



Legal Aid  
Agency

# Controlled Legal Representation (Imm)

Yes No

Is this an application for Exceptional Case Funding? ☐ ☐ If yes, you must supply an ECF1.

**Any work carried out earlier than the date of the Exceptional Case Funding Certificate is done so at risk and may not be funded should the application be refused. Making a false declaration is an offence. If you are found doing so, you may be prosecuted and asked to repay your costs in full.**

## Equal Opportunities Monitoring

Please tick the boxes which your client would describe themselves as being:

### Ethnicity

#### White

- ☐ (a) British  
☐ (b) Irish  
☐ (c) White Other

#### Mixed

- ☐ (a) White and Black Caribbean  
☐ (b) White and Black African  
☐ (c) White and Asian  
☐ (d) Mixed Other

#### Asian or Asian British

- ☐ (a) Indian  
☐ (b) Pakistani  
☐ (c) Bangladeshi  
☐ (d) Asian Other

### Black or Black British

- ☐ (a) Black Caribbean  
☐ (b) Black African  
☐ (c) Black Other

- ☐ **Chinese**  
☐ **Gypsy/Traveller**

- ☐ **Other**  
☐ **Prefer not to say**

### Disability

The Equality Act 2010 defines disability as: a physical or mental impairment which has a substantial and long-term adverse effect on a persons ability to carry out normal day-to-day activities.

Not Considered Disabled ☐

If a client considers himself or herself to have a disability please select the most appropriate definition.

Definitions:

- |                                |                          |  |                          |
|--------------------------------|--------------------------|--|--------------------------|
| Mental health condition        | <input type="checkbox"/> | Blind  | <input type="checkbox"/> |
| Learning disability/difficulty | <input type="checkbox"/> | Long-standing physical illness or health condition | <input type="checkbox"/> |
| Mobility impairment            | <input type="checkbox"/> | Other  | <input type="checkbox"/> |
| Deaf                           | <input type="checkbox"/> | Unknown  | <input type="checkbox"/> |
| Hearing impaired               | <input type="checkbox"/> | Prefer not to say                                  | <input type="checkbox"/> |
| Visually impaired              | <input type="checkbox"/> |  |                          |

4 Completion of this section is voluntary. This will be treated in the strictest confidence and will be used purely for statistical monitoring and research.

## Your client's details

UCN: \_\_\_\_\_

Title: \_\_\_\_\_ Initials: \_\_\_\_\_ Surname: \_\_\_\_\_

First name: \_\_\_\_\_ Surname at birth: \_\_\_\_\_  
(if different)

Date of birth: \_\_\_\_/\_\_\_\_/\_\_\_\_ National Insurance no: \_\_\_\_\_

Sex: ☐ Male ☐ Female ☐ Prefer not to say

Marital status: ☐ Single ☐ Married/Civil Partner ☐ Cohabiting

☐ Separated ☐ Divorced/dissolved CP ☐ Widowed

Place of birth: \_\_\_\_\_ (town) Job: \_\_\_\_\_

Current address: \_\_\_\_\_

Postcode: \_\_\_\_\_

## Provider Details

<sup>4</sup>Only complete when submitting a copy of this page with an application to the Legal Aid Agency.

Please complete in Block Capitals

Name of provider: \_\_\_\_\_

Address of provider: \_\_\_\_\_

\_\_\_\_\_ Postcode: \_\_\_\_\_

DX (with exchange): \_\_\_\_\_

Telephone number: \_\_\_\_\_ Contract number: \_\_\_\_\_

## Financial Eligibility

1. The client is a child under the age of 18:

☐ Yes Go to note 1 below

☐ No Go directly to question 2 to continue assessment.

### Note 1

**As you have answered YES to question 1 confirming that the client is a child who is applying for Controlled Legal Representation, no further assessment is required. Please complete the Case Details and Merits Criteria on page 6 and the client declaration on page 13.**

## Financial Eligibility continued

2. The client is directly or indirectly in receipt of NASS payment (**Immigration and Asylum category work only**)

☐ Yes Go directly to the Evidence section on page 5

☐ No Go to question 3.

3. Does the client have a partner whose means are to be aggregated?

☐ Yes Please provide details of both client's and partner's means.

☐ No Please provide details of client's means only.

## Part A: Capital

4 Capital excludes household furniture and effects (unless exceptional value), clothes and tools of trade.

1. Property:

Current market value:

Outstanding Mortgage/secured loan:

**Main home      Other property**

£ \_\_\_\_\_

£ \_\_\_\_\_

\_\_\_\_\_ %      \_\_\_\_\_ %

2. Client's share of property for assessment:

4 Select 100% when property is solely owned by client or jointly with partner. Enter an appropriate % if another party has an interest.

3. Total Net Equity (i.e. current market value minus mortgage disregard):

£ \_\_\_\_\_

4 Deduct the full amount of any debt secured by a mortgage or charge on the property.

4. Client's share of Total Net Equity:

£ \_\_\_\_\_

4 Multiply answer to question 3 by answer to question 2.

5. Final assessed amount of Client's equity:

£ \_\_\_\_\_

4 After applying equity disregard of £100,000 to client's share of total net equity in main home (shown as answer to question 4).

## Part A: Capital continued

### 6. Other assets and possessions:

Savings (bank, building society, etc)

Client	Partner
£ _____	£ _____

Investments (shares, insurance policies etc)

£ _____	£ _____
---------	---------

Valuable items (boat, caravan, jewellery, etc)

£ _____	£ _____
---------	---------

Other capital (including money due to the client)

£ _____	£ _____
---------	---------

**Total capital**

£ _____
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## Part B: Income

The client is directly or indirectly in receipt of Income Support, Income-based Jobseeker's Allowance, Income-related Employment and Support Allowance, Guarantee Credit or Universal Credit.

☐ Yes Go directly to the Evidence section on page 5.

☐ No Continue with income details.

### 4 Use monthly figures

(if paid weekly, multiply by 52 & divide by 12)

(if paid four weekly, multiply by 13 & divide by 12)

### Income includes:

#### 4 Gross monthly earnings

Client	Partner
£ _____	£ _____

#### 4 Other income

(including child benefit, pensions, maintenance, dividends, tax credits, benefits in kind, etc)

£ _____	£ _____
---------	---------

**Total gross income**

£ _____	£ _____
---------	---------

**Total gross income (Client and Partner)**

£ \_\_\_\_\_

### Less monthly allowances:

#### 4 Housing costs, including:

Mortgage instalment\* (capped if client has no dependents)

£ _____	£ _____
---------	---------

Rent\* (capped if client has no dependents)

£ _____	£ _____
---------	---------

\* amounts should be net of housing benefit

#### 4 Dependents' allowances:

Partner

£ \_\_\_\_\_

Dependents

Aged 15 and under

£ \_\_\_\_\_

Aged 16 or over

£ \_\_\_\_\_

#### 4 Tax and National Insurance

£ _____	£ _____
---------	---------

#### 4 Standard allowance for employment expenses

£ _____	£ _____
---------	---------

#### 4 Maintenance payments actually being made (eg for children and/or a former/separated spouse)

£ _____	£ _____
---------	---------

#### 4 Childcare costs because of work/self employment

£ \_\_\_\_\_

#### 4 Payment of income contribution order (criminal legal aid).

£ _____	£ _____
---------	---------

**Total allowances**

£ _____	£ _____
---------	---------

**Total monthly disposable income**

£ _____	£ _____
---------	---------

**Total monthly disposable income  
(Client and Partner)**

£ \_\_\_\_\_

## Evidence

Evidence given in support of means

Yes

☐

you will need to complete the  
evidence checklist on page 16.

No

☐

If no, please record justification or exceptional circumstance.

## Case details and merits criteria

For all providers to complete

There should be only one grant of CLR per matter. The merits test (but not the means test) should be reviewed at each stage of the appeal. You should use photocopies of this page as necessary and attach them to the form.

1. Has your client received controlled legal representation from another contracted provider?

2. Give a brief description of the case and the issues involved.

3. What are the prospects of this appeal being successful? Give brief reasons with reference to your client's case.

4. Do the likely benefits to be gained from the proceedings justify the likely costs?

## Case details and merits criteria For applications to the LAA only

### Section A

Please answer the following in **all** cases:

1. What is your client's nationality?
2. Please confirm the date of the asylum claim or immigration application \_\_\_\_/\_\_\_\_/\_\_\_\_
3. Please confirm the date of the Human Rights claim (if different) \_\_\_\_/\_\_\_\_/\_\_\_\_
4. Has this case been certified as clearly unfounded at any time? Yes ☐ No ☐
5. Has your client previously been refused CLR by another provider? Yes ☐ No ☐  
If so, please provide a copy of the CW4 they issued, along with your reasons for believing that decision was incorrect.

6. Has your client previously been refused CLR by the LAA? Yes ☐ No ☐  
If so, please provide a copy of the letter from the LAA detailing the reasons for refusal, along with your reasons for believing that decision was incorrect and why the client has not applied for a review of that decision to the Independent Funding Adjudicator.

7. Does this application for CLR relate to a second or subsequent asylum claim or immigration application? Yes ☐ No ☐  
If so, please fully explain how this application differs:

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### Section B

Please answer the question(s) relevant to the type of application your client has made:

8. For claims under the Refugee Convention, please confirm the following:
  - a) 1951 Convention Ground(s)

## Section B (cont)

8. For claims under the Refugee Convention, please confirm the following:

b) Why IFA is not available in the country of origin

c) Why protection is not available in the country of origin

d) Why the claim is well-founded with reference to objective evidence

9. For Article 3 Human Right claims:

a) Why the decision is in breach of the Convention with reference to current case law?

10. For bail applications, please confirm the following:

a) Date of detention

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b) Reasons for detention

11. Has your client received confirmation from a competent authority that they are believed to have been a victim of trafficking?

Yes ☐ No ☐

If so, please retain a copy of that letter with this application.

Where your client has received such confirmation from the Competent Authority, but their appeal does not relate to asylum or Article 3 Human Rights claim please set out below the nature of the claim with reference to any other 1950 convention ground and/or Immigration Rule.

12. Please explain any other circumstances for the grant of CLR and why you believe this case satisfies the CLR merits test.



# **LEGAL AID AGENCY**

## **PRIVACY NOTICE**

### **Purpose**

This privacy notice sets out the standards that you can expect from the Legal Aid Agency (LAA) when we request or hold personal information ('personal data') about you; how you can get access to a copy of your personal data; and what you can do if you think the standards are not being met.

The LAA is an Executive Agency of the Ministry of Justice (MoJ). The MoJ is the data controller for the personal information we hold. The LAA collects and processes personal data for the exercise of its own and associated public functions. Our public function is to provide legal aid.

### **About personal information**

Personal data is information about you as an individual. It can be your name, address or telephone number. It can also include the information that you have provided in a legal aid application such as your financial circumstances and information relating to any current or previous legal proceedings concerning you.

We know how important it is to protect customers' privacy and to comply with data protection laws. We will safeguard your personal data and will only disclose it where it is lawful to do so, or with your consent.

### **Types of personal data we process**

We only process personal data that is relevant for the services we are providing to you. The personal data which you have provided in your legal aid application will only be used for the purposes set out below.

### **Purpose of processing and the lawful basis for the process**

The purpose of the LAA collecting and processing the personal data which you have provided in a legal aid application is for the purposes of providing legal aid. Our lawful basis is 'the performance of a task carried out in the public interest or in the exercise of official authority' as set out in Article 6(1)(e) of UK GDPR. The tasks are those set out in the Legal Aid, Sentencing and Punishment of Offenders Act 2012. Specifically, we will use this personal data in the following ways:

- In deciding whether you are eligible for legal aid, whether you are required to make a contribution towards the costs of this legal aid and to assist the Legal Aid Agency in collecting those contributions, if appropriate.
- In assessing claims from your legal aid Provider(s) for payment from the legal aid fund for the work that they have conducted on your behalf.
- In conducting periodic assurance audits on legal aid files to ensure that decisions have been made correctly and accurately.
- In producing statistics and information on our processes to enable us to improve our processes and to assist us in carrying out our functions.

Were the LAA unable to collect this personal information, we would not be able to conduct the activities above, which would prevent us from providing legal aid.

We collect 'special categories of personal data'. This data is collected where necessary for the purposes set out above. The condition under which we process this data is Article 9(g) of UK GDPR – Reasons of substantial public interest. Our associated Schedule 1 condition is Statutory and Government purposes. We also collect this data for the purposes of monitoring equality, this is a legal requirement for public authorities under the Equality Act 2010. Special categories of personal data will be treated with the strictest confidence and any information published under the Equality Act will not identify you or anyone else associated with your legal aid application.

We collect 'personal data relating to criminal convictions and offences or related security measures'. This data is collected where relevant for the purposes set out above. The LAA is an Executive Agency of the MoJ, an Official Authority for the purposes of Article 10 of UK GDPR.

## **Who the information may be shared with**

We sometimes need to share the personal information we process with other organisations. When this is necessary, we will comply with all aspects of the relevant data protection laws. The organisations we may share your personal information include:

- Your instructed legal aid Provider(s), including any advocate instructed by a legal aid solicitor;
- Public authorities such as: HM Courts and Tribunals Service (HMCTS), HM Revenue and Customs (HMRC), Department of Work and Pensions (DWP), Home Office and HM Land Registry;
- Non-public organisations such as: Credit reference agencies Equifax and TransUnion and our debt collection partners Advantis Credit Ltd;
- If false or inaccurate information is provided or fraud identified, the Legal Aid Agency can lawfully share your personal information with fraud prevention agencies to detect and to prevent fraud and money laundering. We may specifically share data with HMRC and DWP for fraud prevention, investigation and prosecution purposes; and
- Where a debt is owed to the Legal Aid Agency, we may share your data with public authorities such as HMRC and DWP and with debt collection partners such as Advantis Credit Ltd for the purposes of tracing, debt collection and enforcement.

You can contact our Data Protection Officer for further information on the organisations we may share your personal information with.

## **Data Processors**

We may contract with third party data processors to provide email, system administration, document management and IT storage services. Any personal data shared with a data processor for this purpose will be governed by model contract clauses under data protection law.

We contract with Advantis Credit Ltd as a data processor for the collection and enforcement of criminal legal aid contributions. Any personal data shared with the data processor for this purpose is governed by model contract clauses under data protection law.

## **Automated decision making**

We do not use solely automated decision making within the definition of Article 22(1) of UK GDPR. The overall decision on an application for legal aid or a claim for costs in a legal aid case will always be made by a human decision maker. This could be a member of our staff, or a staff member of a legal aid Provider acting under delegated authority from the LAA.

## **Details of transfers to third country and safeguards**

Personal data may be transferred to locations in the European Economic Area (EEA) where required by our data processors for hosting, storage and secure backup of our IT services. Such transfers are made on the basis of Adequacy decisions between the UK and EEA in accordance with Article 45 of UK GDPR.

## **Retention period for information collected**

Your personal information will not be retained for any longer than is necessary for the lawful purposes for which it has been collected and processed. This is to ensure that your personal information does not become inaccurate, out of date or irrelevant. The Legal Aid Agency have set retention periods for the personal information that we collect, this can be accessed via our website:

<https://www.gov.uk/government/publications/record-retention-and-disposition-schedules>

You can also contact our Data Protection Officer for a copy of our retention policies.

While we retain your personal data, we will ensure that it is kept securely and protected from loss, misuse or unauthorised access and disclosure. Once the retention period has been reached, your personal data will be permanently and securely deleted and destroyed.

## **Access to personal information**

You can find out if we hold any personal data about you by making a 'subject access request'. If you wish to make a subject access request please contact:

Disclosure Team - Post point 10.25  
Ministry of Justice  
102 Petty France  
London  
SW1H 9AJ

[Data.access@justice.gov.uk](mailto:Data.access@justice.gov.uk)

## **When we ask you for personal data**

We promise to inform you why we need your personal data and ask only for the personal data we need and not collect information that is irrelevant or excessive.

When we collect your personal data, we have responsibilities, and you have rights, these include:

- That you can withdraw consent at any time, where relevant;
- That you can lodge a complaint with the supervisory authority;
- That we will protect and ensure that no unauthorised person has access to it;
- That your personal data is shared with other organisations only for legitimate purposes;
- That we don't keep it longer than is necessary;
- That we will not make your personal data available for commercial use without your consent; and
- That we will consider your request to correct, stop processing or erase your personal data.

## **You can get more details on:**

- Agreements we have with other organisations for sharing information;
- Circumstances where we can pass on personal information without telling you, for example, to help with the prevention or detection of crime or to produce anonymised statistics;
- Our instructions to staff on how to collect, use or delete your personal information;
- How we check that the information we hold is accurate and up-to-date; and
- How to make a complaint.

For more information about the above issues, please contact the;

The Data Protection Officer  
Ministry of Justice  
102 Petty France  
London  
SW1H 9AJ

[dataprotection@justice.gov.uk](mailto:dataprotection@justice.gov.uk)

## **Complaints**

When we ask you for information, we will comply with the law. If you consider that your information has been handled incorrectly, you can contact the Information Commissioner for independent advice about data protection. You can contact the Information Commissioner at:

Information Commissioner's Office  
Wycliffe House  
Water Lane  
Wilmslow  
Cheshire  
SK9 5AF  
Tel: 0303 123 1113  
[www.ico.org.uk](http://www.ico.org.uk)

## Client's declaration

As far as I know all the information I have given, including information as to my means is true and I have not withheld any relevant information.

I understand that I must tell you immediately if there are any changes in my or my partner's financial circumstances.

I agree that the Legal Aid Agency (LAA) can contact other parties to obtain information about my or my partner's financial circumstances and I authorise those parties to provide the information they are asked for.

I understand that the LAA may check my income and capital status with His Majesty's Revenue and Customs (HMRC) and authorise HMRC to carry out such checks as are necessary to verify my financial status and give that information to LAA.

I understand that the LAA may confirm my or my partner's receipt of continuing benefit with the Department of Work and Pensions (DWP). The DWP may carry out such processing as is necessary to check this information remains correct and may inform the LAA of any relevant changes.

**I understand that if I give false information or withhold any relevant information, the services provided to me may be cancelled at which point I will become liable to pay all the costs that have been incurred and I may be prosecuted.**

Signed: \_\_\_\_\_

Dated: \_\_\_\_\_

## Time spent and costs

Item	Time Spent
1. Attendance	_____
2. Preparation	_____
3. Help at Court	_____
4. Travel and Waiting	_____
Total:	_____

Item	Number
1. Letters written	_____
2. Phone calls	_____

**Total Profit Costs** £ \_\_\_\_\_ **Vat** £ \_\_\_\_\_

Value or amount of contractual or statutory charge £ \_\_\_\_\_

### Disbursements

	Amount	Vat
Mileage	£ _____	£ _____
Other disbursements	£ _____	£ _____
<b>Total</b>	£ _____	£ _____
Counsel's fees	£ _____	£ _____

Dated \_\_\_\_\_

**Note:** When calculating profit costs, the time spent on each activity and the letters and telephone calls must be separated out according to the remuneration rate which applied at the time the work was carried out. Please see the Remuneration Regulations for the appropriate rates.

Remember that you may not charge separately for letters in.

The totals for profit costs, disbursements and counsel's fees from this form and the Legal Help and Help at Court Form in connection with this matter should be the same (after adding VAT and after deduction of any payment on account) as those reported by you on the Consolidated Matter Report Form. Where a staged bill has been submitted in an Immigration matter a separate copy of this page should be completed for each stage reported on the CMRF.

## Certification (to be completed for Exceptional Funding cases only)

I certify that:

- 4 I have taken all reasonable steps to ensure my client has completed the Financial eligibility questions on the accompanying Controlled Work Form fully and accurately. I have applied the Civil Legal Aid (Financial Resources and Payment for Services) Regulations 2013 to the information supplied by my client and assessed my client as being eligible for legal aid in this matter.
- 4 I am able to act in this matter under the competence standards set out in my firms legal aid contract; and my organization is currently trading and no Law Society intervention or other sanction prohibits me from acting in this matter (controlled work only).
- 4 Proof of means has been obtained.

Signed: \_\_\_\_\_  
(Authorised litigator)

Date: \_\_\_\_ / \_\_\_\_ / \_\_\_\_

Name: \_\_\_\_\_

## Declaration and Determination

The information contained on this form is true to the best of my information and belief.

I confirm that the circumstances of this case justify the grant of Controlled Legal Representation in accordance with the Contract Specification.

Signed: \_\_\_\_\_ Dated: \_\_\_\_\_  
Accredited Advisor

Print name: \_\_\_\_\_

For office use only

**Decision:** \_\_\_\_\_  
Granted/Refused

### Controlled Legal Representation is granted (tick as appropriate)

☐ To be represented before the Immigration Judge before the First Tier Tribunal.

☐ To be represented before the First Tier Tribunal on a bail application only

☐ To be represented for a permission application and representation at the Upper Tribunal.

**Reasons for refusal:**

**Decision made by:**

**Date:**

# Evidence Checklist

4 Please tick the relevant box(es) to indicate evidence collected.

4 Please refer to the detailed financial eligibility guidance for controlled work.

Income	
<p><b>Employed (P.A.Y.E.) Income:</b></p> <p><input type="checkbox"/> Wage slips</p> <p><b>Self Employed Income:</b></p> <p><input type="checkbox"/> Recent bank statements</p> <p><input type="checkbox"/> Complete financial accounts</p> <p><input type="checkbox"/> Self Assessment Tax Return</p> <p><input type="checkbox"/> Cash book</p> <p><b>Benefits in Kind</b></p> <p><input type="checkbox"/> P11D tax form (benefits in kind)</p> <p><b>Other Income:</b></p> <p><input type="checkbox"/> Private /Occupational Pension documents</p> <p><input type="checkbox"/> Evidence of rental income (bank statement or tenancy agreement)</p> <p><input type="checkbox"/> Trust income (bank statement or letter from trustees)</p> <p><input type="checkbox"/> Letter from friend/family providing support</p> <p><input type="checkbox"/> student grant/loan letter</p> <p><input type="checkbox"/> Other: _____ (e.g. bank statements)</p> <p>4 For pensions and any other income that is subject to income tax, evidence must show the <b>gross</b> amount before tax is deducted.</p>	<p><b>State benefits (including passporting benefits):</b></p> <p><input type="checkbox"/> Bank statements</p> <p>4 Name and type of benefit e.g. <b>Income-based</b> Jobseekers Allowance must be specified on the statement or additional evidence will be required e.g. notification letter.</p> <p><input type="checkbox"/> Original notification letter (for passporting benefit, please refer to the table providing examples of acceptable and unacceptable evidence in volume 2 part E).</p> <p><input type="checkbox"/> Latest letter advising change in benefit amount</p> <p><input type="checkbox"/> Letter from paying agency i.e. Department for Work and Pensions, Jobcentre Plus, Pension Service confirming receipt of the passporting benefit at the date of application.</p> <p>4 Letters must specify name and type of benefit. Letters over 6 months old must be supported by a recent bank statement.</p> <p><b>NASS Support:</b></p> <p><input type="checkbox"/> Letter from NASS or Local Authority that the individual is in receipt of support.</p> <p>4 Letter must be less than 6 months old.</p> <p><b>Tax Credits:</b></p> <p><input type="checkbox"/> Tax Credit Award Notice (most recent).</p> <p><input type="checkbox"/> Other recent HMRC letter confirming amount received.</p> <p>4 Letter must be less than 6 months old.</p>
Expenditure (refer to guidance on risk-based evidence):	
<p><b>Income Tax and National Insurance:</b></p> <p><input type="checkbox"/> Wage slips (employees P.A.Y.E.)</p> <p><input type="checkbox"/> Tax calculation sheet form SA302 (self employed)</p> <p><b>Housing costs (where amount exceeds one-third of client's gross income):</b></p> <p><input type="checkbox"/> Rent book/tenancy agreement</p> <p><input type="checkbox"/> Mortgage statement</p> <p><input type="checkbox"/> Bank statement</p>	<p><b>Child Care costs in excess of £600 per month</b></p> <p><input type="checkbox"/> Copy of agreement/contract</p> <p><input type="checkbox"/> Bank statement</p> <p><b>Maintenance (see guidance)</b></p> <p><input type="checkbox"/> Receipts</p> <p><input type="checkbox"/> Bank statement</p> <p><input type="checkbox"/> Copy of Maintenance Order</p>
Capital (refer to guidance on risk-based evidence):	
<p><input type="checkbox"/> Bank statement</p> <p><input type="checkbox"/> Share certificate</p> <p><input type="checkbox"/> National savings certificate/passbook</p> <p><input type="checkbox"/> Premium Savings Bonds or Bond Record (summary)</p>	<p><input type="checkbox"/> Other: _____</p>