

# Quality Mark for the Bar

## Self-Assessment Audit Checklist

Details of organisation applying (*please use block capitals*)

<b>Chambers' name</b>	
<b>Chambers' address (main office)</b>	
<b>Number of annexes</b>	
<b>Quality Mark representative</b>	
<b>Telephone number (of representative)</b>	
<b>Facsimile number (of representative)</b>	
<b>Email address (of representative)</b>	

# **Self-Assessment Audit Checklist**

## **1. Purpose**

This audit checklist has been produced to enable you to measure your Chambers' progress in meeting the Quality Mark for the Bar. It must be completed and submitted with the application for the Quality Mark. The information you provide will be used to make an early assessment of your application. If the checklist indicates that your Chambers is likely to be compliant then a preliminary audit (where an LSC Auditor will assess your level of compliance with the Quality Mark both in terms of documentation and practice) will be arranged to look more closely at your application. Therefore, the details entered must accurately reflect the position of your Chambers at the time your application is submitted.

Please note, this checklist is not a substitute for the standard itself, where the requirements are given in full with accompanying definitions (which are mandatory) and guidance. Therefore, it is important that you read the full standard, and ensure your Chambers is compliant, before completing the checklist.

## **2. Guidance**

You may wish to make some copies of the Self-Assessment Audit Checklist in order to conduct internal audits of your Chambers against the Quality Mark thus establishing your Chambers' initial and ongoing compliance. However, please remember that your documented procedures must reflect actual working practice from the time of your application.

## **3. Document and page reference**

You should use the column headed "Document & page ref." to note the document and/or the relevant page number in your procedural documentation of the requirement which is being referred to. Please be as specific as possible when providing these references as not only will it assist you in your application it will also be of considerable assistance to your LSC Auditor in assessing your compliance with the Quality Mark.

	<b>Procedure/process which needs to be in place</b>	<i>Tick or cross as appropriate</i>	<i>Document &amp; page ref. (please be specific)</i>	<i>Quality Mark for the Bar ref.</i>	<b>For LSC Auditor use only</b>
1	Does Chambers have a written equal opportunities policy which clearly states that Chambers will not discriminate on grounds of race, colour, ethnic or national origin, citizenship, nationality, sex, marital status or sexual orientation, disability, age or religion in the provision of services?			A1	
2	Does Chambers have a current business plan that sets out in detail for the current year, and in outline for the following two years, the key objectives for Chambers?			A2.1	
3	Has the business plan considered: <ul style="list-style-type: none"> <li>– Which services Chambers wishes to offer</li> <li>– Details of how Chambers delivers its services</li> <li>– Details of how Chambers intends to promote its services</li> <li>– How many people, with what type of skills (or responsibilities) and costing how much, are required to deliver the planned services</li> <li>– A finance plan and budget showing how Chambers will afford to deliver the planned business activities?</li> </ul>			A2.1	
4	Is the business plan reviewed at least every 6 months and results of the reviews documented?			A2.2	
5	Is there a procedure in place for recording the return of a brief or reassignment of instructions?			B1	
6	Does Chambers have a procedure which ensures that if lay clients contact members directly, they are referred to the CLS/CDS Directory, website or Call Centre?			B2	
7	Is there a procedure in place to ensure that members from Chambers with the Quality Mark are considered when returning a brief or reassigning instructions?			B3	
8	Is an up-to-date referral list of Quality Marked Chambers available to all appropriate staff?			B3	

9	Can Chambers demonstrate control of financial matters and does it have one named person responsible for ensuring the exercise of financial control?			C1	
10	<p>Does the demonstration of financial control include the following:</p> <ul style="list-style-type: none"> <li>– Agreed statements of financial policies, procedures and authorities</li> <li>– Written cash and capital budgets</li> <li>– Record of bank statement reconciliation</li> <li>– Monthly statements of income and expenditure</li> <li>– Up-to-date withdrawal of credit scheme information</li> <li>– Annual purchase and ledger accounts</li> <li>– Annual balance sheets</li> <li>– Analysis and monitoring of aged debtor lists</li> <li>– Evidence of an annual audit of accounts</li> <li>– Records of reviews of finances and procedures</li> <li>– Income and work billed analysis</li> <li>– Systems for collecting contributions?</li> </ul>			C1	
11	<p>Does Chambers have a management structure showing where responsibility lies for:</p> <ul style="list-style-type: none"> <li>– Professional administration</li> <li>– Pupillage</li> <li>– Management and training of staff</li> <li>– Recruitment of new members</li> <li>– Monitoring and implementation of equal opportunities</li> <li>– Financial matters</li> <li>– Library provision</li> <li>– Provision of information to the Bar Council</li> <li>– Business planning and strategy?</li> </ul>			C2	
12	Do members have ready access to adequate legal reference materials which are relevant to each individual area of practice within Chambers and regularly updated?			C3	

13	<p>Do members have access to up-to-date copies of the following:</p> <ul style="list-style-type: none"> <li>– Legal reference material suitable to areas of practice</li> <li>– Code of Conduct of the Bar</li> <li>– <i>Bar News</i></li> <li>– Bar Practice Management Guidelines and Standards</li> <li>– Pupillage Handbook</li> <li>– CPS standard instructions booklet (for Chambers undertaking CPS work)?</li> </ul>			C3	
14	Can Chambers provide a list of all tenants and pupils in their second six months to the LSC upon request for the purpose of undertaking status enquiries?			C4	
15	Can Chambers provide a list showing that all members have appropriate professional indemnity insurance?			C5	
16	Does the equal opportunities policy referred to in point 1 of the checklist extend to the selection, treatment and conduct of members, pupils and support staff?			D1.1	
17	<p>Is there an open recruitment process in operation as evidenced by the following:</p> <ul style="list-style-type: none"> <li>– Written contracts of employment for support staff</li> <li>– Individual, written job descriptions for support staff</li> <li>– Documented disciplinary and grievance procedures</li> <li>– Notes of selection interviews, which are kept for a minimum of 12 months</li> <li>– In the selection of pupils, there must be evidence of compliance with the requirements of the Bar Code of Conduct, the Equality Code and the Pupillage Guidelines?</li> </ul>			D1.2	





