

**GENERAL CIVIL CONTRACT – NOT FOR PROFIT CONTRACT COMPLIANCE AND COSTS ASSESSMENT AUDIT**

Supplier's name			
Supplier's account number			
Date of audit			
Audit type e.g. "Educational"			
Audit Sample type ("Initial" or "Further")			
Sample size audited	Open Files	Closed Files	Total Files
Categories of Work audited			
Auditor			
Account manager			
Individual disbursement limit £			
Upper casework limit (if any): hrs (Legal Help / CLR)			

# AUDIT SUMMARY

	File Name/ Ref no	Matter type code		End point	Redt'n code(s)	Time taken to audit	NOTIONAL REDUCTIONS			ACTUAL REDUCTIONS		
							DCT claimed (mins)	DCT allowed (mins)	Red'n %	DCT claimed (mins)	DCT allowed (mins)	Red'n %
1												
2												
3												
4												
5												
6												
7												
8												
9												
10												
<b>Total</b>												

DCT is Direct Casework Time

**Codes (Contract references in bold)**

1	Insufficient evidence of CW – <b>Spec 6.6/6.11</b>	12	Disbursements <b>Spec 3.17/3.20</b>
2	No evidence of CW – <b>Spec 6.6/6.11</b>	13	Special arrangements – <b>Spec 2.6/3.1</b>
3	Admin work – <b>Spec 4.8</b>	14	Devolved powers – <b>Spec 10.6</b>
4	Unreasonable/duplicate CW – <b>Spec 6.6/6.11</b>	15	Upper casework limit – <b>Spec 5.8</b>
5	File review – <b>Spec 4.3</b>	16	Immigration Non verbatim note – <b>Spec 13.5</b>
6	Means assessment (no evidence of income) – <b>Spec 2.5</b>	17	Out of scope – <b>Spec 1.7</b>
7	Means assessment (not assessed/client not eligible) – <b>Spec 2.4</b>	18	File submission – <b>ST A 3.9</b>
8	CW1 or 2 not completed – <b>Spec 2.7</b>	19	Late submission of forms – <b>ST 7B.12</b>
9	CW claimed before form signed – <b>Spec 2.6</b>	20	Other
10	Sufficient benefit test – <b>Spec 3.12</b>	21	No reduction
11	Work outside authorised categories or tolerance - <b>ST 7.B7</b>	22	Under claimed
		23	Separate Matters <b>Spec 3.13</b>

**Notes:** Reduction codes shaded in grey are matters for observation only at educational audit. Reductions can only be made in relation to unshaded matters where work was done AFTER 1<sup>st</sup> April 2003, and the amount assessed off the file sample is more than 10%. **7&8** in cases where reductions may be made consider whether any time should be allowed (e.g. up to 20 mins) under Level 1. **11 & 17** Work not authorised or out of scope: nil asses work from 1<sup>st</sup> April 2003 **12** Disbs: where prior auth not obtained and disb exceeds limit, Where amount assessed off a file sample is 10% or less do not make any reduction (para 10, contract overview).



## CONTRACT QUESTIONS

Audit of LSC forms		1	2	3	4	5	6	7	8	9	10
<b>1</b> 2.4/2.7	Is the eligibility section completed in full?										
<b>2</b> 2.2	Has the adviser correctly assessed the client's eligibility?										
<b>3</b> 2.4/2.7	Is the certification signed and dated by the client?										
<b>4</b> 2.7	Are all the client's details completed on the form in full?										
<b>5</b> 2.5	Is there evidence of income (financial eligibility) on the file?										
<b>6</b> 2.5	Is there evidence of capital (financial eligibility) on the file (if applicable)?										
<b>7</b> S.T A 3.11	Does the matter type code on the CMRF correctly identify the subject matter of the case? If not, show correct matter type										
<b>8</b> S.T A 3.11	Is the end point correct on the CMRF? If not, show correct end point										
<b>9</b> S.T 7B.12	Was the CMRF sent in on time? (if applicable)										

<b>Scope, sufficient benefit, separate matters, category/tolerance</b>		1	2	3	4	5	6	7	8	9	10
<b>10</b> 1.7	Is the work within the legal help/advice and assistance scheme?										
<b>11</b> St7B7	Is the work within authorised categories of work/tolerance?										
<b>12</b> 3.5	Does the case meet the sufficient benefit test at the outset of the case?										
<b>13</b> 3.5	Does the case continue to fulfil the sufficient benefit test during the lifetime of the case?										
<b>14</b> 3.13	If more than one issue/category has been addressed on this file, is this appropriate?										
<b>15</b> 3.13	Should this case have been split into separate matters?										
<b>16</b> 3.13	Should this case have been combined with another matter and recorded as a single matter?										
<b>Controlled Legal Representation</b>		1	2	3	4	5	6	7	8	9	10
<b>17</b> 8.2	Where CLR was granted, is this within guidelines?										
<b>Help at Court</b>		1	2	3	4	5	6	7	8	9	10
<b>18</b> 7.3	<b>Help at Court:</b> Has the sufficient benefit test been applied in relation to each hearing?										
<b>19</b> 7.3	<b>Help at Court:</b> Is Help at court a more appropriate level of service than representation?										

<b>Upper casework limit and disbursements</b>		1	2	3	4	5	6	7	8	9	10
<b>20</b> 5.8 / 8.7	Is the work within any upper casework limit?										
<b>21</b> 5.8 / 8.7	Where an upper casework limit has been exceeded, has prior authority been obtained? If so, what was the date and limit of the new grant?										
<b>22</b> 3.18-3.24	Where a disbursement has been incurred is this within the Individual Disbursement Limit?										
<b>23</b> 3.19	If not, was prior authority obtained to increase disbursement limit?										

<b>Special arrangements (devolved powers)</b>		1	2	3	4	5	6	7	8	9	10
<b>24</b> 2.6	Where telephone advice has been provided before the form is signed, is this justified on the file?										
<b>25</b> 2.6	Where the adviser has claimed outward travel before the application form was signed, is this justified on file?										
<b>26</b> 3.1	Where a postal application is accepted by an adviser, is this justified on the file?										

<b>27</b> 2.11	Where the adviser has accepted an application on behalf of a patient or child is this justified on file?										
<b>28</b> 2.10 & 3.1	Where the adviser has travelled to visit the client, is this justified on the file?										
<b>29</b> 3.3	Where the client has received previous Legal help on the same matter, is further assistance justified on the file?										

<b>Immigration only</b>		<b>1</b>	<b>2</b>	<b>3</b>	<b>4</b>	<b>5</b>	<b>6</b>	<b>7</b>	<b>8</b>	<b>9</b>	<b>10</b>
<b>30</b> 13.1	If there is any work undertaken on file by a non-experienced person, has this been checked by the experienced caseworker with conduct of the case?										
<b>31</b> 13.5	Is the individual who attended the client on interview with the immigration services an immigration caseworker with the organisation?										

## SQM QUESTIONS

File management		1	2	3	4	5	6	7	8	9	10
<b>32</b> E1.2a	Does the file show that a conflict of interest check has been correctly addressed at the start of the case and elsewhere?										
<b>33</b> E1.2e	If there is inactivity on the file over 3 months, has this been justified?										
<b>34</b> E1.3	Is the file logical and orderly?										
<b>35</b> E1.3	Is key information clearly shown on file?										
<b>36</b>	Is there a clear and accurate running record of time spent on the file?										
At the start of the case		1	2	3	4	5	6	7	8	9	10
<b>37</b> F1.1A	Does the file show the requirements or instructions of the client?										
<b>38</b> F1.1A	Are these confirmed to the client in writing?										
<b>39</b> F1.1B	Does the file show the advice given by the organisation?										
<b>40</b> F1.1B	Is this confirmed to the client in writing?										
<b>41</b> F1.1B	Does the file show the action to be taken by the organisation?										
<b>42</b> F1.1B	Is this confirmed to the client in writing?										
<b>43</b> F1.1C	Does the file show the name and status of the person dealing with the matter?										

<b>44</b> F1.1C	Are these confirmed to the client in writing?										
<b>45</b> F1.1B	If there are any limits to the ability or willingness of the organisation to act, are these confirmed to the client in writing?										
<b>46</b> F1.1 F1.2 G1.1	Is the client informed in writing of whom they should raise any complaint?										
<b>During the case</b>		<b>1</b>	<b>2</b>	<b>3</b>	<b>4</b>	<b>5</b>	<b>6</b>	<b>7</b>	<b>8</b>	<b>9</b>	<b>10</b>
<b>47</b> F1.2B	If there any key dates in the matter, is the client informed of these in writing?										
<b>48</b> F2.2	Has the client received an update of progress in writing after key events in the matter, and at appropriate point in the case?										
<b>49</b> F2.5	Where applicable, has the client been informed in writing where there has been a change in the person conducting the case?										
<b>At the end of the case</b>		<b>1</b>	<b>2</b>	<b>3</b>	<b>4</b>	<b>5</b>	<b>6</b>	<b>7</b>	<b>8</b>	<b>9</b>	<b>10</b>
<b>50</b> F3.1A	Has the client received a file-closing letter covering the outcome of the case?										
<b>51</b> F3.1A	Has the client received a file-closing letter covering any additional action necessary?										
<b>52</b> F3.1B	Has the client received a file-closing letter covering the storage and retrieval of papers?										

<b>53</b> F3.1D	Have original documents been returned to the client?										
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<b>Use of approved suppliers</b>		1	2	3	4	5	6	7	8	9	10
<b>54</b> F5.5	Are the instructions to the supplier clear, comprehensive and accurate?										
<b>55</b> F5.3	Where requested, does the file show evidence of the review of opinions and reports from 3 <sup>rd</sup> parties by the caseworker?										

<b>Where the case contains a public funding certificate</b>		1	2	3	4	5	6	7	8	9	10
<b>56</b> F1.2C	Does the file show a costs estimate?										
<b>57</b> F1.2C	Is this confirmed to the client in writing?										
<b>58</b> F1.2C	Does the file show information given about the statutory charge?										
<b>59</b> F1.2C	Is this confirmed to the client in writing?										
<b>60</b> F1.2C	Does the file show information given about the client's obligation to pay any potential contributions and the consequences of not doing so?										
<b>61</b> F1.2C	Is this confirmed to the client in writing?										
<b>62</b> F1.2C	Does the file show information given about discharge and revocation?										
<b>63</b> F1.2C	Is this confirmed to the client in writing?										
<b>64</b> F2.3A	Has the client received an update on actual costs to date of the matter in writing at least every six months?										

<b>65</b> F2.3C	Has the client received a revised or confirmed estimate of costs for the whole matter in writing at least every six months?										
<b>66</b> F2.3D	Has the client received a reminder of the effect of the statutory charge in writing at least every six months?										

## **Cost Assessment File Details**



**FILE REF:**            **CLIENT NAME:**

**COSTS ASSESSMENT DETAILS FILE 1**

**A.    Details of actual costs reductions (scope, eligibility, admin work, disbs over limit)**

**B.    Issues raised as observations (sufficient benefit, reasonableness etc)**

**C.    Additional comments and Contractual and Quality Concerns**

**Continuation sheet? Yes/No**



**FILE REF:**            **CLIENT NAME:**

**COSTS ASSESSMENT DETAILS FILE 2**

**A.    Details of actual costs reductions (scope, eligibility, admin work, disbs over limit)**

**B.    Issues raised as observations (sufficient benefit, reasonableness etc)**

**C.    Additional comments and Contractual and Quality Concerns**

**Continuation sheet? Yes/No**



**FILE REF:**            **CLIENT NAME:**

**COSTS ASSESSMENT DETAILS FILE 3**

**A.    Details of actual costs reductions (scope, eligibility, admin work, disbs over limit)**

**B.    Issues raised as observations (sufficient benefit, reasonableness etc)**

**C.    Additional comments and Contractual and Quality Concerns**

**Continuation sheet? Yes/No**



**FILE REF:**            **CLIENT NAME:**

**COSTS ASSESSMENT DETAILS FILE 4**

**A.    Details of actual costs reductions (scope, eligibility, admin work, disbs over limit)**

**B.    Issues raised as observations (sufficient benefit, reasonableness etc)**

**C.    Additional comments and Contractual and Quality Concerns**

**Continuation sheet? Yes/No**



**FILE REF:**            **CLIENT NAME:**

**COSTS ASSESSMENT DETAILS FILE 5**

**A.    Details of actual costs reductions (scope, eligibility, admin work, disbs over limit)**

**B.    Issues raised as observations (sufficient benefit, reasonableness etc)**

**C.    Additional comments and Contractual and Quality Concerns**

**Continuation sheet? Yes/No**



**FILE REF:**            **CLIENT NAME:**

**COSTS ASSESSMENT DETAILS FILE 6**

**A.    Details of actual costs reductions (scope, eligibility, admin work, disbs over limit)**

**B.    Issues raised as observations (sufficient benefit, reasonableness etc)**

**C.    Additional comments and Contractual and Quality Concerns**

**Continuation sheet? Yes/No**



**FILE REF:**            **CLIENT NAME:**

**COSTS ASSESSMENT DETAILS FILE 7**

**A.    Details of actual costs reductions (scope, eligibility, admin work, disbs over limit)**

**B.    Issues raised as observations (sufficient benefit, reasonableness etc)**

**C.    Additional comments and Contractual and Quality Concerns**

**Continuation sheet? Yes/No**



**FILE REF:**

**CLIENT NAME:**

**COSTS ASSESSMENT DETAILS FILE 8**

**A. Details of actual costs reductions (scope, eligibility, admin work, disbs over limit)**

**B. Issues raised as observations (sufficient benefit, reasonableness etc)**

**C. Additional comments and Contractual and Quality Concerns**

**Continuation sheet? Yes/No**



**FILE REF:**

**CLIENT NAME:**

**COSTS ASSESSMENT DETAILS FILE 9**

**A. Details of actual costs reductions (scope, eligibility, admin work, disbs over limit)**

**B. Issues raised as observations (sufficient benefit, reasonableness etc)**

**C. Additional comments and Contractual and Quality Concerns**

**Continuation sheet? Yes/No**



**FILE REF:**            **CLIENT NAME:**

**COSTS ASSESSMENT DETAILS FILE 10**

**A.    Details of actual costs reductions (scope, eligibility, admin work, disbs over limit)**

**B.    Issues raised as observations (sufficient benefit, reasonableness etc)**

**C.    Additional comments and Contractual and Quality Concerns**

**Continuation sheet? Yes/No**

## **SUMMARY OF FINDINGS**

Organisation Name:

Contract number:

### **Summary of findings**

*Notes: Please relate all findings to specific contract provisions and/or SQM requirements. Ensure that actual time reductions are distinguished from notional reductions/observations:*

*Completed by:*

*Date:*

*Checked by:*

*Date:*