

## SPECIALIST QUALITY MARK AUDITING SERVICES AGREEMENT 2022

### SCHEDULE 4

#### MANAGEMENT INFORMATION

##### 1. MANAGEMENT INFORMATION REPORTING

1.1 The Licensee shall record and report to the LAA Contract Manager the Management Information as specified in the table below. This requirement shall include the provision of:

1.1.1 Monthly Management Information reports to be submitted to the LAA Contract Manager by 17:00 on the 10<sup>th</sup> day of the month following that to which the report relates (unless otherwise agreed by the LAA Contract Manager);

1.1.2 Quarterly Management Information reports to be submitted to the LAA Contract Manager by 17:00 on the 10<sup>th</sup> day of the month following the end of the quarter in question (unless otherwise agreed by the LAA Contract Manager); and

1.1.3 Annual Management Information reports to be submitted to the LAA Contract Manager in a format agreed with the LAA Contract Manager by 17:00 on the 10<sup>th</sup> October 2023 and by each subsequent anniversary of the said date thereafter (unless otherwise agreed by the LAA Contract Manager). A contract review report will also be submitted within 10 days of the Agreement coming to an end (in a format agreed with the LAA Contract Manager).

##### 1.2 Management Information Reports Format

All Management Information reports must be sent to the LAA Contract Manager in electronic format (and a hardcopy of these reports shall be made available upon request).

As well as the individual Management Information reports listed below, the Licensee will create a "Monthly Dashboard" containing headline figures from all the individual Management Information reports. The Licensee will submit this to the LAA Contract Manager by 17:00 on the 10th day of the month following that to which the reports relate (unless otherwise agreed by the LAA Contract Manager). The LAA Contract Manager will work with the Licensee to create the Monthly Dashboard and will provide the Licensee with a list of information that is to be included on the Monthly Dashboard at least 8 weeks prior to the Audit Commencement Date. The format of the Monthly Dashboard will be agreed 4 weeks prior to the Audit Commencement Date.

Management Information is to be collated, stored and reported to the LAA as follows:

Name of Report	Description	Period
Audit Schedule Report	<p>The Licensee must provide a report to the LAA Contract Manager detailing all Audits scheduled for each month of the Agreement. The report should detail as a minimum:</p> <ul style="list-style-type: none"><li>• name and contact details of SQM Holder or</li><li>• SQM Applicant;</li><li>• the Audit type;</li><li>• Audit Stage;</li><li>• the date the application or request was received;</li><li>• the date the Audit is/was scheduled and duration;</li><li>• the name of the assigned Auditor; and</li><li>• the size of the SQM Applicant or SQM Holder (FTE, categories of law and number of offices).</li></ul> <p>The information provided in this report will be compared</p>	Monthly

	to the Audit Outcome Report. The SQM Contract Manager should be aware of any discrepancies between the number of Audits scheduled per month and the actual number of Audits completed per month and any discrepancies found should be highlighted to the LAA Contract Manager when sending the Management Information Reports.	
Audit Outcome Report	<p>The Licensee must provide the LAA Contract Manager with a report detailing the previous months Audit Outcomes. The report should detail as a minimum:</p> <ul style="list-style-type: none"> <li>• name and contact details of SQM Holder or SQM Applicant;</li> <li>• the Audit type;</li> <li>• Audit Stage;</li> <li>• the date the application or request was received;</li> <li>• the date the Audit is/was scheduled and duration;</li> <li>• the name of the Auditor;</li> <li>• the size of the SQM Applicant or SQM Holder (FTE, categories of law and number of offices);</li> <li>• number of interviews conducted at Audit;</li> <li>• number of files sampled (by category of law);</li> <li>• offices visited;</li> <li>• types of Corrective Action;</li> <li>• Audit Outcome; and</li> <li>• Audit Cost.</li> </ul>	Monthly
Accreditation	<p>The Licensee must provide the LAA Contract Manager with a report detailing on-going SQM accreditation Records. The report should detail as a minimum:</p> <ul style="list-style-type: none"> <li>• name of Legal Services Provider;</li> <li>• date of SQM accreditation; and</li> <li>• expiry of SQM accreditation</li> </ul> <p>The report should clearly highlight firms where the accreditation has or is due to expire shortly.</p>	Monthly
Withdrawal Report	<p>The Licensee must provide the LAA Contract Manager with a report detailing withdrawals. The report should detail as a minimum:</p> <ul style="list-style-type: none"> <li>• name of Legal Services Provider;</li> <li>• date and status of withdrawal;</li> <li>• and reason for withdrawal.</li> </ul> <p>The LAA Contract Manager should be notified within 2 working days of any withdrawals in addition to the production of this report.</p>	Monthly
Registration Report	<p>The Licensee must provide the LAA Contract Manager with a report detailing registration contacts. The report should detail as a minimum:</p> <ul style="list-style-type: none"> <li>• name of Legal Services Provider;</li> <li>• the contact details of the Legal Services Provider's lead office (any additional offices should be included);</li> <li>• whether the Legal Services Provider is an existing SQM Holder;</li> <li>• whether the Legal Services Provider currently holds a contract with the LAA (including in which categories of law and the number of FTE staff);</li> <li>• whether the Legal Services Provider was successfully registered;</li> <li>• whether the Legal Services Provider proposes to rely on Lexcel or any other quality standard that the LAA chooses to recognise in the future (if known);</li> <li>• whether the Legal Services Provider deferred</li> </ul>	Quarterly

	<p>registration (e.g. it may register later if its accreditation is some way reaching its expiration date; and</p> <ul style="list-style-type: none"> <li>• whether the Legal Services Provider refused reaccreditation of the SQM.</li> </ul>	
Complaints and Feedback Report	<p>The Licensee must provide the LAA Contract Manager with a report setting out any complaints and/or feedback received in relation to the delivery of the Services. The report should detail as a minimum:</p> <ul style="list-style-type: none"> <li>• the number of complaints received during that period;</li> <li>• date of complaint;</li> <li>• name of complainant;</li> <li>• a description of the complaint;</li> <li>• unique reference number for the complaint;</li> <li>• the action taken (including the outcome); and</li> <li>• the response time of each complaint (this should include dates of any holding emails sent to the complainant and the date that the complaint was closed);</li> </ul> <p>The Licensee must inform the LAA Contract Manager of all outstanding complaints (including the reason why they have not been closed out and steps to be taken by the Licensee to rectify this).</p>	Monthly
Consistency Report	<p>The Licensee will monitor each SQM Auditor's consistency and performance, and provide the LAA Contract Manager with a report detailing this activity. The report should detail as a minimum:</p> <ul style="list-style-type: none"> <li>• the number of reviews the SQM Auditor has undertaken;</li> <li>• Audit outcomes;</li> <li>• any inconsistencies arising from either auditing or non-auditing staff;</li> <li>• the actions to be taken by key personnel to rectify the situation; and</li> <li>• the outcome of any action taken.</li> </ul>	Quarterly
Customer Service Report	<p>The Licensee must provide the LAA Contract Manager with a report detailing all queries received. This report should detail as a minimum:</p> <ul style="list-style-type: none"> <li>• the number of queries received during that period;</li> <li>• the name of the individual/ organisation making the request;</li> <li>• the date the query was made;</li> <li>• the date acknowledgement was sent to the individual or organisation making the request;</li> <li>• owner of the query</li> <li>• details of the response</li> <li>• the response time to the query; and</li> <li>• any action taken/ outcome.</li> </ul> <p>The Licensee must also provide any information for the number of queries outstanding (including the reason why they have not been closed out and steps to be taken by the Licensee to rectify this).</p>	Quarterly
Data Protection and Freedom of Information Request Report	<p>The Licensee must provide the LAA Contract Manager with a report outlining the number of data protection and freedom of information requests they have received. The report should detail as a minimum:</p> <ul style="list-style-type: none"> <li>• the name of the individual/ organisation making the request;</li> <li>• the date the request was submitted;</li> <li>• the date acknowledgement was sent to the</li> </ul>	Quarterly

	<p>individual or organisation making the request;</p> <ul style="list-style-type: none"> <li>• Owner of the request</li> <li>• brief details of the request made;</li> <li>• the information/response to the request; and</li> <li>• the date request closed out.</li> </ul> <p>The Licensee must also provide any information for the number of requests outstanding (including the reason why they have not been closed out and steps to be taken by the Licensee to rectify this).</p>	
Diversity and Inclusion Report	<p>The Licensee must provide the LAA Contract Manager with a report on Diversity and Inclusion information for SQM Holders, and SQM Applicants. The report should detail as a minimum the characteristics of staff with managerial control for each SQM Holder and Applicant by:</p> <ul style="list-style-type: none"> <li>• Ethnicity</li> <li>• Gender</li> <li>• Disability</li> <li>• Age</li> <li>• Sexual orientation; and</li> <li>• Religion</li> </ul> <p>The Licensee will ensure that this data is collected and processed in accordance with current Data Protection Legislation, that respondents are made aware that providing this information is voluntary, and that individuals have the option to respond to questions by stating they would "Prefer not to say".</p>	Annually