

## SPECIALIST QUALITY MARK AUDITING SERVICES AGREEMENT 2022

### SCHEDULE 3

#### SERVICE LEVELS

#### 1. INTRODUCTION

- 1.1 Paragraph 2 below sets out the Service Levels and performance management criteria that the Services are required to meet.
- 1.2 A failure by the Licensee to meet any of the Service Levels may result in the LAA imposing a Sanction.

#### 2. SERVICE LEVELS

- 2.1 The Service Levels are:

- 2.1.1 **Quality of Audits undertaken** – the Licensee shall deliver all Audits in accordance with the terms of this Agreement and produce Audit Reports that meet the requirements set out in paragraph 5 of the Specification.

- 2.1.2 **Accuracy of data collection** – the Licensee shall ensure that all Management Information and any other data collected pursuant to this Agreement is reliable and accurate.

- 2.1.3 **Completion of Audits** –

- (a) 100% of all Desktop Audits are completed within 28 days of the Application Form being received by the Licensee. This Service Level is subject to the SQM Applicant providing a complete set of documents needed to conduct the Audit with their Application Form.

- (b) 100% of Legal Services Providers requesting a Pre Quality Mark Audit or Post Quality Mark Audit are provided with a selection of available dates to perform the onsite visit(s) that fall within 6 weeks of receiving the request.

- (c) 100% of Audit Reports should be e-mailed to the applicable Legal Services Provider within 5 Working Days of the completion of each Audit.

- (d) 100% of Audit Reports should be e-mailed to the LAA Contract Manager by 17:00 on the 10th day of the month following that to which the reports relate.

- (e) 90% of Pre Quality Mark and Post Quality Mark Audits are completed within 28 days of the Audit start date and 100% are completed within 56 days of the Audit start date.

- 2.1.4 **Management Information** - Management Information reports must be received by the LAA Contract Manager within the required timescales set out in Schedule 4 (Management Information).

- 2.1.5 **Customer Service:**

- (a) The Licensee shall acknowledge a query within 1 Working Day and provide a substantive answer to 90% of queries made by current SQM Holders or SQM Applicants relating to the SQM within 5 Working Days, and 100% within 10 Working Days.

- (b) The Licensee shall acknowledge all SQM related complaints within 1 Working Day of receipt. Thereafter, the Licensee shall provide a



substantive response to 95% of all SQM related complaints made within 5 Working Days, and 100% within 10 Working Days.

- (c) The Licensee must inform the LAA Contract Manager within 1 Working Day of receiving a query, where the Licensee requires clarification from the LAA. Thereafter the LAA Contract Manager will respond to the Licensee within 3 Working Days of receiving the query. The Licensee is required to provide a full response to the Legal Services Provider within 5 Working Days of receiving clarification from the LAA Contract Manager.
- (d) The Licensee must inform the LAA Contract Manager within 2 Working Days where a Legal Services Provider withdraws from holding the SQM or where SQM accreditation lapses or the Legal Services Provider fails an Audit.