

Financial Assessment Forms Checklist

CLSCK3

Relevant to forms CLSMEANS1, CLSMEANS2, CLSMEANS3, CLSMEANS4 AND CLSMEANS5

This Checklist gives information about completing assessment forms. It should be referred to when checking that the client has correctly completed the forms.

If a form is rejected, the reason will fall into one of three categories

Category A

If this information is missing or completed incorrectly, we cannot process the application and it will be rejected. This will be counted as a reject under Franchise monitoring if it fails within a category which is monitored.

Category B

If this information is missing from the financial assessment form it will usually be rejected. In some cases the information may be obtained from accompanying documents or by phoning the solicitor or the applicant. If the application is returned, this will NOT be counted as a reject under Franchise monitoring.

Category C

These notes are for guidance only. Observing this guidance will help staff in the area office process the application and the means assessment as quickly as possible.

CLSMEANS1- Initial assessment and further assessment

Category A

1. The client must sign and date the form. (All signatures must be original).
2. If the applicant/assisted person is under 16, the form must be signed by the guardian ad litem or, where the rules of the court allow the child to begin, prosecute or defend proceedings, by the solicitor. The signature must be the same as that on the application for funding.
3. No changes or additions must be made to the declaration.
4. **Initial assessments only:** The form must be dated no more than 2 months before the date the application was received unless it is a resubmitted form.
5. **Employed clients:** Wage slips (originals or certified copies) or Form L17 must be sent for each job held by the client (and, if relevant, for each job held by their partner), as indicated on the CLSMEANS1. If it is an emergency application they must send at least their latest wage slip. Form L17 must be signed by the employer, not by the client or their partner. New wage slips or form L17 (not a copy of the original form) must be sent when reporting a change in income. Attach form P11D (benefits in kind).
6. Company directors: a Form CLSMEANS1C must be completed for each directorship held by the client and their partner.
7. Self-employed / Partnerships: a form CLSMEANS1A (Self-employed) and/or CLSMEANS1B (Partnerships) must be completed for each self employment and partnership held by the client and their partner. All enclosures indicated on those forms must also be submitted.
8. Questions 1 and 2 (page 1) and Questions 1,2 3 and 4 (page 2) applicant's details must be completed in full.
9. Attach bank/financial statements (originals or certified copies) for each account held by the applicant and partner as indicated on the CLSMeans 1.
10. All other appropriate evidence (as seen in the evidence checklist) must be submitted with the application.

CLSMEANS1 - Initial assessments and further assessments continued

Category B

10. Questions must be ticked 'Yes' or 'No'. Answers such as 'not known' will not be accepted. Full amounts and dates must be given when asked for. In some cases where the omission relates to a deduction claim by the applicant, further enquiries may be made or the deduction may not be allowed, rather than the form being rejected.

Category C

11. In spouse/partner cases where there is no contrary interest, and both spouses/partners are applying, one form is acceptable as long as it has the original signatures and the financial information of both people.

CLSMEANS2 - Initial assessments and further assessments People who receive Income Support/income-based Jobseeker's Allowance/income-related Employment and Support Allowance/Guarantee Credit

Category A

1. The client must sign and date the form. (All signatures must be originals).
2. A national insurance number and full address of the Social Security office or Jobcentre must be given. Exceptionally, where the applicant states that they do not have a National Insurance number then the form shall be accepted.
3. No changes or additions must be made to the declaration.
4. The applicant's/assisted person's details must be completed in full.

Category B

5. The type of benefit received must be confirmed.
6. Questions must be answered in full. Answers such as 'not known' will not be accepted. Dates must be given when asked for.

CLSMEANS3 - Initial assessments and further assessments People whose main home is outside the United Kingdom

Category A

1. The client must sign and date the form. (All signatures must be originals).
2. If the applicant/assisted person is under 16, the form must be signed by the guardian ad litem or, where the rules of the court allow the child to begin, prosecute or defend proceedings, by the solicitor. The signature must be the same as that on the legal aid application form.
3. The applicant's means must be certified by a responsible person on page 17.
4. The form must be signed on page 18 by a witness.
5. **Initial assessments only:** The form must be dated no more than 2 months before the date the application was received unless it is a resubmitted form.

CLSMEANS3 - Initial assessments and further assessments People whose main home is outside the United Kingdom - continued

6. **Employed clients:** A written statement from the applicant's/assisted person's employer (and if relevant, their partner's employer) must be attached for each job held.
7. Company directors: a Form CLSMEANS1C must be completed for each directorship held by the client and their partner.
8. Self-employed / Partnerships: a form CLSMEANS1A (Self-employed) and/or CLSMEANS1B (Partnerships) must be completed for each self employment and partnership held by the client and their partner. All enclosures indicated on those forms must also be submitted.
9. Questions 1, 2, 3, 4, 5 and 7 on pages 2 and 3 (applicant's details) must be completed in full.
10. No changes or additions must be made to the declaration.
11. Attach bank/financial statements (originals or certified copies) for each account held by the applicant and partner as indicated on the CLSMeans 1.

Category B

12. Questions must be ticked 'Yes' or 'No'. Answers such as 'not known' will not be accepted. Full amounts and dates must be given when asked for. In some cases where the omission relates to a deduction claim by the applicant, further enquiries may be made or the deduction may not be allowed, rather than the form being rejected.

CLSMEANS4 - Child applicant under 16 who has less than £2,500 capital and no regular income

Category A

1. The form must be signed and dated by the guardian ad litem or, where the rules of the court allow the child to begin, prosecute or defend proceedings, by the solicitor. The signature must be the same as that on the legal aid application form.
2. The form must be dated no more than 2 months before the date the application was received unless it is a resubmitted form.
3. No changes or additions must be made to the declaration.

Category B

4. The child applicant's details must be completed in full.
5. The name and correspondence address of the person applying on behalf of the child must be completed.
6. Questions 2, and 3 must be completed in full.
7. Questions must be ticked 'Yes' or 'No'. Answers such as 'not known' will not be accepted. Dates must be given when asked for.

CLSMEANS5 - Increase in capital

Category A

1. The client must sign and date the form.
2. Questions 1 to 6 must be completed.
3. All documents (e.g. savings books or bank statements) listed as being sent must be attached to the form.
4. If question 2 or question 3 is answered 'yes', written proof (e.g. receipts or bills) must be attached.
5. No changes or additions must be made to the declaration.

Category B

6. The client's details must be fully completed.
7. Questions must be ticked 'Yes' or 'No'. Answers such as 'not known' will not be accepted. Full amounts and dates must be given when asked for.
8. The solicitor's details must be given.