

## **Appendix A – Information to be submitted with files for assessment**

As part of the file audit process, we require information as to the status of each fee-earning individual / caseworker undertaking LSC funded work, and supervision arrangements operating within your organisation. The following information is required to be returned with the files requested –

### **1. Supervisors**

- The name of each supervisor, the category of work in which they are supervising, and the number of fee earners / caseworkers they supervise

### **2. Fee Earners**

- The name of each fee earner / caseworker and the category of work in which they undertake fee earning work (any tolerance work should be denoted by the word ‘tolerance’).
- The current caseload of each individual (i.e. estimate of the number of open LSC funded cases)
- The number of CPD points or (equivalent) obtained in the previous 12 months

### **3. Additional information** required for firms holding **Immigration and Crime contracts**, and where **new fee earning staff / caseworkers** have joined the organisation since the previous audit.

- For those working within the **Crime category**, whether or not individuals are designated fee earners / caseworkers, and whether they are solicitors, probationary representatives or accredited representatives. You must include in your list of names any designated outdoor clerks or agents.
- For those working in the **Immigration category**, whether or not these individuals would meet the Supervisor Standards for Immigration work.
- For **new starters**, completed status enquiry forms for any new fee-earning members of staff / caseworkers who have commenced employment since the last audit.

**Please note that you may submit this information in any format. You may wish to submit pages from your office manual or use the form attached.**

Name of Supervisor	Category(ies) of work supervised	Number of Fee Earners / Caseworkers Supervised

Name of Fee Earner / Caseworker	New F/E?*	Category(ies) of work undertaken	Current Caseload	Number of CPD points (or equivalent) obtained in the last 12 months	CRIME ONLY		IMMIGRATION ONLY Does Fee earner / caseworker meet Supervisor Stds (Y/N)
					Designated Fee earner /caseworker (Y/N)	Duty Sol (DS), Sol (S), Probationary Rep (PB) or Accredited Rep (AR)**	

\*Please enclose appropriate Status Enquiry Forms

\*\* Tick all that apply