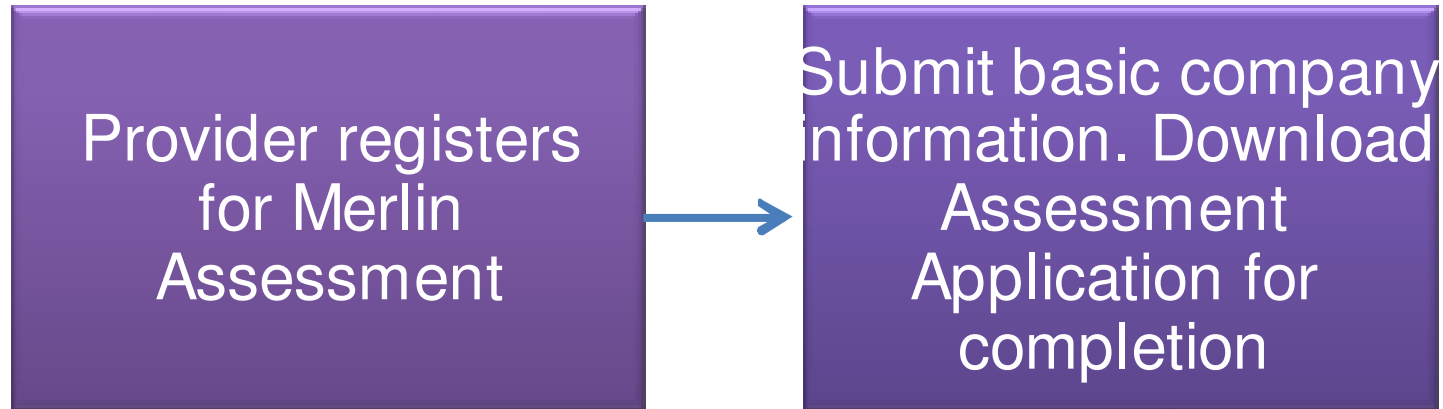
As a first draft, comments and suggestions are welcome

Will continue to evolve and develop as assessments progress and provider support needs are identified

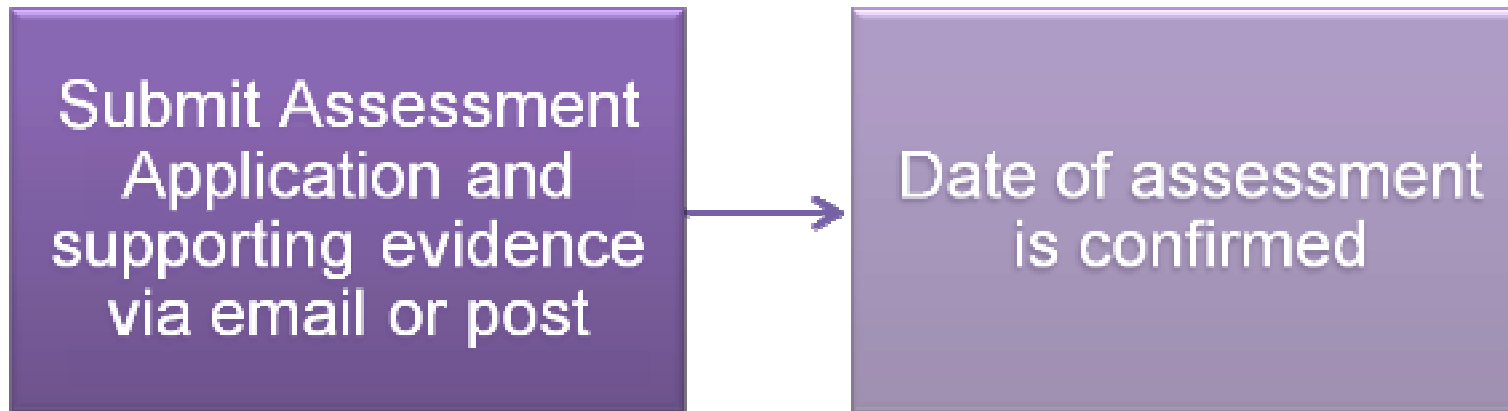
Assessment Process



In detail...



- FND Phase 1 Primes automatically registered for the pilot phase of assessments commencing in April
- No need to re-register to participate
- For the pilot phase of assessments, your Merlin nominee will receive an electronic copy of the Assessment Application form



- Supporting evidence should be sufficient to provide assessors with a full picture of your supply chain
- Ideally, evidence should be submitted electronically
- Once the web portal is developed, you will be able to make all submissions on-line
- Provisional assessment dates have been set for the pilot
- In future providers will be given a range of assessment dates to choose from

Assessors carry out desk top
audit on submitted material.
Preliminary findings summarised.

- Assessors will thoroughly review your application and supporting evidence
- Assessors may contact you to request additional evidence or seek clarity about something. This will be directed through your nominated person
- Primarily looking to validate statements made within the Assessment Application
- Assessors will use the application to formulate questions for Primes and supply chain partners

Assessors seek feedback from a sample of supply chain partners

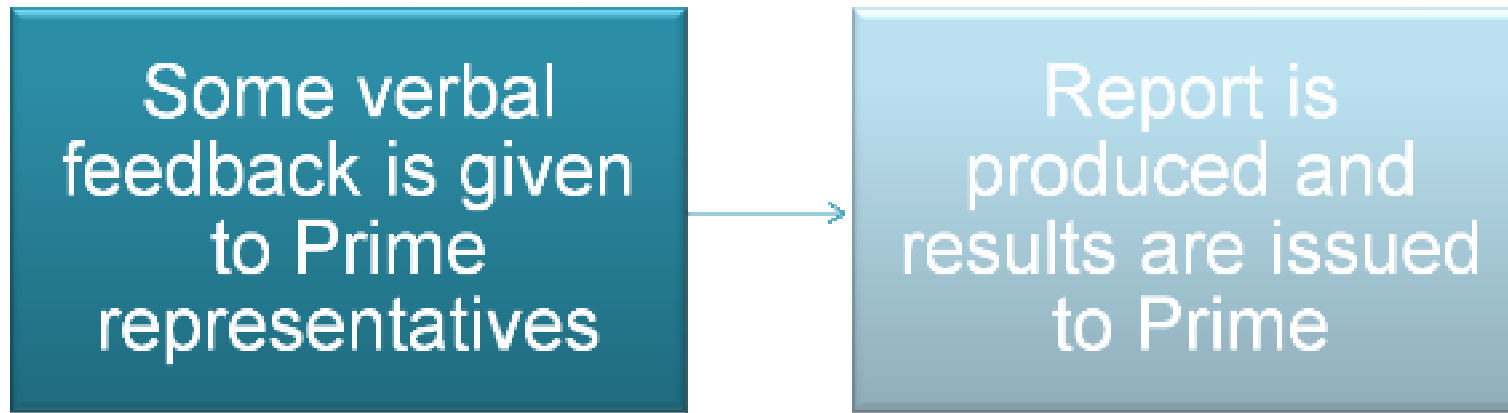
- A crucial step in the assessment process
- Feedback will be collected via email from a representative majority of supply chain partners
- Feedback will be gathered using a generic form
- Additional, more directed feedback will be sought from a smaller sample of providers via telephone interviews
- Questioning becomes more specific as the assessment progresses

On site assessment is carried out

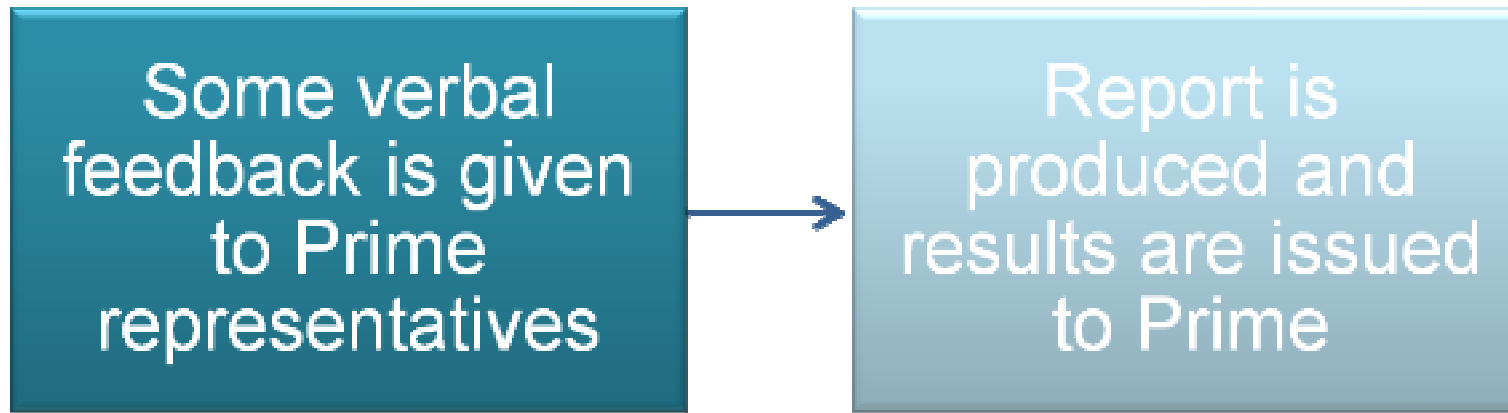
- Designed to be as focussed as possible and avoid unnecessary disruption to daily operations
- Assessors will work to a schedule formulated alongside the Prime's nominated person for mutual convenience
- Include interviews with key members of Prime personnel
- A small selection of supply chain partner representatives will also be interviewed

On site assessment is carried out

- Assessors will seek to confirm and explore initial findings from paper based evidence
- In many instances, verbal evidence from both Prime and supply chain partners will be sufficient to make a judgement (eg meetings)



- At the end of the on site visit, some verbal feedback will be given to the Prime's nominated representative by the Lead Assessor
- Verbal feedback will not be detailed and is not an indication of success or failure against the Standard
- Some additional evidence may be requested before the final report is published



- During the pilot assessments the Prime will receive a summary report which places the organisation into one of three categories:
 Excellent, Compliant or Unsatisfactory
- The report will also include areas for improvement and areas of strength and good practice

Report and results are published in the public domain

- During the pilot assessments, results will not be made public
- DWP will receive a copy of the summary report
- Prime Contractors may choose how they feedback to their supply chain partners
- Reports should be used to inform improvements in supply chain management

Your Feedback

It is essential that the views and concerns of the provider community are taken into account in the design of assessment processes and practices

You will be asked for your feedback at the end of your involvement in the process.

Please be candid!

This is your opportunity to inform the manner in which Merlin is administered and positively influence its scope and impact on commissioning and supply chains

Information we will require

- Application Assessment Form
- Basic company information (contact name, address, delivery areas etc)
- Supply chain partner information (contact details, delivery type, customer groups etc)
- Name and contact details for a single point of contact within your organisation
- Supplementary evidence



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Preparation for Assessment Stage

Purpose of the Pilot Assessments

To thoroughly test the Merlin Standard

To inform approach, scope, intensity and processes of future Merlin assessments

Allow broader provider community to shape the future of Merlin assessments to ensure they meet the provider's needs

Assessments will be 'light touch' although will aim to reflect actual assessment

Providers will receive a summary report

Feedback will be encouraged throughout the process

Contributions or suggestions for the Assessment Guidance will be welcomed

The deadline for the submission of Application forms and supporting evidence is **4pm on 19th March 2010**

Applies to all providers, irrespective of actual assessment date

Early submissions welcomed

Dates of assessment have been randomly pre-set but all assessments will take place between 22nd March & 7th May 2010

Assessment will include a one day on site visit from 2 assessors

Please liaise with your lead assessor to arrange a schedule for that day

DWP will join assessment teams for a selection of assessments in a Quality Assurance capacity, to observe only

Schedule of FND1 Pilot Assessments

Week Beginning	Provider's to Be Assessed	On Site Assessment Day
22 nd March 2010	Calder	24 th March 2010
29 th March 2010	Skills Training, Remploy	31 st March 2010
5 th April 2010	FourstaR, Dudley MBC	8 th April 2010
12 th April 2010	A4e, Seetec, Ingeus	14 th April 2010
19 th April 2010	Avanta	21 st April 2010
19 th April 2010	Serco	22 nd April 2010
27 th April 2010	Maximus	29 th April 2010
27 th April 2010	Wise Group	30 th April 2010
3 rd May 2010	Pertemps, Working Links	6 th May 2010

All feedback, evidence, comments and observations will be strictly confidential

You will also receive a letter confirming the assessment dates, name and contact details of your lead assessor and an electronic copy of the Assessment Application



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Mediation & Arbitration

Simon Shimmens

The Department for Work & Pensions

Mediation & Arbitration Service

- Only positioned to consider cases that have failed dispute resolution
- Process uses a mediation filter (one person) and an arbitration panel (four people, including the mediator)
- Will be running a couple of test cases through the process and reviewing
- A menu of options (awards) is required

Mediation & Arbitration Service

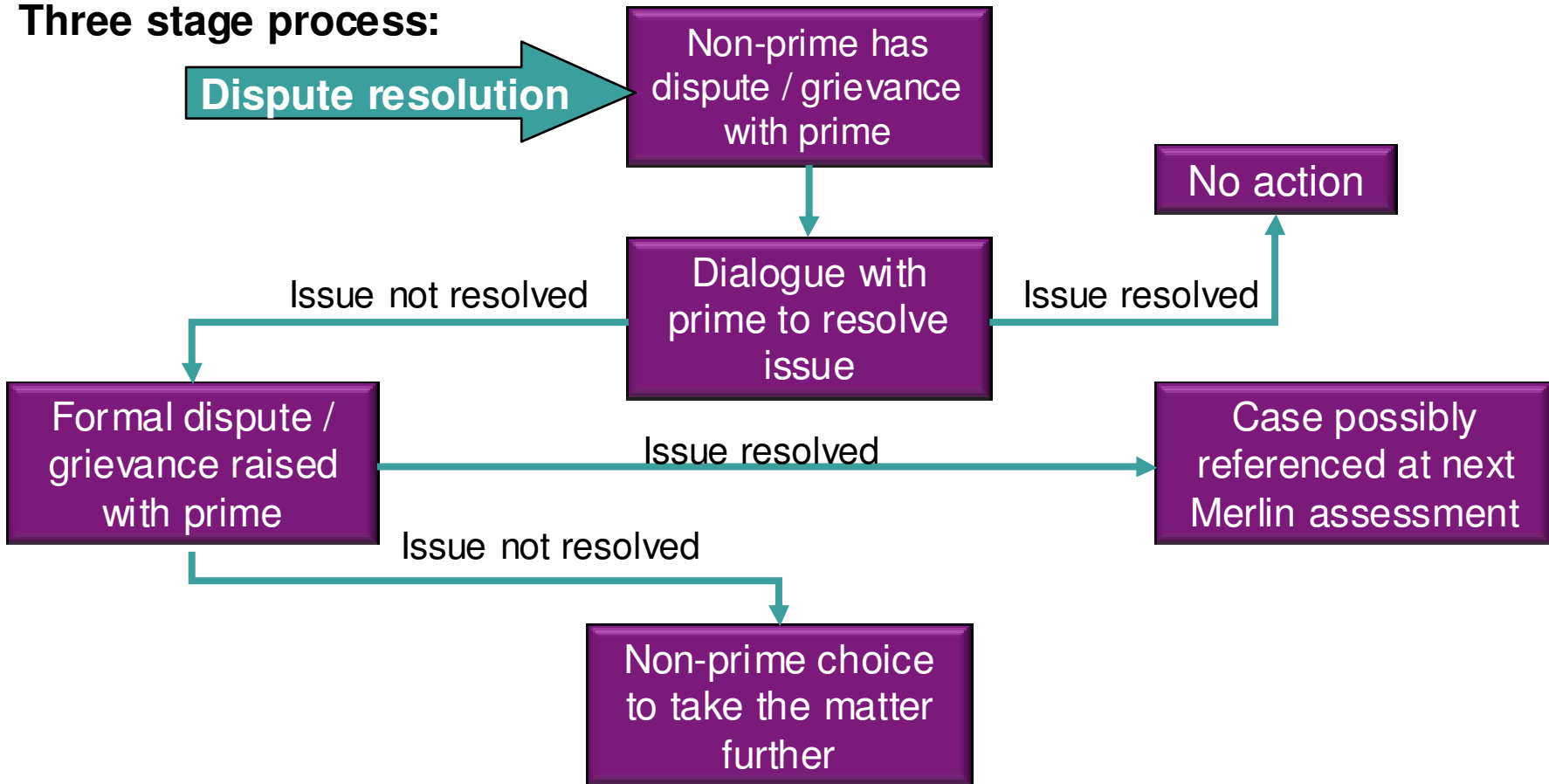
Procurement process:

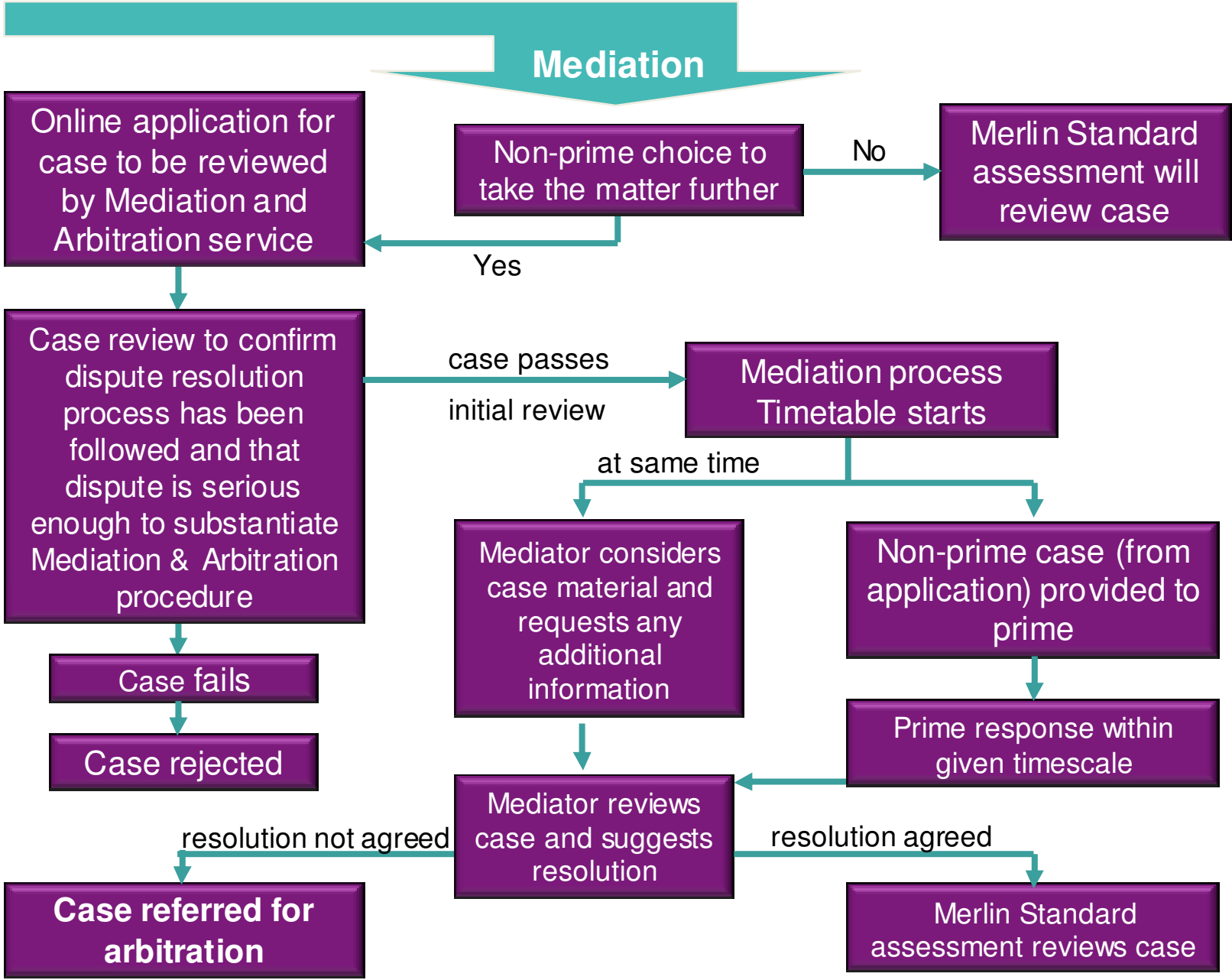
Contract award confirms primes have dispute resolution procedures in place

Merlin assessment:

Reviews dispute resolution approach and gains feedback from non-primes

Three stage process:





Arbitration

