



# Legal Aid Agency

## Guidance for reporting Controlled Work & Controlled Work matters

| Version | Issue date      | Last review date | Owned by            | Amendments made   |
|---------|-----------------|------------------|---------------------|---|
| 26      | 9 November 2020 | 27 October 2020  | Service Development | Changes made to the Summary table for Level 1, Level 2 and Level 1 and 2 fees in family. Table includes 3 missing matter type 1 codes: FAMA, FAMB, and FAMC. The table has been moved to page 75. |
| 27      | 1 January 2021  | 9 November 2020  |                     | Changes made to FAM3 code to reflect the UK's exit from the EU.   |

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| 28 | 19 January 2021 | 1 January 2021  |  | Changes made to the description of the XEUC code to reflect the UK's exit from the EU.   |
| 29 | 1 March 2021    | 19 January 2021 |  | Minor amendment to the wording in para 7.58 (e) (page 66) to reflect the wording set out in the 2018 Standard Civil Contract Family Specific Rules.  |
| 30 | October 2021    | 1 March 2021    |  | Minor amendment to the wording in para 16.1.1 to align with wording in 2018 Civil Contract Immigration & Asylum Specific Rules. Small amendments to reflect the addition of Prisons PA for immigration advice. |
| 31 | June 2022       | October 2021    |  | New MT2 and Outcome codes added for Immigration and Asylum Category.   |
| 32 | August 2022     | June 2022       |  | Amending description of Outcome code IY for Immigration and Asylum Category.   |
| 33 | December 2022   | August 2022     |  | Removal of MT2 code IPST and amending description of Outcome code IE in the Immigration and Asylum Category.   |

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| 34 | March 2023    | December 2022 | <p>Amendments to the Immigration and Asylum Category codes to reflect changes introduced related to contract amendments effective 1 April 2023</p> <p>Amendments to the Mental Health category codes to reflect changes to the mental health specification, now allowing providers to claim payment under rule 11(7)(a) or 13(5)(a)(i) appointments.</p> |
| 35 | December 2023 | March 2023    | <p>Clarification on reporting CLR New Matter Starts from April 2023.</p> <p>Amendment to detention, travel and waiting costs section, allowing Providers to claim for travel and waiting for Detained Duty Advice Scheme surgeries held in-person.</p>   |

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| 36 | 1 September 2024 | July 2024 | <p>New MT1, MT2, Stage Reached and Outcome codes for Early Legal Advice (Housing Loss Prevention Advice Service). Only for use when reporting cases opened on or after 1 September 2024.</p> <p>Amendments to the Education category codes to reflect the introduction of stage disbursements, now allowing providers to claim interim payments.</p> <p>Reference to Education has now been included under stage disbursements at page 38.</p> <p>Update provided on the mental health category codes for Designated Accredited Representatives.</p> |
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| 37 | October 2024 | 1 <sup>st</sup> September 2024 |  | <p>Amendment to the Client under 18 exemption code description.</p> <p>Amendment to confirm available Matter Type 1 codes in the Immigration category.</p> |
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# Contents page

## Glossary of terms

## Introduction

### Section A: General Guidance

1. Guidance on Reporting
2. Reporting submissions
3. How to report Controlled Matter Starts
4. Use of the Unique File Number (UFN)
5. Use of Account Numbers
6. Claiming for Escape Fee Cases
  
7. Further guidance to reporting Procurement Areas & Access Points for Civil Legal Help providers
8. Reporting schedule references on CWA
9. How to make a claim for Controlled Work via CWA
10. Generic Fields to be completed in the CWA
11. Equal Opportunities Monitoring
12. Transitional Arrangements – matters opened prior to 1 April 2013
13. Reporting a case subject to Exceptional Case Funding
14. Exemption Criteria
15. Transfer of Civil Controlled Work matters
16. How to Submit a Stage Disbursement Claim in Immigration and Mental Health

### Section B: Category Specific Guidance

- A. Claims Against Public Authorities
- B. Clinical Negligence
- C. Community Care
- D. Debt
- E. Discrimination
- F. Education
- G. Family
- H. Housing
- I. Immigration
- J. Mental Health
- K. Miscellaneous
- L. Public Law
- M. Welfare Benefits
- N. Early Legal Advice

# Glossary of terms

In this document, the following expressions have the following meanings:

**“Access Point”** means a smaller area within a Procurement Area to which the same obligations under the 2024 Standard Civil Contract Specification apply as to the Procurement Areas. Unless otherwise stated Access Points apply solely to the Immigration and Asylum Category of Law. In relation to the Family Category of Law, the geographical area referred to in column 7 (under the heading ‘Access Point’) of Table 4 of the Schedule is an administrative device only. It does not bear any meaning in respect of your Contract. For the avoidance of doubt, your authorisation to carry out work and your allocation of Matter Starts in the Family Category of Law relates to the named Procurement Area as a whole. That means that in relation to the Family Category of Law, you must interpret column 7 of Table 4 of the Schedule as though it reads “No Access Point.

**“CLA Reference Number”** the Unique Reference provided by the Civil Legal Advice (CLA) telephone service to prove that a client has accessed the telephone service

**“Completed Claim”** refers to a claim when a case is concluded. This should indicate the outcome of the substantive matter achieved under Controlled Work.

**“Contracted Work and Administration (CWA)”** is the application within LAA Online through which providers report information regarding their contracted work and manage all their LAA Online users.

**“Escape Fee cases”** are matters which would normally be paid under a Standard Fee but due to the level of profit costs incurred exceeding the relevant “Escape Fee Case Threshold”, are instead paid under Hourly Rates.

Providers are required to apply to the LAA for their Claim to be treated as an Escape Fee Case, on a form specified by us.

**“Exceptional Case”** refers to a funded case which ordinarily would be outside of the scope of legal aid, relating to civil legal services other than those described in Part 1 of Schedule 1 to the Act, which are provided to an individual in accordance with section 10 of the Act.

**“Exempted person”** has the meaning given in regulation 20 of the Civil Legal Aid (Procedure) Regulations 2012 (as amended);

**“Matter Start / New Matter Start”** means the authority to start a Controlled Work case for a Client in accordance with the rules set out in the 2024 Standard Civil Contract General and Category Specifications

**“Matter Type 1 code (MT1)”** is the code that must be used to report the issue in the case that reflects the most significant legal issue dealt with during the case.

**“Matter Type 2 code (MT2)”** is the code that must be used to describe the status of the main person involved in the case (usually the client). In some cases, it may describe the opponent in the case. It relates to the main legal issue (described in Matter Type 1) prior to that issue being resolved or in any way addressed.

**“Office Account Number”** The unique reference for a provider’s office.

**“Office Schedule Number”** number that CWA uses to identify which schedule a provider is reporting work against.

**“Outcome Code”** refers to the outcome of the matter for the client, at the point in time that the claim is made.

**“Procurement Area”** means a geographical area specified by us under Paragraph 1.20 of the General Specification to the 2024 Standard Civil Contract or your Schedule for which we have issued you with Matter Starts.

**“Stage Claim”** refers to an interim Immigration claim reported where the overall matter is not yet completed

**“Stage Disbursement Claim”** refers to an interim claim for Disbursements in either the Mental Health or Immigration category. Such claims can only be made on matters opened on/after 15 November 2010.

**“Stage Reached Code”** refers to the stage that the matter has reached at the point in time that the claim is made. Different Stage Reached codes are available not only across different categories but also across different claim types e.g. Stage Claim and Completed Claims.



# Introduction

1. This document contains guidance on the fields and codes that must be completed by providers via the Contracted Work and Administration (CWA) when submitting either a claim for Controlled Work or when reporting the number and type of matters started monthly. Unless otherwise indicated, this guidance refers to reporting cases opened after 1 September 2024.
2. Paragraph 4.42 of the General Specification to the 2024 Standard Civil Contract Specification requires that:

*'you must submit all Controlled Work Claims via CWA in accordance with operational instructions that we will provide to you from time to time.'*

3. The contract documents can be found here:

[Standard civil contract 2024 - GOV.UK \(www.gov.uk\)](https://www.gov.uk/guidance/submit-a-contracted-work-and-administration-cwa-claim-online)

4. Claims for Controlled Work and Controlled Matter Start Reporting submissions must be made electronically via the CWA application within LAA Online. The deadline for electronic submissions is the 20<sup>th</sup> of the following month to which the submission relates e.g. March submission should be reported by no later than 20 April. For further information go to:

<https://www.gov.uk/guidance/submit-a-contracted-work-and-administration-cwa-claim-online>

## **Why we ask for this data?**

5. Information about the work you do is required so we can:

- Understand as much as possible about the people we fund you to help, and the legal problems they are being helped with; and
- Monitor performance against key performance indicators and compare the performance of different providers.

6. This in turn enables us to:

- Plan the funding and development of future legal services in a way that provides the best and most needed services for clients within the available resources;
- Recoup legal aid costs from government departments with whom we have specific funding agreements;
- Ensure providers are correctly credited for the work undertaken;
- Compare the work of different kinds of providers and your client's needs;
- Take strategic action to prevent and reduce legal problems; and
- Demonstrate that the services we fund and you provide represent value for money.

# **Section A: General guidance**

## **1. General guidance on reporting**

- 1.1 Completed matters and new matter starts must be reported monthly. All matters must be reported within six months of being completed - see paragraph 4.40 of the General Specification to the 2024 Standard Civil Contract. Completed matters should be reported using the relevant codes, please refer to Section B of this document for the category specific guidance on inputting these codes. Use of the incorrect codes may lead to a claim being rejected.
- 1.2 Where the client is willing to provide information about their ethnic origin and disability it is compulsory to report this. The information will be used to monitor and research access to LAA funded services in line with our commitment to promoting equal opportunities. This information will be treated confidentially in accordance with all applicable data protection legislation. If the details are not provided, you must select the 'unknown' option for these fields.
- 1.3. Events constituting the completion of a matter are defined in paragraph 3.64 of the General Specification to the 2024 Standard Civil Contract Specification.

## **2. Reporting submissions**

- 2.1 Completed matters and new matter starts (NMS) should be reported electronically with LAA Online, using one of the following methods:
  - Bulkload a file created from a case management system via CWA.
  - Bulkload a file created from the Bulkload spreadsheet and submit via CWA.
  - Enter data directly into CWA on a line-by-line basis.
- 2.2 Detailed instructions and quick user guides are available on our website at:  
  
<https://www.gov.uk/guidance/submit-a-contracted-work-and-administrationcwa><https://www.gov.uk/guidance/submit-a-contracted-work-and-administration-cwa-claim-online>[claim-online](https://www.gov.uk/guidance/submit-a-contracted-work-and-administration-cwa-claim-online)
- 2.3. The deadline for electronic submissions is the 20<sup>th</sup> of the month. Contract payments depend on the timely reporting of your submissions. **Failure to do so will lead to a severe delay in your monthly contract payments being made.**
- 2.4. You should only report matters that have been concluded by the end of the previous calendar month. For example, when submitting your January submission in February you should only include cases that have concluded by 31<sup>st</sup> January.

### 3. How to report Controlled Matter Starts

- 3.1. Controlled matter starts should be reported via CWA either using a file from a case management system, a file from the Bulkload spreadsheet or directly into CWA. For instructions on how to enter your controlled matter starts, please follow the guidance available at: <https://www.gov.uk/guidance/submit-a-contracted-work-and-administrationcwa-claim-online>
- 3.2. Since 1 April 2013 Immigration Providers have not been required to enter information about their CLR cases each month. Instead, providers should enter “0” (zero) in each of the following fields:

#### Immigration CLR Information

|  |                                |   |                                |
|--|--------------------------------|---|--------------------------------|
| * Substantive CLR - Provider Asylum Grants     | <input type="text" value="0"/> | * Bail CLR - Provider Asylum Grants     | <input type="text" value="0"/> |
| * Substantive CLR - IFA Asylum Grants          | <input type="text" value="0"/> | * Bail CLR - IFA Asylum Grants          | <input type="text" value="0"/> |
| * Substantive CLR - Asylum Refusals            | <input type="text" value="0"/> | * Bail CLR - Asylum Refusals            | <input type="text" value="0"/> |
| * Substantive CLR - Asylum Withdrawals         | <input type="text" value="0"/> | * Bail CLR - Asylum Withdrawals         | <input type="text" value="0"/> |
| * Substantive CLR - Provider Non Asylum Grants | <input type="text" value="0"/> | * Bail CLR - Provider Non Asylum Grants | <input type="text" value="0"/> |
| * Substantive CLR - IFA Non Asylum Grants      | <input type="text" value="0"/> | * Bail CLR - IFA Non Asylum Grants      | <input type="text" value="0"/> |
| * Substantive CLR - Non Asylum Refusals        | <input type="text" value="0"/> | * Bail CLR - Non Asylum Refusals        | <input type="text" value="0"/> |
| * Substantive CLR - Non Asylum Withdrawals     | <input type="text" value="0"/> | * Bail CLR - Non Asylum Withdrawals     | <input type="text" value="0"/> |

- 3.3 Once the ‘CLR Data’ screen has been fully completed, CWA will validate and save the data and return you to the main ‘Submission Summary’ screen allowing you to complete CWA.

#### Clarification regarding reporting of CLR New Matter Starts from April 2023

- 3.4 The above guidance is unrelated to the requirement of providers to report the number of matters opened each month. From 1 April 2023, CLR is a separate matter from Legal Help, therefore the figure reported in your NMS return, should be the combined figure for Legal Help and CLR for that month.

*E.g. if you opened 10 LH matters, and 5 CLR matters in January, you should report a total of 15 matters as having been opened.*

### 4. The use of the Unique File Number (UFN)

- 4.1. The UFN is compiled of the case start date and a 3 digit case ID in the format DDMMYY/NNN. For the Case ID you should record the first case opened on a particular day as 001 and then all subsequent cases opened that day should increase this number (i.e. 002 / 003 and upwards). The following day you should restart the numbering again at 001.
- 4.2. Therefore, when this number is compiled with the case start date it will ensure that the UFN is unique. If your office contains multiple departments all opening cases independently we recommend you agree a common procedure for allocating Case IDs to avoid duplication.
- 4.3. The UFN ensures that matters can be correctly identified as being an “Escape Fee Case” – the UFN is one of the references relied on by CWA to correctly link

claims for the same matter which may contribute to whether a matter should be flagged and potentially paid as an “Escape Fee Case”. Below are some practical examples of how to record the UFN correctly and where you should reuse it:

### **Scenario 1: Duplicate UFNs reported in 2 separate months**

- 4.4. A provider reports a Civil Legal Help matter with the UFN 010111/001 under office account number 1A111A. The following month (or in any subsequent month) this office reports another Civil Legal Help claim with the same UFN (010111/001) under the same office account number (1A111A). When the second claim is submitted, it will be identified as a duplicate and the entire monthly submission will be rejected by CWA.

### **Scenario 2: Duplicate UFNs reported in the same month**

- 4.5. A provider reports a Civil Legal Help matter with the UFN 010111/001 under office account number 1A111A. Within the same monthly submission, they report another Civil Legal Help claim with the same UFN (010111/001) under the same account number (1A111A). The second claim will be flagged as invalid by CWA (however CWA will not reject the entire monthly submission).

### **Scenario 3: UFNs only need to be unique within each office of your organisation**

- 4.6. A provider reports a Civil Legal Help matter with the UFN 250909/001 under office account number 1A111A. The following month they report another Civil Legal Help claim with the UFN 250909/001 under a different office account number (2A222A). The second claim will be treated as valid and will be accepted by CWA, though may require subsequent validation.

### **Scenario 4: Reporting duplicate UFNs correctly as a supplemental claim**

- 4.7. A provider reports a Civil Legal Help matter with the UFN 010111/001 under office account number 1A111A. Further work is then required on this claim within the period of eligibility (i.e. a supplemental claim is required). The provider contacts their Contract Manager to authorise the voiding of the original claim in CWA. Once the original claim is then voided in CWA the provider reports the matter again using the same UFN 010111/001 under office account number 1A111A. The second claim is valid and will be accepted by CWA.

## **5. Use of Account Numbers**

- 5.1. Where you open a case under a specific Office Schedule you must bill it, (including Stage Claims) from the account number associated with that Office Schedule. You must not use a different account number. Matters are allocated to a Schedule and must be started under a specific Schedule. They must be billed using the account number associated with the Schedule under which they were started.
- 5.2. What this means in practice for Immigration and Mental Health providers is that if a stage claim or a disbursement stage claim is submitted, then it is essential the Completed Claim is reported from the same office. This will ensure CWA is able to successfully match stage and final completed claim and as a result it is able to calculate the value of claims correctly. The following bullet points summarise the guidelines:

- Where a stage claim has been reported in a specific office within your organisation the final completed claim must be reported from the same office
- All claims relating to the same case (i.e. Stage Claim / Disbursement Stage Claim / Completed claim) must be reported with the same UFN.

## **6. Claiming for Escape Fee Cases**

- 6.1. Providers must report the actual profit costs incurred when making any claim for costs on CWA. The system will automatically calculate whether the case meets the Escape Fee case criteria (i.e. whether the profit costs incurred, excluding the additional payments claimed, exceeds three times the value of the appropriate fixed fee/s).
- 6.2. The system will not automatically pay costs beyond the Fixed Fee/s and any disbursements, so in order to claim the case as an Escape Fee Case providers will have to complete an Escape Fee Case Claim form, and forward all such cases to the relevant teams for costs assessment, see EC-CLAIM1 at:

<https://www.gov.uk/government/publications/escape-fee-case-claim-forms>

## **7. Further guidance to reporting Procurement Areas & Access**

### **7.1 When do I need to report Procurement Area & Access Point codes?**

- 7.1.1 You will need to include this information on your Civil Legal Help submission for all NMS and any completed claims. The Procurement Area (PA) must always relate to one of the locations specified in table 4 of your office Schedule. The access points only need to be reported in the Immigration and Asylum category. The lists of Procurement Area and Access Point reporting codes can be found here:

<https://www.gov.uk/government/publications/cwa-codes-guidance>

### **7.2 What should I report if the client is situated outside of my contracted PA & AP?**

- 7.2.1 There is no limit on the proportion of NMS that a provider can open outside of their Schedule procurement area. The only exception to this is the category of Mental Health, where providers are only able to open a maximum of 30% of their Matter Starts allocation outside of their Schedule procurement area.
- 7.2.2. When you start matters or complete cases where the client is based outside of your authorised Procurement Area (PA)/Access Point (AP) you must still report the PA & AP codes that appear on your office schedule.

### **7.3 Which postcode should I use?**

- 7.3.1. The LAA will use the client postcode submitted at the end of a case to establish the client's location. To clarify, the postcode reported on your claim should be the client's home postcode (except if they are in hospital for Mental Health

cases or in an Immigration Removal Centre (IRC) for Immigration cases – in these circumstances you should report the postcode of the hospital or IRC).

#### **7.4 Why is new matter start reporting resulting in my submission being rejected by CWA?**

7.4.1. You can only report new matter starts in an area or category that you have an authorisation to deliver work in. We recommend you check the schedule which you have been provided with by the LAA, this contains a list of all your allowed authorisations. If you have any queries about your allocations and authorisations please contact your Contract Manager before attempting to enter your next submission in CWA.

#### **7.5 In Mental Health, clients do not necessarily need to visit your office or alternative presence location in order for you to open a case. How do I report Mental Health claims in these circumstances?**

7.5.1. Regardless of where you attend the client you must report one of the PA authorisations as listed in Table 4 of your office schedule. If you have more than one authorisation on your schedule you should select the PA codes that you feel are the most appropriate. Also please enter the postcode of the place where the client is residing at the start of the case, e.g. hospital postcode NOT the client's usual home postcode.

#### **7.6 Which Procurement Area & Access Point combination should I report when I carry out work in an Immigration Removal Centre?**

7.6.1. The Detention Centre field has been removed from CWA and this information should now be reported through the PA & AP fields instead for all Immigration cases. This is the only scenario when you are able to complete the PA & AP fields for cases started before 15/11/10.

7.6.2. Where you have taken on a matter in an IRC without an initial DDAS or DAC appointment you should report the PA and AP codes from the list in Table 4 of your schedule that you feel are the most appropriate.

7.6.3. Providers must report IRC work as either Fast Track for DAC work or NonFast Track for DDAS work. This information will be recorded against the Access Point field for case outcomes on and for New Matter Starts on CWA. This only applies to those providers who hold exclusive schedules to provide advice in an IRC.

7.6.4. In relation to claims for costs, this information should be recorded in the Access Point field on CWA. The relevant IRC will be recorded in the Procurement Area field.

7.6.5. When reporting the opening of a New Matter Start in relation to an asylum/non-asylum matter for a client detained in an IRC, then the provider should record the New Matter Start next to the appropriate Procurement Area and Access Point combination. If using a case management system or the Bulkload spreadsheet the appropriate Access Point code should be entered for the New Matter Start.

### **8. Reporting schedule references on CWA**

8.1. Providers are required to record the schedule reference against each outcome and the schedule reference against NMS information that is submitted for each category on CWA. This schedule reference will be validated as follows:

- **For outcomes:** The schedule reference must be a currently valid or previously valid schedule reference of the Provider.
- **For NMS:** The schedule reference must be a currently valid schedule reference (this will be automatically populated in CWA, but when bulkloading NMS submission data the provider will need to be aware of this.)

## 9. How to make a claim for Controlled Work via CWA

9.1. Claims for Controlled Work must be reported either directly into CWA or by using the Bulkload spreadsheet or a case management system file. The data that the LAA requires for the completed outcome differs depending on the fee scheme that it is connected to. If you are submitting using the Bulkload spreadsheet, you will be asked to select the relevant fee scheme for the outcome. The relevant fields for that scheme will then be displayed.

9.2. If you are submitting directly onto CWA, you will be asked to select the relevant Matter Type Code combination for the outcome. CWA will then work out which fee scheme the Matter Types connected to and will display the relevant fields for you to complete.

9.3. In Immigration and Asylum and Mental Health matters, you will be asked to select (for each line) whether you are making a Stage Claim, a disbursement Stage Claim or a Completed Matter Claim.

9.4. The table below sets out each category of law and which fee scheme it is linked to.

| Category of Law                   | Fee Scheme           |
|-----------------------------------|----------------------|
| Claims Against Public Authorities | Other Legal Help     |
| Community Care                    |                      |
| Clinical Negligence               |                      |
| Debt                              |                      |
| Discrimination                    |                      |
| Education                         |                      |
| Housing                           |                      |
| Miscellaneous                     |                      |
| Public Law                        |                      |
| Welfare Benefits                  |                      |
| Early Legal Advice                |                      |
| Family – Private                  |                      |
| Family Public                     |                      |
| Mental Health                     | Mental Health        |
| Immigration                       | Immigration & Asylum |
| Asylum                            |                      |

## 10 Generic fields to be completed on the CWA:

### 10.1 Summary/Heading Fields:

10.1.1 The LAA requires the following information about your claims for Controlled Work: These fields apply to all categories of law.

#### *Bulkload spreadsheet*

10.1.2 The following information should be entered onto the first page of the Bulkload spreadsheet. If you are using a case management system you will also need to enter certain header information. Contact your software vendor if you are unsure how to do this.

| Field                  | Use   | Format                      |
|------------------------|---|-----------------------------|
| <b>Provider Number</b> | This refers to your LAA Office Account Number   | Alphanumeric<br>e.g. 0A000B |
| <b>Month</b>           | This must be completed in the format MMM, for example February should be recorded as FEB. | MMM                         |
| <b>Year</b>            | This must be completed in the format YYYY e.g. 2024                                       | YYYY                        |

#### *Schedule/Submission reference field*

10.1.3 The submission may be against multiple schedules, therefore you should enter the Schedule Number next to each line, whilst the “Schedule / Submission reference” will now be your Office Account number/CIVIL.

### 10.2 Generic and category specific fields:

10.2.1 CWA and the Bulkload spreadsheet contain a mix of reporting fields; some are applicable to all categories, whilst others are only available in specific categories or in relation to particular types of claim. The table below confirms which fields are applicable to all categories and which are only relevant to specific ones.

### 10.3 All fields:

| CWA Reference Field    | Applicable Civil Category |
|------------------------|---------------------------|
| <b>Case start date</b> | All                       |
| <b>Case id</b>         | All                       |
| <b>Client Forename</b> | All                       |
| <b>Client surname</b>  | All                       |
| <b>Case reference</b>  | All                       |



|   |                                    |
|---|------------------------------------|
| <b>UFN</b>                                      | All                                |
| <b>UCN</b>                                      | All                                |
| <b>Client date of Birth</b>                     | All                                |
| <b>Client postcode</b>                          | All                                |
| <b>Case concluded date</b>                      | All                                |
| <b>Gender</b>                                   | All                                |
| <b>Ethnicity</b>                                | All                                |
| <b>Disability</b>                               | All                                |
| <b>Advice Time</b>                              | All                                |
| <b>Travel Time</b>                              | All                                |
| <b>Waiting Time</b>                             | All                                |
| <b>Profit costs excluding VAT</b>               | All                                |
| <b>Disbursements excluding VAT</b>              | All                                |
| <b>Counsel costs excluding VAT</b>              | All                                |
| <b>Disbursement VAT Amount</b>                  | All                                |
| <b>Profit and Counsel VAT Indicator</b>         | All                                |
| <b>Adjourned Hearing Fee</b>                    | Immigration & Asylum Mental Health |
| <b>Travel &amp; Waiting costs excluding VAT</b> | All                                |

|   |                                |
|---|--------------------------------|
| <b>Matter Type 1</b>                                      | All                            |
| <b>Matter Type 2</b>                                      | All                            |
| <b>Stage Reached</b>                                      | All                            |
| <b>Outcome for the client</b>                             | All                            |
| <b>Legacy Case</b>  | Immigration & Asylum           |
| <b>HO Interview</b>                                       | Immigration & Asylum           |
| <b>AIT Hearing Centre</b>                                 | Immigration & Asylum           |
| <b>Detention travel &amp; waiting costs excluding VAT</b> | Immigration & Asylum           |
| <b>JR /Form filling excluding VAT</b>                     | Immigration & Asylum           |
| <b>CMRH oral</b>  | Immigration & Asylum           |
| <b>CMRH telephone</b>                                     | Immigration & Asylum           |
| <b>Substantive hearing</b>                                | Immigration & Asylum           |
| <b>HO UCN</b>   | Immigration & Asylum           |
| <b>Additional Travel Payment</b>                          | Mental Health only             |
| <b>Meetings attended</b>                                  | Mental Health only             |
| <b>Local Authority number</b>                             | Family Help & Care Proceedings |
| <b>Client type</b>  | Family Help & Care Proceedings |
| <b>London / Non London rate</b>                           | Family Help & Care Proceedings |
| <b>Value of Costs / Damage recovered</b>                  | Family Help & Care Proceedings |

|  |  |
|--|--|
| <b>Case stage level</b>  | Family Help & Care Proceedings Mental Health                                   |
| <b>Procurement Area</b>  | All  |
| <b>Access Point</b>  | All (excluding Welfare Benefits, Discrimination, Education, and Mental Health) |
| <b>Court Location (HPCDS matters)</b>                                    | Housing  |
| <b>Eligible Client Indicator</b>   | Housing  |
| <b>Claim Type</b>  | Mental Health and Immigration  |
| <b>Prior Authority Reference Number</b>                                  | Immigration & Asylum   |
| <b>Date of Claim</b>   | Immigration & Asylum (Stage Disbursement Claims only)                          |
|  | Mental Health (Stage Disbursement Claims only)                                 |
| <b>Schedule Reference (Outcome)</b>                                      | All  |
| <b>Exemption Criteria Satisfied (outcome)</b>                            | All (excluding Early Legal Advice)   |
| <b>Exceptional Case Funding Reference (outcome)</b>                      | All  |
| <b>CLA Reference Number</b>  | Debt Only (for cases opened before 15 <sup>th</sup> May 2020)                  |
| <b>CLA Exemption Code</b>  | Debt Only (for cases opened before 15 <sup>th</sup> May 2020)                  |
| <b>Transfer Date</b>   | All (excluding Early Legal Advice)   |
| <b>Number of Independent Medical Reports Claimed</b>                     | Mental Health (Completed Matter Claims only)                                   |
| <b>MHT Ref. No.</b>  | Mental Health only   |
| <b>Designated Accredited Representative</b>                              | Mental Health only   |
| <b>IRC Surgery</b>   | Immigration & Asylum (IRC surgeries only)                                      |
| <b>Surgery Date</b>  | Immigration & Asylum (IRC surgeries only)                                      |
| <b>Number of Clients Seen at Surgery</b>                                 | Immigration & Asylum (IRC surgeries only)                                      |
| <b>Number of Surgery Clients Resulting in a Legal Help Matter Opened</b> | Immigration & Asylum (IRC surgeries only)                                      |
| <b>Postal Application Accepted?</b>                                      | All  |

#### 10.4 Completion of Generic Fields

The following fields should be completed for all methods of submission.

| Field | Use | Format |
|-------|-----|--------|
|-------|-----|--------|

|                                     |   |                     |
|-------------------------------------|---|---------------------|
| <p><b>Case Reference Number</b></p> | <p>Case reference refers to your organisation's reference for the matter. This reference is essential for effective auditing of contracts. Ensure that this reference enables the file to be retrieved if it is requested at an audit. Ensure that this will take account of any archiving system.</p>  | <p>Alphanumeric</p> |
| <p><b>Case Start Date</b></p>       | <p>The start date for the legal aid case. This will form part of the UFN.</p> <p>This date will be the date the matter opened. This will usually be the date when the client signed the application form, but may be earlier where telephone advice was given before signature. This must be recorded in the format: DD/MM/YYYY e.g. 5th February 2009 should be recorded 05/02/2009.</p> <p><b>Immigration &amp; Asylum</b></p> <p>For Immigration matters, prior to 1 April 2023, Legal Help and CLR formed part of the same matter and therefore the Legal Help start date should be reported as the case start date for both the Legal Help and CLR claim.</p> <p>From 1 April 2023, Legal Help and CLR are now separate matters, and therefore any grant of CLR on/after this date would constitute a new matter start, and therefore when reporting the CLR claim, the date on which CLR was granted should be recorded as the case start date.</p> <p><b>Transferred cases</b></p> <p>Where a matter started before 1 April 2013 has been transferred from one provider to another on or after 1 April 2013, the second provider should use this field to report the date on which the previous provider granted funding in the matter.</p> <p>Further guidance can be found later in <b>Section A</b> of this document.</p> | <p>DD/MM/YYYY</p>   |
|                                     | <p>The Case ID is a 3 digit number that is made up by the Provider.</p>   | <p>e.g. 001</p>     |

|  |  |   |
|--|--|---|
| <p><b>Case ID</b></p>                  | <p>Within a Provider office all cases opened on any particular day should have a different Case ID. This will ensure the uniqueness of the UFN within a Provider office.</p> <p>If you always started 10 cases a day it would be acceptable for you to re-use the case ids of 001010 for your 10 cases each day, as the differing case start date would ensure that the UFNs were unique.</p> <p>Please refer to page 7 for further guidance on the UFN.</p>   |   |
| <p><b>UFN (Unique File Number)</b></p> | <p>Made up of start date (with only yy for the year) and 3 digit case ID.</p> <p>This will uniquely identify a legal aid case (when combined with Provider account number) Where a form is submitted online this will be automatically derived.</p> <p>Please see page 7 for further guidance on the UFN</p>   | <p>DDMMYY/000<br/>e.g.<br/>010101/004</p> |
| <p><b>Procurement Area</b></p>         | <p>Record the Procurement Area which reflects the location set out in your Office schedule from which work undertaken.</p> <p><b>Housing</b></p> <p>If you are reporting a matter using the Housing Possession Court Duty Scheme (HPCDS) codes you must enter the 'national' code 'PA00500'.</p> <p><b>Immigration &amp; Asylum</b></p> <p>Where you hold schedule authorisation to advise clients detained in an Immigration Removal Centre (IRC), you should select the relevant IRC reference from those listed e.g. Harmondsworth IRC.</p> <p>Where you are claiming for advice given in prisons under para 8.146 – 8.154 of the immigration and asylum specification the procurement area you should select is 'Prisons'.</p> | <p>Alphanumeric<br/>e.g. AP10000</p>      |

|                                   |  |   |
|-----------------------------------|--|---|
| <b>Access Point</b>               | Record the Access Point which reflects the location set out in your Office schedule from which work undertaken.  | Alphanumeric<br>e.g. PA10000  |
| <b>Client Forename</b>            | Forename of the client receiving legal aid.  | Alpha   |
| <b>Client Surname</b>             | Surname of the client receiving legal aid.   | Alpha   |
| <b>Client DOB</b>                 | Client date of birth   | DD/MM/YYYY  |
| <b>UCN (Unique Client Number)</b> | Made up of client's dob/clients initial/first 4 letters of clients surname (a minimum of 2 letters will be accepted for Surname)   | DDMMYYYY<br>/A/AAAA<br>e.g.<br>05051962/M/SM<br>IT for client<br>Mark Smith with<br>a date of birth<br>05/05/1962   |
| <b>Client Postcode</b>            | <p>It is important that the client's FULL, accurate, postcode is entered here.</p> <p>If the client does not know their postcode Royal Mail operates a telephone postcode enquiry service on 0906 302 1222 or visit <a href="http://royalmail.com">royalmail.com</a></p> <p>Do <b>not</b> enter fictitious codes.</p> <p>If you or the client <i>genuinely</i> cannot provide an accurate postcode (perhaps because new properties have not yet had their codes notified) or if the client is homeless you should enter NFA.</p> <p><b>Mental Health Cases</b></p> <p>Please enter the postcode of the place where the client is residing at the start of the case, e.g. hospital postcode NOT the client's usual home postcode.</p> | <p>Allowable formats are:</p> <p>AN NAA<br/>M1 1AA<br/>ANN NAA<br/>M60 1NW<br/>AAN NAA<br/>CR2 6XH<br/>AANN NAA<br/>PL25 4HH<br/>ANA NAA<br/>W1A 1HQ<br/>AANA NAA<br/>EC1A 1BB</p> <p>NFA</p> |

|   |  |                               |
|---|--|-------------------------------|
| <p><b>Case Conclude Date / Claim Date</b></p> | <p>The date case or stage was concluded by the Provider.</p> <p><b>Mental Health and Immigration Stage and Stage Disbursement Claims</b></p> <p>In both categories, when reporting any Stage Claim/Stage Disbursement Claim, providers should record in the “Claim Date” field the date on which the last costs were incurred in relation to that stage.</p> <p>Further Guidance on these claim types can be found later in this document.</p> | <p>DD/MM/YYYY</p>             |
| <p><b>Matter Type 1</b></p>                   | <p>See category specific section of this document (<b>Section B</b>)</p>   | <p>Alpha<br/>4 characters</p> |
| <p><b>Matter Type 2</b></p>                   | <p>See category specific section of this document (<b>Section B</b>)</p>   | <p>Alpha<br/>4 characters</p> |
| <p><b>Advice Time</b></p>                     | <p>Time spent in minutes.</p> <p>This includes time spent on anything that is not travel and waiting, inc telephone calls and letters.</p> <p>Please record 6 minutes for each standard letter/telephone call (i.e., those for which you claim the standard "Letter and Telephone" rate in the Profit Costs field).</p>  | <p>Numeric</p>                |
| <p><b>Travel Time</b></p>                     | <p>Time spent travelling in minutes</p>  | <p>Numeric</p>                |
| <p><b>Waiting time</b></p>                    | <p>Time spent waiting in minutes</p>   | <p>Numeric</p>                |

|   |   |                |
|---|---|----------------|
| <p><b>Profit Costs excluding VAT</b></p>  | <p>Total amount of actual profit costs (excluding VAT) incurred.</p> <p>Including travel and waiting but not disbursements</p> <p>In <b>Immigration &amp; Asylum</b> matters, where the costs incurred exceed the value of any Cost Limit that applied at the time (paras 8.79 to 8.88 of the 2024 Immigration Category Specific Rules, then the value entered here should be limited to the applicable cost limit. For example, if costs totalling £835 have been incurred, but the cost limit was £800, then costs reported should be limited to £800. CWA will not automatically limit costs to the applicable cost limit.</p> <p>Where costs are to be claimed in addition to the Cost Limit, due to attendance at an interview with the Home Office, you should enter “1” in the Home Office interview field. The total Profit Costs incurred, subject to any cost limit and including these additional reasonable costs, should then be reported in the “Profit Costs exc VAT” field.</p> | <p>Numeric</p> |
| <p><b>Disbursement excluding VAT</b></p>  | <p>Total amount of disbursements (excluding VAT)</p>  | <p>Numeric</p> |
| <p><b>Counsel Costs excluding VAT</b></p> | <p>Total amount of counsel fees (excluding VAT)</p>   | <p>Numeric</p> |
| <p><b>Disbursement VAT amount</b></p>     | <p>When claiming VAT on Disbursements CWA will limit the amount you can claim.</p> <p>The VAT rate to be applied is the rate that was applicable on the date the case was concluded. If you claim Disbursements VAT in excess of this limit your claim will be rejected by CWA. For further information on the rules around VAT reporting see the LAA website</p>   | <p>Numeric</p> |

|   |   |                               |
|---|---|-------------------------------|
| <p><b>Profit and Counsel VAT indicator</b></p>  | <p>When selected, applies VAT to the outcome value (excluding disbursements that have their own VAT field). Where deriving value it will apply VAT to the fee and any other additional payments. If the fixed fee does not apply it will apply VAT to the NET profit costs and counsel costs fields.</p>  | <p>Yes or No</p>              |
| <p><b>Travel and Waiting Costs excl VAT</b></p> | <p>For all matters, whilst the information entered here won't affect the amount you will be credited by CWA, you should complete this field to confirm the total travel and waiting time in monetary form.</p> <p>You should however ensure that claimable travel and waiting costs is included in the Profit Costs/Counsel Fee fields as these fields will determine the amount credited.</p> <p>For <b>Immigration &amp; Asylum matters</b>, guidance on claiming for travel and waiting costs in detained matters can be found later in this document.</p>   | <p>Numeric</p>                |
| <p><b>Stage Reached</b></p>                     | <p>Stage the case has reached at the end.</p> <p><b>Stage reached codes are not required in all categories.</b> See category specific section of this document (Section B)</p>  | <p>Alpha<br/>2 characters</p> |
| <p><b>Outcome for Client</b></p>                | <p>The outcome for the client at the end of the case /stage See category specific section of this document (Section B)</p>  | <p>Alpha<br/>2 characters</p> |
| <p><b>Postal Application Accepted?</b></p>      | <p>Whether or not an application was accepted by post, fax or email (as per paragraph 3.15 of the General Specification to the Standard Civil Contract 2024). Failure to complete this field will result in the system populating an error message, requesting the field to be completed.</p> <p>This information will be used by the LAA to monitor the frequency of such applications, including the proportion of claims where the client does not attend you in person in Education and Discrimination from 1 June 2020 (see paragraphs 16.20 and 17.20 of the Category Specific Rules respectively).</p> | <p>Yes or No</p>              |

The fields listed below are not mandatory and need only be completed where relevant to both the category and the individual claim.



| Field                                     | Use   | Format       |
|---|---|--------------|
| <b>Exemption Criteria Satisfied</b>       | <p>This field should be completed where the case required particular criteria to be satisfied to bring the matter into scope e.g. the client is a victim of Trafficking.</p> <p>Providers should select the relevant criteria from the list, ensuring that suitable evidence to support the exemption is retained on file.</p>  | Alpha        |
| <b>Exceptional Case Funding Reference</b> | Where Exceptional Case Funding has been authorised by the LAA, you must record the Exceptional Case Funding Reference here.   | Alpha        |
| <b>Transfer date</b>                      | <p>This field should be used when a matter started before 1 April 2013 has been transferred to a provider following the closure of another provider, but the advice is no longer within the scope of legal aid.</p> <p>The new provider should report the date on which they opened the matter in this field.</p> <p>The date that the previous provider opened the matter should be recorded in the <b>Case Start Date field</b>.</p> <p>Further guidance can be found later in <b>Section A</b> of this document.</p> | Alphanumeric |

## 10.5 Completion of Category Specific Fields

Guidance on the completion of these fields can be found in the relevant Category Annexes in Section B of this document.

## 11. Equal Opportunities Monitoring:

11.1. Where a client does not wish to provide this information please put the relevant code for unknown.

| Field         | Use              | Format |         |
|---------------|------------------|--------|---------|
| <b>Gender</b> | Gender of client | M      | Male    |
|               |                  | F      | Female  |
|               |                  | U      | Unknown |
|               |                  | 00     | Other   |

|                   |   |     |   |
|-------------------|---|-----|---|
| <b>Ethnicity</b>  | Ethnicity of client   | 01  | White British                             |
|                   |   | 02  | White Irish                               |
|                   |   | 03  | Black or Black British African            |
|                   |   | 04  | Black or Black British Caribbean          |
|                   |   | 05  | Black or Black British Other              |
|                   |   | 06  | Asian or Asian British Indian             |
|                   |   | 07  | Asian or Asian British Pakistani          |
|                   |   | 08  | Asian or Asian British Bangladeshi        |
|                   |   | 09  | Chinese                                   |
|                   |   | 10  | Mixed White & Black Caribbean             |
|                   |   | 11  | Mixed White & Black African               |
|                   |   | 12  | Mixed White & Asian                       |
|                   |   | 13  | Mixed Other                               |
|                   |   | 14  | White Other                               |
|                   |   | 15  | Asian or Asian British Other              |
|                   |   | 16  | Gypsy/Traveller – New code                |
|                   |   | 99  | Unknown                                   |
| <b>Disability</b> | <p>Client disability indicator</p> <p>If a client considers himself or herself to have a disability, please mark the disability monitoring column with the most appropriate code. If the client has multiple disabilities please report the code that reflects the predominant disability.</p> <p>If the client does not consider himself or herself disabled then mark the column with the code NCD.</p> <p>Where a client does not wish to provide this information please mark the column with the code UKN.</p> | NCD | Not Considered Disabled                   |
|                   |   | MHC | Mental Health Condition                   |
|                   |   | LDD | Learning Disability/Difficulty            |
|                   |   | ILL | Long Standing Illness Or Health Condition |
|                   |   | OTH | Other                                     |
|                   |   | UKN | Unknown                                   |
|                   |   | MOB | Mobility impairment                       |
|                   |   | HEA | Hearing impaired                          |
|                   |   | DEA | Deaf                                      |
|                   |   | VIS | Visually impaired                         |
|                   |   | BLI | Blind                                     |
|                   |   |     |   |

## 12. Date the case is opened

### 12.1 Importance of the “case start date”

12.1.1 The ‘case start date’ of the matter recorded by a provider in CWA informs the scheme rules in accordance with which the case will be funded. This is the date the client signs the relevant Controlled Work form.

12.1.2 Any reassessment of the means or merits during the life of a case will be based on the scheme rules in operation at the case start date.

12.1.3 The case start date for face to face advice is the date of a valid grant of Legal Help or Controlled Legal Representation, by a provider. For example, this is normally when the legal help application is completed (i.e. when the form is signed by the client)

## **12.2 Does it matter when the case is reported via CWA?**

12.2.2 The date the controlled work case is billed (i.e. when it is completed) does not impact on the fee paid as the fee is determined on the start date. The case could be billed several years after the start date of the case.

## **12.3 Returning clients with the same legal problem**

12.3.1 Where Legal Help has been provided in relation to the same matter/legal problem (as defined in contract and Regulations) any further work on the same matter will be governed by the previous provisions on remuneration.

12.3.2 For example, if a client returns with the same issue/matter within 6 months (reduced to 3 months if there has been a material development or change in the client's instructions) the original case is reopened and the original case start date and therefore 'scheme rules' are applied.

12.3.3 Where a Legal Help matter progresses to Help at Court or Family Help (Lower) the start date of the matter is still defined as the date that the Legal Help form was signed.

12.3.4 In Immigration, from 1 April 2023, Legal Help and CLR are separate matters and therefore the case start reported for each should be the date on which the Legal Help or CLR form was signed. The same date should not be used for both LH and CLR, unless both matters commenced on the same date.

## **13. Reporting a case subject to Exceptional Case Funding**

13.1. If Exceptional Case Funding (ECF) is authorised under Controlled Work, the outcome of the case will be reported in CWA. Providers will report case outcomes in one of two ways:

- ✦ If a Provider has user access to CWA they will submit the outcome of the case themselves in CWA.
- ✦ If Provider does not have user access to CWA (e.g. because they are doing the work under an individual case contract) they should refer to the ECF guidance/team for confirmation of how to report this work.

13.2. When reporting a matter subject to ECF in CWA, providers will be required to provide all of the standard outcome details that would be provided for a case authorised under mainstream funding.

## **13.3 Matter Type codes:**

13.3.1 For areas of advice which are no longer within the scope of legal aid, but where ECF has been authorised by the LAA, providers will report these matters using the Matter Type Codes that were in place prior to 1 April 2013 when those areas were in scope. The category specific guidance contained within Section B of this document details those Matter Type codes which apply to out of scope matters.

#### **13.4 Exceptional Case Funding Reference:**

13.4.1 When the outcome of an ECF case is reported in CWA providers must record an ECF reference that will have been issued at the point funding was granted by the LAA. This reference will be confirmed to the provider following a successful application for ECF.

#### **13.5 Procurement Area and Access Point:**

13.5.1 If a Provider submits an outcome with an ECF reference they will not be required to submit any Procurement Area or Access Point information in the outcome details.

### **14. Exemption Criteria**

14.1. Some cases removed from the scope of legal aid of advice can be brought back into scope if an individual meets set criteria which are set out below. The table confirms the various scenarios in which the “Exemption Criteria Satisfied” field in CWA may need to be completed, along with confirmation of the criteria and examples of the evidence required to be retained on file.

#### **14.2 *Family Cases involving Domestic Violence or Child Abuse***

14.2.1 Clients may be eligible for family matters if the case involves an aspect of domestic violence (DV) or child abuse (CA). Providers will be required to indicate how the case meets the DV or CA criteria. If the client is under 18 at the time the matter is opened, they do not need to satisfy these criteria.

14.2.2 At Legal Help providers will be required to indicate, when using an out of scope code combination, which specific DV or CA criterion has been satisfied when the outcome of a case is reported.

14.2.3 For Legal Help matters the provider will not be required to request prior approval to conduct the case in these circumstances, but will instead be required to retain the necessary evidence on file.

14.2.4. The criteria can be found in the Civil Legal Aid Procedure (Amendment) (No 2) Regulations 2017:

<http://www.legislation.gov.uk/uksi/2017/1237/made>

#### **14.3 *Family cases involving clients under the age of 18 years old***

- 14.3.1 If the client is less than 18 years of age at the point at which the case is started (the Legal Help form is signed) the additional criteria will not need to be satisfied.
- 14.3.2 To establish the client's age at the case start date, CWA will use information recorded against the Client's DOB and the Case Start date fields. Both of these fields are mandatory in the case outcome details.
- 14.3.3 For these cases, CWA will prevent the user reporting anything against the Exemption Criteria Satisfied field or an ECF reference (as the work is technically in scope). An error message will appear if a user attempts to complete the 'Exemption Criteria Satisfied' field where the case is already determined by CWA to be in scope based on the client's age.

#### **14.4 Immigration matters (Involving victims of trafficking or modern slavery or separated migrant children))**

- 14.4.1 CWA will permit Providers to select all Immigration & Asylum Matter Type 2 Codes to report cases which involve a victim of trafficking or modern slavery. CWA will permit Providers to select most Immigration & Asylum Matter Type 2 codes to report cases which involve a separated migrant child. More information on separated migrant children can be found in the amended Immigration and Asylum contract specification and the relevant legislation: <http://www.legislation.gov.uk/ukxi/2019/1396/made>

#### **14.5 Employment and Damages cases (Involving victims of trafficking or modern slavery)**

- 14.5.1 Victims of trafficking and modern slavery will be entitled to legal help (no advocacy) at the employment tribunal These cases will be reported using Matter Type 1 code in the Miscellaneous category: XTRD.
- 14.5.2 Victims of trafficking and modern slavery will be entitled to services to bring a damages claim against an alleged trafficker; these cases will be reported using Matter Type 1 code in the miscellaneous category: XTRE
- 14.5.3 If a Provider selects a Matter Type code combination that would not be applicable unless it involved a victim of trafficking, CWA will require the Provider to verify that the case meets the requisite criteria using the "Exemption Criteria Satisfied" field, and record a valid exemption for these cases.
- 14.5.4 The provider will not be required to detail the nature of the evidence provided but they will be required to retain this on file.

#### **14.6 Clinical negligence – injury at birth**

- 14.6.1 Clinical negligence work is out of scope unless the case involves a claim for damages for clinical negligence which resulted in a neurological injury to an infant who is now severely disabled.
- 14.6.2 For these types of cases providers are required to select the "Exemption Criteria Satisfied" code CN001 (injury at birth). The Matter Type 1 and 2 codes for these types of cases are set out below in Annex B.

## **15. Table of Exception Criteria**

- 15.1 The table on the following page confirms the various scenarios in which the “Exemption Criteria Satisfied” field in CWA may need to be completed, along with confirmation of the criteria and codes which should be recorded when reporting using the Bulkload spreadsheet.

## Table of Exemption Criteria

| Issue present in case | Applies to Matter Type Codes in which categories? | Criterion/test which needs to be satisfied in order for the case to be funded  | Reporting Code | System description   |
|-----------------------|---|--|----------------|--|
| Domestic Violence     | Family  | There is or has been a protective order or injunction in place against the ex-partner (or in the case of forced marriage against any other person).  | DV001          | Domestic Violence – injunction or protective order   |
| Domestic Violence     | Family  | The other party has been convicted of a criminal offence, subject to a relevant caution or subject to a bind over concerning violence or abuse towards the applicant (unless the conviction is spent). | DV002          | Domestic Violence – relevant conviction, caution or bind over  |
| Domestic Violence     | Family  | There are on-going criminal proceedings for a domestic violence offence by the other party towards the applicant for funding.  | DV003          | Domestic Violence – on-going criminal proceedings for a domestic violence offence by the other party towards the applicant |

|                   |        |  |       |   |
|-------------------|--------|--|-------|---|
| Domestic Violence | Family | The victim has been referred to a Multi-Agency Risk Assessment Conference (MARAC) (or other suitable safeguarding forum) and a plan has been put in place to protect them from violence by the other party. (MARACs include agencies such as the police, the local authority, primary care trusts and Victim Support and share information to provide better support to DV victims). | DV004 | Domestic Violence - victim has been referred to a Multi-Agency Risk Assessment Conference (MARAC) and a plan has been put in place to protect them from violence by the other party |
| Domestic Violence | Family | There has been a finding of fact in the family courts of domestic violence by the other party giving rise to the risk of harm.   | DV005 | Domestic Violence – There has been a finding of fact in the family courts of domestic violence by the other party giving rise to the risk of harm                                   |
| Domestic Violence | Family | Undertaking from the respondent.   | DV006 | Domestic Violence – undertaking from the respondent   |
| Domestic Violence | Family | An appropriate health professional confirms that the applicant has had injuries consistent with those of a victim of domestic violence.  | DV008 | Domestic Violence – a defined health professional report/letter   |
| Domestic Violence | Family | Referral from an appropriate health professional to a domestic violence support service.   | DV011 | Domestic Violence – referral to Domestic Violence support service   |



|                   |        |  |       |   |
|-------------------|--------|--|-------|---|
| Domestic Violence | Family | Evidence that the individual has suffered or is at risk of being subjected to Financial Abuse by the other party.  | DV012 | Domestic Violence – Evidence of Financial Abuse   |
| Domestic Violence | Family | A letter or report from an organisation offering support services relating to domestic violence in the UK, confirming that an individual who is or was in a family relationship with the perpetrator has been refused admission to a refuge.   | DV013 | Domestic Violence- Letter or report from a DV Support Organisation related to a victim of Domestic Violence refusal to a refuge   |
| Domestic Violence | Family | A letter from an officer employed by a local authority or housing association (or their equivalent in Scotland and Northern Ireland) for the purpose of supporting tenants who are or at risk of being a victim of domestic violence by the perpetrator.   | DV014 | Domestic Violence- Letter from a Local Authority or Housing Association confirming that the individual was assessed as being or at risk of being a victim of Domestic Violence  |
| Domestic Violence | Family | Either a letter or copy of assessment from a Public Authority or an expert report produced as evidence in proceedings in the UK for a court or tribunal, confirming that a person who is or was in family relationship with the perpetrator is or is at risk of being a victim of domestic violence. | DV015 | Domestic Violence-Letter or copy of assessment from a Public Body or an expert report for the benefit of a court or tribunal confirming that the individual was assessed as being or at risk of being a victim of Domestic Violence |

|                   |        |  |       |  |
|-------------------|--------|--|-------|--|
| Domestic Violence | Family | The evidence must be a letter from the Secretary of State for the Home Department confirm the individual has been granted leave to remain in the UK under paragraph 289B of the Immigration Rules.   | DV016 | Domestic Violence- Letter from Secretary of State for the Home Department confirming individual has been granted leave to remain in the United Kingdom under paragraph 289B of the Immigration Rules |
| Domestic Violence | Family | A letter from an organisation providing domestic violence support services or a registered charity confirming that they have provided support to an individual who is a victim, or a risk of domestic violence. NB. The organisation must have been operating for an uninterrupted period of 6 months. | DV017 | Domestic Violence- Letter from an organisation providing Domestic Violence support services  |
| Domestic Violence | Family | The other party is or has been under investigation for a domestic violence offence.  | DV018 | Domestic Violence- Evidence that the perpetrator is, or has been under investigation for a Domestic Violence Offence   |
| Domestic Violence | Family | Evidence from either an Independent Domestic Violence Advisor/ Advocate (IDVA) or and Independent Sexual Violence Advisor / Advocate (ISVA) confirming that they are supporting the individual regarding a domestic violence or sexual violence offence.   | DV019 | Domestic Violence- Letter from an Independent Domestic Violence Advisor (IDVA) or an Independent Sexual Violence Advisor (ISVA)  |

|             |        |   |       |  |
|-------------|--------|---|-------|--|
| Child Abuse | Family | There is a relevant conviction of a criminal offence or caution for a child abuse offence against a party other than the applicant in relation to the child who is the subject of the order (unless the conviction is spent). | CA001 | Child Abuse - conviction, caution or bind over for child abuse offence |
| Child Abuse | Family | There are on-going criminal proceedings for a child abuse offence against the person from whom the protective party is seeking to protect the child   | CA002 | Child Abuse - Ongoing criminal proceedings for child abuse             |
| Child Abuse | Family | There is or has been a protective order or injunction in place for protection of the child who is subject to the order (or in the case of forced marriage against any other person).  | CA003 | Child Abuse - application for injunction or protective order           |
| Child Abuse | Family | A local authority has put a Child Protection Plan in place to protect the child who is the subject of the proceedings   | CA004 | Child Protection plan in place   |
| Child Abuse | Family | A social services department confirms that the child has been assessed as being or at risk of being a victim of child abuse.  | CA005 | Child Abuse - Social Services letter                                   |
| Child Abuse | Family | There is a relevant finding of fact by the courts that child abuse on the part of the person from whom the protective party is seeking to protect the child has occurred  | CA006 | Child Abuse - Finding of fact of child abuse                           |

|                            |                               |   |       |   |
|----------------------------|-------------------------------|---|-------|---|
| Child Abuse                | Family                        | An application for a prohibited steps order has been made in addition to an application for a protective order or injunction, which has not yet been decided by court.  | CA007 | Child abuse - Prohibited steps in addition to protective order or injunction  |
| Child Abuse                | Family                        | The other party is on police bail for a child abuse offence. <u>NB. For matters opened on/ or after the 8<sup>th</sup> January 2018 this code will relate to the other party being under investigation for a child abuse offence.</u> | CA008 | Child Abuse - police bail   |
| Client U18                 | Family                        | Client Date of Birth under 18 at date of signature  | UA001 | Family Case Client Under 18. NB. This exemption code can also be used for parents/those with Parental Responsibility making an application for a Special Guardianship Orders in private family law. |
| Separated migrant children | Immigration                   | Client is a separated migrant child   | CM001 | Separated migrant children  |
| Trafficking                | Immigration and Miscellaneous | The client has been a victim of trafficking or modern slavery   | TR001 | Trafficking or modern slavery   |
| Injury at Birth            | Clinical Negligence           | The case involves issues arising from injury at birth   | CN001 | Injury at Birth   |

## 15. Transfer of Civil Controlled Work matters

15.1 After the implementation of LAPSO in April 2013 arrangements were put in place by the Agency to allow providers to take over matters which would normally no longer have been within scope of legal aid and were unable to be completed by the initial provider due to specific circumstances.

15.2 These circumstances may include:

- ✦ Entering administration
- ✦ Ceasing to carry out legal aid work due to circumstances outside their control (e.g. if acquired by another company).

15.3 These arrangements allow a matter to transfer to a new provider on/after 1 April 2013, providing that the first provider granted funding in relation to the same matter prior to that date.

Providers **must** obtain authorisation from their Contract Manager before accepting such a transfer.

15.4 Further guidance on the Transfer of Civil Controlled Work matters can be found on the LAA website. CWA allows providers to:

- ✦ Indicate when they have started a new matter that has originated from a transferred matter by recording the Transfer Date.
- ✦ Report the outcome of a case that originated from a transferred matter.

15.5 This in turn will ensure that providers can:

- ✦ Report the total number of transferred cases they have started in a given month (which do not form part of their contractual allocation.)
- ✦ Report the outcome of transferred cases and be remunerated under the relevant fee scheme (i.e. the fee scheme which was active when the matter was originally opened by the initial Provider.)
- ✦ Take on and report transferred cases which were originally started and in scope prior to 1 April 2013, but are transferred on/after that date and are no longer in scope.

### 15.6 Reporting New Matter Starts relating to Transferred matters:

15.6.1 Providers will be required to report a monthly total of the number of NMS opened as a result of a transferred matter, by category, through CWA.

15.6.2 These Procurement Areas/Access points will be listed on CWA as separate rows distinct from those rows linked to your individual category/office schedules. Each of these rows will have a "Transferred Matter" Procurement Area and Access Point combination.

15.6.3 Providers should report the monthly total of Transferred Matters opened in each of the relevant categories when also reporting their Monthly NMS usage figures.

## **15.7 Reporting claims relating to a Transferred case:**

15.7.1 Providers will also be required to report the costs of a Transferred Matter at the normal contractual billing points and CWA has been amended to allow them to do so whilst also allowing the LAA to identify these claims as Transferred Matters. This will also ensure that the matter is paid under the correct fee scheme and the correct fees are credited.

15.7.2 Providers need to:

- ✦ Complete the “Case Start Date” field with the date on which the previous provider granted funding for the case (prior to 1 April 2013).
- ✦ Complete the new “Transfer Date” field with the date on which funding was granted by the new provider for the matter i.e. the date on which the client signed the Legal Help form

15.7.3 Providers should ensure that where they complete the Transfer Date field, that the Procurement Area and Access Points chosen are “Transferred Matter” in both instances.

## **15.8 Transferred Matters for Welfare Benefits Matters**

15.8.1 CWA has been amended to allow providers to claim and report transferred cases in relation to the Welfare Benefits category of law only, regardless of when the case was opened by the original provider (pre/post 1 April 2013). In these types of cases providers will still be required to:

- ✦ Complete the “Case Start Date” field with the date on which the previous provider granted funding for the case.
- ✦ Complete the new “Transfer Date” field with the date on which funding was granted by the new provider for the matter i.e. the date on which the client signed the Legal Help form.

15.8.2 For transferred cases in the Welfare Benefits category of law, the new provider can only claim for the fee scheme set out in their Schedule.

## **16. How to Submit a Stage Disbursement Claim in Immigration, Mental Health and Education**

### **16.1 Overview**

16.1.1 In Immigration and Mental Health, providers are able to submit a Stage Disbursement Claim for any disbursements incurred to date, three or six months after a case has started, and then every three or six months after such a claim is made. For full details on the contract rules governing these provisions, please see paragraph 8.104 (Immigration), paragraph 9.68 (Mental Health) and paragraph 16.38 (Education) of the 2024 Standard Civil Contract.

## 16.2 How to make a claim

16.2.1 When submitting any claim for payment in Immigration and Mental Health you will need to report a 'Claim Type'. When doing so, the following options will be made available to you:

- Stage Claim (Immigration Only)
- Stage Disbursement Claim
- Completed Matter Claim

16.2.2 In order to submit an interim bill, you should choose the '**Stage Disbursement Claim**' from this list.

### Education

16.2.3 We have implemented a manual workaround for claiming stage disbursements pending permanent changes to CWA being made.

Please refer to page 62, Annex F, of the guidance to see details on how to claim stage disbursements in Education.

## 16.3 What other information is required?

16.3.1 The values you enter under the 'Net Disbursements excluding VAT' and 'Disbursement VAT' will determine the level of payment you will receive for this claim.

16.3.2 Depending on which claim type is selected, only those fields which are relevant to that claim will remain to be completed. For instance, for Stage Disbursement Claims, both the Profit Costs and Counsel Fee fields will be unavailable.

## 16.4 Validation for making Stage Disbursement Claims

16.4.1 In order to ensure that the Stage Disbursement Claim that you make is appropriate there are certain rules about the type of claims you can make and when these claims can be made. Any claims breaching these rules will be rejected from CWA when you try to submit them. The rules that we have introduced are set out below.

### 16.5 Matter Type Codes:

#### **A) *Immigration:***

16.5.1 In Immigration, when submitting a claim you should use the same Matter Type 1 and 2 combinations that you would look to use in a completed claim for that matter. For instance if the substantive matter is an asylum matter payable under the Standard Fee Scheme; you should use the combination IALB: IGOL for the Stage Disbursement Claim.

#### **B) *Mental Health:***

16.5.2 The ability to make stage disbursement claims will apply to all Matter Type 1 and Matter Type 2 codes. The “Mental Health: Case Stage/Level Code” field is not required when the claim type “Stage Disbursement Claim” is selected by the user provider.

**16.6 Outcome Code:**

16.6.1 An outcome code is available in Mental Health in relation to a stage claim with no outcome for the client. The same outcome code also exists for Immigration Stage claims and should also be used for Stage Disbursement Claims.

16.6.2. The only outcome code available for selection when Claim Type ‘Stage Disbursement Claim’ is selected will be: - - (double dash). The table below summarises some of the key system validation that exists to support the submission of Stage Disbursement Claims:

| Rule  | Type of Validation  |
|---|---|
| <b>Case Start Date</b>                        | The Case Start Date submitted is the date the matter was opened.  |
| <b>Six Months</b>                             | Each claim must be submitted within the permissible time periods set out in the contract otherwise they will be rejected. For example, you will not be able to submit a claim for a disbursement in a case that is not at least six months old. |
| <b>Matter Type 1 Codes (Immigration Only)</b> | In Immigration, Stage Disbursement claims can be made with any MT1 code except <b>IALH, IMLH, IAAP and IMAP</b> .   |
| <b>Matter Type 2 Codes (Immigration Only)</b> | In Immigration, it will <b>not</b> be possible to make a Stage Disbursement Claim using the following Matter Type 2 codes: <b>IDAS, INAS &amp; IPST</b> .   |
| <b>Outcome for Client Code</b>                | As the case has not yet concluded you <b>must</b> use the ‘--’ (double dash) code when reporting a Disbursement Stage Claim.  |



## **Section B: Category specific guidance**

1. Whilst Section A of this document details many of the provisions and guidance application across the various civil categories of law, there are some that are specific to individual categories.
2. This section contains a summary of the provisions including Category Specific CWA fields, reporting codes and other category guidance relevant to each of the civil areas of law.

### **Matter Type, Stage Reached and Outcome Codes**

3. Matter Type codes have been divided into Matter Type 1 and Matter Type 2. Both must be filled in for each individual case. **Only one Matter Type 1 and one Matter Type 2 must be recorded.**
4. In the majority of categories:
  - ✦ Matter type 1 must reflect the **most significant legal issue** dealt with during the case.
  - ✦ Matter type 2 should best describe either the opponent in the case or the status of **the main person involved in the case** (usually the client) as it relates to the **main legal issue** (described in Matter Type 1) **prior to** that issue being resolved or in any way addressed.
  - ✦ The Outcome field **must** be completed. For immigration stage claims and immigration standby claims "--"(double dash) should be entered as the outcome code.
  - ✦ The Stage Reached field **must** be completed in relation to all matters opened before 1 April 2013. Stage Reached codes however are not mandatory in every category of law for matters opened on/after that date. Please refer to the individual category guidance for confirmation of whether Stage Reached codes are required for matters opened on/after 1 April 2013.
  - ✦ Where a Stage Reached code is required, enter the code from the category list provided showing what stage was reached in the case.
  - ✦ In the second field enter the code from the category list provided showing what outcome has been achieved for the client. This **must** be the outcome for the legal issue described by Matter Type 1.
  - ✦ Providers should refer to the relevant Category Annex within this document for more detailed guidance on which claim codes to use or not to use in certain circumstances.
5. CWA contains some abbreviated descriptions of the codes. Please use the individual code documents when reporting on your cases.

### **Classification of reporting codes:**

6. Some matters which are not in scope of Legal Aid can be funded by ECF and may have different reporting codes available.

7. There are also types of advice within some categories which are only within scope if specific criteria are satisfied. Where criterion is required to be satisfied in order for the matter to be in scope, this has been highlighted.

## **Annex A: Claims Against Public Authorities (CAPA)** **(previously Actions Against the Police etc.)**

No changes have been made to the existing code references and descriptions as a result of the change in category name.

Below is a screenshot of the fields available for completion when reporting an AAP matter directly onto CWA. Those fields marked with an asterisk are mandatory.

The screenshot shows a web-based form for reporting a CAPA matter. It is organized into three main sections:

- Header Information:** Includes fields for Firm Name, Account Number, Schedule/Submission Reference, Office Name, and Submission Period. A dropdown for Matter Type is set to 'AASS:ACOM' with a tooltip 'Assault:Private company'.
- Case Information:** Contains fields for Schedule Reference, Case Reference Number, Case Start Date, Case ID, Procurement Area, Access Point, Client Forename, Client Surname, Client Date of Birth, UCN, Postal Application Accepted, Gender, Ethnicity, Disability, and Client Postcode.
- Outcome Details:** This section contains the most mandatory fields (marked with an asterisk): Case Concluded Date, Advice Time, Travel Time, Waiting Time, Profit Costs excluding VAT, Disbursements excluding VAT, Counsel Costs excluding VAT, Disbursements VAT amount, Profit and Counsel VAT Indicator, Tolerance indicator, Travel and Waiting costs excluding VAT, Stage Reached, Outcome for client, Exemption Criteria Satisfied, Exceptional Case Funding Reference, and Transfer Date.

At the bottom right of the form are buttons for 'Clear', 'Cancel', and 'Save'.

### **A1. Reporting Codes:**

#### **A1.1 Matter Type**

##### **A1.1.1 Matter Type 1: What the matter is about**

The Matter Type 1 code must reflect the most significant legal issue dealt with during the case.

| Code        | Description   |
|-------------|---|
| <b>AASS</b> | <b>Assault</b><br>Any actual or threatened use of force, whether or not physical or psychological injury is caused. |

|             |  |
|-------------|--|
| <b>AFAL</b> | <b>False imprisonment/wrongful arrest</b><br>All types of deprivation of liberty, (whether at a police station or not) where a question arises as to its legality.   |
| <b>AMAL</b> | <b>Malicious prosecution</b><br>Where a prosecution has been commenced on the basis of evidence provided by an individual/individuals (who need not necessarily be police officers), whether or not the prosecution reaches trial. The prosecution must be capable of resulting in a criminal conviction.  |
| <b>AMIS</b> | <b>Misfeasance in public office</b><br>Where a public officer maliciously (by either act or omission) exercises a power conferred on him/her by virtue of his/her public office which causes foreseeable damage to another.  |
| <b>ANEG</b> | <b>Negligence</b><br>Where a duty of care to a person or group of people owed is breached, causing loss that is reasonably foreseeable as a consequence of that breach. This may well apply in <i>addition</i> to other torts (including assault, false imprisonment and trespass).  |
| <b>ATRE</b> | <b>Trespass</b><br>Where action concerns wrongful entry/remaining on land (e.g. someone's home during a search).   |
| <b>AINT</b> | <b>Interference with goods</b><br>Applies where goods are either damaged or disposed of unlawfully (whether destroyed or not).   |
| <b>ACOM</b> | <b>Complaint</b><br>All matters of police misconduct where a representation in relation to the conduct of officers/civilian staff is made, either to the police force concerned and/or to the Independent Police Complaints Authority (IPCC).  |
| <b>AIND</b> | <b>Inquest (death in custody)</b><br>Where a death has occurred in custody (including police stations, or whilst otherwise in police detention, or in a prison, or in an immigration centre) or that has occurred as a result of an attempt to detain an individual.   |
| <b>AINO</b> | <b>Inquest (other)</b><br>All other cases where a death has occurred other than in the course of a detention (including whilst in a hospital, care home, social services custody, care of an educational establishment). NB This category may still involve the police (e.g. a death involving police officers involved in a pursuit or otherwise engaged in police duties). |
| <b>AHRA</b> | <b>Human Rights Act Only</b><br>Where the dominant cause of action is under the Human Rights Act.  |
| <b>ADIS</b> | <b>Discrimination</b><br>All cases where discriminatory treatment by the defendant is alleged (e.g. on grounds of race, disability, sex, sexual orientation, age, religion, political or other opinion, or national or social origin).   |

|             |  |
|-------------|--|
| <b>ASAC</b> | <b>Sexual abuse of a child in care</b><br>Where an individual in a position of authority uses his/her position to engage in sexual activities with a minor in their care or in respect of whom they have access. This is irrespective of whether or not physical or psychological injury can be established. A “minor” is any person under the age of 18 years at the time of the alleged conduct. |
| <b>ASAA</b> | <b>Sexual abuse of a vulnerable adult in care</b><br>Where an individual in a position of authority uses his/her position to engage in sexual activity with a vulnerable adult in the care of a local authority or agent of a local authority or in respect of whom they have access by virtue of their position. A “vulnerable adult” is any person who suffers from a physical or mental.        |
| <b>ANSC</b> | <b>Non-sexual abuse of a child in care</b><br>Where an individual in a position of authority deliberately causes or attempts to physically or psychologically cause harm to a “minor” in their care or in respect of whom they have access. A “minor” is anyone under the age of 18 years at the time of the alleged conduct.  |
| <b>ANSA</b> | <b>Non-sexual abuse of vulnerable adult in care</b><br>Where an individual in a position of authority deliberately causes or attempts to physically or psychologically harm a vulnerable adult in the care of a local authority or agent of a local authority, or in respect of whom they have access. A “vulnerable adult” is any person who suffers from a physical or mental impairment.        |
| <b>AOTH</b> | <b>Other</b><br>Where the most significant legal issue does not fall within any of the above.  |

#### **A1.1.2 Matter Type 2: Who the matter involves**

The Matter Type 2 code must accurately identify the defendant/potential defendant or opponent/potential opponent. If there is, or is likely to be more than one defendant/opponent, the dominant or first defendant/opponent should be selected.

| <b>Code</b> | <b>Description</b>  |
|-------------|---|
| <b>APOL</b> | <b>Police</b><br>Includes civilian members of a police force and special constables/PCSOs.  |
| <b>APRI</b> | <b>Prison</b><br>Use where the Home Office is not the defendant/ opponent.  |
| <b>AHOM</b> | <b>Home Office</b><br>Use where the Home Office is vicariously liable for acts/omissions (e.g. a prison, immigration removal centre). |
| <b>ACRB</b> | <b>CRB</b><br>Any claim involving the Criminal Records Bureau.  |
| <b>AREL</b> | <b>Religious Institution</b><br>All faiths (Roman Catholic, Church of England, Muslim, etc).  |

|             |  |
|-------------|--|
| <b>ALEA</b> | <b>Education Establishment</b><br>All educational establishments (whether private or local authority governed).  |
| <b>AHOS</b> | <b>Hospital</b><br>All hospitals whether NHS Trusts or privately administered.   |
| <b>AIMM</b> | <b>Immigration authority</b><br>Claims involving IND but not the Home Office.  |
| <b>ABAI</b> | <b>Bailiffs</b><br>All private bailiffs (excluding court bailiffs).  |
| <b>ACOM</b> | <b>Private Company</b><br>All non-publicly owned traders including sole proprietors, partnerships, private limited companies, and listed public companies. |
| <b>AOTH</b> | <b>Other</b><br>This code should only be used if the client does not fall into one of the above categories.  |

## **A1.2 Outcome for the client**

### **A1.2.1 Matter concluded**

Enter a code from the category list showing what outcome has been reached for the client. This must be the outcome for the legal issue described by the matter type.

| <b>Code</b> | <b>Description</b>   |
|-------------|--|
| <b>AA</b>   | <b>Client receives damages</b><br>Any payment of a lump sum by the opponent to the client.   |
| <b>AB</b>   | <b>Client's property is returned</b><br>Any agreement for the return of goods etc (e.g. a motor vehicle).  |
| <b>AC</b>   | <b>Client receives damages and client's property is returned</b> Where damages are paid in addition to the return of property.   |
| <b>AD</b>   | <b>Client obtained a declaration of their rights</b><br>This will apply in cases where the opponent formally accepts that the client's rights have been infringed (e.g. an ECHR right).  |
| <b>AE</b>   | <b>Client was successful in requiring or restraining a particular course of action to be taken by the opponent</b><br>E.g. where the opponent agrees to amend/remove personal data held in relation to the client or where a reprimand/caution is quashed. |
| <b>AF</b>   | <b>Client secures explanation or apology</b><br>Use in matters where the opponent addresses the issues of concern but no compensation offered.   |

|           |  |
|-----------|--|
| <b>AG</b> | <b>Opponent/other party action benefited person other than client</b><br>Applies where opponent's action is likely to benefit others unconnected with the client (e.g. a change in policy when dealing with particular types of offences).                         |
| <b>AH</b> | <b>Client advised and able to plan and/or manage their affairs better</b><br>Applies where, as result of your advice or assistance, the matter for which advice was sought concludes and your client is better able to plan or manage their own affairs in future. |
| <b>AI</b> | <b>Matter concluded otherwise</b><br>This should only be used if there is no outcome of the most significant legal issue in the case which is covered by one of the above categories.  |

### **A1.2.2 Matter not concluded**

Use the following codes only where you do not know the outcome.

| <b>Code</b> | <b>Description</b>  |
|-------------|---|
| <b>AU</b>   | <b>Matter stopped on advisor's recommendation</b><br>Matter stopped on the basis of advisor's opinion that continuation does not justify continued public funding (includes unfavourable opinions from experts or informal advice from counsel).      |
| <b>AV</b>   | <b>Matter proceeded under other Civil Legal Aid</b><br>Includes full or investigative representation certificates.  |
| <b>AW</b>   | <b>Client referred to another organisation</b><br>Includes referrals about the same matter to other solicitors, charities or special interest groups and support services etc. It does not cover referral of different but connected cases            |
| <b>AX</b>   | <b>Client advised and taking action themselves or with the help of a third party</b><br>Applies where you advise that you are unable to assist but the client carries on by themselves or with help from others.                                      |
| <b>AY</b>   | <b>Client advised and third party action or decision awaited</b><br>Applies where the client has sought advice and assistance before third party action has been taken or decision received.  |
| <b>AZ</b>   | <b>Outcome not known/client ceased to give instructions</b><br>Applies where a case has ended because the client has failed to give instructions, withdrawn instructions, or the matter has been ended for other reasons before the outcome is known. |

## **Annex B: Clinical Negligence**

Below is a screenshot of the fields available for completion when reporting a Clinical Negligence matter directly onto CWA. Those fields marked with an asterisk are mandatory.

Header Information

|                               |                   |
|-------------------------------|-------------------|
| Firm Name                     | Office Name       |
| Account Number                | Submission Period |
| Schedule/Submission Reference |                   |

\* Matter Type  Physical Injury (full recovery in 1 year):Hospital - NHS  
 UFN

Case Information

| Outcome Details   |   |
|---|---|
| Schedule Reference <input type="text"/>   | * Case Concluded Date <input type="text"/>                  |
| * Case Reference Number <input type="text"/>  | * Advice Time <input type="text"/>                          |
| * Case Start Date <input type="text"/>  | * Travel Time <input type="text"/>                          |
| * Case ID <input type="text"/>  | * Waiting Time <input type="text"/>                         |
| Procurement Area <input type="text"/>   | * Profit Costs excluding VAT <input type="text"/>           |
| Access Point <input type="text"/>   | * Disbursements excluding VAT <input type="text"/>          |
| * Client Forename <input type="text"/>  | * Counsel Costs excluding VAT <input type="text"/>          |
| * Client Surname <input type="text"/>   | * Disbursements VAT amount <input type="text"/>             |
| * Client Date of Birth <input type="text"/>   | * Profit and Counsel VAT Indicator <input type="text"/>     |
| * UCN <input type="text"/>  | * Tolerance indicator <input type="text"/>                  |
| UCN Format: ddmm/yyyy/A/AAAA e.g. 05051962/M/SMIT for client Mark Smith with a DOB 05/05/1962 | Travel and Waiting costs excluding VAT <input type="text"/> |
| Postal Application Accepted <input type="text"/>  | Stage Reached <input type="text"/>                          |
| * Gender <input type="text"/>   | * Outcome for client <input type="text"/>                   |
| * Ethnicity <input type="text"/>  | Exemption Criteria Satisfied <input type="text"/>           |
| * Disability <input type="text"/>   | Exceptional Case Funding Reference <input type="text"/>     |
| * Client Postcode <input type="text"/>  | Transfer Date <input type="text"/>                          |

Clear | Cancel | Save

## B1. Reporting Codes:

The Matter Type 1, Matter Type 2 and Outcome Codes listed below can only be used for cases where the Injury at Birth Criteria are satisfied and evidenced.

### B1.1 Matter Type

#### B1.1.1 Matter Type 1: What the matter is about

The Matter Type 1 code must reflect the most significant legal issue dealt with.

| Code        | Description   |
|-------------|---|
| <b>NMIN</b> | <b>Physical Injury (full recovery in 1 year)</b>  |
| <b>NMOD</b> | <b>Physical Injury (full recovery in 3 years)</b>                                       |
| <b>NPER</b> | <b>Physical Injury (with persistent problems)</b> Permanent scarring, ongoing pain etc. |
| <b>NPSY</b> | <b>Psychiatric injury</b>   |
| <b>NBDA</b> | <b>Brain damage to an Adult</b>   |
| <b>NBDM</b> | <b>Brain damage to a Minor</b>  |
| <b>NBTH</b> | <b>Perinatal injury (injury sustained during delivery)</b>                              |
| <b>NCAN</b> | <b>Cancer</b>   |

|             |  |
|-------------|--|
| <b>NCAT</b> | <b>Catastrophic injury rendering the client dependent upon others for care (spinal injury, brain damage etc.)</b><br>The most serious of injuries including a mixture of type of injury e.g. spinal injury and incontinence or renal failure requiring dialysis. |
| <b>NFAT</b> | <b>Fatal injury</b>  |
| <b>NOTH</b> | <b>Other</b><br>This category should only be used where the most significant legal issue in the case does not fall within any of the above categories.   |

### **B1.1.2 Matter Type 2: Who the matter involves**

Use the appropriate code to accurately identify the defendant/potential defendant or opponent/potential opponent. If there is, or is likely to be more than one defendant/opponent, the dominant or first defendant/opponent should be selected when reporting.

| <b>Code</b> | <b>Description</b>  |
|-------------|---|
| <b>NNHN</b> | <b>Hospital – NHS</b>   |
| <b>NNHP</b> | <b>Hospital – Private</b>   |
| <b>NNGN</b> | <b>General Practitioner – NHS</b>   |
| <b>NNGP</b> | <b>General Practitioner – Private</b>   |
| <b>NNCL</b> | <b>Clinician – Private (i.e. private doctor, surgeon, psychiatrist etc.)</b>                                |
| <b>NNDN</b> | <b>Dentist – NHS</b>  |
| <b>NNDP</b> | <b>Dentist – Private</b>  |
| <b>NOTH</b> | <b>Other</b><br>This code should only be used if the client does not fall into one of the above categories. |

## **B1.2 Outcome for the client**

Enter a code from the category list showing what outcome has been reached for the client. This must be the outcome for the legal issue described by the matter type.

### **B1.2.1 Matter concluded**

| <b>Code</b> | <b>Description</b>                                     |
|-------------|--|
| <b>NA</b>   | <b>Client receives damages</b>                         |
| <b>NB</b>   | <b>Client receives periodical payments</b>             |
| <b>NC</b>   | <b>Client receives periodical payments and damages</b> |



|           |   |
|-----------|---|
| <b>ND</b> | <b>Apology obtained</b><br>Apology obtained but no damages.   |
| <b>NE</b> | <b>Opponent/other party action benefited person other than client (e.g. a change in policy or procedure)</b>  |
| <b>NF</b> | <b>Client advised and able to plan and/or manage their affairs better</b> Applies where, as result of your advice or assistance, the matter for which advice was sought concludes and your client is better able to plan or manage their own affairs in future. |
| <b>NG</b> | <b>Matter concluded otherwise</b><br>This should only be used if there is no outcome of the most significant legal issue in the case which is covered by one of the above categories.   |

### **B1.2.2 Matter not concluded**

Use the following codes only where you do not know the outcome.

| <b>Code</b> | <b>Description</b>  |
|-------------|---|
| <b>NU</b>   | <b>Matter stopped on advisor's recommendation</b><br>Matter stopped on the basis of advisor's opinion that continuation does not justify continued public funding (includes unfavourable opinions from experts or informal advice from counsel).      |
| <b>NV</b>   | <b>Matter proceeded under other Civil Legal Aid</b><br>Includes full or investigative representation certificates.  |
| <b>NW</b>   | <b>Client referred to another organisation</b><br>Includes referrals about the same matter to other solicitors, charities or special interest groups and support services etc. Does not cover referral of different but connected cases               |
| <b>NX</b>   | <b>Client advised and taking action themselves or with the help of a third party</b><br>Applies where you advise that you are unable to assist but the client carries on by themselves or with help from others.                                      |
| <b>NY</b>   | <b>Client advised and third party action or decision awaited</b><br>Applies where the client has sought advice and assistance before third party action has been taken or decision received.  |
| <b>NZ</b>   | <b>Outcome not known/client ceased to give instructions</b><br>Applies where a case has ended because the client has failed to give instructions, withdrawn instructions, or the matter has been ended for other reasons before the outcome is known. |

## **B2. Authorised Litigator**

There is no longer a requirement for providers to employ an Authorised Litigator in the Clinical Negligence category. The Authorised Litigator field in CWA has been amended to reflect this and providers in the Clinical Negligence category will be

required to select the “Not Applicable” option when completing the Authorised Litigator field.

## Annex C: Community Care

Below is a screenshot of the fields available for completion when reporting a Community Care matter directly onto CWA. Those fields marked with an asterisk are mandatory.

### C1. Reporting Codes:

#### C1.1 Matter Type

The matter type must reflect the most significant legal issue dealt with during the case.

##### C1.1.1 *Matter Type 1: What the matter is about*

| Code        | Description  |
|-------------|--|
| <b>COBA</b> | <b>Obtaining assessment</b><br>Includes any type of assessment for the purpose of deciding whether a service or facility in the community is to be provided by social services or a health body, including community care, carer, leaving care, and continuing care assessments.   |
| <b>CCHA</b> | <b>Challenging an assessment</b><br>This is the appropriate coding where an assessment has already been carried out but its adequacy is in issue.<br>A successful challenge may lead to a fresh assessment but, even in these cases, CCHA, rather than COBA is the correct coding. |

|             |   |
|-------------|---|
| <b>CPRO</b> | <p><b>Provision of services</b><br/>Includes cases where the issue is the suitability or choice of service as well as those where no services have been provided following an adequate assessment.</p> <p>Where the most significant legal issue is the adequacy of the assessment on which the decision about services is based, CCHA rather than CPRO will be the correct code.</p>   |
| <b>CCRG</b> | <p><b>Charges for services</b><br/>Covers all issues relating to the charges to be made by social services authorities for domiciliary and residential services (including top up charges), or by health bodies for health care services (e.g. charging overseas visitors).</p> <p>Where the issue is whether the service should be provided by social services or by a health body as an NHS service this should be coded as CISS, even though one of the consequences of resolution of the issue is whether a charge can be made.</p>   |
| <b>CFUN</b> | <p><b>Provision of direct payments or equivalent</b><br/>Includes all cases where there are issues relating to the provision of cash so that the service user, or someone on their behalf, can make their own arrangements for services. It includes, for example, cash payments by health bodies and the use of independent user trusts, as well as statutory direct payments.</p>   |
| <b>CISS</b> | <p><b>Issues arising from the health/ social care divide</b><br/>Includes cases concerning disputes between health bodies and social services about which are responsible for service provision, and the various advantages and disadvantages of provision by each.</p>   |
| <b>CPOV</b> | <p><b>Protection of vulnerable adults</b><br/>This category is intended to cover cases arising from allegations of abuse of a vulnerable adult (e.g. failure to implement, adequately or at all, the formal Protection of Vulnerable Adults procedure) and from best interests decisionmaking on behalf of people who are mentally incapacitated. This also includes inherent jurisdiction cases.</p> <p><b>N.B. For matters opened on/after 1 April 2013 this code should only be used for general damages claims where these meet the criteria for “claims against public authorities” or “claims arising out of allegations of the abuse of a child or vulnerable adult, or allegations of sexual assault”</b></p> |
| <b>CCOT</b> | <p><b>Other</b><br/>This category should only be used where the most significant legal issue in the case does not fall within any of the above categories.</p>  |

### **C1.1.2 Matter Type 2: Who the matter involves**

Use the one code that best describes the status of the main person involved in the case (likely to be the client) as it relates to their main legal issue (described in the ‘What the matter is about’ above) prior to that issue being resolved or in any way addressed.

| Code        | Description   |
|-------------|---|
| <b>CCSU</b> | <b>Client is a current or prospective service user</b><br>Used where advice is sought by the services user him/herself, and where advice sought on behalf of a child or a mentally incapacitated person.  |
| <b>CFAM</b> | <b>Client is a carer - family member</b><br>This code should only be used where the client is the carer. If the carer is seeking advice on behalf of the cared for person, who cannot do so themselves because of their age or mental incapacity, CCRG is the correct code.     |
| <b>CNFM</b> | <b>Client is a carer - non-family member</b><br>This code should only be used where the client is the carer. If the carer is seeking advice on behalf of the cared for person, who cannot do so themselves because of their age or mental incapacity, CCRG is the correct code. |
| <b>COTH</b> | <b>Other</b><br>This code should only be used if the client does not fall into one of the above categories.   |
| <b>CNAS</b> | <b>NASS advice</b>  |

## C2.2 Stage Reached

Enter the code from the category list provided showing what stage has been reached in the case. This should correspond to the “highest” level of assistance provided to the client.

| Code      | Description   |
|-----------|---|
| <b>CA</b> | <b>First meeting</b><br>Matters which conclude after the first meeting with the client, where no further work is undertaken beyond confirming instructions and giving advice, including the confirmation of advice letter.  |
| <b>CB</b> | <b>Further work</b><br>Work beyond the first meeting, not including the confirmation of advice letter, including work preparatory to putting the case for the client. Applies where further work (e.g. investigative work) has been carried out but there has been no contact with the potential opposing party (other than for the purposes of investigation). |
| <b>CC</b> | <b>Putting case for the client</b><br>Includes correspondence with opposing party for the purposes of putting the case. Includes pre-action protocol letters and any communication with a third party that constitutes substantively putting the case for the client. Includes preparation of representations and evidence for tribunals etc.                   |
| <b>CD</b> | <b>Representation at court/tribunal</b><br>Applies where solicitors have provided or arranged representation before courts and tribunals (including representation provided pro bono or under other funding).   |

## C2.3 Outcome for the client

Enter a code from the category list showing what outcome has been reached for the client. This must be the outcome for the legal issue described by the matter type.

### C2.3.1 *Matter concluded*

| Code | Description  |
|------|--|
| CA   | <b>Money provided for the purpose of arranging services by or for the client</b> This is the appropriate code where any form of cash payment is made by a social services authority or a health body so that the client or someone on his or her behalf can make arrangements for services themselves.   |
| CB   | <b>Liability of client to pay charges for services is reduced or eliminated</b> Where the issue was whether the service should be provided by social services or by a health body as an NHS service, this should be coded as CH, even where one of the consequences of resolution of the issue is that no charge can be made.  |
| CC   | <b>Assessment obtained</b> If the case involved a challenge to the adequacy of the assessment, which led to a fresh assessment in order to remedy the deficiencies in the original assessment, CD will be the correct code rather than CC.   |
| CD   | <b>Deficiencies in assessment remedied</b> If the case involved a challenge to the adequacy of the assessment, which led to a fresh assessment in order to remedy the deficiencies in the original assessment, this will be the correct code rather than CC.   |
| CE   | <b>Secured provision of service</b> Includes not only cases where the outcome is the provision of a service where none was previously provided, but also where a more suitable service or the service of choice is provided in place of that originally on offer.  |
| CF   | <b>More effective protection of vulnerable adult</b> This includes all cases where defects in POVA procedures (such as inadequate investigations) and best interests decision-making have been remedied.   |
| CG   | <b>Statutory complaint is progressed more effectively</b> If the assistance provided has helped a client to overcome problems progressing a statutory complaint this will be the appropriate code to use.<br><br>If the complaint has led to a substantive outcome (e.g. obtaining an assessment) the coding appropriate to the substantive outcome should be used rather than this code.  |
| CH   | <b>Correct commissioner of service identified to the benefit of the client</b> Where the issue was whether the service should be provided by social services or by a health body as an NHS service this should be coded as CH (and not CB), even though one of the consequences of resolution of the issue is that no charge can be made.<br><br>The code also covers cases where the benefit is non-financial, for example where the identification of the correct commissioner leads to the provision of a service by one or the other where previously a dispute between potential commissioners had prevented any provision being made at all. |

|           |  |
|-----------|--|
| <b>CI</b> | <b>Client advised and enabled to plan and/or manage their affairs better</b> Applies where, as result of your advice or assistance, the matter for which advice was sought concludes and your client is better able to plan or manage their own affairs in future. |
| <b>CJ</b> | <b>Matter concluded otherwise</b><br>This should only be used if there is no outcome of the most significant legal issue in the case which is covered by one of the above categories.  |

### **C2.3.2 Matter not concluded**

Use the following codes only where you do not know the outcome.

| <b>Code</b> | <b>Description</b>  |
|-------------|---|
| <b>CU</b>   | <b>Matter stopped on advisor's recommendation</b><br>Matter stopped on the basis of advisor's opinion that continuation does not justify continued public funding (includes unfavourable opinions from experts or informal advice from counsel).      |
| <b>CV</b>   | <b>Matter proceeded under other Civil Legal Aid</b><br>Includes full or investigative representation certificates.  |
| <b>CW</b>   | <b>Client referred to another organisation</b><br>Includes referrals about the same matter to other solicitors, charities or special interest groups and support services etc. Does not cover referral of different but connected cases.              |
| <b>CX</b>   | <b>Client advised and taking action themselves or with the help of a third party</b><br>Applies where you advise that you are unable to assist but the client carries on by themselves or with help from others.                                      |
| <b>CY</b>   | <b>Client advised and third party action or decision awaited</b><br>Applies where the client has sought advice and assistance before third party action has been taken or decision received.  |
| <b>CZ</b>   | <b>Outcome not known/client ceased to give instructions</b><br>Applies where a case has ended because the client has failed to give instructions, withdrawn instructions, or the matter has been ended for other reasons before the outcome is known. |

## **Annex D: Debt**

Below is a screenshot of the fields available for completion when reporting a Debt matter directly onto CWA. Those fields marked with an asterisk are mandatory.

Firm Name  
Account Number  
Schedule/Submission Reference

Office Name  
Submission Period

Matter Type: DMAP;DOH  
UFN

Mortgage Arrears/Possession/Other

Case Information

Schedule Reference

Case Reference Number

Case Start Date

Case ID

Procurement Area

Access Point

Client Forename

Client Surname

Client Date of Birth

UCN

UCN Format: oommmmm/AAAAA e.g. 05051962M/SMIT for client Mark Smith with a DOB 05/05/1962

Postal Application Accepted

CLA Reference Number

CLA Exemption Code

Gender

Ethnicity

Disability

Client Postcode

Case Concluded Date

Advice Time

Travel Time

Waiting Time

Profit Costs excluding VAT

Disbursements excluding VAT

Counsel Costs excluding VAT

Disbursements VAT amount

Profit and Counsel VAT Indicator

Tolerance Indicator

Travel and Waiting costs excluding VAT

Stage Reached

Outcome for client

Exemption Criteria Satisfied

Exceptional Case Funding Reference

Transfer Date

## D1. Category Specific Fields on CWA:

The following fields in CWA should only be used in relation to the Debt category. These fields will only apply to cases opened prior to 15<sup>th</sup> May 2020, under the CLA mandatory telephone gateway:

|                             |   |
|-----------------------------|---|
| <b>CLA Reference Number</b> | To be completed to indicate that a client has accessed the telephone service before receiving face to face advice in Debt.  |
| <b>CLA Exemption Code</b>   | To be completed where a client has gone straight to face to face advice in Debt. It will allow the provider to indicate that the client belongs to one of the previously acceptable exemptions under the CLA mandatory gateway. |

**Neither field should be completed where ECF has been authorised by the LAA, instead the Exceptional Case Reference field should be completed.**

| Field                       | Guidance  |
|-----------------------------|---|
| <b>CLA Reference Number</b> | <p>The CLA reference number must be in the correct format and reported with every debt matter unless an exemption code is reported for a client who is a minor or in detention. This field is <b>not</b> required when the Exceptional cases funding reference is entered.</p> <p>One of the following codes must be used:</p> <p><b>ECHI</b> - Client is a child<br/> <b>EDET</b> - Client is in detention<br/> <b>EPRE</b> - 12 month exemption applies</p> |

|                           |   |
|---------------------------|---|
| <b>CLA Exemption Code</b> | <p>For cases started prior to 15<sup>th</sup> May 2020, where the client is exempt either due to being a Child at the time the case is started or in detention at that point, the CLA Reference Number field will not be required to be completed.</p> <p>If EPRE is entered, providers will also be required to report a CLA Reference Number to show that the gateway had been accessed in the last 12 month period.</p> <p>This field is not required when the ECF reference is entered.</p> |
|---------------------------|---|

For cases started prior to 15<sup>th</sup> May 2020, the Client Reference Number generated by the CLA Operator Service will be used as the CLA Reference Number.

For cases started prior to 15<sup>th</sup> May 2020, Clients who are exempt from the mandatory gateway and referred or signposted to face to face advice by the operator service because of their exemption will not have been given a CLA Reference number. Providers should report the case as an exemption using the applicable CLA Exemption Code.

## D2. Reporting Codes:

### D2.1 Matter Type

The matter type must reflect the most significant legal issue dealt with during the case.

#### D2.1.1 *Matter Type 1: What the matter is about*

| Code        | Description   | Condition                    |
|-------------|---|------------------------------|
| <b>DPDE</b> | <b>Priority debt(s)</b><br>Includes rent, mortgage, council tax, utilities, and court fines.  | To be used only in ECF cases |
| <b>DNPD</b> | <b>Non priority debt(s)</b><br>Includes bank loans, credit card/HP/other regulated credit debts.  | To be used only in ECF cases |
| <b>DMDE</b> | <b>Mixture of both priority debt(s) and non priority debt(s)</b> A mixture of the DPDE & DNPD codes.  | To be used only in ECF cases |
| <b>DMAP</b> | <b>Mortgage Arrears/Possession</b><br><ul style="list-style-type: none"> <li>✦ a claim for possession is made or threatened, and</li> <li>✦ the main apparent reason is arrears of mortgage.</li> </ul>                               |                              |
| <b>DIVB</b> | <b>Involuntary Bankruptcy (where client's estate includes their home)</b><br>Applies where a creditor is seeking to make a debtor bankrupt in order to recoup a debt that they are owed, and the client's estate includes their home. |                              |



|             |  |  |
|-------------|--|--|
| <b>DORH</b> | <b>Order for Sale of the Home</b><br>Applies where a creditor seeks a court order forcing the sale of the client's property in order to recoup the debt they are owed. |  |
| <b>DMCA</b> | <b>Representation provided under criminal legal aid</b> This applies where advocacy is required in certain proceedings that are prescribed as criminal proceedings     |  |
| <b>DTOT</b> | <b>Other</b><br>This category should only be used where the most significant legal issue in the case does not fall within any of the above categories.                 |  |

### **D2.1.2 Matter Type 2: Who the matter involves**

Use the one code that best describes the status of the main person involved in the case (likely to be the client) as it relates to their main legal issue (described in the 'What the matter is about' above) prior to that issue being resolved or in any way addressed.

| <b>Code</b> | <b>Description</b>   | <b>Condition</b>             |
|-------------|--|------------------------------|
| <b>DCRE</b> | <b>Client is a creditor</b><br>Where the client is owed money by a person and/or company and requires assistance recovering the debt.  | To be used only in ECF cases |
| <b>DIBP</b> | <b>Client is defending involuntary bankruptcy proceedings</b><br>Applies where a creditor seeks a court order forcing the sale of the client's property in order to recoup the debt they are owed.                         |                              |
| <b>DORD</b> | <b>Client is facing an order for sale of the home</b><br>Where the client is facing an order for sale of their home and they require assistance to prevent the sale  |                              |
| <b>DSCH</b> | <b>Client wants to reschedule debts</b><br>Applies where the client cannot maintain the repayments required by creditors and wishes to put forward more affordable offers.   |                              |
| <b>DVAL</b> | <b>Client wants to challenge validity of debts</b><br>Applies where the client does not believe that the amount being claimed by a creditor is correct and/or has reason to believe that they are not liable for the debt. |                              |
| <b>DMIX</b> | <b>Client wants both to challenge validity of debts and reschedule debts</b><br>A mixture of the DSCH & DVAL codes.  |                              |
| <b>DOTH</b> | <b>Other</b><br>This code should only be used if the client does not fall into one of the above categories.  |                              |

## D2.2 Stage Reached

Please enter the code from the category list provided showing what stage has been reached in the case. This should correspond to the “highest” level of assistance provided to the client.

|           |   |
|-----------|---|
|           | <b>First meeting</b>  |
| <b>DA</b> | Matters which conclude after the first meeting with the client, where no further work is undertaken beyond confirming instructions and giving advice, including the confirmation of advice letter.  |
| <b>DB</b> | <b>Further work</b><br>Work beyond the first meeting, not including the confirmation of advice letter, including work preparatory to putting the case for the client. Applies where further work (e.g. investigative work) has been carried out but there has been no contact with the potential opposing party (other than for the purposes of investigation). |
| <b>DC</b> | <b>Putting case for the client</b><br>Includes correspondence with opposing party for the purposes of putting the case. Includes pre-action protocol letters and any communication with a third party that constitutes substantively putting the case for the client. Includes preparation of representations and evidence for tribunals etc.                   |
| <b>DD</b> | <b>Representation at court</b><br>Applies where solicitors have provided or arranged representation before courts and tribunals (including representation provided pro bono or under other funding).  |

## D.2.3 Outcome for the client

Please enter a code from the category list provided showing what outcome has been reached for the client. This must be the outcome for the legal issue described by the matter type.

### D2.3.1 *Matter concluded*

| Code      | Description  |                              |
|-----------|--|------------------------------|
| <b>DA</b> | <b>Liability contested successfully</b><br>Client was able to prove that they were not liable for a debt.                      |                              |
| <b>DB</b> | <b>Debt written off (rather than just reduced)</b><br>Creditor agreed that they would no longer pursue the client for balance. | To be used only in ECF cases |
| <b>DC</b> | <b>Debt reduced</b><br>Creditor agrees to accept a lower amount in settlement of their debt.                                   |                              |

|           |  |                              |
|-----------|--|------------------------------|
| <b>DD</b> | <b>Affordable payment arrangements negotiated on behalf of client</b><br>Creditor agrees to accept reduced payments based upon what the client could afford to offer.  |                              |
| <b>DE</b> | <b>Admin order made</b><br>Administration Order agreed by the County Court.  | To be used only in ECF cases |
| <b>DF</b> | <b>Client referred for IVA</b><br>Client referred to a third party to put forward a proposal for an Individual Voluntary Arrangement.  | To be used only in ECF cases |
| <b>DG</b> | <b>Bankruptcy order made</b><br>Client was able to declare themselves bankrupt, or creditor successfully petitioned for the client's bankruptcy.   |                              |
| <b>DH</b> | <b>Client able to plan and/or manage their affairs better</b> As result of your advice or assistance, the matter for which advice was sought concludes and your client is better able to plan or manage their own affairs in future. |                              |
| <b>DI</b> | <b>Matter concluded otherwise</b><br>This should only be used if there is no outcome of the most significant legal issue in the case which is covered by one of the above categories.  |                              |
| <b>DJ</b> | <b>Debt relief order made – only for ECF funding</b><br>This should only be used where clients without access to bankruptcy orders are able to meet the necessary criteria under a Debt Relief Order.                                | To be used only in ECF cases |

### **D3.3.2 Matter not concluded**

Use the following codes only where you do not know the outcome.

|           |  |
|-----------|--|
| <b>DU</b> | <b>Matter stopped on advisor's recommendation</b><br>Matter stopped on the basis of advisor's opinion that continuation does not justify continued public funding (includes unfavourable opinions from experts or informal advice from counsel). |
| <b>DV</b> | <b>Matter proceeded under other Civil Legal Aid</b><br>Includes full or investigative representation certificates.   |
| <b>DW</b> | <b>Client referred to another organisation</b><br>Includes referrals about the same matter to other solicitors, charities or special interest groups and support services etc. Does not cover referral of different but connected cases.         |
| <b>DX</b> | <b>Client advised and taking action themselves or with the help of a third party</b><br>Applies where you advise that you are unable to assist but the client carries on by themselves or with help from others.                                 |

|           |   |
|-----------|---|
| <b>DY</b> | <b>Client advised and third party action or decision awaited</b><br>Applies where the client has sought advice and assistance before third party action has been taken or decision received.  |
| <b>DZ</b> | <b>Outcome not known/client ceased to give instructions</b><br>Applies where a case has ended because the client has failed to give instructions, withdrawn instructions, or the matter has been ended for other reasons before the outcome is known. |

## **Annex E:       Discrimination**

### **E1   Reporting Codes**

#### **E1.1       Matter Type**

The matter type must reflect the most significant legal issue dealt with during the case.

##### ***E2.1.1       Matter Type 1: What the matter is about***

| <b>Code</b> | <b>Description</b>  |
|-------------|---|
| <b>QPRO</b> | <b>Provision of goods and services</b><br>Discrimination in the provision of good and services under Part 3 of the Equality Act 2010  |
| <b>QEMP</b> | <b>Employment</b><br>Discrimination at work under Part 5 of the Equality Act 2010 (other than advice primarily/solely regarding equality of terms)                                    |
| <b>QEQP</b> | <b>Equality of terms/Equal pay</b><br>Advice of equality of terms under Chapter 3 of Part 5 of the Equality Act 2010  |
| <b>QPRE</b> | <b>Premises/Housing</b><br>Discrimination in the provision, disposal and management of premises under Part 4 of the Equality Act 2010   |
| <b>QFUN</b> | <b>Exercise of public function</b><br>Discrimination in the exercise of a public function under Part 3 of the Equality Act 2010   |
| <b>QEDU</b> | <b>Education</b><br>Discrimination in the provision of education under Part 6 of the Equality Act 2010  |
| <b>QPUB</b> | <b>Public sector equality duty</b><br>Advice and assistance in relation to a breach, or alleged breach, of the public sector equality duty under section 149 of the Equality Act 2010 |

|             |  |
|-------------|--|
| <b>QCON</b> | <b>Contracts</b><br><u>Advice and assistance in relation to contracts and other agreements that breach or allegedly breach Part 10 of the Equality Act 2010.</u> |
|-------------|--|

### **E2.1.2 Matter Type 2: Protected Characteristic**

Use the one code that best describes the protected characteristic of the individual that is the subject of the discrimination advice.

| Code        | Description                           |
|-------------|---------------------------------------|
| <b>QAGE</b> | <b>Age</b>                            |
| <b>QDIS</b> | <b>Disability</b>                     |
| <b>QGEN</b> | <b>Gender reassignment</b>            |
| <b>QMCP</b> | <b>Marriage and civil partnership</b> |
| <b>QPRM</b> | <b>Pregnancy and maternity</b>        |
| <b>QRAC</b> | <b>Race</b>                           |
| <b>QROB</b> | <b>Religion or Belief</b>             |
| <b>QSEX</b> | <b>Sex</b>                            |
| <b>QSOR</b> | <b>Sexual Orientation</b>             |
| <b>QMDI</b> | <b>Multiple</b>                       |

### **E2.2 Stage Reached**

Please enter the code from the category list provided showing what stage has been reached in the case. This should correspond to the “highest” level of assistance provided to the client.

|           |  |
|-----------|--|
| <b>QA</b> | <b>First meeting</b><br>Matters that conclude after the first meeting with the client, where no further work is undertaken beyond confirming instructions and giving advice. |
| <b>QB</b> | <b>Further work</b><br>Matters where further work is carried out beyond the first meeting, but where there has been no contact with the potential opposing party.            |

|           |  |
|-----------|--|
| <b>QC</b> | <b>Putting case for the client</b><br>Matters involving correspondence with the opposing party for the purposes of putting the case, including pre-action protocol letters, but no proceedings issued. |
| <b>QD</b> | <b>Tribunal and court proceedings</b><br>Work carried out assisting client with proceedings in a tribunal or court, including preparation of representations and evidence for the tribunal/court.      |

### **E.2.3 Outcome for the client**

Please enter a code from the category list provided showing what outcome has been reached for the client. This must be the outcome for the legal issue described by the matter type.

#### **E2.3.1 Matter concluded**

| Code      | Description   |
|-----------|---|
| <b>QA</b> | <b>Client received a financial settlement outside of court/tribunal</b>   |
| <b>QB</b> | <b>Client received a financial award from a court/tribunal</b>  |
| <b>QC</b> | <b>Client received new or increased periodical payment</b>  |
| <b>QD</b> | <b>Client obtained a declaration of their rights</b><br>This will apply in cases where the opponent formally accepts that the client's rights have been infringed.  |
| <b>QE</b> | <b>Client obtained a recommendation in their favour</b>   |
| <b>QF</b> | <b>Client secured a redetermination of a decision</b>   |
| <b>QG</b> | <b>Client secured the making of a reasonable adjustment</b>   |
| <b>QH</b> | <b>Client secured new, resumed or improved goods or services</b>  |
| <b>QI</b> | <b>Opponent/other party action prevented or delayed</b><br>Third party is dissuaded from taking action or action is delayed   |
| <b>QJ</b> | <b>Opponent/other party action benefits client</b>  |
| <b>QK</b> | <b>Client advised and able to plan and/or manage their affairs better</b> Applies where, as result of your advice or assistance, the matter for which advice was sought concludes and your client is better able to plan or manage their own affairs in future. |

|           |   |
|-----------|---|
| <b>QL</b> | <b>Client secures explanation or apology only</b><br>Use in matters where the opponent addresses the issues of concern but no compensation offered.                                   |
| <b>QM</b> | <b>Matter concluded otherwise</b><br>This should only be used if there is no outcome of the most significant legal issue in the case which is covered by one of the above categories. |

### **E3.3.2 Matter not concluded**

Use the following codes only where you do not know the outcome.

|           |   |
|-----------|---|
| <b>QT</b> | <b>Matter continued under a private funding arrangement (e.g. CFA)</b><br>Following initial advice and assistance under legal aid, matter continued via a private funding arrangement   |
| <b>QU</b> | <b>Matter stopped on advisor's recommendation</b><br>Matter stopped on the basis of advisor's opinion that continuation does not justify continued public funding (includes unfavourable opinions from experts or informal advice from counsel).      |
| <b>QV</b> | <b>Matter proceeded under other Civil Legal Aid</b><br>Includes full or investigative representation certificates.  |
| <b>QW</b> | <b>Client referred to another organisation</b><br>Includes referrals about the same matter to other solicitors, charities or special interest groups and support services etc. Does not cover referral of different but connected cases.              |
| <b>QX</b> | <b>Client advised and taking action themselves or with the help of a third party</b><br>Applies where you advise that you are unable to assist but the client carries on by themselves or with help from others.                                      |
| <b>QY</b> | <b>Client advised and third party action or decision awaited</b><br>Applies where the client has sought advice and assistance before third party action has been taken or decision received.  |
| <b>QZ</b> | <b>Outcome not known/client ceased to give instructions</b><br>Applies where a case has ended because the client has failed to give instructions, withdrawn instructions, or the matter has been ended for other reasons before the outcome is known. |

## **Annex F: Education**

### **Stage Disbursement Claims**

#### **How to submit a stage disbursement claim**

In order to submit a claim for an interim disbursement you should complete a claim in the same way as you would for submitting a full claim at the end of a case. However, you should only put in costs for the disbursement leaving the profit costs and counsel costs fields empty.

At the end of the claim you should also a final amendment to the original claim in order to be paid the relevant fixed fee (or hourly rates if the claim escapes).

### What other information is required

When submitting an interim claim, you should ensure that all relevant fields are completed as though you are completing a full claim. To ensure that your stage disbursement claim is accurate, please select the appropriate reporting codes for the following:

|               |    |
|---------------|----|
| Stage Reached | EB |
| Outcome Code  | EZ |

### Requesting a further interim disbursement claim

The contract allows you to submit a further claim for an interim disbursement after three months have elapsed since you last claimed such a payment. To do this you should seek an amendment to the original claim to cover the additional amount.

Please complete amendment spreadsheet and submit this to the LAA via the following email address [PA-ClaimAmend@justice.gov.uk](mailto:PA-ClaimAmend@justice.gov.uk).

Guidance on how to submit a claim amendment can be accessed here [legal-aid-claim-amendment-guidance.docx \(live.com\)](#)

### Making a final claim

Once you your matter comes to an end, you should submit a claim amendment to claim the rest of the costs associated with that matter.

Please complete the claim amendment spreadsheet and submit this to the LAA via the following email address [PA-ClaimAmend@justice.gov.uk](mailto:PA-ClaimAmend@justice.gov.uk).

Guidance on how to submit a claim amendment can be accessed here [legal-aid-claim-amendment-guidance.docx \(live.com\)](#).

You must keep a record of all the cases where you have submitted a claim amendment.

## F1 Reporting Codes

### F1.1 Matter Type

The matter type must reflect the most significant legal issue dealt with during the case.

#### F2.1.1 *Matter Type 1: What the matter is about*

| Code | Description | Condition |
|------|-------------|-----------|
|------|-------------|-----------|



|             |   |                              |
|-------------|---|------------------------------|
| <b>ESEN</b> | <b>Special educational needs</b><br>Advice and assistance on any special educational needs matter (e.g. under Part 3 of the Children and Families Act 2014)   |                              |
| <b>ENEG</b> | <b>Concern over level or quality of education, bullying or other professional negligence</b><br>Initial advice and assistance on a claim for negligence concerning the level or quality of education or bullying, including breach of statutory duty  | To be used only in ECF cases |
| <b>EXCE</b> | <b>Exclusion/refusal to provide full time education</b> Any matter involving exclusion from school or other educational institution (including university), including placement in a pupil referral unit.<br><br>This does not cover matters where the exclusion is being challenged on the basis of a breach of special educational needs or discrimination legislation. | To be used only in ECF cases |
| <b>EADM</b> | <b>Admission/choice of an institution</b><br>Any matter involving advice and assistance regarding admission to a school or other educational institution (including university).<br><br>This does not cover matters where the exclusion is being challenged on the basis of a breach of special educational needs or discrimination legislation.                          | To be used only in ECF cases |
| <b>EDDA</b> | <b>Disability discrimination at school</b><br>Advice on disability discrimination at school in contravention of Chapter 1 of Part 6 of the Equality Act 2010  |                              |
| <b>EGTO</b> | <b>Grants, transport and other similar services</b><br>Advice and assistance on grants, student loans and other similar support. This also includes   | To be used only in ECF cases |
| <b>EPRO</b> | <b>Non-attendance and proceedings against parents</b><br>Advice and assistance with school attendance issues, include advice and assistance about the right to educate at home.   | To be used only in ECF cases |
| <b>EREO</b> | <b>Institution establishment/reorganisation</b><br>Advice and assistance on establishment or reorganisation of educational institution  | To be used only in ECF cases |
| <b>EEQU</b> | <b>Contravention of Equality 2010 (non-Disability Discrimination)</b><br>Advice and assistance on a contravention of Part 6 of the Equality Act 2010 other than cases captured by code EDDA.  |                              |

|             |   |                              |
|-------------|---|------------------------------|
| <b>EDJR</b> | <b>Judicial review</b><br>Initial advice on a judicial review (including, for example, challenges about admissions and exclusions following an appeal to an IAP or IRP) |                              |
| <b>EDOT</b> | <b>Other</b><br>This category should only be used where the most significant legal issue in the case does not fall within any of the above categories.                  | To be used only in ECF cases |

### **E2.1.2 Matter Type 2: Who the matter involves**

Use the appropriate Matter Type 2 code to accurately the institution to which the case primarily relates.

| <b>Code</b> | <b>Description</b>   |
|-------------|--|
| <b>ENUR</b> | <b>Nursery</b><br>Includes private and local authority nurseries.  |
| <b>EDSC</b> | <b>School</b><br>Includes academies and free schools.  |
| <b>EPRU</b> | <b>PRU</b><br>Pupil referral unit or equivalent.   |
| <b>ECOL</b> | <b>Non – university college</b><br>All post 16 provision other than universities.  |
| <b>EUNI</b> | <b>University</b>  |
| <b>EAAP</b> | <b>AAP</b><br>Independent appeal panel and other panels hearing appeals on admission to an educational institution.  |
| <b>ELOC</b> | <b>Local authority</b>   |
| <b>EIAP</b> | <b>IAP</b><br>Independent review panel and other panels considering exclusion from an educational institution.   |
| <b>ESOS</b> | <b>SOS / DfES</b><br>Secretary of State for Education or Department for Education.   |
| <b>EHEF</b> | <b>HEFC / Other</b><br>Organisations responsible for allocating resources to and regulating higher education, such as the Office for Students, Research England, and Higher Education Funding Council (legacy only). |

|             |              |
|-------------|--------------|
| <b>EOTH</b> | <b>Other</b> |
|-------------|--------------|

## **E2.2 Stage Reached**

Please enter the code from the category list provided showing what stage has been reached in the case. This should correspond to the “highest” level of assistance provided to the client.

|           |  |
|-----------|--|
| <b>EA</b> | <b>First meeting</b><br>Matters that conclude after the first meeting with the client, where no further work is undertaken beyond confirming instructions and giving advice.                           |
| <b>EB</b> | <b>Further work</b><br>Matters where further work is carried out beyond the first meeting, but where there has been no contact with the potential opposing party.                                      |
| <b>EC</b> | <b>Putting case for the client</b><br>Matters involving correspondence with the opposing party for the purposes of putting the case, including pre-action protocol letters, but no proceedings issued. |
| <b>ED</b> | <b>Tribunal and court proceedings</b><br>Work carried out assisting client with proceedings in a tribunal or court, including preparation of representations and evidence for the tribunal/court.      |

## **E.2.3 Outcome for the client**

Please enter a code from the category list provided showing what outcome has been reached for the client. This must be the outcome for the legal issue described by the matter type.

### **E2.3.1 Matter concluded**

| <b>Code</b> | <b>Description</b>   |
|-------------|--|
| <b>EA</b>   | <b>Client receives damages</b><br>Applies to cases where damages have been agreed in relation to school negligence claims, including claims for personal injuries suffered in schools, and other agreed compensation. Includes compensation ordered by an ombudsman or other similar body. |
| <b>EB</b>   | <b>Client receives new or increased periodical payment</b><br>For example, a higher direct payment under SEN legislation.  |
| <b>EC</b>   | <b>Client receives damages or property and new or increased periodical payments</b><br>To be used where both EA and EB are achieved.   |

|           |  |
|-----------|--|
| <b>ED</b> | <b>Sum owed by client is reduced or less than claimed</b><br>May apply to fees disputes, including colleges and universities. May apply to fines levied by further and higher education institutions.  |
| <b>EE</b> | <b>Liability of client to make regular payments is reduced or less than claimed</b><br>As above under ED where payments are made regularly.  |
| <b>EF</b> | <b>Opponent/other party action benefits client</b><br>Applies to outcomes providing non-financial benefits. Includes favourable decisions by the First-Tier Tribunal (SEN), IAPs, IRPs, and favourable settlement of disputes prior to court or tribunal action.   |
| <b>EG</b> | <b>Opponent/other party action prevented</b><br>Applies where threats of action (e.g. school or college exclusion, parenting and attendance orders,) have been averted.  |
| <b>EH</b> | <b>Opponent/other party action delayed</b><br>May apply where above examples under EG have been delayed.   |
| <b>EI</b> | <b>Client secures explanation or apology only</b><br>Applies to formal and informal complaints resolved in client's favour without financial compensation.   |
| <b>EJ</b> | <b>Client advised and able to plan and/or manage their affairs better</b><br>Applies where, as result of your advice or assistance, the matter for which advice was sought concludes and your client is better able to plan or manage their own affairs in future. |
| <b>EK</b> | <b>Matter concluded otherwise</b><br>This should only be used if there is no outcome of the most significant legal issue in the case which is covered by one of the above categories.  |

### **E2.3.2 Matter not concluded**

Use the following codes only where you do not know the outcome.

| <b>Code</b> | <b>Description</b>   |
|-------------|--|
| <b>EU</b>   | <b>Matter stopped on advisor's recommendation</b><br>Matter stopped on the basis of advisor's opinion that continuation does not justify continued public funding (includes unfavourable opinions from experts or informal advice from counsel). |
| <b>EV</b>   | <b>Matter proceeded under other Civil Legal Aid</b><br>Includes full or investigative representation certificates.   |
| <b>EW</b>   | <b>Client referred to another organisation</b><br>Includes referrals about the same matter to other solicitors, charities or special interest groups and support services etc. Does not cover referral of different but connected cases.         |

|           |  |
|-----------|--|
| <b>EX</b> | <p><b>Client advised and taking action themselves or with the help of a third party</b><br/> Applies where you advise that you are unable to assist but the client carries on by themselves or with help from others.</p>                                      |
| <b>EY</b> | <p><b>Client advised and third party action or decision awaited</b><br/> Applies where the client has sought advice and assistance before third party action has been taken or decision received.</p>  |
| <b>EZ</b> | <p><b>Outcome not known/client ceased to give instructions</b><br/> Applies where a case has ended because the client has failed to give instructions, withdrawn instructions, or the matter has been ended for other reasons before the outcome is known.</p> |

# Annex G: Family

Below is a screenshot of the fields available for completion when reporting a Family matter directly onto CWA. Those fields marked with an asterisk are mandatory.

## G1. Category Specific Fields on CWA

### G1.1 Case/stage level – private family law

**Case Stage/Level** -These codes will determine the amount that is paid to you for the case claimed.

The code used on each claim should link to the Matter Type 1 and Matter Type 2 code and the Outcome code that you report on CWA. If the codes do not match up then the **claim may be rejected** and you will need to resubmit the claim using an appropriate code combination. Remember, the Matter Type 1 and Matter Type 2 code should be the codes that are most appropriate when reporting the matter at the end of the case.

Different codes are used depending on the stage at which the case starts and finishes, the categories of work involved, and the outcome of the case. The codes are set out in the table below with specific guidance on each code.

**Codes for a Level 2 fee may not be used with Matter Type 1 codes FAMA, FAMB, FAMC, FAMT, and FAMU, or with matter type 2 codes FADV and FPET.**

| Case Stage/Level Code | Description  |
|-----------------------|--|
| FPL01                 | This code should be used when only the Level 1 fee is being claimed and no further work at <b>controlled work</b> level is undertaken for the client (although |

|              |   |
|--------------|---|
|              | <p>further work may be undertaken for the client under a certificate). This code should always be used for cases that involve advice on domestic abuse only, advice on child abduction or child maintenance where the CSA has jurisdiction.</p> <p>This code should also be used where advice was provided on divorce only but no proceedings were issued. In these cases the Matter Type 2 code FADV 'client seeks advice only' should be used.</p> <p>Where you are acting for a respondent in an undefended divorce you should use this code and the Matter Type 2 code will be FREP. In both these cases the Matter Type 1 code should be FAMA or FAMB.</p> <p>If you are acting for a petitioner in undefended divorce proceedings and where proceedings have been issued then you should use FPL10.</p> |
| <b>FPL02</b> | <p>This code should be used where the case involves children issues (with or without issues around divorce and/or domestic abuse) and work is undertaken at Level 1 and Level 2 and the children case is <b>settled</b> at Level 2. This includes settlement through mediation. This code should only be used where the outcome code for the case is FE or FF.</p>  |
| <b>FPL03</b> | <p>This code should be used where the case involves finance issues (with or without issues around divorce and/or domestic abuse) and work is undertaken at Level 1 and Level 2 and the case is <b>settled</b> at Level 2 and there is a written agreement in relation to the financial issues. This includes settlement through mediation. This code should only be used where the outcome code for the case is FE, FF, FG, FH, FI or FJ. The written agreement may take the form of a consent order, a separation agreement or other written agreement.</p>  |
| <b>FPL04</b> | <p>This code should be used where the case involves children issues (with or without issues around divorce and/or domestic abuse) and work is undertaken at Level 1 and Level 2 and the children issues are <b>not settled</b> at Level 2 e.g. a certificate is applied for to issue proceedings in respect of the children issues or the client ceases to give instructions or the client reconciles.</p>  |
| <b>FPL05</b> | <p>This code should be used where the case involves finance issues (with or without issues around divorce and/or domestic abuse) and work is undertaken at Level 1 and Level 2 and the financial issues are <b>not settled</b> at Level 2 e.g. a certificate is applied for to issue proceedings in respect of the financial issues or the client ceases to give instructions or the client reconciles.</p>   |
| <b>FPL06</b> | <p>This code should be used where the case involves children and finance issues (with or without issues around divorce and/or domestic abuse) and work is undertaken at Level 1 and 2 and the case is <b>settled</b> at Level 2 in respect of both the children and financial issues and there is a written agreement in relation to the financial issues. This includes settlement through mediation. This code should only be used where the outcome code for the case is FE, FF, FG, FH, FI or FJ.</p>   |

|              |  |
|--------------|--|
| <b>FPL07</b> | This code should be used where the case involves children and finance issues (with or without issues around divorce and/or domestic abuse) and work is undertaken at Level 1 and Level 2 and the case is <b>settled</b> at Level 2 in respect of the children issues but not the financial issues.   |
| <b>FPL08</b> | This code should be used where the case involves children and finance issues (with or without issues around divorce and/or domestic abuse) and work is undertaken at Level 1 and Level 2 and the case is <b>settled</b> at Level 2 in respect of the financial issues so that there is a written agreement but not settled in respect of the children issues. The written agreement may take the form of a consent order, a separation agreement or other written agreement. |
| <b>FPL09</b> | This code should be used where the case involves children and finance issues (with or without issues around divorce and/or domestic abuse) and work is undertaken at Level 1 and Level 2 and the case is <b>not settled</b> for either the children or the finance issues.   |

**Undefended divorce proceedings/dissolution of civil partnership;**

|              |  |
|--------------|--|
| <b>FPL10</b> | This code should only be used where you are representing the petitioner in undefended divorce <b>proceedings</b> (or dissolution of a civil partnership). This code should only ever be used where the Matter Type 1 code is FAMA or FAMB, the Matter Type 2 code is FPET. |
|--------------|--|

**G1.2 Cases starting at Level 2**

The following codes should only be used in cases when no work is undertaken at Level 1 but only at Level 2. This will be in cases for example where a client has transferred from another provider and you continue to conduct negotiations on behalf of the client.

|              |   |
|--------------|---|
| <b>FPL11</b> | This code should be used where the case involves children issues (with or without issues around divorce and/or domestic abuse) and the case is <b>settled</b> before Level 2 but no work is undertaken at Level 1. This includes settlement through mediation. This code should only be used where the outcome code for the case is FE or FF. |
|--------------|---|



|                     |   |
|---------------------|---|
| <p><b>FPL12</b></p> | <p>This code should be used where the case involves finance issues (with or without issues around divorce and/or domestic abuse) and the case is <b>settled</b> at Level 2 and there is a written agreement in relation to the financial issues but no work is undertaken at Level 1.</p> <p>The written agreement may take the form of a consent order, a separation agreement or other written agreement.</p> <p>This includes settlement through mediation. This code should only be used where the outcome code for the case is FE, FF, FG, FH, FI or FJ.</p> |
| <p><b>FPL13</b></p> | <p>This code should be used where the case involves children issues (with or without issues around divorce and/or domestic abuse) and no work is undertaken at Level 1 and the children issues are <b>not settled</b> at Level 2 e.g. a certificate is applied for to issue proceedings in respect of the children issues or the client ceases to give instructions or the parties reconcile.</p>   |
| <p><b>FPL14</b></p> | <p>This code should be used where the case involves finance issues (with or without issues around divorce and/or domestic abuse) and no work is undertaken at Level 1 and the financial issues are <b>not settled</b> at Level 2 e.g. a certificate is applied for to issue proceedings in respect of the financial issues or the client ceases to give instructions or the parties reconcile.</p>  |
| <p><b>FPL15</b></p> | <p>This code should be used where the case involves children and finance issues (with or without issues around divorce and/or domestic abuse) and no Level 1 work is undertaken and the case is <b>settled</b> at Level 2 in respect of both the children and financial issues and there is a written agreement in relation to the financial issues.</p> <p>The written agreement may take the form of a consent order, a separation agreement or other written agreement.</p>  |
| <p><b>FPL16</b></p> | <p>This code should be used where the case involves children and finance issues (with or without issues around divorce and/or domestic abuse) and no work is undertaken at Level 1 and the case is <b>settled</b> at Level 2 in respect of the children issues but not the financial issues.</p>  |
| <p><b>FPL17</b></p> | <p>This code should be used where the case involves children and finance issues (with or without issues around divorce and/or domestic abuse) and no work is undertaken at Level 1 and the case is <b>settled</b> at Level 2 in respect of the financial issues and there is a written agreement but not settled in respect of the children issues.</p>   |
| <p><b>FPL18</b></p> | <p>This code should be used where the case involves children and finance issues (with or without issues around divorce and/or domestic abuse) and no work is undertaken at Level 1 and the case is <b>not settled</b> for either the children or the finance issues.</p>  |

## **Help with Family Mediation**

|               |  |
|---------------|--|
| <b>FPL 19</b> | This code should be used where advice is provided on children and/or finance and property issues in support of family mediation (Help with Family Mediation).  |
| <b>FPL20</b>  | This code should be used only where the case requires the drafting and issuing of proceedings to obtain a consent order which is approved by the court.  |
| <b>FPL21</b>  | This code should be used where advice is provided on children and/or finance and property issues in support of family mediation (Help with Family Mediation) and where the case requires the drafting and issuing of proceedings to obtain a consent order which is approved by the court. |

### **London Rate?**

Select “Yes” in this field where the case is undertaken by a provider whose contracted office, where the matter was conducted, is based in London. Select No where the case is undertaken by a provider whose contracted office, where the matter was conducted, is not based in London.

### **Value of costs/Damages recovered**

This field should record the total value of costs or damages recovered by client. This will be filled in where the statutory charge arises at Level 2.

### **G1.3 Claiming a Level 2 fee**

Paragraph 7.58 of the 2024 Standard Civil Contract Family Specification sets out the circumstances when a Level 2 fee may be claimed. It states:

#### ***Criteria for Family Help (Lower) – meaning of “significant family dispute”***

7.58 You may only grant Family Help (Lower) where all relevant criteria are satisfied, taking into account any guidance on those criteria as published on our website. Family Help (Lower) may only be granted for those Family Disputes:

- (a) Which involve more than simply taking instructions from and advising the Client and providing any follow up written or telephone advice; and
- (b) Where you are involved in substantive negotiations with a third party (ether by conducting the negotiations yourself or by advice and assistance in support of mediation); and
- (c) Where the dispute if unresolved, would be likely to lead to family proceedings; and
- (d) Which do not primarily concern advice about a divorce, nullity, judicial separation or dissolution of a civil partnership; and;
- (e) Which do not primarily concern advice about issues relating to child support.

A second meeting with the client is not required in order to claim a Level 2 fee. However, there must be evidence on the file of involvement by the provider in substantive negotiations with a third party or their legal representative. In terms of whether negotiations have taken place:

- In order for there to be negotiations there must be proposals and counter-proposals put forward to resolve the issue. If proposals are put to the other side and these are simply ignored or rejected or accepted straightaway, then there is no negotiation. There needs to be at the very least a proposal, a response, and counter-proposals to constitute negotiation.
- Negotiations can take place by any means including face-to-face, telephone, email or correspondence, provided the exchange is evidenced on the file.
- Negotiations may take place between lawyers or with the other party directly or another third party.

You must also show that you are actively involved in the negotiations. Further guidance is available in the Cost Assessment Guidance 2024 at <https://www.gov.uk/guidance/funding-and-costs-assessment-for-civil-and-crime-matters>

The fact that a client is participating in mediation does not mean that you can automatically claim the Level 2 fee.

#### **Example**

You are advising the client about contact and make a referral to mediation. The client does not return and no further advice is provided to the client either during or following mediation. Even though you may be aware that the mediation has been successful only a Level 1 fee may be claimed.

A Level 2 fee may not be claimed where there is no significant dispute irrespective of the amount of work undertaken.

#### **When you should NOT claim a Level 1 fee**

Where on the day that work is carried out you are satisfied that the criteria are met for a determination that an individual qualifies for Emergency Representation, or other Licensed Work, in relation to the same Matter and you determine or intend to determine that the Client qualifies for such work you should not claim a Level 1 Fee. All work carried out on the day of your determination in relation to the Licensed Work may be claimed under the resulting Certificate.

#### **G1.4 Claiming fees for Divorce**

An enhanced petitioner's fee is available where the solicitor is advising the client on divorce proceedings, **the divorce proceedings are issued** and there are no children or finance issues which justify any other levels of funding (including Family Help (Higher)). The FPL10 code (representing the petitioner in undefended divorce proceedings) should only be used in these cases.

Where other levels of funding are provided in relation to children and/or finance issues the FPL10 fee cannot be claimed. However, an Escape Fee may be claimed if the relevant fee threshold is met.

When using the code FPL10 the Matter Type 2 'FPET' (client is the petitioner in a divorce, judicial separation, nullity or in dissolution of civil partnerships cases). This is because this is the code that deal specifically with the Divorce Petitioner fee.

In these cases the Matter Type1 code reported must be either FAMA (Divorce/Judicial Separation/Nullity) or FAMB (Dissolution of Civil Partnership).


Therefore to claim the enhanced petitioner fee then the following combination of codes should be used. See the first 2 cases in the screen shot below.

| Stage Code | Level | Matter Type 1 | Matter Type 2 |
|------------|-------|---------------|---------------|
| FPL10      |       | FAMA or FAMB  | FPET          |

Where advice was provided on divorce only, but Stage Level FPL10 is not appropriate as there were no proceedings issued, and therefore the FLP01 code is used then Matter Type 2 code FADV 'client seeks advice only' should be used rather than FPET. See the third case in the screenshot overleaf.

Where advice was provided on divorce as well as children and/or finance work, making a Level 1 and Level 2 claim applicable, then the Matter Type 2 Code FAPP 'client is or would be the applicant where proceedings were issued' should be used and FREP 'client is or would be the respondent where proceedings were issued' should be used.

The screenshot shows a software interface for reporting legal matters. At the top, there are fields for 'Firm Name', 'Account Number', 'Schedule/Submision Reference', 'Office Name', and 'Submission Period'. Below this, the 'Matter Type' is set to 'FAMA:FPET'. A red arrow points from this field to a grey text box on the right that reads: "This code combination must be used when claiming a FPL10 (divorce)". Another red arrow points from this box to the 'Case stage(s) / level(s)' dropdown menu, which is set to 'FPL10-Div'. The interface also includes sections for 'Case Information' and 'Outcome Details' with various input fields for dates, client details, and financial information.

\* Matter Type:  





UFN

---

**Case Information**

---

**Outcome Details**

|   |  |
|---|--|
| <p>* Case Reference Number: <input type="text"/></p> <p>* Case Start Date: <input type="text"/> </p> <p>* Case ID: <input type="text"/></p> <p>Procurement Area: <input type="text"/> </p> <p>Access Point: <input type="text"/></p> <p>* Client Forename: <input type="text"/></p> <p>* Client Surname: <input type="text"/></p> <p>* Client Date of Birth: <input type="text"/> </p> <p>* UCN: <input type="text"/><br/><small>UCN Format: ddmm/yyyy/AAAAA e.g. 05051992/M/SMIT for client Mark Smith with a DOB 05/05/1992</small></p> <p>* Gender: <input type="text"/></p> <p>* Ethnicity: <input type="text"/></p> <p>* Disability: <input type="text"/></p> <p>* Client Postcode: <input type="text"/></p> <p>* Case Concluded Date: <input type="text"/> </p> <p>* Advice Time: <input type="text"/></p> <p>* Travel Time: <input type="text"/></p> | <p>* Waiting Time: <input type="text"/></p> <p>* Profit Costs excluding VAT: <input type="text"/></p> <p>* Disbursements excluding VAT: <input type="text"/></p> <p>* Counsel Costs excluding VAT: <input type="text"/></p> <p>* Disbursements VAT amount: <input type="text"/></p> <p>* Profit and Counsel VAT Indicator: <input type="text"/></p> <p>* London Rate: <input type="text"/></p> <p>* Travel and Waiting costs excluding VAT: <input type="text"/></p> <p>Value of Costs/Damages awarded: <input type="text"/></p> <p>Local Authority number: <input type="text"/></p> <p>Client Type: <input type="text"/></p> <p>* Stage Reached: <input type="text" value="FD-Divorce proceedings - Petitioner only"/></p> <p>* Outcome for client: <input type="text" value="FD-Divorce proceedings - Petitioner only"/></p> <p>* Case stage(s) / level(s): <input type="text" value="FPL10-Div"/></p> |
|---|--|

---

**Outcome Details**

This code combination must be used when claiming a FPL10 (divorce)

### G1.5 Reporting further work

There are many cases where you may undertake further work for a client but only claim a Level 1 fee. In these cases it may on occasion be more accurate to use the Matter Type 2 code FB as the case did not conclude at the first meeting. See the first two cases in the screenshot below.

## Example

Where you have had an initial meeting with a client and provided advice to that client and undertaken further work for the client by writing to the other party but it is apparent that e.g. contact/residence issues can be immediately resolved then only the Level 1 fee is payable.

Firm Name  
Account Number  
Schedule/Submission Reference

Office Name  
Submission Period

Matter Type: FAMD.FADV Private Law Children only: Client is seeking advice only

UFN

### Case Information

#### Outcome Details

Schedule Reference

Case Reference Number

Case Start Date

Case ID

Procurement Area

Access Point

Client Forename

Client Surname

Client Date of Birth

UCN

Postal Application Accepted

Gender

Ethnicity

Disability

Client Postcode

Case Concluded Date

Advice Time

Travel Time

Waiting Time

Profit Costs excluding VAT

Disbursements excluding VAT

Counsel Costs excluding VAT

Disbursements VAT amount

Profit and Counsel VAT Indicator

London Rate

Travel and Waiting costs excluding VAT

Value of Costs/Damages awarded

Local Authority number

Client Type

Stage Reached: FA-First meeting

Outcome for client: FA

Case stage(s) / level(s): FPL01-Priv  
Level 1 Private

Exemption Criteria Satisfied

Exceptional Case Funding Reference

Transfer Date

Outcome Details

Matter Type: FAMD.FADV

UFN

### Case Information

#### Outcome Details

Case Reference Number

Case Start Date

Case ID

Procurement Area

Access Point

Client Forename

Client Surname

Client Date of Birth

UCN

Gender

Ethnicity

Disability

Client Postcode

Case Concluded Date

Advice Time

Travel Time

Waiting Time

Profit Costs excluding VAT

Disbursements excluding VAT

Counsel Costs excluding VAT

Disbursements VAT amount

Profit and Counsel VAT Indicator

London Rate

Travel and Waiting costs excluding VAT

Value of Costs/Damages awarded

Local Authority number

Client Type

Stage Reached: FA-First meeting

Outcome for client: FA

Case stage(s) / level(s): FPL01-Priv  
Level 1 Private

Outcome Details

## G1.6 Claiming a settlement fee

**Settlement fees are payable in private cases where, as a result of negotiation** by the provider, agreement is reached on children or finance disputes without the need to go to court. Therefore these codes should only be claimed where the case has gone to Level 2 and where there is a definite outcome for the client.

Where a settlement fee is claimed the 'Outcome' for the client cannot be one of the 'Matter not concluded' codes. The case has to have concluded for a settlement to be reached.

When a settlement fee is claimed (i.e. where codes FPL02, FPL03, FPL06, FPL07, FPL08, FPL11, FPL12, FPL15, FPL16, FPL17 are used) only the following 'outcome for the client' codes may be appropriate:

- FD: Client referred to mediation and resolved through mediation
- FE: Settlement with benefit for the client
- FF: Settlement with no benefit for the client
- FG: Client received lump sum/property adjustment and periodical payments
- FH: Client received lump/property adjustment
- FI: Client received periodical payments
- FJ: Liability to pay other side avoided or reduced

### G1.7 Help with Family Mediation

Codes FPL20 and FPL21 should only be claimed if you actually draft the consent order. If you are only reviewing the consent order then this is covered by the fee in relation to **FPL19**.

### G.1.8 Case/stage level – public family law

The code used on each claim should link to the Matter Type 1 and Matter Type 2 code, the Stage Reached code and the Outcome code that you report on CWA. If the codes do not match up then the claim may be rejected and you will need to resubmit the claim using the right code. Remember, the Matter Type 1 and Matter Type 2 code should be the code that is relevant at the end of the case (which may be different from the code initially assigned to the case at the outset).

Different codes are used depending on the stage at which the case starts and finishes the categories of work involved and the outcome of the case. The codes are set out in the table below with specific guidance on each code.

| Case Stage/Level Code | Description  |
|-----------------------|--|
| <b>FPC01</b>          | This code should be used when only the Level 1 fee is being claimed and no further work is undertaken for the client pre-proceedings. This code covers all types of Public Law Children work. This code should only be used with matter types FAMW and FAMX.   |
| <b>FPC02</b>          | <p>This code should be used when there is pre-proceedings advice to the client involving negotiation with the Local Authority about the issue of proceedings and no work has been undertaken at Level 1. This level of advice cannot be claimed unless the client has received a Notice of Intention to Issue Proceedings from the Local Authority.</p> <p>This code may only be used in potential care and supervision proceedings where the Matter Type 1 code is FAMW and may only be used when</p> |

|              |  |
|--------------|--|
|              | representing the parents of the child or those with parental responsibility subject to the potential care order.   |
| <b>FPC03</b> | <p>This code should be used when there is pre-proceedings advice to the client involving negotiation with the Local Authority about the issue of proceedings and work was previously undertaken at Level 1. This level of advice cannot be claimed unless the client has received a Notice of Intention to Issue Proceedings from the Local Authority.</p> <p>This code may only be used in potential care and supervision proceedings where the Matter Type 1 code is FAMW and may only be used when representing parents of the child or those with parental responsibility subject to the potential care order.</p> |

### Local Authority Number

This field should be completed in Care & Supervision cases where the Local Authority has provided written notice of its intention to issue proceedings. The number recorded should be the reference number on the Local Authority correspondence. If the Local Authority has not provided a reference number then 000 should be entered.

### Client Type

The following codes should be used when completing the client type column.

| Client Type                                     | Code |
|---|------|
| Parent (or person with parental responsibility) | P    |
| Child   | C    |
| Joined party                                    | J    |

## G2. Reporting Codes:

### G2.1 Matter Type

#### G2.1.1 *Matter Type 1: what the matter is about*

The code used should most closely reflect the matters on which the advisor has given substantive assistance in relation to the client. For example, if the advisor has provided assistance in relation to divorce proceedings and has also given advice on contact issues, then code FAMF should be used.

If you are able to claim an exceptional payment at Level 1 because the case involves domestic violence or divorce only then you must use codes FAMA, FAMB, or FAMC as appropriate.

If advice has been provided on a number of issues and no code is available for the precise matter combination then the general codes FAMR and FAMS should be used although there may be a matter type listed within this code on which the advisor did not provide assistance.



| <b>Code</b> | <b>Description</b>   | <b>Conditions</b>            |
|-------------|--|------------------------------|
| <b>FAMA</b> | <b>Divorce/Judicial Separation/Nullity</b>   |                              |
| <b>FAMB</b> | <b>Dissolution of Civil Partnership</b>  |                              |
| <b>FAMC</b> | <b>Domestic Abuse</b>  |                              |
| <b>FAMD</b> | <b>Private Law Children only</b>   |                              |
| <b>FAME</b> | <b>Private Law Children and Financial Provision</b>  |                              |
| <b>FAMF</b> | <b>Private Law Children and Divorce/Judicial Separation/Nullity</b>                                      |                              |
| <b>FAMG</b> | <b>Private Law Children and Civil Partnership Dissolution</b>  |                              |
| <b>FAMH</b> | <b>Private Law Children and Domestic Abuse</b>   |                              |
| <b>FAMI</b> | <b>Private Law Children, Domestic Abuse and Divorce/Judicial Separation/Nullity</b>                      |                              |
| <b>FAMJ</b> | <b>Private Law Children, Domestic Abuse and Civil Partnership Dissolution</b>                            |                              |
| <b>FAMK</b> | <b>Financial Provision Only</b>  |                              |
| <b>FAML</b> | <b>Financial Provision and Divorce/Judicial Separation/Nullity</b>                                       |                              |
| <b>FAMM</b> | <b>Financial Provision and Civil Partnership Dissolution</b>   |                              |
| <b>FAMN</b> | <b>Financial Provision and Domestic Abuse</b>  |                              |
| <b>FAMO</b> | <b>Financial Provision, Domestic Abuse and Divorce/Judicial Separation/Nullity</b>                       |                              |
| <b>FAMP</b> | <b>Financial Provision, Domestic Abuse and Civil Partnership Dissolution</b>                             |                              |
| <b>FAMQ</b> | <b>Financial Provision, Private Law Children and Domestic Abuse</b>                                      |                              |
| <b>FAMR</b> | <b>Financial Provision, Private Law Children, Domestic Abuse and Divorce/Judicial Separation/Nullity</b> |                              |
| <b>FAMS</b> | <b>Financial Provision, Private Law Children, Domestic Abuse and Civil Partnership Dissolution</b>       |                              |
| <b>FAMT</b> | <b>Family Wills<br/>(The DV/CA criteria is not applicable to this code)</b>                              | To be used only in ECF cases |

|             |   |                              |
|-------------|---|------------------------------|
| <b>FAMU</b> | <b>Change of Name applications<br/>(The DV/CA criteria is not applicable to this code)</b>  | To be used only in ECF cases |
| <b>FAMV</b> | <b>Other</b>  |                              |
| <b>FAMW</b> | <b>Public Law Proceedings – Section 31 Care Proceedings</b>   |                              |
| <b>FAMX</b> | <b>Public Law Proceedings – Other</b>   |                              |
| <b>FAMZ</b> | <b>Financial Provision, Private Law Children and Divorce /<br/>Judicial Separation / Nullity</b>  |                              |
| <b>FAMY</b> | <b>Advice in support of Family Mediation</b>  |                              |
| <b>FAM1</b> | <b>Child Abduction International</b>  |                              |
| <b>FAM2</b> | <b>Child Abduction Domestic</b>   |                              |
| <b>FAM3</b> | <b>International Agreements concerning maintenance</b><br><br>(NB. Please note that the IT system will still refer to EU and International Agreements concerning maintenance) |                              |

**G2.1.2 Matter Type 2: who the matter involves**

| <b>Code</b> | <b>Description</b>  |
|-------------|---|
| <b>FPET</b> | <b>Client is the petitioner in Divorce/Judicial Separation/Nullity/Dissolution of Civil Partnership</b><br>Client is the petitioner and the code used in Part I indicates that assistance is being provided to the client in connection with divorce/civil partnership dissolution. |
| <b>FRES</b> | <b>Client is the respondent in Divorce/Judicial Separation/Dissolution of Civil Partnership</b><br>Client is the respondent and the code used in Part I indicates that assistance is being provided to the client in connection with divorce/civil partnership dissolution.         |
| <b>FMEC</b> | <b>Where the client is seeking advice in connection with mediation – children</b>   |
| <b>FMEF</b> | <b>Where the client is seeking advice in connection with mediation – finance</b>  |
| <b>FMEA</b> | <b>Where the client is seeking advice in connection with mediation – all issues</b>   |
| <b>FADV</b> | <b>Client is seeking advice only</b><br>Where no proceedings have been issued and client is seeking advice only.  |
| <b>FAPP</b> | <b>Client is or would be the applicant where proceedings issued</b><br>Where proceedings have already been issued and the client is the applicant.  |
| <b>FREP</b> | <b>Client is or would be the respondent where proceedings issued</b><br>Where proceedings have already been issued and the client is the respondent.  |

|             |   |
|-------------|---|
| <b>FCHG</b> | <b>Client is a child with a guardian</b>  |
| <b>FCHS</b> | <b>Client is a child instructing solicitor directly</b>   |
| <b>FOTH</b> | <b>Other</b><br>This code should only be used if the client does not fall into one of the above categories. |

## **G2.3      Outcome for the client**

The endpoint code should reflect the most significant outcome for the client. If, for example, the client has been advised in relation to both divorce and financial provision, then Endpoint Codes FG, FH and FI will in most cases be appropriate if the client received financial benefit.

### **G3.3.1      *Matter concluded***

| <b>Code</b> | <b>Description</b>  |
|-------------|---|
| <b>FA</b>   | <b>Decree Absolute/Dissolution obtained</b><br>Client has been assisted in relation to divorce/dissolution as noted in Part I and decree absolute/dissolution obtained.   |
| <b>FB</b>   | <b>Client and partner reconciled</b><br>Client reconciled with partner and no further action therefore necessary.   |
| <b>FC</b>   | <b>Advice given – no further action required</b><br>Client required advice only and no further action necessary.  |
| <b>FD</b>   | <b>Client participated in mediation and settlement reached</b><br>Client advised and referred to mediation and no further work required.  |
| <b>FE</b>   | <b>Settlement with benefit for the client</b><br>The client received some other benefit not included in the codes below. This may include a pension sharing order or other non-financial benefit such as improved arrangements for the client's children. |
| <b>FF</b>   | <b>Settlement with no benefit for the client</b><br>Matter has settled but the client has received no benefit, financial or otherwise.  |
| <b>FG</b>   | <b>Client received lump sum/property adjustment AND periodical payments</b> To be used in cases where the client receives a lump sum or property adjustment order and also periodical payments.   |
| <b>FH</b>   | <b>Client received lump sum/property adjustment</b><br>To be used in cases where the client has received a lump sum or property adjustment order.   |
| <b>FI</b>   | <b>Client received periodical payments</b><br>Client received periodical payments only.   |

|           |  |
|-----------|--|
| <b>FJ</b> | <b>Liability to pay other side avoided or reduced</b><br>Benefit to client is that liability claimed by other side or third party is avoided or reduced. |
|-----------|--|

**G2.3.2 Matter not concluded**

| Code      | Description  |
|-----------|--|
| <b>FS</b> | <b>Client participated in mediation and no settlement reached</b>  |
| <b>FT</b> | <b>Client ceased to give instructions</b><br>Where contact with the client has been lost or the client has indicated that they do not wish to instruct the solicitor further.  |
| <b>FU</b> | <b>File transferred to another solicitor</b><br>Client instructs another solicitor in the same matter.   |
| <b>FV</b> | <b>Matter stopped on advisor's recommendation</b><br>Where the advisor concludes that no further progress can be made or the client does not have sufficient prospects of success to justify further expenditure of legal aid funds.                         |
| <b>FW</b> | <b>Matter proceeding under other Civil Legal Aid where the client is the Applicant</b><br>Where the client has been granted further Civil Legal Aid to make an application, typically a Family Help (Higher) or Legal Representation certificate.            |
| <b>FX</b> | <b>Matter proceedings under other Civil Legal Aid where the client is the Respondent</b><br>Where the client has been granted further Civil Legal Aid as respondent to an application, typically a Family Help (Higher) or Legal Representation certificate. |
| <b>FY</b> | <b>Client referred to another contracted supplier for advice in a different category</b><br>Client is referred to another provider in a non-family category.   |
| <b>FZ</b> | <b>Client referred to a non-funded service</b> Client is referred to another organisation.   |

The table below sets out a summary of codes where the Level 1, Level 2 and Level 1 and 2 fees are claimable

| Code        | Divorce/<br>Judicial<br>Separation/<br>Nullity | Civil<br>Partnership<br>Dissolution | Domestic<br>Abuse | Private Law<br>Children | Financial<br>Provision |
|-------------|--|-------------------------------------|-------------------|-------------------------|------------------------|
| <b>FAMA</b> | X  |                                     |                   |                         |                        |
| <b>FAMB</b> |  | X                                   |                   |                         |                        |
| <b>FAMC</b> |  |                                     | X                 |                         |                        |
| <b>FAMD</b> |  |                                     |                   | X                       |                        |

|             |   |   |   |   |   |
|-------------|---|---|---|---|---|
| <b>FAME</b> |   |   |   | X | X |
| <b>FAMF</b> | X |   |   | X |   |
| <b>FAMG</b> |   | X |   | X |   |
| <b>FAMH</b> |   |   | X | X |   |
| <b>FAMI</b> | X |   | X | X |   |
| <b>FAMJ</b> |   | X | X | X | X |
| <b>FAMK</b> |   |   |   |   | X |
| <b>FAML</b> | X |   |   |   | X |
| <b>FAMM</b> |   | X |   |   | X |
| <b>FAMN</b> |   |   | X |   | X |
| <b>FAMO</b> | X |   | X |   | X |
| <b>FAMP</b> |   | X | X |   | X |
| <b>FAMQ</b> |   |   | X | X | X |
| <b>FAMR</b> | X |   | X | X | X |
| <b>FAMS</b> |   | X | X | X | X |
| <b>FAMZ</b> | X |   |   | X | X |

## Annex H:      Housing

Below is a screenshot of the fields available for completion when reporting a Housing matter directly onto CWA. Those fields marked with an asterisk are mandatory.

Firm Name  
Account Number  
Schedule/Submission Reference

Office Name  
Submission Period

\* Matter Type: HANT:HHAC ASBOs - Magistrates/Crown Court/Client has other social landlord

UFN

**Case Information**

**Outcome Details**

Schedule Reference

\* Case Reference Number

\* Case Start Date

\* Case ID

Procurement Area

Access Point

\* Client Forename

\* Client Surname

\* Client Date of Birth

\* UCN

UCN Format: ddmmyy/AAAAA e.g. 06081962/M/SMIT for client Mark Smith with a DOB 06/08/1962

Postal Application Accepted

\* Gender

\* Ethnicity

\* Disability

\* Client Postcode

\* Case Concluded Date

Eligible Client

Count Location (HPCDS)

\* Advice Time

\* Travel Time

\* Waiting Time

\* Profit Costs excluding VAT

\* Disbursements excluding VAT

\* Counsel Costs excluding VAT

\* Disbursements VAT amount

\* Profit and Counsel VAT Indicator

\* Tolerance indicator

\* Travel and Waiting costs excluding VAT

\* Stage Reached

\* Outcome for client

Exemption Criteria Satisfied

Exceptional Case Funding Reference

Transfer Date

# H1 Reporting Codes:

## H1.1 Matter Type

The matter type must reflect the most significant legal issue dealt with during the case.

### H1.1.1 Matter Type 1: What the matter is about

| Code | Description   | Condition                    |
|------|---|------------------------------|
| HMOR | <b>Possession – Mortgage</b><br>a) a claim for possession is made or threatened, <b>and</b><br>b) the party seeking possession is a mortgagee – whether of the client or not.<br>c)   | This is a debt case          |
| HREH | <b>Re-housing (non-homelessness)</b><br>The main issue is transfers or allocation or legal issues associated with finding alternative housing.  | To be used only in ECF cases |
| HBFT | <b>Housing benefit</b><br>The main issue concerns housing benefits.   | To be used only in ECF cases |
| HLAN | <b>Landlord &amp; tenant: Other terms and conditions</b><br>The main issue concerns other matters between landlord and tenant including service charges, deposits and all implied or express terms of occupation.               | To be used only in ECF cases |
| HRNT | <b>Possession - Rent arrears</b><br>a) a claim for possession is made or threatened, <b>and</b><br>b) the main apparent reason is arrears of rent or other charges.   |                              |
| HPOT | <b>Possession – Other (non-ASB)</b><br>(a) a claim for possession is made or threatened, <b>and</b><br>(b) the main reason is neither rent arrears nor anti-social behaviour <b>and</b><br>(c) the claimant is not a mortgagee. |                              |
| HHOM | <b>Homelessness /threat of homelessness</b><br>The main issue is the client’s legal situation in relation to homelessness including social services powers and duties.  |                              |
| HREP | <b>Disrepair (serious risk to life or health issues only)</b> The main issue concerns the alleged poor state of residential premises or fixtures or furniture provided or nuisance other than anti-social behaviour.            |                              |
| HULE | <b>Harassment/Unlawful eviction</b><br>The main issue is a claim or potential claim under the Protection from Eviction Act 1977 or in relation to a breach of covenant for quiet enjoyment.                                     |                              |

|             |  |                               |
|-------------|--|-------------------------------|
| <b>HOOT</b> | <b>Other</b><br>This category should only be used where the most significant legal issue in the case does not fall within any of the above categories.   |                               |
| <b>HANT</b> | <b>ASBOs – Magistrates/Crown court</b><br>The main issue concerns an existing or possible claim in the criminal courts arising from alleged anti-social behaviour.   | Opened prior to 23 March 2015 |
| <b>HDIS</b> | <b>Anti-social behaviour - all other (including those in County Court)</b><br>The main issue is alleged anti-social behaviour other than in the criminal courts.   | Opened prior to 23 March 2015 |
| <b>HASB</b> | <b>Possession proceedings including Part 1 Injunctions - ASBCP.</b><br>To be used from 23 March 2015 onwards for all housing matters relating to Part 1 injunctions of the Anti-social Behaviour, Crime and Policing Act (ASBCPA) 2014.<br><br>N.B. This new civil injunction replaces a number of orders including anti-social behaviour orders, anti-social behaviour injunctions, drinking banning orders, intervention orders and individual support orders. |                               |

Anti-Social Behaviour Orders granted prior to 23<sup>rd</sup> March 2015 will continue to operate under the old arrangements for a period of 5 years. This means that the variation, discharge, appeal and breach of an order will continue to be criminal legal aid until March 2020.

### **H1.1.2 Matter Type 2: Who the matter involves**

Use the code that best describes the status of the main person involved in the case (likely to be the client) as it relates to their main legal issue (described in 'What the matter is about' above) prior to that issue being resolved or in any way addressed.

| <b>Code</b> | <b>Description</b>  |
|-------------|---|
| <b>HPUB</b> | <b>Client has local authority landlord</b><br>Includes local authorities whose stock is managed by an ALMO. |
| <b>HPRI</b> | <b>Client has private landlord</b><br>Landlords other than local authorities and social landlords.          |
| <b>HHAC</b> | <b>Client has other social landlord</b><br>Registered social landlords, co-ops, housing action trusts.      |
| <b>HNAS</b> | <b>Client has NASS accommodation</b><br>Accommodation provided by NASS/requires NASS advice.                |
| <b>HOWN</b> | <b>Client is owner occupier</b><br>Freeholders, long leaseholders, shared ownership.                        |

|             |  |
|-------------|--|
| <b>HHLS</b> | <b>Client is homeless</b><br>As defined in homelessness legislation plus people living in homes of friends, squatters and street homeless. |
| <b>HLAN</b> | <b>Client is landlord</b><br>Main issue relates to client's rights as landlord or licensor.  |
| <b>HOTH</b> | <b>Other</b><br>This code should only be used if the client does not fall into one of the above categories.                                |

## H1.2 Stage Reached

Please enter the code from the category list provided showing what stage has been reached in the case. This should correspond to the "highest" level of assistance provided to the client.

| Code      | Description  |
|-----------|--|
| <b>HA</b> | <b>First meeting</b><br>Matters which conclude after the first meeting with the client, where no further work is undertaken beyond confirming instructions and giving advice, including the confirmation of advice letter.   |
| <b>HB</b> | <b>Further work</b><br>Work beyond the first meeting, not including the confirmation of advice letter, including work preparatory to putting the case for the client.<br><br>Applies where further work (e.g. investigative work) has been carried out but there has been no contact with the potential opposing party (other than for the purposes of investigation). |
| <b>HC</b> | <b>Putting case for the client</b><br>Includes correspondence with opposing party for the purposes of putting the case.<br><br>Includes pre-action protocol letters and any communication with a third party that constitutes substantively putting the case for the client. Also includes preparation of representations and evidence for tribunals etc.              |
| <b>HD</b> | <b>Representation at court/tribunal</b><br>Applies where solicitors have provided or arranged representation before courts and tribunals (including representation provided pro bono or under other funding).  |

## H1.3 Outcome for the client

### H1.3.1 *Matter concluded*

Please enter a code from the category list provided showing what outcome has been reached for the client. This must be the outcome for the legal issue described by the matter type.

If two or more categories apply (apart from both HA and HB where you should use HC) choose the one that appears to be the most significant for the client.



| <b>Code</b> | <b>Description</b>  | <b>Condition</b>      |
|-------------|---|-----------------------|
| <b>HA</b>   | <b>Client receives damages or property</b><br>Any lump sum payment to client including any paid in reduction of rent. Any property right successfully asserted.   |                       |
| <b>HB</b>   | <b>Client receives new or increased periodical payment.</b>   | Only when ECF granted |
| <b>HC</b>   | <b>Client receives damages or property and new or increased periodical payment</b>  | Only when ECF granted |
| <b>HD</b>   | <b>Sum owed by client to a third party is reduced or is less than claimed</b><br>A lump sum claim by a third party is successfully defended or the amount payable is less than claimed.   |                       |
| <b>HE</b>   | <b>Liability of client to make regular payments is reduced or is less than claimed</b><br>A claim for a periodic amount by a third party is successfully defended or the amount payable is less than claimed.   |                       |
| <b>HF</b>   | <b>Client housed, re-housed or retains home</b><br>Applies only where possession or re-housing is in issue.   |                       |
| <b>HG</b>   | <b>Repairs or improvements to the client's home</b><br>Work done on the home or furniture/fixtures improved.  |                       |
| <b>HH</b>   | <b>Opponent/other party action benefits client</b> Third party takes action.  |                       |
| <b>HI</b>   | <b>Opponent/other party action prevented</b><br>Third party is dissuaded from taking action (other than possession cases).  |                       |
| <b>HJ</b>   | <b>Opponent/other party action delayed</b><br>Extra time is gained – commonly in possession cases or rent payments are rescheduled.   |                       |
| <b>HK</b>   | <b>Client secures explanation or apology</b><br>Following a complaint or query of some kind to a third party.   |                       |
| <b>HL</b>   | <b>Client advised and enabled to plan and/or manage their affairs better</b><br>Applies where, as result of your advice or assistance, the matter for which advice was sought concludes and your client is better able to plan or manage their own affairs in future. |                       |
| <b>HM</b>   | <b>Matter concluded otherwise</b><br>This should only be used if there is no outcome of the most significant legal issue in the case which is covered by one of the above categories.   |                       |

### H1.3.2 *Matter not concluded*

Use the following codes only where you do not know the outcome.

| Code      | Description   |
|-----------|---|
| <b>HU</b> | <b>Matter stopped on advisor's recommendation</b><br>Matter stopped on the basis of advisor's opinion that continuation does not justify continued public funding (includes unfavourable opinions from experts or informal advice from counsel).      |
| <b>HV</b> | <b>Matter proceeded under other Civil Legal Aid</b><br>Includes full or investigative representation certificates.  |
| <b>HW</b> | <b>Client referred to another organisation</b><br>Includes referrals about the same matter to other solicitors, charities or special interest groups and support services etc. It does not cover referral of different but connected cases.           |
| <b>HX</b> | <b>Client advised and taking action themselves or with the help of a third party</b><br>Applies where you advise that you are unable to assist but the client carries on by themselves or with help from others.                                      |
| <b>HY</b> | <b>Client advised and third party action or decision awaited</b><br>Applies where the client has sought advice and assistance before third party action has been taken or decision received.  |
| <b>HZ</b> | <b>Outcome not known/client ceased to give instructions</b><br>Applies where a case has ended because the client has failed to give instructions, withdrawn instructions, or the matter has been ended for other reasons before the outcome is known. |

# Annex I:

# Immigration & Asylum

## **I1 CWA:**

Below is a screenshot of the fields available for completion when reporting an Immigration & Asylum matter directly onto CWA. Those fields marked with an asterisk are mandatory.

### **I1.1 Completed Claim/Stage Claim**

### **I1.2 Stage Disbursement Claim**

**Header information**

Firm Name  
Account Number  
Schedule/Submission Reference

Office Name  
Submission Period

\* Matter Type IMXC:IOU

UFN

\* Claim Type Stage Disbursement Claim

**Case Information**

**Outcome Details**

Schedule Reference

\* Case Reference Number

\* Case Start Date

Case ID

Procurement Area

Access Point

\* Client Forename

\* Client Surname

\* Client Date of Birth

UCN

UCN Format: c0mmyyyyA/AAAA e.g. 05051982M/SMIT for client Mark Smith with a DOB 05/05/1982

\* Home Office UCN

\* Gender

\* Ethnicity

\* Disability

\* Client Postcode

\* Claim Date

\* Disbursements excluding VAT

\* Disbursements VAT amount

\* HO Interview

Disbursement Prior Authority Number

Stage Reached

\* Outcome for client

Exemption Criteria Satisfied

Exceptional Case Funding Reference

Transfer Date

Clear Cancel Save

## **I2 Category Specific Fields on CWA:**

### **I2.1 Claim Type**

In Immigration and Asylum there are three types of claim that a provider can report:

- Stage Claim
- Stage Disbursement Claim
- Completed Claim

The codes that are available for use will be partly determined by which Claim Type is selected:

- ✦ Please refer to Paragraph 8.64, 8.88 to 8.91, 8.110 and 8.112 of the 2024 Standard Civil Contract Immigration Specification for confirmation of when a Stage or Stage Disbursement Claim may be made.
- ✦ Please refer to Paragraph 3.64 of the 2024 Standard Civil Contract Specification for confirmation as to what constitutes a Completed Matter.

| Claim Type                      | Description   | Key Guidance  |
|---------------------------------|---|---|
| <b>Stage Claim</b>              | <p>An interim claim reported where the overall matter is not completed</p> <p>I.e. where you advise on an application for asylum which is refused by UKVI and proceed to grant CLR in relation to the appeal.</p> <p>A stage claim can be made for your Legal Help costs in relation to the initial application for asylum.</p> <p>From 1 April 2023, stage claims can not be made where Legal Help has concluded and CLR has been granted – from that date, Legal Help and CLR constitute separate matters, and in such circumstances a completed claim for Legal Help must be made.</p> | <p>Outcome code must be “- -” (double dash)</p> <p>Must be submitted within 6 months of the end of a stage</p>  |
| <b>Stage Disbursement Claim</b> | <p>An interim claim solely in relation to disbursements reported where the overall matter is not completed and it has been at least 3 months since the start of the case/previous opportunity to report.</p>  | <p>Only the further costs incurred since any prior Stage Disbursement Claim can be made.</p>  |
| <b>Completed Matter Claim</b>   | <p>A completed claim is reported when the overall matter is concluded.</p> <p>I.e. where an applicant has successfully been granted leave and no further advice in relation to that application is required.</p> <p>Completed claims can also be made in relation bail advice whilst the associated substantive matter is ongoing. In these cases two completed claim can be made; one in relation to the bail advice, the other in relation to the substantive matter.</p>   | <p><b>Must be made</b> at the conclusion of every case.</p> <p>Only one Completed Matter Claim should be made in each matter (except where bail work is being claimed separately from the substantive matter costs).</p> <p>Should indicate the outcome of the substantive matter achieved under Controlled Work.</p> <p>Only the further costs incurred since any prior Stage Claim can be made.</p> |

| Field   | Guidance   |
|---|--|
| <p><b>Claim Type</b></p>                            | <p>This refers to the type of claim that you are seeking to submit; providers can choose between three types:</p> <ul style="list-style-type: none"> <li>✦ Completed Claim</li> <li>✦ Stage Claim</li> <li>✦ Stage Disbursement Claim</li> </ul> <p>Depending on the Claim Type selected, only the remaining fields relevant to that Claim Type will be available for completion.</p>  |
| <p><b>Prior Authority Number</b></p>                | <p>If you are seeking to make a claim for disbursements in excess of the applicable initial Disbursement Limit you <b>must</b> enter the Prior Authority Reference number to enable you to claim costs in excess of the limit.</p> <p>The number is allocated to you when you apply for an extension from the LAA. If this number is not entered and you attempt to claim costs in excess of the applicable limit, the system will reject the claim until either the reference number is provided or the claim is reduced by the provider to below the cost limit.</p> <p>Where several extensions to the Disbursement Limit have been obtained in a case, you should record the latest reference number here.</p> <p>Where the matter is opened prior to 15 November 2010, this field can be left blank.</p> <p>The number should be in the form ANNNNNN.</p> |
| <p><b>HO UCN</b></p>                                | <p>Where the client has been allocated a Home Office reference number, this must be reported here.</p> <p>Please refer to paras 8.22 to 8.24 of the 2024 Standard Civil Contract for further guidance on this reference.</p> <p>We will be unable to process claims for costs where the correct reference number is not supplied.</p>  |
| <p><b>Attendance at a Home Office Interview</b></p> | <p>Providers should record the number of Home Office interviews attended in the HO Interview field (options available are 0-9).</p> <p>In matters payable under the Standard Fee Scheme, the additional payment for attending each Home Office interview will be credited if Matter Type 1 code IALB or IMLB is used.</p> <p>For Legal Help matters payable at hourly rates the HO Interview field will be available but will <b>not</b> trigger any payments.</p> <p><b>Claiming disbursements incurred in attending an interview – Hourly Rates and Standard Fee Matters</b></p>   |

|   |   |
|---|---|
|   | <p>Where you are seeking to claim the reasonable costs of disbursements incurred in attending the Home Office Interview you should ensure that you complete this field confirming the number of interviews attended. Doing so will allow you to claim these costs in addition to the £400 Legal Help Disbursement Limit.</p> <p>If you do not complete this field you will not be able to claim costs in excess of the initial cost limit unless you have also obtained a Prior Authority reference number.</p>   |
| <p><b>Representation at an Oral Case Management Review Hearing (CMRH)</b></p> | <p>The additional payment for attending an Oral Case Management Review Hearing (CMRH) can <b>only</b> be claimed where a CLR Matter Type 1 code has been used.</p> <p>The CMRH Oral field will allow claims for attendance at 0-9 oral CMRHs, with an additional payment credited for each separate CMRH attended.</p> <p>For most matters payable at hourly rates, this field can be completed but will <b>not</b> trigger any additional payment. Additional fixed fee advocacy payments will only be paid on matters paid at hourly rates if the temporary CLR codes IACD or IMCD are used. To be clear, these codes will remunerate nonadvocacy work at hourly rates and advocacy services as fixed fees.</p> |
| <p><b>Representation at a Telephone Case</b></p>                              | <p>The additional payment for attending a Telephone Case Management Review Hearing (CMRH) can <b>only</b> be claimed where a CLR Matter Type 1 code has been used.</p>  |
| <p><b>Management Review Hearing (CMRH)</b></p>                                | <p>The CMRH Phone field will allow claims for attendance at 0-9 Telephone CMRHs with an additional payment credited for each separate CMRH attended.</p> <p>For most matters payable at hourly rates, this field can be completed but will <b>not</b> trigger any additional payment. Additional fixed fee advocacy payments will only be paid on matters paid at hourly rates if the temporary CLR codes IACD or IMCD are used. To be clear, these codes will remunerate nonadvocacy work at hourly rates and advocacy services as fixed fees.</p>   |

|  |   |
|--|---|
| <p><b>Representation at a Substantive AIT Appeal Hearing</b></p>           | <p>Providers should select “Y” or “N” to indicate whether the matter did involve attendance at a substantive hearing or not.</p> <p>The additional payment for attending a substantive appeal hearing can only be claimed in relation to CLR Stage 2b SFS claims. Therefore the additional payment for attending a substantive hearing will only be made if “Y” is entered and if Matter type 1 code IACB or IMCB is used.</p> <p>If the case did not involve a substantive First Tier Tribunal appeal hearing, a Stage 2a or Stage 2d fee will be payable.</p> <p>For most matters payable at hourly rates, this field can be completed but will <b>not</b> trigger any additional payment. Additional fixed fee advocacy payments will only be paid on matters paid at hourly rates if the temporary CLR codes IACD or IMCD are used. To be clear, these codes will remunerate nonadvocacy work at hourly rates and advocacy services as fixed fees.</p> <p>This field will automatically default to “N” therefore when claiming for attendance at a Substantive Hearing you must select “Y” to trigger the additional payment.</p>   |
| <p><b>Representation at an Adjourned/Part Heard AIT Appeal Hearing</b></p> | <p>Providers should select the number of adjourned/part-heard First Tier Tribunal appeal hearings they attended.</p> <p>For Standard Fee Scheme cases, this will automatically trigger the additional payment for each hearing reported.</p> <p>The additional payment for attending an adjourned/part heard First Tier Tribunal appeal hearing can only be claimed in relation to Stage 2b SFS claims (using Matter Type 1 codes IACB or IMCB).</p> <p>If the case did not involve a part heard or substantive First Tier Tribunal appeal hearing, a Stage 2a or Stage 2d fee will be payable.</p> <p>Where a part heard/adjourned hearing is attended but a further hearing does not take place, for the purposes of funding this adjourned hearing will be treated as a “Substantive Hearing” and therefore a Stage 2b or Stage 2e claim should be made with the additional payment for attending a Substantive Hearing. The same hearing cannot then be claimed as also being an adjourned hearing.</p> <p>For most matters payable at hourly rates, this field can be completed but will <b>not</b> trigger any additional payment. Additional fixed fee advocacy payments will only be paid on matters paid at hourly rates if the temporary CLR codes IACD or IMCD are used. To be clear, these codes will remunerate nonadvocacy work at hourly rates and advocacy services as fixed fees.</p> <p>This field will automatically default to “0” therefore when claiming for attendance at an Adjourned Hearing you must select the relevant number of hearings to trigger the additional payment(s).</p> |

|                                  |  |
|----------------------------------|--|
| <p><b>AIT Hearing Centre</b></p> | <p>Providers must report the hearing centre where the appeal hearing took place.</p> <p>01 = Birmingham<br/> 02 = Bradford<br/> 03 = Harmondsworth<br/> 04 = London – Field House<br/> 05 = London – Hatton Cross (York House)<br/> 06 = London – Taylor House<br/> 07 = Manchester (Piccadilly)<br/> 08 = Newport (Columbus House)<br/> 09 = North Shields (Kings Court)<br/> 10 = Nottingham Magistrates Court<br/> 11 = Stoke (Bennett House)<br/> 12 = Surbiton<br/> 13 = Walsall<br/> 14 = Yarls Wood<br/> 15 = N/A – Application Only<br/> 16 = Other</p> <p>Note that 15 (N/A – Application Only) should be used for all Legal Help claims.</p>   |
| <p><b>Legacy Cases</b></p>       | <p>Providers should record whether or not the claim relates to a Home Office “legacy case.”<sup>1</sup> Select from “Y” or “N.” Please note that providers should select “Y” where an asylum matter is opened on or after 1st October 2007 but there has been a previous asylum application lodged before 1st April 2007.</p>  |
| <p><b>JR/Form-filling</b></p>    | <p>Reasonable costs relating to advice pre-certificate advice regarding judicial review (JR) or legal advice in relation to form filling should be recorded in this field.</p> <p>This field should only be completed in relation to matters payable under the Standard Fee Scheme i.e. where legal advice in relation to JR or form filling is given as part of the substantive matter. The sum entered in this field will be paid on top of the Standard fees and additional payments due.</p> <p>Where a matter has been opened to advise solely in relation to either of these issues, then this field will not be relevant. In those instances the Matter Type 2 codes IFFL or IJRA should be used.</p> |

<sup>1</sup> A legacy case is defined as any case where the application was made prior to 1<sup>st</sup> April 2007.



## VAT

There is a separate field for providers to record whether or not the claim attracts VAT.

VAT should only be claimed if the provider is VAT registered. Providers are reminded that VAT is not payable in respect of asylum cases where the client does not have status to remain in the UK at the start of the stage of the matter being reported.

VAT cannot be apportioned across an individual stage claim. The client's status at the start of that stage determines whether VAT can be applied on the whole stage claim. It should be noted that if work is done after determination to close the file, VAT should still not be apportioned.

Where the VAT indicator is checked in a case which attracts Standard fee(s), VAT will automatically be added to the Standard fee amounts, the additional payments, any detention travel/waiting costs and any JR/Form-filling costs claimed. VAT will be automatically added to the profit costs claimed and counsel's costs claimed where the VAT indicator is checked in a case which attracts hourly rates.

VAT is not included when CWA calculates whether or not a case meets the Escape Fee Case criteria.

If VAT is payable on a matter but counsel is not VAT registered, providers will need to check the VAT indicator in order to ensure that VAT is paid. The full amount paid (including VAT) should be declared on the provider's VAT returns. Whilst the provider will pay counsel's fees net of VAT, the VAT that has been paid to the provider on counsel's fees must be declared.

The value of disbursements should be recorded net of VAT in the Net Disb Ex. VAT field on CWA. There is a separate field when reporting outcomes on CWA (Disb VAT) for providers to record the monetary value of any VAT payable in respect of disbursements.

Please note the VAT rate applicable for disbursements is determined by the date the disbursement is incurred and not the date of conclusion of the overall matter.

- Where payable, all disbursements incurred before 1 December 2008 will attract VAT at 17.5%
- All disbursements incurred between 1 December 2008 and 31 December 2009 will attract VAT at 15%.
- All disbursements incurred between 1 January 2010 and 3 January 2011 will attract VAT at 17.5%
- All disbursements incurred on/after 4 January 2011 will attract VAT at 20%

For more information on VAT, please refer to the published guidance which can be downloaded from the LSC Website Archive:

[http://webarchive.nationalarchives.gov.uk/\\*/http://www.legalservices.gov.uk/](http://webarchive.nationalarchives.gov.uk/*/http://www.legalservices.gov.uk/)

Focus 49

VAT Guidance November 2005

|  |  |
|--|--|
| <p><b>Detention Travel and Waiting Costs</b></p> | <p><b>This field should only ever be used to report the additional travel and waiting time claimable in relation to attending on a detained client whose case is subject to the Standard Fee Scheme.</b></p> <p><b>For hourly rates matters, all claims for travel and waiting time should be claimed in the Profit Costs field.</b></p> <p>Travel time is generally included within the payment levels under the Standard Fee Scheme (SFS).</p> <p>Additional travel and waiting time may however be claimed (where the client is in detention<sup>4</sup>. You are reminded that only providers who hold exclusive schedules to advise detainees in an IRC can advise those clients (unless one of the exceptions specified under Paragraph 8.6 of the 2024 Standard Civil Contract Specification applies). This also applies to clients that are detained under immigration powers in prisons.</p> <p>Please note however that the ability to claim travel for attending detained clients in addition to the SFS only covers travel for the purposes of taking the client’s instructions.</p> <p><b>From January 2024, you can claim travel and waiting time for attending an IRC as part of the Detained Duty Advice Scheme (see 8.179 Of the 2024 Standard Civil Contract Specification on Immigration and Asylum).</b></p> |
| <p><b>NRM Advice</b></p>                         | <p>Providers should use the dropdown options ‘Yes’ or ‘No’ to indicate if they provided advice with regards to NRM as per Paragraphs 8.56 -8.58 of the Immigration and Asylum Category Specific Rules.</p> <p>Selecting ‘Yes’ will trigger the payment of the NRM bolt-on fee. This should only be claimed once per client.</p>  |
| <p><b>Follow on Work</b></p>                     | <p>When making a claim using the code combination IAXL:IPRN you must select from the drop down menu the type of follow on work that best describes any substantive matter you open for that client as a result of their initial Priority Removal Notice advice.</p> <p>If no substantive matter is opened then you should select N/A.</p> <p>You <b><u>MUST</u></b> select N/A in this field for every other claim that you make.</p>  |

### **I3 Reporting Codes:**

#### **I3.1 Matter Type Codes**

##### **Important Note**

**Assigning the correct Matter Type code is essential because it is these codes that are used by the CWA to work out whether the matter is payable through**

**Standard Fees (with any applicable additional payments) or hourly rates based on the actual costs reported on the monthly submissions.**

**13.1.1 Matter Type 1 Code:**

**In order to help select the most appropriate Matter Type 1 code, you should address the following questions:**

**a) Is it an asylum or immigration case?**

See Paragraph 8.7 of the 2024 Standard Civil Contract Specification for a definition of an Asylum case.

**b) Does the matter fall within or outside of the Standard Fee Scheme?**

See Paragraphs 8.76 of the 2024 Standard Civil Contract Immigration Specification for confirmation of work payable under Hourly Rates. Note that immigration matters for separated migrant children are now paid on hourly rates.

**c) Was the work undertaken under Legal Help (LH) or Controlled Legal Representation (CLR)?**

Working through the above questions will assist you in narrowing down the number of codes until you reach the most appropriate one.

**For cases opened before 1 October 2007, please refer to the previous version of this guidance for the correct Matter Type 1 codes:**

[http://webarchive.nationalarchives.gov.uk/20150504063453/https://www.gov.uk/government/uploads/system/uploads/attachment\\_data/file/415167/guidance-for-reporting-controlled-work-matters.pdf](http://webarchive.nationalarchives.gov.uk/20150504063453/https://www.gov.uk/government/uploads/system/uploads/attachment_data/file/415167/guidance-for-reporting-controlled-work-matters.pdf)

**Hourly rates cases**

| <b>MATTERS PAYABLE UNDER HOURLY RATES</b> |  |
|---|--|
| <b>Code</b>                               | <b>DESCRIPTION</b>   |
| <b>IAXL</b>                               | <b>Asylum - LH Work Not Subject to the Standard Fee Scheme</b><br><br>This code should be used for all Asylum LH claims payable under Hourly Rates.  |
| <b>IMXL</b>                               | <b>Immigration - LH Work Not Subject to the Standard Fee Scheme</b><br><br>This code should be used for all Immigration LH claims payable under Hourly Rates (including Bail).                                       |
| <b>IAXC</b>                               | <b>Asylum - CLR Work Not Subject to the Standard Fee Scheme</b><br><br>This code should be used for all CLR Asylum claims payable under Hourly Rates including all claims relating to appeals to the Upper Tribunal. |

|             |   |
|-------------|---|
| <b>IMXC</b> | <p><b>Immigration - CLR Work Not Subject to the Standard Fee Scheme</b></p> <p>This code should be used for all CLR Immigration claims payable under Hourly rates (including all claims relating to appeals to the Upper Tribunal and Bail)</p> |
|-------------|---|

### Standard Fee Scheme Cases

| <b>MATTERS PAYABLE UNDER THE STANDARD FEE SCHEME</b> |  |
|--|--|
| <b>Code</b>  | <b>Description</b>   |
| <b>IALB</b>  | <p><b>Asylum - Stage 1 (LH)</b></p> <p>This code should only be used to claim for Asylum LH work conducted under Stage 1 of the Standard Fee Scheme. This includes when claiming the standard fee for Asylum LH matters early.</p>   |
| <b>IACA</b>  | <p><b>Asylum - Stage 2a (CLR)</b></p> <p>This code should only be used to claim for Asylum CLR work conducted under Stage 2a of the Standard Fee Scheme.</p> <p>If the matter proceeds to a substantive First Tier Tribunal appeal hearing a Stage 2a claim <b>cannot be made</b>.</p> <p>Please note that this fee cannot be claimed for any CLR matters with a grant date of 1 April 2023 or after</p>   |
| <b>IACB</b>  | <p><b>Asylum - Stage 2b (CLR)</b></p> <p>This code should only be used to claim for Asylum CLR work conducted under Stage 2b of the Standard Fee Scheme.</p> <p>If the matter does not proceed to a substantive First Tier Tribunal appeal hearing, a Stage 2b claim <b>cannot be made</b>. Instead a Stage 2a claim should be made.</p> <p>Please note that this fee cannot be claimed for any CLR matters with a grant date of 1 April 2023 or after</p>   |
| <b>IACC</b>  | <p><b>Asylum – Stage 2c (CLR)</b></p> <p>This code should only be used to claim for Asylum CLR work conducted under Stage 2c of the Standard Fee Scheme.</p> <p>This fee can only be claimed if the Matter is lodged through the online appeals procedure and an Appeal Skeleton Argument is submitted. This fee is payable regardless of whether there is a substantive hearing or not.</p> <p>If the client ceases to instruct before the appeal skeleton argument is submitted, a stage 2a fee will be payable.</p> <p>If you take on a matter after the client’s appeal skeleton argument has been submitted, and the case proceeds to a hearing, then a stage 2b fee will be payable.</p> <p>Please note that this fee cannot be claimed for any CLR matters with a grant date of 1 April 2023 or after</p> |

|             |   |
|-------------|---|
| <b>IACE</b> | <p><b>Asylum - Stage 2d (CLR)</b></p> <p>This code should only be used to claim for Asylum CLR work conducted under Stage 2d of the Standard Fee Scheme.</p> <p>If the matter proceeds to a substantive First Tier Tribunal appeal hearing a Stage 2d claim <b>cannot be made</b>.</p>  |
| <b>IACF</b> | <p><b>Asylum - Stage 2e (CLR)</b></p> <p>This code should only be used to claim for Asylum CLR work conducted under Stage 2e of the Standard Fee Scheme.</p> <p>If the matter does not proceed to a substantive First Tier Tribunal appeal hearing, a Stage 2e claim <b>cannot be made</b>. Instead a Stage 2d claim should be made.</p>  |
| <b>IMLB</b> | <p><b>Immigration- Stage 1 (LH)</b></p> <p>This code should only be used to claim for Immigration LH work conducted under Stage 1 of the Standard Fee Scheme.</p>   |
| <b>IMCA</b> | <p><b>Immigration- Stage 2a (CLR)</b></p> <p>This Matter Type 1 code should only be used to claim for Immigration CLR work conducted under Stage 2a of the Standard Fee Scheme.</p> <p>If the matter proceeds to a substantive First Tier Tribunal appeal hearing a Stage 2a claim <b>cannot be made</b>.</p> <p>Please note that this fee cannot be claimed for any CLR matters with a grant date of 1 April 2023 or after</p>   |
| <b>IMCB</b> | <p><b>Immigration- Stage 2b (CLR)</b></p> <p>This Matter Type 1 code <b>should only be used</b> to claim for Non-Asylum CLR work conducted under Stage 2b of the Standard Fee Scheme.</p> <p>If the matter does not proceed to a substantive First Tier Tribunal appeal hearing (e.g. it concludes after the CMRH) a Stage 2b claim <b>cannot be made</b>. Instead a Stage 2a claim should be made.</p> <p>Please note that this fee cannot be claimed for any CLR matters with a grant date of 1 April 2023 or after</p> |

|             |   |
|-------------|---|
| <b>IMCC</b> | <p><b>Immigration- Stage 2c (CLR)</b></p> <p>This code should only be used to claim for Asylum CLR work conducted under Stage 2c of the Standard Fee Scheme.</p> <p>This fee can only be claimed if the Matter is lodged through the online appeals procedure and an Appeal Skeleton Argument is submitted.</p> <p>This fee can only be claimed if the Matter is lodged through the online appeals procedure and an Appeal Skeleton Argument is submitted. This fee is payable regardless of whether there is a substantive hearing or not.</p> <p>If the client ceases to instruct before the appeal skeleton argument is submitted, a stage 2a fee will be payable.</p> <p>If you take on a matter after the client’s appeal skeleton argument has been submitted, and the case proceeds to a hearing, then a stage 2b fee will be payable.</p> <p>Please note that this fee cannot be claimed for any CLR matters with a grant date of 1 April 2023 or after</p> |
| <b>IMCE</b> | <p><b>Immigration- Stage 2d (CLR)</b></p> <p>This Matter Type 1 code should only be used to claim for Immigration CLR work conducted under Stage 2d of the Standard Fee Scheme.</p> <p>If the matter proceeds to a substantive First Tier Tribunal appeal hearing a Stage 2d claim <b>cannot be made</b>.</p>   |
| <b>IMCF</b> | <p><b>Immigration- Stage 2e (CLR)</b></p> <p>This Matter Type 1 code <b>should only be used</b> to claim for Non-Asylum CLR work conducted under Stage 2e of the Standard Fee Scheme.</p> <p>If the matter does not proceed to a substantive First Tier Tribunal appeal hearing (e.g. it concludes after the CMRH) a Stage 2e claim <b>cannot be made</b>. Instead a Stage 2d claim should be made.</p>   |

### Interim fee scheme codes

| <b>INTERIM FEES PAYABLE UNDER HOURLY RATES</b> |  |
|--|--|
| <b>Code</b>                                    | <b>DESCRIPTION</b>   |
| <b>IACD</b>                                    | <p><b>Asylum – Interim CLR rates (hourly rates with fixed fee for advocacy services)</b></p> <p>This is a temporary code. This code should only be used on CLR matters granted between 8 June 2020 and 1 April 2023.</p> <p>This code pays non-advocacy work at hourly rates and advocacy services as a fixed fee.</p> <p>The costs associated with the above activities should be entered into the ‘Profit Costs excluding VAT’ or ‘Counsel Fee excluding VAT’ fields in CWA.</p> <p>Any non-advocacy travel will be claimable under the hourly rates for Preparation and Attendance and should therefore be included in the ‘Profit Costs excluding VAT’ field. The costs of travel should also be entered in the ‘Travel and Waiting Costs excl VAT’ field. Please note that this field is used for administrative purposes only and does not generate a payment on CWA.</p>      |
| <b>IMCD</b>                                    | <p><b>Immigration – Interim CLR rates (hourly rates with fixed fee for advocacy services)</b></p> <p>This is a temporary code. This code should only be used on CLR matters granted between 8 June 2020 and 1 April 2023.</p> <p>This code pays non-advocacy work at hourly rates and advocacy services as a fixed fee.</p> <p>The costs associated with the above activities should be entered into the ‘Profit Costs excluding VAT’ or ‘Counsel Fee excluding VAT’ fields in CWA.</p> <p>Any non-advocacy travel will be claimable under the hourly rates for Preparation and Attendance and should therefore be included in the ‘Profit Costs excluding VAT’ field. The costs of travel should also be entered in the ‘Travel and Waiting Costs excl VAT’ field. Please note that this field is used for administrative purposes only and does not generate a payment on CWA.</p> |

### **13.1.2 Matter Type 2 codes:**

The Matter Type 2 code provides further information regarding the type of application made by the client, whether they were in detention or if their matter related to an “exclusive service”. Some codes can only be used in certain circumstances, which are set out in the “conditions” column of the table below (e.g. the Matter Type code can only be used where the Trafficking criterion applies, where the matter was opened before 1 April 2013 or where the matter was opened after 25 October 2019.)

| Code | Description  | Conditions                                      |
|------|--|---|
| IASY | <p><b>Asylum Application</b></p> <p>This code should not be used in relation to any applications for further leave, an extension of leave or in relation to a Fresh Claim for asylum.</p> <p>Applications for further leave or an extension of leave should use Matter Type 2 code ILEA. Applications relating to Fresh Claims should use Matter Type 2 code IFRA.</p> <p>Please note that hourly rates will be paid on all 2A cases where the appeal is filed after 25<sup>th</sup> March 2020. Please use the matter type one code IAXC for these cases.</p> | <p>Only for cases opened after 1 April 2013</p> |
| ILEA | <p><b>Applications for leave to remain</b></p> <p>This code should only be used in relation to applications for further leave or an extension of leave.</p> <p>It should <u>not</u> be used for any initial asylum applications or for any Fresh Claims for asylum.</p> <p>Applications relating to initial asylum claims should use Matter Type 2 code IASY. Applications relating to Fresh Claims should use Matter Type 2 code IFRA.</p>  | <p>Only for cases opened after 1 April 2013</p> |
| IDOM | <p><b>Domestic Violence</b></p> <p>This code should only be used in relation to applications for leave to enter/remain by a victim of Domestic Violence.</p>   | <p>Only for cases opened after 1 April 2013</p> |
| IBAI | <p><b>Bail (Hourly Rates)</b></p> <p>This code should be used for claims involving advice in relation to an application for Temporary Admission or Bail.</p> <p>If bail work is undertaken as part of a client's substantive matter, any bail work must be claimed separately from any work on the substantive matter.</p> <p><b>All bail work should be claimed using an Immigration Matter Type 1 code, regardless of whether it was undertaken under an associated Asylum matter start.</b></p>   |   |



|                    |  |  |
|--------------------|--|--|
| <p><b>ICOA</b></p> | <p><b>Application to Upper Tribunal for Leave to Appeal to Court Of Appeal (Hourly Rates)</b></p> <p>This code should be used where advice is given to a <u>new client</u> in relation to the merits of making an application (to the Upper Tribunal) for leave to appeal to the Court Of Appeal following an unsuccessful Upper Tribunal hearing.</p> <p>This code <b>should not be used</b> where you are making the application for leave after having represented the client at an Upper Tribunal hearing. In these circumstances, the advice should be billed on:</p> <ul style="list-style-type: none"> <li>• The certificate issued for the Upper Tribunal appeal, or,</li> <li>• Where the Upper Tribunal claim was carried out as Controlled Legal Representation via transitional arrangements, on the claim for that work billed under the code “IRAR”.</li> </ul> <p>Please note that where it is considered that the merits test has not been met and the matter is to be reported closed under legal help Outcome Code “IY” <b>must be used</b>.</p> |  |
| <p><b>IDAS</b></p> | <p><b>Detention Duty Advice Surgery (Paid at Set Rate)</b></p> <p>This Matter Type 2 code should be used where advice has been provided to a client at a Detention Duty Advice Surgery by an exclusive provider.</p> <p>Please refer to the guidance on Consolidated Claims below for confirmation of the correct code combinations that should be used.</p>   |  |
| <p><b>IDIF</b></p> | <p><b>Rebuttal of Asylum Grouping Decision</b></p> <p>This code should only be used for the rebuttal of a provisional Group 2 refugee decision.</p> <p>This code can only be used with MT1 code ‘IAXL’.</p> <p>Where the rebuttal is successful, Outcome code ‘IG’ should be recorded. Where the Asylum Grouping is maintained, Outcome Code ‘IH’ should be used.</p>  |  |

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| <p><b>IPRN</b></p> | <p><b>Priority Removal Notice advice</b></p> <p>This code should only be used for initial advice on receipt of a Priority Removal Notice. At the point that a determination is made that there is a substantive matter, this matter should be closed and a new matter opened using the most appropriate MT2 code.</p> <p>This code can only be used with MT! code 'IAXL' with a maximum of 7 hours being claimed.</p> <p>When using this code you should also complete the field 'Follow-on Work' identifying what type of follow on work resulted from this advice if any.</p> <p>Where no Follow-on Work is required the outcome code IX should be used. Where follow-on work is conducted the outcome code IF should be used.</p>    |  |
| <p><b>IFRA</b></p> | <p><b>Fresh Applications</b></p> <p>This code should be used where advice has been provided in relation to making a fresh asylum application. This code should be used regardless of whether a fresh application is subsequently made.</p> <p>Applications relating to initial asylum claims should use IASY. Applications for further leave or an extension of leave should use ILEA.</p>  |  |
| <p><b>IFST</b></p> | <p><b>Fast Track Cases/Detained Asylum Casework (DAC) matters</b></p> <p>This code should be used for all claims (including standby claims) where the client is subject to a Home Office fast-track/DAC process.</p> <p>If the client is released from a fast track/DAC process but you are continuing to act this code <b>should only be used</b> for claims up until the end of the stage following the client's release from the fast track/DAC process. Following that the Matter Type 2 code which best describes the substantive matter should be used.</p> <p>Please refer to the guidance on Consolidated Claims below for confirmation of the correct code combinations that should be used in relation to Standby Claims.</p> |  |

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| <p><b>IIRC</b></p> | <p><b>Immigration Removal Centre Work</b></p> <p>This code should <b>only</b> be used by providers who do not hold authorisation to carry out DDAS or DAC Immigration Removal Centre work but are acting under the exceptions given in paras 8.5 &amp; 8.6 of the 2024 Standard Civil Contract Specification. Providers with authorisation to carry out work in IRCs should use the Matter Type II code that best describes the advice that was carried out.</p> <p>This code should be used for all substantive claims involving a non fast track(DAC) client <b>who is not</b> facing imminent removal/deportation.</p> <p>This code should be used even where the client is not detained from the outset but is subsequently detained during the course of a stage. Conversely, if a non-fast track client starts off in detention but is later released this code should only be used up until the next Standard Fee Scheme Stage.</p> <p>This code <b>should not be used</b>:</p> <ul style="list-style-type: none"> <li>✦ Where the advice provided is limited solely to bail matters <ul style="list-style-type: none"> <li>– see “IBAI” (above).</li> </ul> </li> <li>✦ By providers who hold schedule authorisations to undertake work at IRCs; or where the client is subject to a fast track/DAC process (see IFST)</li> </ul> |  |
| <p><b>IJRA</b></p> | <p><b>Judicial Review (Hourly Rates)</b></p> <p>This code <b>should only be used</b> where you have provided advice to your client solely on the issue of pursuing a JR application. This includes all work up to applying for a public funding certificate (including pre-action protocol letters).</p> <p>This code <b>should not be used</b> where initial JR advice has been provided as part of a substantive matter. In these circumstances the costs of the JR work should be reported within the claim for the substantive work and the Matter Type 2 code for the substantive matter should be used.</p> <p>Please note that where Matter Type II code “IJRA” is used Stage Reached code “IE” <b>must be used</b> and providers must select whichever Outcome Code from “IU - IZ” is most appropriate.</p>   |  |

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|--------------------|--|---|
| <p><b>IMER</b></p> | <p><b>Advice on merits of an application to appeal to the Upper Tribunal (Hourly Rates)</b></p> <p>This code <b>should only be used</b> for claims where advice has been given to a <u>new</u> client regarding the merits of making an application for permission to appeal to the Upper Tribunal <u>but</u> where an application is <u>not</u> subsequently made. Where an application for permission is made, these costs should be included within the claim for costs in relation to the appeal to the Upper Tribunal– albeit at LH rates.</p> <p>This code <b>should not be used</b> where you have represented the client at the substantive First Tier Tribunal hearing (i.e. it is not a new client). In those circumstances the costs in relation to considering the merits of making an application for permission to appeal to the Upper Tribunal should be included within the “IO” CLR Stage Claim (if you submit the application for permission) or the “IH” First Tier Completed Matter Claim (if you do not submit the application for permission).</p> |   |
| <p><b>IOTH</b></p> | <p><b>Other</b></p> <p>This Matter Type 2 code <b>should only be used</b> if none of the other Matter Type 2 codes apply. Please note that you <b>must</b> contact your /Contract Manager before using this code.</p>  | <p>You <b>must</b> contact your Contract Manager before using this code</p> |
| <p><b>IPAS</b></p> | <p><b>Pre-ASU Advice (Hourly Rates)</b></p> <p>This code <b>should only be used</b> for LH claims where advice has been given to a client prior to lodging an asylum claim <u>and</u> you then cease to be instructed. The maximum costs that may be claimed using this code are £100 (inclusive of disbursements).</p> <p>Please note that where Matter Type II code “IPAS” is used Stage Reached code “IE” and Outcome Code “IX” <b>must be used</b>.</p>  |   |

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| <p><b>IRAR</b></p> | <p><b>Appeal before the Upper Tribunal - (Hourly Rates)</b></p> <p>Appeals before the Upper Tribunal are now funded as Licensed Work. However, transitional arrangements state that any appeal arising out of a Controlled Work matter started before 1 September 2018 continue to be funded as Controlled Legal Representation. This code should be used for cases caught by those transitional arrangements.</p> <p>Subject to the above, this code should be used for <b>all</b> claims involving advice/representation in relation to an appeal hearing before the Upper Tribunal. The costs of any application for permission to appeal to the Upper Tribunal should also be included in this claim.</p> <p>However, where a case is remitted to the First-Tier Tribunal following an Upper Tribunal appeal funded as Controlled Legal Representation the cost of both the remitted appeal and the Upper Tribunal work will be claimed under the code IREM (see guidance below at section J.5)</p> | <p>Subject to transitional provisions</p> |
| <p><b>IRVL</b></p> | <p><b>Removal/Deportation</b></p> <p>This code should be used where the client faces imminent deportation/removal. For example:</p> <ul style="list-style-type: none"> <li>✦ Where advice has been given to a foreign national prisoner facing deportation;</li> <li>✦ Matters involving court-ordered deportation following a conviction in relation to a criminal offence;</li> <li>✦ Where advice/representation has been provided to a client facing removal after an unsuccessful application/appeal.</li> </ul>   |   |
| <p><b>IUAS</b></p> | <p><b>Unaccompanied Asylum-Seeking Children (Hourly Rates)</b></p> <p>This code should be used where the client is either an accepted UASC or where UKVI dispute their age.</p>   |   |
| <p><b>IREM</b></p> | <p><b>Remittals to First-Tier Tribunal (Hourly Rates)</b></p> <p>This code should be used to reports cases that have been remitted back to the First-Tier Tribunal from the Upper Tribunal or Court of Appeal. See more detailed guidance in section J.5 below for further details on how this code should be used.</p> <p>The following codes can only be used where <b>one or more</b> of the following conditions are met:</p> <ul style="list-style-type: none"> <li>• The matter was opened before 1 April 2013</li> <li>• The matter was opened after 25 October 2019</li> <li>• The trafficking criteria apply</li> </ul>  |   |
| <p><b>ICZN</b></p> | <p><b>Obtaining citizenship/nationality</b></p>   |   |

|   |  |  |
|---|--|--|
| <b>IEMP</b>   | <p><b>Employment Application/Appeal</b></p> <p>This code covers Non-Asylum applications/appeals in relation to:-</p> <ul style="list-style-type: none"> <li>- work permits;</li> <li>- highly-skilled migrants;</li> <li>- sector-based schemes;</li> <li>- the international graduates scheme;</li> <li>- representatives of overseas newspapers, news agencies or broadcasting organisations;</li> <li>- sole representatives;</li> <li>- domestic workers in private households;</li> <li>- ministers of religion, missionaries and members of religious orders, visiting religious workers and religious workers in nonpastoral roles;</li> <li>- persons with UK ancestry.</li> </ul> |  |
| <b>IEUL</b>   | <b>European Union Law/EEA</b>  |  |
| <b>IFME</b>   | <p><b>Family Member Application/Appeal</b></p> <p>This code covers Immigration applications/appeals in respect of spouses, fiancées, civil partners, same sex partners, children, parents, grandparents and other dependent relatives.</p>   |  |
| <b>IFVI</b>   | <p><b>Family Visit Application/Appeal</b></p> <p>This code should not be used for Asylum matters.</p>  |  |
| <b>ISTU</b>   | <p><b>Student Application/Appeal</b></p> <p>This code should not be used for Asylum matters.</p>   |  |
| <p>The following codes can only be used where <b>one or more</b> of the following conditions are met:</p> <ul style="list-style-type: none"> <li>• The matter was opened before 1 April 2013</li> <li>• The trafficking criteria apply</li> </ul> |  |  |
| <b>IFFL</b>   | <p><b>“Form Filling” (Hourly Rates)</b></p> <p>This code should only be used where legal advice has solely been given in respect of “form-filling” as permitted by Paragraph 8.56-59 of the 2010 Standard Civil Contract Specification section 8.</p> <p>This code should not be used where advice in relation to “formfilling” has been provided as part of a substantive matter. In these circumstances providers should select the Matter Type 2 code which best describes the substantive matter.</p> <p>Please note that where Matter Type 2 code “IFFL” is used Stage Reached code “IE” and Outcome Code “IX” must be used.</p>  |  |

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|--|--|--|
| <b>IILL</b>  | <p><b>Illegal entry</b></p> <p>This code should only be used where initial advice has been given to an illegal entrant (e.g. someone without any extant leave to enter/remain or someone specifically termed an “illegal entrant” by the Secretary of State) and you do not proceed to lodge an asylum application.</p> <p>If you do proceed to advice on an asylum application, then Matter Type 2 code “IGOL” should be used.</p>  |  |
| <b>ITWE</b>  | <p><b>Training or Work Experience Application/Appeal</b></p> <p>This includes Non-Asylum applications/appeals in respect of au pair placements, working holiday-makers or persons applying to undertake training or work experience in the UK.</p>   |  |
| <p>The following codes can only be used where <b>one or more</b> of the following conditions are met:</p> <ul style="list-style-type: none"> <li>• The matter was opened before 1 April 2013</li> <li>• The matter was opened after 25 October 2019</li> </ul> |  |  |
| <b>IGOL</b>  | <p><b>Grant/variation of leave to enter/remain</b></p> <p>Examples of when this code should be used include:-</p> <ul style="list-style-type: none"> <li>✦ Where advice is provided to an applicant who had been granted some form of leave (e.g. student) and has applied to vary that leave;</li> <li>✦ Applications made to vary leave to refugee status whilst having some extant of leave in accordance with the Immigration Act 1971.</li> </ul> <p>Where advice is provided to a client who is without leave (e.g. where the client makes an asylum application at port of arrival).</p> <p><b>This code cannot be used even where Trafficking Criteria applies</b></p> |  |
| <p>The following codes can only be used where the following condition is met:</p> <ul style="list-style-type: none"> <li>• The matter was opened before 1 April 2013</li> </ul>  |  |  |
| <b>IOUT</b>  | <p><b>Concession/policy outside the rules applies</b></p>  |  |
| <p>The following codes can only be used where the following condition is met:</p> <ul style="list-style-type: none"> <li>• The matter was opened before 1 April 2007</li> </ul>  |  |  |
| <b>INAS</b>  | <p><b>NASS only advice</b></p> <p>This Matter Type 1 code should only be used in relation to NMS opened Pre 1st October 2007 where the advice given solely relates to a client’s NASS matter.</p>  |  |

### 13.3 Stage Reached codes:

These codes are only applicable for matters **opened prior to 1 April 2013**. Matters opened on/after that date will not be required to report a Stage Reached code. If you

are reporting a case that started before 1 April 2013 please refer to the following archived guidance:

[http://webarchive.nationalarchives.gov.uk/20150504063453/https://www.gov.uk/government/uploads/system/uploads/attachment\\_data/file/415167/guidance-forhttp://webarchive.nationalarchives.gov.uk/20150504063453/https://www.gov.uk/government/uploads/system/uploads/attachment\\_data/file/415167/guidance-for-reporting-controlled-work-matters.pdfreportingcontrolled-work-matters.pdf](http://webarchive.nationalarchives.gov.uk/20150504063453/https://www.gov.uk/government/uploads/system/uploads/attachment_data/file/415167/guidance-forhttp://webarchive.nationalarchives.gov.uk/20150504063453/https://www.gov.uk/government/uploads/system/uploads/attachment_data/file/415167/guidance-for-reporting-controlled-work-matters.pdfreportingcontrolled-work-matters.pdf)

**13.4 Outcome Code**

In the Outcome Code field enter the code which indicates the outcome that has been achieved for the client. Codes “IA” to “IG” should be used for completed matters and codes “IU” to “IZ” should be used where the matter has not concluded but where you are no longer advising the client. These codes apply regardless of whether it is a Standard Fee or hourly rate case.

Outcome Codes “IA” to “IG” should be used where the outcome of the client’s matter is known.

Outcome Codes “IT” to “IZ” should **only** be used for matters where the ultimate outcome of the matter for the client is not known. These codes will therefore only apply where there has been no decision under the matter being reported. Before deciding whether to use a Matter Not Concluded code you should consider what outcome has been obtained for the client.

**13.4.1 Matter concluded**

| APPLICABLE REGARDLESS OF START DATE |   |
|-------------------------------------|---|
| Code                                | Description   |
| IA                                  | <p><b>Client Granted Permission to Enter/Remain <u>Permanently</u></b></p> <p>Examples of when this outcome code <b>should be used</b> include:</p> <ul style="list-style-type: none"> <li>✦ Matters where indefinite leave to enter/remain (ILR) is granted (including where this is after a period of leave has already granted);</li> <li>✦ Matters involving a successful family reunion application;</li> <li>✦ Matters involving a successful application for settlement;</li> <li>✦ Matters involving a successful application to remain in the UK permanently on the basis of marriage.</li> </ul> <p>This code <b>should not be used</b> where refugee status is granted because in those circumstances the client will not initially be given permanent leave to enter or remain. If however you act for an applicant who was originally granted refugee status is later granted ILR, this outcome code would be appropriate.</p> |
| IB                                  | <p><b>Client Granted Humanitarian Protection or Discretionary Leave to Enter/Remain</b></p>   |



|                  |   |
|------------------|---|
| <p><b>IC</b></p> | <p><b>Matter Results in Grant of Other permission to Enter/Remain for a Defined Period</b></p> <p>Outcome “IC” <b>should not be used</b> where the client has been temporarily admitted pending conclusion of the case. In such matters you should use the Outcome Code which accurately reflects the outcome of the main application.</p> <p>Examples of when this outcome code should be used include:</p> <ul style="list-style-type: none"> <li>✦ Where a student, working or family visit visa is granted for a specific period of time;</li> <li>✦ Where a spouse is granted limited leave to enter or remain in the country;</li> <li>✦ Where refugee status is granted for 5 years (or a lesser period). ✦ Where a successful outcome is achieved in a bail application.</li> </ul> |
| <p><b>ID</b></p> | <p><b>Citizenship Gained</b></p>  |
| <p><b>IE</b></p> | <p><b>Application Refused</b></p> <p>This code <b>should not be used</b> where the matter is stopped on the adviser’s recommendation (i.e. CLR is withdrawn) on merits grounds after an initial Home Office (HO) decision but before the substantive First Tier Tribunal hearing.</p> <p>Examples of when this Outcome Code should be used include:</p> <ul style="list-style-type: none"> <li>✦ Where a Completed Matter claim is submitted after a negative initial HO decision;</li> <li>✦ Where a Completed Matter Claim is made after a negative decision made by the First Tier Tribunal decision or the Upper Tribunal</li> </ul>  |
|                  | <ul style="list-style-type: none"> <li>✦ Where a Completed Matter claim using MT1 IALB or IMLB is submitted after a negative initial HO decision and CLR has been granted using where Interim Hourly Rates will apply</li> <li>✦ Where the matter is stopped on the adviser’s recommendation after a substantive First Tier Tribunal hearing because it is considered there is insufficient merit to pursue an application for permission to appeal to the Upper Tribunal.</li> <li>✦ Where an unsuccessful outcome has been obtained in a matter which solely involves advice/representation regarding bail issues</li> </ul>  |
| <p><b>IF</b></p> | <p><b>Matter Concluded Otherwise</b></p> <p>Examples of when this outcome code should be used include:</p> <ul style="list-style-type: none"> <li>✦ Where the client/sponsor decides to withdraw the application (including where this is prior to an initial Home Office decision); ✦ Where the client voluntarily leaves the UK.</li> </ul>   |
| <p><b>IG</b></p> | <p><b>Decision Withdrawn</b></p> <p>This Outcome Code should be used where the Home Office or Entry Clearance officer agrees to withdraw the original decision and make a fresh decision. It can be used regardless of the stage at which the original decision is withdrawn.</p>   |

|           |  |
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| <b>IH</b> | <p><b>Matter results in Asylum Grouping being maintained</b></p> <p>This Outcome Code should only be used with MT2 code 'IDIF' when the provisional Group 2 refugee decision is maintained. If the provisional decision is withdrawn Outcome Code 'IG' should be used.</p> |
|-----------|--|

### 13.4.2 *Matter not concluded*

| <b>APPLICABLE REGARDLESS OF START DATE</b> |   |
|--|---|
| <b>Code</b>                                | <b>Description</b>  |
| <b>IU</b>                                  | <p><b>Matter Stopped on Adviser's Recommendation</b></p> <p>This code <b>should not be used</b> where an organisation refuses to grant CLR after an initial Home Office refusal because the case has insufficient merit. Here Stage Reached Code "IF" and Outcome Code "IE" should be used.</p> <p>This code <b>should not be used</b> if the matter is stopped on the adviser's recommendation as a result of a negative decision at a substantive First Tier Tribunal hearing (e.g. after considering the merits of pursuing an application for permission to appeal to the Upper Tribunal). Here Outcome Code "IE" should be used.</p> <p>Examples of when this code should be used include:-</p> <ul style="list-style-type: none"> <li>✦ Where an organisation advises the client to withdraw their application prior to the initial Home Office decision;</li> <li>✦ Where an organisation has undertaken CLR work after an initial Home Office refusal but withdraw CLR prior to the initial First Tier Tribunal hearing on the grounds that the case had insufficient merit.</li> </ul> |
| <b>IV</b>                                  | <p><b>Matter Proceeded Under Other Funding</b></p> <p>This code should be used where other funding (e.g. local authority funding or where the client decides to fund their case privately) has either been granted or is available to the client.</p>   |
|  | <p>This Outcome Code should be used where a matter proceeds to a certificate, prior to any decision in relation to a substantive application (e.g. for JR proceedings). However, if a matter proceeds to JR or Statutory Review, following a decision, outcomes "IA" to "IG" (above) should be used to record the outcome achieved under Controlled Work. This includes where the Controlled Work case concludes after the substantive First-Tier Tribunal hearing but a certificate is obtained to apply to the Upper Tribunal.</p>  |
| <b>IW</b>                                  | <p><b>Client Referred/Transferred to Another Organisation</b></p>   |
| <b>IX</b>                                  | <p><b>Client Advised – No Further Action Necessary</b></p> <p>This code should be used where one-off advice regarding the client's legal rights has been provided to a client.</p>  |

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| <p><b>IY</b></p> | <p><b>Client Advised and Third Party Action or Decision Awaited</b></p> <p>An example of when this code should be used is where you close a matter whilst a matter is stayed subject to a test case being heard in the High Court/Supreme Court.</p> <p>This code <b>cannot be used</b> to make a Completed Matter Claim (e.g. at the point that an application has been submitted to the Home Office/ECO) simply because there might be a delay in obtaining a decision in respect of the application.</p> <p>When claiming early payment for matters using Matter Type 1 code IALB, this Outcome code should be used. When the matter has concluded the claim should then be amended to reflect the final outcome.</p> |
| <p><b>IZ</b></p> | <p><b>Outcome Not Known/Client Ceased to Give Instructions</b></p> <p>Outcome code “IZ” <b>should only be used</b> where the outcome is not known and none of “IU” to “IY” applies. For example where the client has failed to respond to correspondence or attempts to contact them for 3 months.</p>   |
| <p><b>--</b></p> | <p><b>Dash Dash</b></p> <p>Double dash (--) should be used as the Outcome code when making a Stage Claim, Stage Disbursement Claim or Standby claim.</p>   |

## **14 Claiming disbursements in excess of initial financial limits**

**This section of guidance applies to any claim for disbursements for matters opened on/after 15 November 2010 which exceed the initial financial limits.**

The application of the disbursement limit applies to all Immigration matters where a stage disbursement bill is claimable and that matter has been opened on/after 15 November 2010. For those matters where the disbursement limit is being applied, the application of the disbursement limit applies to all claim types (completed, stage and disbursement stage).

The relevant disbursement limits will be applied to all cases in accordance with the rules set out, unless a prior authority number has been recorded or it falls within one of the exceptions.

The following initial disbursement limits, **exclusive of VAT**, apply to the majority of Immigration & Asylum cases:

- £400 (exclusive of VAT) for Legal Help
- £600 (exclusive of VAT) for CLR (Standard Fee cases)
- £1600 (exclusive of VAT) for asylum CLR
- £1200 (exclusive of VAT) for non-asylum CLR

Where you are seeking to make a claim for disbursements in relation to any claim type in excess of these initial cost limits, you must provide the Prior Authority reference number. If this number is not recorded then CWA will reject the claim pending the number being provided or the claim being reduced by the provider.

The number is allocated by NIAT when granting an extension to the financial limit. Its format will be: ANNNNNN.

#### **14.1 Claiming disbursements incurred in attending an interview**

Where you are seeking to claim the reasonable costs of disbursements incurred in attending the Home Office Interview you should ensure that you complete this field confirming the number of interviews attended. Doing so will allow you to claim these costs in addition to the £400 Legal Help Disbursement Limit.

If you do not complete this field you will not be able to claim costs in excess of the initial cost limit unless you have also obtained a Prior Authority reference number.

### **15 Remitted appeals from the Upper Tribunal**

#### **15.1 How are these appeals funded?**

There are slightly different rules applicable in relation to these cases depending on whether the remitted appeal takes place after:

1. Proceedings in the Upper Tribunal or Court of Appeal that were funded as Licensed Work; or
2. Proceedings in the Upper Tribunal that were funded as Controlled Legal Representation (under the transitional arrangements set out in the guidance for the Matter Type I code "IRAR" above).

#### **15.2 Remitted appeals following Licensed Work**

For cases where the Upper Tribunal appeal or Court of Appeal that led to remittal was funded as Licensed Work the following rules will apply:

1. The remittal is a new matter start
2. This work will be paid under hourly rates (as per paragraph 8.76(i) of the Immigration and Asylum Category Specific Rules to the 2024 Standard Civil Contract; and
3. The relevant Upper Cost Limit in paragraph 8.85 of the Immigration and Asylum Category Specific Rules will apply.

The costs that can be claimed on this new matter start are limited to the following work:

- i) the remitted appeal before the First Tier Tribunal; and,
- ii) the costs (up to £100) of assessing the merits of making a further application for permission to appeal to the Upper Tribunal (if applicable).

The matter should be billed as follows:

|                      |   |
|----------------------|---|
| <b>Matter Type 1</b> | Either IAXC or IMXC depending on nature of matter         |
| <b>Matter Type 2</b> | IREM  |
| <b>Outcome Code</b>  | The outcome code appropriate to the outcome of the appeal |

**15.2 Remitted appeals following Controlled Legal Representation**

For cases where the Upper Tribunal appeal that led to the remittal was funded as Controlled Legal Representation:

- 1. This is a continuation of the same matter;
- 2. As above, paragraph 8.76(i) of the Immigration and Asylum Category Specific Rules to the 2024 Standard Civil Contract confirms that the remittal will be paid under hourly rates;
- 3. subject to the relevant Upper Cost Limit at paragraph 8.85
- 4. If the previous First Tier Tribunal was paid under Hourly Rates, then the provider would continue under the previous cost limit (either the initial limit or any extended limit authorised by the LAA).

Providers are required to report the following costs associated with the remitted appeal on the matter:

- i) The application for permission to appeal to the Upper Tribunal,
- ii) any costs associated with the Upper Tribunal
- iii) the remitted appeal before the First Tier Tribunal and
- iv) the costs (up to £100) of assessing the merits of a further application for permission to appeal to the Upper Tribunal if applicable

Please note, that a change to the 2024 Immigration Contract created a new billing point where matters that reach the Upper Tribunal are remitted back to the First-tier Tribunal for reconsideration of the issue. Please note that this only applies to controlled matters and not certificated matters.

The remitted appeal, along with the associated Upper Tribunal work, should be billed using the following codes:

|                      |   |
|----------------------|---|
| <b>Matter Type 1</b> | Either IAXC or IMXC depending on nature of matter         |
| <b>Matter Type 2</b> | IREM  |
| <b>Outcome Code</b>  | The outcome code appropriate to the outcome of the appeal |

**16 Immigration – Temporary Admission and Bail claims**

Further guidance on the funding provisions in relation to Temporary Admission and Bail work are detailed below along with confirmation of the correct code combinations<sup>2</sup>.

**16.1 Is advice on Temporary Admission/Bail classed as Asylum/Immigration advice?**

All advice in relation to Temporary Admission/Bail is payable as Immigration advice.

<sup>2</sup> The concept of “temporary admission” was abolished with the implementation of the majority of Schedule 10 of the Immigration Act 2016 on 15 January 2018. The references to this term in this guidance have been retained to assist with the billing of any residual work carried out prior to this date.

Where an asylum matter is opened to advise on a substantive asylum issue and Bail advice is also given, the Bail work must be reported using the Immigration Matter Type 1 code IMXC.

## **16.2 When to report TA/Bail work**

You are not required to report your TA/Bail costs and the costs of any associated substantive matter at the same time. They should be claimed on separate lines on CWA and can each be made separately when the appropriate stage has been reached.

Please refer to 8.56 and 8.95 of the Immigration and Asylum Category Specific Rules to the 2024 Standard Civil Contract for confirmation of the stages at which a claim can be made.

E.g. if a client is refused asylum and you do not think there are merits to grant CLR in relation to the asylum appeal **BUT** you intend to grant CLR in relation to Bail, then you can:

- ✦ make a completed Legal Help claim for the costs incurred on the substantive asylum matter
- ✦ continue to act under CLR in relation to the Bail advice
- ✦ make a claim for all of your TA/Bail costs to date once that aspect of the matter has concluded

Similarly if the client has exhausted all appeal rights but CLR remains open to pursue a bail application;

- ✦ A CLR Completed Matter claim should be made (for the substantive appeal work) at the time of the First Tier Tribunal determination rather than waiting until the bail aspect of the case has concluded.

All TA/Bail work (whether LH or CLR) should be claimed together on the same line of CWA, albeit that different rates are payable for the LH and CLR elements.

---

Where Bail is refused by an Immigration Judge, and you intend to submit a further Bail application, then a Stage Claim must be made for all unreported Bail costs incurred to date.

Where a client continues to have Bail successfully renewed, you may make a stage claim for all costs incurred in relation to that renewal. You may continue to make a stage claim for each subsequent renewal until all bail advice is concluded.

## **16.3 Bail and Matter Start rules:**

---

Bail work does not constitute a separate New Matter Start (NMS) even where a bail application is made as part of the client's substantive matter:

- ✦ Separate LH or CLR forms do not need to be signed to cover bail work if the forms have already been signed in relation to the substantive matter or vice versa

- ✦ Providers must however clearly record how the merits test is met before making a bail application

Where bail is obtained, a completed claim should be made for all unreported bail costs incurred to date.

If, after a successful bail application, a client seeks advice/representation in relation to renewing bail for the first time, this will constitute a New Immigration Matter Start (for which a fresh means and merits test will be required).

Subsequent bail renewal work will, however, form part of this second New Matter Start.

#### **16.4 Bail and substantive appeals to the Upper Tribunal**

A substantive Asylum/Immigration appeal before the Upper Tribunal will be funded via one of two ways:

1. Licensed Work; or
2. Controlled Legal Representation (where the appeal arises out a Controlled Work cases that started prior to 1 September 2018)

In either situation that work is not subject to an Upper Cost limit. The Licensed Work certificate will have its own separate cost limit and the Upper Tribunal cases that are continuing under Controlled Legal Representation do not have an Upper Costs limit (see 8.97 of the Immigration and Asylum Specification to 2024 Standard Civil Contract).

Bail advice however will continue to be subject to the relevant Upper Cost Limit (either the £500 Bail limit or the combined £1600/£1200 limit if the substantive appeal to the First Tier Tribunal was payable under Hourly Rates

#### **16.5 Bail and the Unique File Number**

Whilst bail advice does not constitute a new matter start, distinct from an existing matter relating asylum or non-asylum advice (except in relation for bail renewals), it should be assigned a different Case ID from the associated asylum/non-asylum advice when reported to the LAA.

E.g. one matter start is opened on 16/11/10 and includes advice on an asylum application and bail.

The asylum case would use the UFN 0A111A/161110/001 and the bail case would need to use a separate UFN of 0A111A/161110/002.

Providers should ensure that when assigning the Case ID for the Bail claim, that this Case ID has not already been allocated to another matter also opened on that same date.

This will allow both claims to be made and will also allow a Stage Disbursement Claim to be submitted in relation to either or both aspects of work (if eligible – please refer to 8.104 in the 2013 Standard Civil Contract).

#### **16.6 Appropriate code combinations when reporting TA/Bail advice:**

**A Legal Help TA/Bail claim can only be made where CLR is not granted to pursue a Bail application before the First Tier Tribunal (FTT).**

**A CLR TA/Bail claim must be made either:**

- ✦ where advice has been given solely in relation to a Bail Hearing before the FTT  
OR
- ✦ where advice was given initially under Legal Help in relation to TA/Bail but then CLR has been granted to pursue a Bail application before the FTT

***Matter Type 1 Code***

If bail work is undertaken the appropriate Matter Type 1 codes when reporting the bail costs will be as follows:-

|            |             |   |
|------------|-------------|---|
| <b>LH</b>  | <b>IMXL</b> | Bail work undertaken but where funding is <b>not granted</b> to pursue an application to the FTT for Bail |
| <b>CLR</b> | <b>IMXC</b> | Bail work undertaken where funding <b>is granted</b> to pursue an application to the FTT for Bail         |

***Matter Type 2 Code***

|                  |             |  |
|------------------|-------------|--|
| <b>LH or CLR</b> | <b>IBAI</b> | Matter Type 2 code "IBAI" must be used for all TA/Bail claims. |
|------------------|-------------|--|

***Outcome Code***

*Matter Not Concluded*

The standard "Matter Not Concluded" Outcome codes may be used if the outcome of the bail aspect of the case is not known.

E.g. Outcome code "IZ" should be used if the client ceased to give instructions and Outcome code "IU" should be used if the adviser recommended that CLR be withdrawn prior to the bail hearing.

If an unsuccessful bail application is made but CLR remains open to pursue a further bail application Outcome code "--" should be used in conjunction with Stage Reached code "IO."

*Matter Concluded*

Where the outcome of the bail matter is known, **only** the following Matter Concluded Outcome codes may be used:-

|                  |           |   |
|------------------|-----------|---|
| <b>LH or CLR</b> | <b>IC</b> | If a successful bail application is made    |
|                  | <b>IE</b> | If an unsuccessful bail application is made |



|           |                            |
|-----------|----------------------------|
| <b>IF</b> | Matter concluded otherwise |
|-----------|----------------------------|

## **I7 Immigration – Advice given to immigration detainees in prisons**

When advice is given on immigration matters to immigration detainees held in prisons, as detailed in the Immigration and Asylum Category Specific Rules paras 8.146 – 8.154 this should be claimed as set out below.

- Full client name and all other details should be recorded as they would for any individual client.
- The following codes should be entered

|                                |                       |
|--------------------------------|-----------------------|
| <b><u>Matter Type 1</u></b>    | <b><u>IAXL</u></b>    |
| <b><u>Matter Type 2</u></b>    | <b><u>IDAS</u></b>    |
| <b><u>Procurement Area</u></b> | <b><u>PA00187</u></b> |
| <b><u>Access Point</u></b>     | <b><u>AP00187</u></b> |

- A maximum of 30 minutes of advice can be claimed alongside reasonable travel and waiting time.
- Additional costs such as for an interpreter and travel costs should be claimed as a separate disbursement.

## **I8 Immigration Consolidated Claims – Exclusive Contracts**

There is a consolidated claims facility available for:

✦ Detention Duty Advice Surgeries ✦ Fast Track/Detained Asylum Casework Standby Payments

The table below sets out which code combinations should be used for each type of consolidated claim.

| <b>CWA Outcome Fields</b> | <b>Detention Duty Advice Surgeries</b>                               | <b>Fast Track Standby Payments</b>                  |
|---------------------------|--|---|
| <b>Case Start Date</b>    | Here the date on which the surgery was undertaken should be entered. | Start date of the Standby period should be entered. |
| <b>Client Forename</b>    | NA   | NA  |
| <b>Client Surname</b>     | NA   | NA  |
| <b>Date of Birth</b>      | 01/01/1901   | 01/01/1901  |
| <b>HO UCN</b>             | A0000000   | A0000000  |

|                            |   |  |
|----------------------------|---|--|
| <b>Case ID</b>             | <p>A Case ID should be assigned which is unique to that surgery in that particular IRC on that day. It should also be ensured that this does not match a Case ID used when opening any individual matters by the provider office on that same day and should not match a Case ID used in relation to surgery in a different IRC on that date..</p> <p>e.g. 007 may refer to a surgery on a particular date in Harmondsworth, whilst 010 may refer to a surgery on the same date in Colnbrook.</p> | <p>A Case ID should be assigned which is unique to a standby payment for a particular IRC on that day. It should also be ensured that this does not match a Case ID used when opening any individual matters by the provider office on that same day.</p> <p>e.g. 008 may refer to stand by payments for Harmondsworth on a particular date, whilst 011 may refer to a Standby Payment for the same date in Yarls Wood</p> |
| <b>UFN</b>                 | <p>Case Start Date/Case ID</p> <p>Refer to above guidance on both the Case Start Date and the Case ID</p>   | <p>Case Start Date/Case ID</p> <p>Refer to above guidance on both the Case Start Date and the Case ID</p>  |
| <b>UCN</b>                 | 01011901/N/NA   | 01011901/N/NA  |
| <b>Gender</b>              | U (Unknown)   | U (Unknown)  |
| <b>Ethnicity</b>           | 99 (Unknown)  | 99 (Unknown)   |
| <b>Disability</b>          | UKN   | UKN  |
| <b>Client Post Code</b>    | NFA   | NFA  |
| <b>Case Concluded Date</b> | Last day of the month to which the claims relate i.e. 31/10/2007  | Last day of the month to which the claims relate i.e. 31/10/2007   |
| <b>MT1</b>                 | IAXL  | IAXL   |
| <b>MT2</b>                 | IDAS  | IFST   |
| <b>Advice Time</b>         | Total advice time for claim period – for all clients.   | Total advice time for claim period – for all clients.  |
| <b>Travel Time</b>         | <p>Time spent in Travelling to the Detention Centre.</p> <p>For surgeries carried out on or after 1 September 2018, this will be restricted to “0”</p>  | 0  |
| <b>Waiting Time</b>        | <p>Time spent Waiting at the Detention Centre.</p> <p>For surgeries carried out on or after 1 September 2018, this will be restricted to “0”</p>  | 0  |

|  |   |                                   |
|--|---|-----------------------------------|
| <b>Net profit Costs excl VAT</b>           | Depending on the number of clients seen, the relevant fee should be claimed here:<br><br>1-4 clients: £180<br>5 or more client: £360                                  | Total Profit Costs being claimed. |
| <b>Net Disbursements excl VAT</b>          | Any Disbursements incurred.   | 0                                 |
| <b>Net Cost of Counsel excl VAT</b>        | 0   | 0                                 |
| <b>Disb VAT</b>                            | Any VAT on Disbursements incurred.  | 0                                 |
| <b>VAT Indicator</b>                       | Y/N   | N                                 |
| <b>Legacy Indicator</b>                    | N   | N                                 |
| <b>Travel &amp; Waiting Costs</b>          | 0   | 0                                 |
| <b>Adjourned / Part Heard Hearing Fee</b>  | 0   | 0                                 |
| <b>Detention Travel / Waiting</b>          | Total Costs of Travel & Waiting – to Detention Centre.<br><br>For surgeries carried out between 1 September 2018 and 31 December 2023, this will be restricted to "0" | 0                                 |
| <b>JR/Form Filing</b>                      | 0   | 0                                 |
| <b>Detention Centre</b>                    | N/A   | N/A                               |
| <b>Hearing Centre</b>                      | N/A   | N/A                               |
| <b>CMRH – Oral &amp; Telephone</b>         | 0 for both  | 0 for both                        |
| <b>Substantive Hearing</b>                 | 0   | 0                                 |
| <b>Attendance at Home Office Interview</b> | 0   | 0                                 |
| <b>Stage Reached</b>                       | IE  | IT                                |

|  |   |                  |
|--|---|------------------|
| <b>Outcome Code</b>  | IX  | -- (double dash) |
| <b>Postal Application Accepted?</b>                                      | Where a Detained Duty Advice Scheme surgery was conducted face-to-face, this should be 'No'.<br><br>Where a Detained Duty Advice Scheme surgery was conducted remotely, this should be 'Yes'. | No               |
| <b>IRC Surgery</b>   | Yes   | No               |
| <b>Surgery Date</b>  | The date the surgery took place (DD/MM/YYYY)  | Leave blank      |
| <b>Number of clients seen at the Surgery</b>                             | The number of client seen at the surgery (0-20)   | Leave blank      |
| <b>Number of Surgery clients resulting in a legal help matter opened</b> | The number of clients seen at the surgery for whom you subsequently opened a legal help matter (0-20)   | Leave blank      |

# Annex J:      Mental Health

## J1. CWA:

Below is a screenshot of the fields available for completion when reporting a Mental Health matter directly onto CWA. Those fields marked with an asterisk are mandatory.

### J1.1      Completed Claim

\*Indicates required field

Clear Cancel Save

**Header Information**

Firm Name  
Account Number  
Schedule/Submission Reference

Office Name  
Submission Period

\* Matter Type: MHAS.MCOM

UFN

\* Claim Type: Completed Matter Claim

**Case Information**

**Outcome Details**

Schedule Reference

Case Reference Number

\* Case Start Date

\* Case ID

Procurement Area

Access Point

\* Client Forename

\* Client Surname

\* Client Date of Birth

\* UCN

UCN Format: c00m/yyyy/AAAAA e.g. 05051962/M/SMIT for client Mark Smith with a DOB 05/05/1962

Postal Application Accepted

\* Gender

\* Ethnicity

\* Disability

\* Client Postcode

\* Case Concluded Date

\* Case stage(s)/ level(s)

\* Travel Time

\* Waiting Time

\* Advice Time

\* Profit Costs excluding VAT

\* Disbursements excluding VAT

\* Counsel Costs excluding VAT

\* Disbursements VAT amount

Stage Reached

\* Outcome for client

\* Meetings attended

\* Profit and Counsel VAT Indicator

\* Travel and Waiting costs excluding VAT

Adjourned Hearing Fee

Additional Travel Paymer

Exemption Criteria Satisfied

Exceptional Case Funding Reference

Transfer Date

Number of Independent Medical Reports Claimed

Designated Accredited Representatives

Mental Health Tribunal Reference Number

Clear Cancel Save

### J1.2      Stage Disbursement Claim

\*Indicates required field

Clear Cancel Save

**Header Information**

Firm Name  
Account Number  
Schedule/Submission Reference

Office Name  
Submission Period

\* Matter Type: MHAS.MCOM

UFN

\* Claim Type: Stage Disbursement Claim

**Case Information**

**Outcome Details**

Schedule Reference

Case Reference Number

\* Case Start Date

\* Case ID

Procurement Area

Access Point

\* Client Forename

\* Client Surname

\* Client Date of Birth

\* UCN

UCN Format: c00m/yyyy/AAAAA e.g. 05051962/M/SMIT for client Mark Smith with a DOB 05/05/1962

\* Gender

\* Ethnicity

\* Disability

\* Client Postcode

\* Claim Date

\* Disbursements excluding VAT

\* Disbursements VAT amount

Stage Reached

\* Outcome for client

Exemption Criteria Satisfied

Exceptional Case Funding Reference

Transfer Date

Clear Cancel Save

## J2 Category Specific Fields on CWA:

| Field  | Use  |
|--|--|
| <b>Claim Type</b>                                    | <p>This refers to the type of claim that you are seeking to submit; providers can choose between three types:</p> <ul style="list-style-type: none"> <li>• Completed Claim</li> <li>• Stage Disbursement Claim</li> </ul> <p>Depending on the Claim Type selected, only the remaining fields relevant to that Claim Type will be available for completion.<br/>Further guidance on Disbursement Stage Claims can be found on page 29 of this document.</p> |
| <b>Case Stage/Level Code</b>                         | <p>Code refers to the set of fees you are claiming under the Mental Standard Fee Scheme and will determine such payment.</p> <p>see additional guidance below</p>  |
| <b>Adjourned Hearing Fee</b>                         | <p>The number of times the MHT adjourned hearing fee is being claimed.</p>   |
| <b>Additional Travel Payment</b>                     | <p>State whether the clients' location was designated as Remote (Y/N)</p> <p>"Y" should only be selected in order to claim the "Remote Travel Payment" where a hospital has been designated as remote.</p>   |
| <b>Meetings Attended?</b>                            | <p>Types of meetings attended</p> <p>see additional guidance below</p>   |
| <b>Stage Reached</b>                                 | <p>Stage the case has reached by the end of a claim.</p> <p>If a MHT case also involves a managers hearing, the code MD takes precedence</p> <p>You should only use the code MD if there was representation at a hearing, the code MB if not.</p> <p>If only Level 1 work (either MHT or non-MHT) is carried out the code MA should be used</p>  |
| <b>Outcome for Client</b>                            | <p>The outcome for the client by the end of a claim.</p> <p>Code MK should be used if a client is not discharged following an MHRT</p>   |
| <b>Number of Independent Medical Reports Claimed</b> | <p>The number of independent medical reports claimed (0-10).</p> <p>This should include all independent medical reports billed on the matter, including those where the costs of the report have already been claimed via a Stage Disbursement Claim.</p>  |

|                |             |  |
|----------------|-------------|--|
| <b>MHT No.</b> | <b>Ref.</b> | <p>The reference number provided to you when you submit an application to the MHT.</p> <p>It is mandatory for all claims where an application to the tribunal has been made (e.g. with Case Stage/Level MHL02, MHL03, MHL04, MHL05, MHL06, MHL07, and MHL08).</p>  |
|                |             | <p>The format for this field must be completed in one of the two following ways:</p> <ol style="list-style-type: none"> <li>1. AA/NNNN/NNNN (For cases in the English jurisdiction)</li> <li>2. AANNNN (For cases in the Welsh jurisdiction)</li> </ol> <p>The LAA cannot envisage any circumstances where it would not be possible to obtain the MHT reference number when making any of the above claims.</p> <p>However, if exceptional circumstances arise where you have a legitimate reason for not having a reference number you should enter the following information in this field: "AA/1234/1234"</p> <p>The LAA will closely scrutinise all claims where a case has been submitted with this reference number. Justification should be provided on file explaining why there is no reference number.</p> |

### **J2.1 Case Stage/level**

The code entered in this field will determine which set of fees you are paid for a case. Please choose the code which represents the combination of fees you are entitled to claim, as outlined in the table below. For example, to claim an MHT Level 1, an MHT Level 2, and an MHT 3 Fee, you would enter the code **MHL04**.

| <b>Fees Claimed</b> |   |                    |                    |                    |
|---------------------|---|--------------------|--------------------|--------------------|
| <b>Code</b>         | <b>Non-MHT</b>  | <b>MHT Level 1</b> | <b>MHT Level 2</b> | <b>MHT Level 3</b> |
| <b>MHL01</b>        | Y   |                    |                    |                    |
| <b>MHL02</b>        |   | X                  |                    |                    |
| <b>MHL03</b>        |   | X                  | X                  |                    |
| <b>MHL04</b>        |   | X                  | X                  | X                  |
| <b>MHL05</b>        |   |                    | X                  |                    |
| <b>MHL06</b>        |   |                    | X                  | X                  |
| <b>MHL07</b>        |   |                    |                    | X                  |
| <b>MHL08</b>        |   | X                  |                    | X                  |
| <b>MHL09</b>        | Not Applicable- Only use if case started pre January 2008   |                    |                    |                    |
| <b>MHL10</b>        | Only use for appointments made under tribunal rule 11(7)(a) (England) or 13(5)(a)(i) (Wales) where client does not engage | X                  |                    |                    |

## J2.2 Meetings Attended

This code is used to record the set of meetings attended during the course of a case, as well as to capture information on whether an appeal was lodged to review a decision of the First-Tier Tribunal (Mental Health). Please choose the code which represents the combination of meetings you attended during the lifetime of the case, as outlined in the table below. For example, if you attended a Tribunal Hearing, a Section 17 Meeting, and made a review/appeal application to the FirstTier Tribunal (Mental Health), you would enter the code **MTGA19**.

Please note that this field is mandatory and cannot be left blank.

| Meetings Attended code | Tribunal Hearing | Hospital Managers' Review | Section 117 Meeting | CPA | App. for Review/ Appeal |
|------------------------|------------------|---------------------------|---------------------|-----|-------------------------|
| MTGA01                 |                  |                           |                     |     |                         |
| MTGA02                 | X                |                           |                     |     |                         |
| MTGA03                 |                  | X                         |                     |     |                         |
| MTGA04                 |                  |                           | X                   |     |                         |
| MTGA05                 |                  |                           |                     | X   |                         |
| MTGA06                 | X                | X                         |                     |     |                         |
| MTGA07                 | X                |                           | X                   |     |                         |
| MTGA08                 | X                |                           |                     | X   |                         |
| MTGA09                 |                  | X                         | X                   |     |                         |
| MTGA10                 |                  | X                         |                     | X   |                         |
| MTGA11                 |                  |                           | X                   | X   |                         |
| MTGA12                 | X                | X                         | X                   |     |                         |
| MTGA13                 | X                |                           | X                   | X   |                         |
| MTGA14                 | X                | X                         |                     | X   |                         |
| MTGA15                 |                  | X                         | X                   | X   |                         |
| MTGA16                 | X                | X                         | X                   | X   |                         |
| MTGA17                 | X                |                           |                     |     | X                       |
| MTGA18                 | X                | X                         |                     |     | X                       |
| MTGA19                 | X                |                           | X                   |     | X                       |
| MTGA20                 | X                |                           |                     | X   | X                       |
| MTGA21                 | X                | X                         | X                   |     | X                       |
| MTGA22                 | X                |                           | X                   | X   | X                       |
| MTGA23                 | X                | X                         |                     | X   | X                       |
| MTGA24                 | X                | X                         | X                   | X   | X                       |

## J2.3 Designated Accredited Representatives

The code is used to record whether you have used a Designated Accredited Representative for the **substantive tribunal hearing** on a claim and will be used to monitor the requirement at paragraph 9.11 of the Mental Health Category Specific Rules in the Standard Civil Contract 2018.



It is mandatory to complete this field every time you put in a bill for a Level 3 (Mental Health Proceedings) Fee (e.g. with Case Stage/Level MHL04, MHL06, MHL07, MHL08). You should choose from one of the five options set out in the table below.

If you are claiming a Level 3 fee without a **substantive tribunal hearing** having taken place (in limited circumstances for adjourned hearings permitted as per paragraph 9.87 of the Mental Health Specification) then you must use code 05 rather than code 01 even if, say, a Designated Accredited Representative travelled to the tribunal.

Designated Accredited Representatives (DAR) has been removed as a requirement from the 2024 mental health specification. However, as the necessary digital updates to CWA have not been updated yet, the below reporting codes cannot be removed from CWA at this time. In the interim, we advise that you select any of the five options set out in the table below when you bill for a level 3 (Mental Health Proceedings) Fee.

CWA will not allow you to proceed until this field is completed.

Any option that you do select will be accepted and will not be monitored by the LAA.

| Code | Type of Representative               | Explanation   |
|------|--------------------------------------|---|
| 01   | Designated Accredited Representative | The individual who represented the client at the tribunal is on your list of "Designated Accredited Representatives".   |
| 02   | Non-DAR – Employee                   | The individual who represented the client at the tribunal is a partner, director or employee at your firm but is not on your list of Designated Accredited Representatives (e.g. because they do not work 14 hours per week for you). |
| 03   | Non-DAR – Agent                      | The individual who represented the client at the tribunal is an agent who is not on your list of Designated Accredited Representatives (including self-employed consultants).   |
| 04   | Non-DAR – Counsel                    | The individual who represented the client at the tribunal is a self-employed barrister who is not on your list of Designated Accredited Representatives.  |

|    |                   |   |
|----|-------------------|---|
| 05 | Not<br>Applicable | <p>This code should be chosen in the following two situations:</p> <ol style="list-style-type: none"> <li>1. The final hearing took place prior to 1 September 2018 and thus there was no requirement to use a Designated Accredited Representative</li> <li>2. There was no final hearing and the Level 3 (Mental Health Proceedings) Fee is being claimed in lieu of an Adjourned Hearing Fee as per paragraph 9.87 of the Mental Health Specification.</li> </ol> <p>The LAA will monitor use of this code to ensure it is only being used in the above two circumstances.</p> |
|----|-------------------|---|

### J3 Reporting Codes:

#### Important note

**All codes within this category are available for use regardless of the matter start date except for Stage Reached codes which are only required when reporting matters opened before 1 April 2013**

#### J3.1 Matter Type

##### J3.1.1 *Matter Type 1: What the matter is about*

The Matter Type 1 code must reflect the most significant legal issue dealt with during the case.

| Code        | Description  |
|-------------|--|
| <b>MHDC</b> | <p><b>Patient is seeking discharge</b></p> <p>Applies to all forms of discharge from hospital and/or section and from one hospital to another (e.g. to one of lesser security).</p>                                    |
|             | <p>May be achieved by any applicable means (e.g. Mental Health Tribunal, Hospital Managers' Hearing, via representations to Responsible Medical Officer or Home Office).</p>   |
| <b>MHAS</b> | <p><b>Seeking treatment following admission</b></p> <p>Applies where a hospital patient is not yet receiving some treatment which the patient feels is required.</p>   |
| <b>MHNS</b> | <p><b>Seeking treatment – not yet admitted</b></p> <p>Applies where a patient in the community is not receiving some treatment and/or is being declined admission to hospital which the patient feels is required.</p> |

|             |   |
|-------------|---|
| <b>MHTM</b> | <b>Problem with treatment/medication</b><br>Applies to any dispute or query regarding any form of treatment (which is very widely defined) in hospital or in the community (not falling within MHAS or MHNS categories above).  |
| <b>MHMC</b> | <b>Non-Deprivation of Liberty</b><br>Applies where capacity or the lack of capacity to do or consent to anything is the principal issue (excluding “cases primarily involving a Deprivation of Liberty or alleged Deprivation of Liberty) This also covers Inherent Jurisdiction cases. |
| <b>MHBW</b> | <b>Deprivation of Liberty case (Mental Capacity Act 2005)</b><br>Applies where the principal issue is the detention of a mentally incapacitated passive patient under the Mental Capacity Act 2005 and relevant amendments.   |
| <b>MHDR</b> | <b>Displacement of nearest relative</b><br>Applies where an action may be or has been brought under s.29 Mental Health Act 1983 and relevant amendments.  |
| <b>MHHA</b> | <b>Other problem during hospital admission</b><br>Applies to any matter concerning an in-patient not covered above.   |
| <b>MHCM</b> | <b>Other problem in the community</b><br>Applies to any matter concerning a patient in the community not covered above.   |
| <b>MHOR</b> | <b>Other</b><br>This category should only be used where the most significant legal issue in the case does not fall within any of the above categories.  |

### **J.3.1.2 Matter Type 2: Who the matter involves**

Use the one code that best describes the status of the main person involved in the case (likely to be the client) as it relates to their main legal issue (described in the ‘What the matter is about’ above) prior to that issue being resolved or in any way addressed.

| <b>Code</b> | <b>Description</b>  |
|-------------|---|
| <b>MOUT</b> | <b>Outpatient living in the community (not under section)</b>   |
| <b>MCOM</b> | <b>Under Supervised Community Treatment order</b><br>Applies to all clients subject to a Community Treatment Order as set out in s.17A to 17E of the Mental Health Act 1983 |
| <b>MSUP</b> | <b>Subject to aftercare under supervision</b><br>Applies to a patient subject to the regime under ss.25A-25J Mental Health Act 1983.  |
| <b>MCON</b> | <b>Conditionally discharged patient</b><br>Applies to a patient who has been conditionally discharged under s.73 Mental Health Act 1983 and remains so.                     |

|             |   |
|-------------|---|
| <b>MGUA</b> | <b>Subject to s7 guardianship</b><br>Applies to a patient who is subject to the arrangements made under ss.7-10 Mental Health Act 1983.                   |
| <b>MINF</b> | <b>An informal/voluntary patient in hospital</b><br>Including a "Bournewood" patient.   |
| <b>MPAT</b> | <b>Under Part II MHA in hospital</b><br>Applies to a patient liable to be detained in a hospital under any provision in Part II Mental Health Act 1983.   |
| <b>MSCR</b> | <b>Under Part III MHA in hospital</b><br>Applies to a patient liable to be detained in a hospital under any provision in Part III Mental Health Act 1983. |
| <b>MREL</b> | <b>A (relative or) nearest relative of a patient</b>  |
| <b>MOTH</b> | <b>Other</b><br>This code should only be used if the client does not fall into one of the above categories.   |

### **J3.2            Stage Reached**

**These codes are only applicable for matters opened prior to 1 April 2013. Matters opened on/after that date will not be required to report a Stage Reached code.**

Please enter the code from the category list provided showing what stage has been reached in the case. This should correspond to the "highest" level of assistance provided to the client.

| <b>APPLICABLE IN RELATION TO MATTERS OPENED BEFORE 1 APRIL 2013</b> |  |
|---|--|
| <b>Code</b>   | <b>Description</b>   |
| <b>MA</b>   | <b>Advice only</b><br>Applies where only advice is given and no further or follow-up work is required: an "open and close" type of matter.   |
| <b>MB</b>   | <b>Casework <u>without</u> representation at <i>either</i> Hospital Managers' hearing <i>or</i> MHRT</b><br>Applies to a matter where any further or follow-up work is required but does not include representation at either a Hospital Managers' hearing or before the Mental Health Tribunal. |
| <b>MC</b>   | <b>Representation at Hospital Managers' hearing</b><br>Applies to any matter which included representation at a Hospital Managers' hearing but did not require representation before the Mental Health Tribunal.   |

|           |   |
|-----------|---|
| <b>MD</b> | <p><b>Representation at MHT</b></p> <p>Applies to any matter which required representation before the Mental Health Tribunal, regardless of other work carried out on the case. NB This code <b>should not be used if no hearing took place</b>. Matters where a hearing was scheduled but was cancelled for any reason and at any point should not be recorded here.</p> |
|-----------|---|

### **J3.3            Outcome for the client**

Please enter a code from the category list provided showing what outcome has been reached for the client. This must be the most significant outcome for the legal issue described by the matter type.

#### **J3.3.1            *Matter concluded***

| Code      | Description  |
|-----------|--|
| <b>MA</b> | <p><b>Immediate/absolute discharge</b></p> <p>Applies where the outcome is that the patient immediately leaves hospital, ceases to be liable to be detained in a hospital or subject to recall to a hospital, regardless of how this was achieved.</p>   |
| <b>MB</b> | <p><b>Delayed/conditional/deferred or varied conditional discharge</b></p> <p>Applies where the outcome is that the patient will be discharged on a future date (delayed discharge) or ceases to be liable to be detained but remains subject to recall (conditional discharge) or remains liable to be detained but should cease to be so when the conditions of discharge are satisfied (deferred conditional discharge) or the conditions of a patient subject to recall have been varied (varied conditional discharge) - regardless of how this was achieved.</p> |
| <b>MC</b> | <p><b>Aftercare under supervision ceases or guardianship ceases</b></p> <p>Applies where a patient ceases to be subject to the regime under ss.25A-25J Mental Health Act 1983 or is discharged from the arrangements made under ss.710 Mental Health Act 1983.</p>   |
| <b>MD</b> | <p><b>Discharged to prison or referred to Parole Board for release</b></p> <p>Generally this will follow from a deliberation by the Mental Health Tribunal under s.74 Mental Health Act 1983 but should be used regardless of how this was achieved.</p>   |
| <b>ME</b> | <p><b>Statutory recommendation for leave</b></p> <p>Applies where the Mental Health Tribunal make a suitable recommendation under s.72 (3) (a) Mental Health Act 1983.</p>   |
| <b>MF</b> | <p><b>Statutory recommendation for transfer to another hospital</b></p> <p>Applies where the Mental Health Tribunal make a suitable recommendation under s.72 (3) (a) Mental Health Act 1983.</p>  |
|           | <p><b>Statutory recommendation for guardianship/aftercare under supervision</b></p>  |

|           |  |
|-----------|--|
| <b>MG</b> | Applies where the Mental Health Tribunal make a suitable recommendation under s.72 (3) (a) or s.72 (3A) (a) Mental Health Act 1983.  |
| <b>MH</b> | <b>Extra-statutory recommendation</b><br>Applies where the Mental Health Tribunal or Hospital Managers make an informal recommendation in respect of any kind of patient.  |
| <b>MI</b> | <b>Reclassification of form(s) of mental disorder</b><br>Applies where the Mental Health Tribunal make a decision under s.72 (5) Mental Health Act 1983.   |
| <b>MJ</b> | <b>Client advised and able to plan and/or manage their affairs better</b><br>Applies where, as result of your advice or assistance, the matter for which advice was sought concludes and your client is better able to plan or manage their own affairs in future. |
| <b>MK</b> | <b>Matter concluded otherwise</b><br>This should only be used if there is no outcome of the most significant legal issue in the case which is covered by one of the above categories.  |
| <b>--</b> | <b>Double dash</b><br>Applies to a case where a claim for stage disbursements is being made.   |

### **J3.3.2**      ***Matter not concluded***

Use the following codes only where you do not know the outcome.

| <b>Code</b> | <b>Description</b>  |
|-------------|---|
| <b>MU</b>   | <b>Matter stopped on advisor's recommendation</b>   |
| <b>MV</b>   | <b>Matter proceeded under other Civil Legal Aid</b><br>Includes full or investigative representation certificates.  |
| <b>MW</b>   | <b>Client referred to another organisation</b><br>Includes referrals about the same matter to other solicitors, charities or special interest groups and support services etc.<br><br>Does not cover referral of different but connected cases. |
| <b>MX</b>   | <b>Client advised and taking action themselves or with the help of a third party</b><br>Applies where you advise that you are unable to assist but the client carries on by themselves or with help from others.                                |
| <b>MY</b>   | <b>Client advised and third party action or decision awaited</b><br>Applies where the client has sought advice and assistance before third party action has been taken or decision received.  |

|           |  |
|-----------|--|
| <b>MZ</b> | <p><b>Outcome not known/client ceased to give instructions</b></p> <p>Applies where a case has ended because the client has failed to give instructions, withdrawn instructions, or the matter has been ended for other reasons before the outcome is known.</p> |
|-----------|--|

## **Annex K: Miscellaneous**

Below is a screenshot of the fields available for completion when reporting a Miscellaneous matter directly onto CWA. Those fields marked with an asterisk are mandatory.

Miscellaneous work includes all work that does not fall within a contract Category of Law, covering both in scope and ECF . It will include all cases that used to fall under category of work that no longer exists (i.e. Consumer, Personal Injury or Employment), except where these cases happen to fall into another area (e.g. employment discrimination claims).

\* Indicates required field

---

**Header Information**

|  |                                  |
|--|----------------------------------|
| Firm Name<br>Account Number<br>Schedule/Submission Reference | Office Name<br>Submission Period |
|--|----------------------------------|

---

\* Matter Type  Contentious probate :NASS Advice

UFN

---

**Case Information**

**Outcome Details**

|   |  |
|---|--|
| <p>Schedule Reference <input type="text"/></p> <p>* Case Reference Number <input type="text"/></p> <p>* Case Start Date <input type="text"/> </p> <p>* Case ID <input type="text"/></p> <p>Procurement Area <input type="text"/> </p> <p>Access Point <input type="text"/></p> <p>* Client Forename <input type="text"/></p> <p>* Client Surname <input type="text"/></p> <p>* Client Date of Birth <input type="text"/> </p> <p>* UCN <input type="text"/><br/><small>UCN Format: ccmn/yyyy/AAAAA e.g. 05051962/M/SMIT for client Mark Smith with a DOB 05/05/1962</small></p> <p>Postal Application Accepted <input type="checkbox"/></p> <p>* Gender <input type="text"/></p> <p>* Ethnicity <input type="text"/></p> <p>* Disability <input type="text"/></p> <p>* Client Postcode <input type="text"/></p> | <p>* Case Concluded Date <input type="text"/> </p> <p>* Advice Time <input type="text"/></p> <p>* Travel Time <input type="text"/></p> <p>* Waiting Time <input type="text"/></p> <p>* Profit Costs excluding VAT <input type="text"/></p> <p>* Disbursements excluding VAT <input type="text"/></p> <p>* Counsel Costs excluding VAT <input type="text"/></p> <p>* Disbursements VAT amount <input type="text"/></p> <p>* Profit and Counsel VAT Indicator <input type="text"/></p> <p>* Tolerance indicato <input type="text"/></p> <p>* Travel and Waiting costs excluding VAT <input type="text"/></p> <p>* Stage Reached <input type="text"/></p> <p>* Outcome for client <input type="text"/></p> <p>Exemption Criteria Satisfied <input type="text"/></p> <p>Exceptional Case Funding Reference <input type="text"/></p> <p>Transfer Date <input type="text"/> </p> |
|---|--|

### **K1 Reporting Codes:**

#### **K1.1 Matter Type**

##### ***K1.1.1 Matter Type 1: What the matter is about***

The Matter Type 1 code must reflect the most significant legal issue dealt with during the case.

| Code        | Description   | Condition                                |
|-------------|---|--|
| <b>XCHI</b> | <p><b>Working with children &amp; vulnerable adults</b> Matters or proceedings regarding:</p> <ul style="list-style-type: none"> <li>✦ The inclusion or removal of a person from a barred list (as defined in Schedule 1 to the Legal Aid, Sentencing and Punishment of Offenders Act 2012);</li> <li>✦ A disqualification order under section 28, 29 or 29a of the Criminal Justice and Court Services Act 2000; or</li> <li>✦ A direction under section 142 of the Education Act 2002.</li> </ul> |  |
| <b>XPRO</b> | <b>Proceeds of crime</b>  |  |
|             | Matters or proceedings regarding the sections of the Proceeds of Crime Act 2002 defined in Schedule 1 to the Legal Aid, Sentencing and Punishment of Offenders Act 2012).   |  |
| <b>XINQ</b> | <p><b>Inquests</b></p> <p>Any proceedings in relation to an inquest under the Coroners Act 1988 into the death of the member of the individual's family (as defined in Schedule 1 to the Legal Aid, Sentencing and Punishment of Offenders Act 2012).</p>   |  |
| <b>XPIN</b> | <p><b>Personal Injury</b></p> <p>Legal services in relation to personal injury caused by :</p> <ul style="list-style-type: none"> <li>✦ Sexual abuse where the victim of the abuse is also a victim of domestic violence;</li> <li>✦ Serious wrongdoing etc. by a public authority; or ✦<br/>The abuse of a child or vulnerable adult.</li> </ul> <p>(All as defined in Schedule 1 to the Legal Aid, Sentencing and Punishment of Offenders Act 2012)</p>   |  |
| <b>XTRE</b> | <p><b>Employment Tribunal cases for victims of trafficking/modern slavery</b></p> <p>Legal services provided in relation to a claim under employment law arising in connection with the exploitation of a victim of trafficking in human beings or modern slavery.</p>  | Trafficking /modern slavery criteria met |
| <b>XTRD</b> | <p><b>Civil Court damages claims for victims of trafficking/modern slavery</b></p> <p>Legal services provided in relation to a claim for damages arising in connection with the trafficking or exploitation of a victim of trafficking in human beings or modern slavery.</p>   | Trafficking /modern slavery criteria met |
| <b>XEUC</b> | <p><b>European court</b></p> <p>Any proceedings by reference to the Court of Justice of the European Union for a preliminary ruling before 31 December 2020, and in limited circumstances after 31 December, other than where they arise within the definition of another Civil category.</p>   |  |



|             |  |                                  |
|-------------|--|----------------------------------|
| <b>XLAN</b> | <b>Land and environment law</b><br>Includes all disputes and declarations relating to interests and ownership of land except where they arise within the definition of another Civil category or when it relates to nuisance or trespass<br>This may include disputes and declarations relating to commercial property |                                  |
| <b>XHAR</b> | <b>Harassment</b><br>Proceedings under the Protection from Harassment Act 1997 except where they arise within the definition of another Civil category   |                                  |
| <b>XNUI</b> | <b>Environmental nuisance (including injunctions)</b><br>Proceedings for nuisance and trespass to land (except where they arise in the Housing category)<br>Includes proceedings under the Animal Act 1971 and under the rule in <i>Rylands v. Fletcher</i>  |                                  |
| <b>XOTH</b> | <b>Other</b><br>This category should be used where the most significant legal issue in the case does not fall within any of the above categories.  |                                  |
| <b>XASB</b> | <b>Part 1 Injunction - ASBCP Act 2014</b><br>To be used for all matters relating to Part 1 injunctions of the Antisocial Behaviour, Crime and Policing Act (ASBCPA) 2014, with the exception of Housing matters.   | Opened on or after 23 March 2015 |
| <b>XARB</b> | <b>Arbitration</b><br>Any proceedings under the Arbitration Act 1996, other than where they arise within the definition of another Civil category  | To be used in ECF cases only     |
| <b>XCPT</b> | <b>Contentious probate</b><br>Any dispute regarding the distribution of assets under the terms of a will or the distribution of an estate under the Rules of Intestacy involving a family member   | To be used in ECF cases only     |
| <b>XWIL</b> | <b>Non family wills</b><br>Any dispute regarding the distribution of assets under the terms of a will not involving a family member  | To be used in ECF cases only     |
| <b>XCON</b> | <b>Change of name</b><br>Matters or proceedings regarding changing a name, except where they arise within the Family category  | To be used in ECF cases only     |

## Employment

If the case involves employment issues and is funded through ECF then the following matter type codes should be used

| Code | Description   | Condition                    |
|------|---|------------------------------|
| YBRC | <p><b>Breach of contract</b><br/>Failure to pay notice pay.<br/>Other disputes about breaches of the terms of the contract of employment or terms of a compromise agreement can come within this category unless they more appropriately fit in YDOW or YWTR.</p>   | To be used in ECF cases only |
| YUND | <p><b>Unfair dismissal</b><br/>Claims that the dismissal was unfair because: -</p> <ul style="list-style-type: none"> <li>✦ the reason for the dismissal was unfair</li> <li>✦ the proper dismissal procedures were not followed ✦</li> <li>the dismissal was not fair in all the circumstances. ✦</li> <li>✦ Claims for constructive dismissal.</li> <li>✦</li> </ul>  | To be used in ECF cases only |
| YRDP | <p><b>Redundancy payment</b><br/>Disputes about the client's entitlement to or amount of redundancy pay.<br/>Disputes about the fairness of the client's selection for redundancy should proceed under YUND.</p>  | To be used in ECF cases only |
| YDOW | <p><b>Deduction of wages</b><br/>Disputes about the failure to pay wages or to pay wages in full.<br/>Disputes about the failure to pay holiday.<br/>Disputes about failure to pay the minimum wage. Disputes about amounts deducted from wages.</p>  | To be used in ECF cases only |
| YWTR | <p><b>Working time regulations issues</b> Disputes about:</p> <ul style="list-style-type: none"> <li>-</li> <li>✦ Average weekly hours</li> <li>✦ Rest periods and rest breaks</li> <li>✦ Annual leave (except disputes about payment of holiday pay – these should be YDOW) ✦</li> <li>Night work.</li> </ul>  | To be used in ECF cases only |
| YMPI | <p><b>Maternity/paternity issues</b><br/>Less favourable treatment on the grounds of maternity/ paternity and other maternity/paternity issues including: -</p> <ul style="list-style-type: none"> <li>✦ Failure to pay maternity/ paternity pay</li> <li>✦ Maternity/paternity leave</li> <li>✦ Right to return to work after maternity leave</li> <li>✦ Time off to care for dependants</li> <li>✦ Parental leave</li> <li>✦ Flexible working</li> <li>✦ Adoption leave and pay.</li> </ul> | To be used in ECF cases only |

|             |  |                              |
|-------------|--|------------------------------|
| <b>YOTH</b> | <b>Other</b><br>This category should only be used where the most significant legal issue in the case does not fall within any of the above categories. | To be used in ECF cases only |
|-------------|--|------------------------------|

*Personal injury* If the case involves personal injury issues and is funded through ECF then the following matter type codes should be used

| <b>Code</b> | <b>Description</b>   | <b>Condition</b>             |
|-------------|--|------------------------------|
| <b>PMIN</b> | <b>Physical injury (full recovery in 1 year)</b>   | To be used in ECF cases only |
| <b>PMOD</b> | <b>Physical injury (full recovery in 3 years)</b>  | To be used in ECF cases only |
| <b>PPER</b> | <b>Physical injury (with persistent problems) (e.g. permanent scarring, ongoing pain etc.)</b> Permanent scarring, ongoing pain etc.   | To be used in ECF cases only |
| <b>PPSY</b> | <b>Psychiatric injury</b>  | To be used in ECF cases only |
| <b>PBDA</b> | <b>Brain damage to an adult</b>  | To be used in ECF cases only |
| <b>PBDM</b> | <b>Brain damage to a minor</b>   | To be used in ECF cases only |
| <b>PCAT</b> | <b>Catastrophic injury rendering the client dependent upon others for care (spinal injury, brain damage etc.)</b><br>The most serious of injuries including a mixture of type of injury e.g. spinal injury and incontinence or renal failure requiring dialysis. | To be used in ECF cases only |
| <b>PFAT</b> | <b>Fatal injury</b>  | To be used in ECF cases only |
| <b>POTH</b> | <b>Other</b><br>This code should only be used where the most significant legal issue in the case does not fall within any of the above categories.   | To be used in ECF cases only |

### ***K1.1.2 Matter Type 2: Who the matter involves***

Use the appropriate Matter Type 2 code to accurately identify the defendant/potential defendant or opponent/potential opponent. If there is, or is likely to be more than one defendant/opponent, the dominant or first defendant/opponent should be selected when reporting.

| <b>Code</b> | <b>Description</b>   |   |
|-------------|--|---|
| <b>XSEC</b> | <b>Serious wrongdoing, etc., by Public Authority (Personal Injury only)</b><br>Please see Schedule 1 to the Legal Aid, Sentencing and Punishment of Offenders Act 2012 for definition. | To be used in cases started after 1 April 2013 only |
| <b>XSAS</b> | <b>Sexual assault (Personal Injury only)</b><br>Please see Schedule 1 to the Legal Aid, Sentencing and Punishment of Offenders Act 2012 for definition.                                | To be used in cases started after 1 April 2013 only |
| <b>XCVL</b> | <b>Abuse of a child or vulnerable adult (Personal Injury only)</b><br>Please see Schedule 1 to the Legal Aid, Sentencing and Punishment of Offenders Act 2012 for definition.          | To be used in cases started after 1 April 2013 only |
| <b>XPUB</b> | <b>Problem relates to public body</b><br>Includes any public body or their contractors   |   |
| <b>XPRI</b> | <b>Problem relates to private individual</b><br>Includes only individual opponents and does not include private companies  |   |
| <b>XOTH</b> | <b>Other</b><br>Used where the opponent does not fall within any of the above categories.  |   |

### *Employment*

If the case involves employment issues and is funded through ECF then the following codes should be used

Use the one code that best describes the status of the main person involved in the case (likely to be the client) as it relates to their main legal issue (described in the 'What the matter is about' above) prior to that issue being resolved or in any way addressed.

| <b>Code</b> | <b>Description</b>                       | <b>Condition</b>             |
|-------------|--|------------------------------|
| <b>YPTE</b> | <b>Client is in part time employment</b> | To be used in ECF cases only |
| <b>YFTE</b> | <b>Client is in full time employment</b> | To be used in ECF cases only |

|             |   |                              |
|-------------|---|------------------------------|
| <b>YSEM</b> | <b>Client is self employed</b>  | To be used in ECF cases only |
| <b>YUNE</b> | <b>Client is unemployed</b>   | To be used in ECF cases only |
| <b>YEMP</b> | <b>Client is employer/other</b>   | To be used in ECF cases only |
| <b>YOTH</b> | <b>Other</b><br>This code should only be used if the client does not fall into one of the above categories. | To be used in ECF cases only |

## **K1.2      Stage Reached**

Please enter the code from the category list provided showing what stage has been reached in the case. This should correspond to the “highest” level of assistance provided to the client.

| <b>Code</b> | <b>Description</b>  | <b>Condition</b>                          |
|-------------|---|---|
| <b>XD</b>   | <b>Representation at court/tribunal (Excluding Personal Injury)</b><br>Applies where solicitors have provided or arranged representation before courts and tribunals (including representation provided pro bono or under other funding) but not where the Matter Type 1 is Personal Injury.  |   |
| <b>XE</b>   | <b>Representation at Court or Tribunal (Personal Injury only)</b><br>Applies where solicitors have provided or arranged representation before courts and tribunals (including representation provided pro bono or under other funding) but only for Personal Injury Matter Type 1 codes.  | Trafficking / modern slavery criteria met |
| <b>XA</b>   | <b>First meeting</b><br>Matters which conclude after the first meeting with the client, where no further work is undertaken beyond confirming instructions and giving advice, including the confirmation of advice letter.  |   |
| <b>XB</b>   | <b>Further work</b><br>Work beyond the first meeting, not including the confirmation of advice letter, including work preparatory to putting the case for the client. Applies where further work (e.g. investigative work) has been carried out but there has been no contact with the potential opposing party (other than for the purposes of investigation). |   |

|           |  |   |
|-----------|--|---|
| <b>XC</b> | <b>Putting case for the client – any communications with relevant third parties for the purposes of gathering information or negotiating on behalf the client</b><br>Includes correspondence with opposing party for the purposes of putting the case. Includes pre-action protocol letters and any communication with a third party that constitutes substantively putting the case for the client. Includes preparation of representations and evidence for tribunals etc. |   |
| <b>XD</b> | <b>Court/Tribunal</b>  | Trafficking /modern slavery or criteria or ECF only |

### **K1.3 Outcome for the client**

#### **K1.3.1 *Matter concluded***

Please enter a code from the category list provided showing what outcome has been reached for the client. This must be the outcome for the legal issue described by the matter type.

| <b>Code</b> | <b>Description</b>   | <b>Condition</b>                                    |
|-------------|--|---|
| <b>XK</b>   | <b>Client receives periodical payments and lump sum/damages (Personal Injury only)</b>   |   |
| <b>XL</b>   | <b>Client receives periodical payments (Personal Injury only)</b>  |   |
| <b>XB</b>   | <b>Client receives new or increased periodic payment</b> Matter concludes with the client <u>only</u> receiving a new or increased periodical payment e.g. NASS benefit payment                                  | Trafficking /modern slavery or criteria or ECF only |
| <b>XA</b>   | <b>Client receives damages</b><br>Any payment of a lump sum by the opponent to the client.   |   |
| <b>XC</b>   | <b>Sum owed by client to a third party is reduced or is less than claimed</b><br>A lump sum claim by a third party is successfully defended or the amount payable is less than claimed.                          |   |
| <b>XD</b>   | <b>Liability of client to make periodical payments is reduced or is less than claimed</b><br>A claim for a periodic amount by a third party is successfully defended or the amount payable is less than claimed. |   |
| <b>XE</b>   | <b>Opponent/other party action benefits client</b> Third party or opponent intervention assists client.  |   |
| <b>XF</b>   | <b>Opponent/other party action prevented</b><br>Applies where threats of action (or unlawful action) have been prevented   |   |

|           |   |  |
|-----------|---|--|
| <b>XG</b> | <b>Opponent/other party action delayed</b><br>Applies where threats of action (or unlawful action) have been delayed i.e. extra time is gained  |  |
| <b>XH</b> | <b>Client secures explanation or apology only</b><br>Applies to formal and informal complaints resolved in client's favour without financial compensation.  |  |
| <b>XI</b> | <b>Client advised and enabled to plan and/or manage their affairs better</b><br>Applies where, as result of your advice or assistance, the matter for which advice was sought concludes and your client is better able to plan or manage their own affairs in future. |  |
| <b>XJ</b> | <b>Matter concluded otherwise</b><br>This should only be used if there is no outcome of the most significant legal issue in the case which is covered by one of the above categories.   |  |

### *Employment*

If the case involves employment issues and is funded through ECF then the following codes should be used

| <b>Code</b> | <b>Description</b>   | <b>Condition</b>             |
|-------------|--|------------------------------|
| <b>YA</b>   | <b>Client receives financial settlement 'out of court'</b><br>Negotiated settlement involving a "lump sum" payment from the employer, the Redundancy Payments Office or another third party.<br><br>Payment should be made or agreed before the matter reaches a final hearing at a tribunal or court.                     | To be used in ECF cases only |
| <b>YB</b>   | <b>Client receives financial award from court/tribunal</b><br>Payment is made by the employer, the Redundancy Payments Office or another third party following a final determination by a tribunal or court.<br>This category should include tribunal/court decisions that result in increased or new periodical payments. | To be used in ECF cases only |
| <b>YC</b>   | <b>Client receives new or increased periodical payment</b> Matter concludes with the client <u>only</u> receiving a new or increased periodical payment e.g. increased wages (no determination by court/tribunal).   | To be used in ECF cases only |
| <b>YD</b>   | <b>Client receives financial award and new or increased periodical payment</b><br>Matter concludes with the client receiving a "lump sum" <u>and</u> a new or increased periodical payment (no determination by court/tribunal).   | To be used in ECF cases only |

|    |  |                              |
|----|--|------------------------------|
| YE | <b>Sum owed by client to a third party is reduced or is less than claimed</b>  | To be used in ECF cases only |
| YF | <b>Employer/opponent action benefits client</b>  | To be used in ECF cases only |
| YG | <b>Employer/opponent action prevented</b>  | To be used in ECF cases only |
| YH | <b>Employer/opponent action delayed</b>  | To be used in ECF cases only |
| YI | <b>Client secures explanation or apology</b>   | To be used in ECF cases only |
| YJ | <b>Client secures reference</b>  | To be used in ECF cases only |
| YK | <b>Client advised and able to better understand/access/manage their employment rights</b><br>Applies where, as result of your advice or assistance, the matter for which advice was sought concludes and your client is better able to plan or manage their own affairs in future. | To be used in ECF cases only |
| YL | <b>Matter concluded otherwise</b><br>This should only be used if there is no outcome of the most significant legal issue in the case which is covered by one of the above categories.  | To be used in ECF cases only |

### **K1.3.2 Matter not concluded**

Use the following codes only where you do not know the outcome.

| <b>Code</b> | <b>Description</b>   |
|-------------|--|
| <b>XU</b>   | <b>Matter stopped on advisor's recommendation</b><br>Matter stopped on the basis of advisor's opinion that continuation does not justify continued public funding (includes unfavourable opinions from experts or informal advice from counsel). |
| <b>XV</b>   | <b>Matter proceeded under other Civil Legal Aid</b><br>Includes full or investigative representation certificates.   |



|           |   |
|-----------|---|
| <b>XW</b> | <b>Client referred to another organisation</b><br>Includes referrals about the same matter to other solicitors, charities or special interest groups and support services etc.<br>Does not cover referral of different but connected cases            |
| <b>XX</b> | <b>Client advised and taking action themselves or with the help of a third party</b><br>Applies where you advise that you are unable to assist but the client carries on by themselves or with help from others.                                      |
| <b>XY</b> | <b>Client advised and third party action or decision awaited</b><br>Applies where the client has sought advice and assistance before third party action has been taken or decision received.  |
| <b>XZ</b> | <b>Outcome not known/client ceased to give instructions</b><br>Applies where a case has ended because the client has failed to give instructions, withdrawn instructions, or the matter has been ended for other reasons before the outcome is known. |

Employment

To be used when funding ECF cases only

| <b>Code</b> | <b>Description</b>  | <b>Condition</b>             |
|-------------|---|------------------------------|
| <b>YU</b>   | <b>Matter stopped on advisor's recommendation</b><br>Matter stopped on the basis of advisor's opinion that continuation does not justify continued public funding (includes unfavourable opinions from experts or informal advice from counsel).      | To be used in ECF cases only |
| <b>YV</b>   | <b>Matter proceeded under other Civil Legal Aid</b><br>Includes full or investigative representation certificates.  | To be used in ECF cases only |
| <b>YW</b>   | <b>Client referred to another organisation</b><br>Includes referrals about the same matter to other solicitors, charities or special interest groups and support services etc. Does not cover referral of different but connected cases.              | To be used in ECF cases only |
| <b>YX</b>   | <b>Client advised and taking action themselves or with the help of a third party</b><br>Applies where you advise that you are unable to assist but the client carries on by themselves or with help from others.                                      | To be used in ECF cases only |
| <b>YY</b>   | <b>Client advised and third party action or decision awaited</b><br>Applies where the client has sought advice and assistance before third party action has been taken or decision received.  | To be used in ECF cases only |
| <b>YZ</b>   | <b>Outcome not known/client ceased to give instructions</b><br>Applies where a case has ended because the client has failed to give instructions, withdrawn instructions, or the matter has been ended for other reasons before the outcome is known. | To be used in ECF cases only |

## Annex L: Public Law

Below is a screenshot of the fields available for completion when reporting a Public Law matter directly onto CWA. Those fields marked with an asterisk are mandatory.

### L1 Reporting Codes:

#### L1.1 Matter Type

##### L1.1.1 Matter Type 1: What the matter is about

The Matter Type 1 code must reflect the most significant legal issue dealt with during the case.

| Code        | Description   |
|-------------|---|
| <b>BPBA</b> | <b>Ultra vires act/failure to act by Public Body</b><br>Where the predominant ground for challenge arises from a breach of statutory duty or an act which is taken without lawful authority.  |
| <b>BEOD</b> | <b>Unlawful exercise of discretion</b><br>Where the predominant ground for challenge arises from the exercise of a power by a public body e.g a public body has taken a decision and where the client does not seek to challenge the authority to make the decision but rather the outcome. This category would include challenges based on grounds that the decision maker has failed to take into account a relevant consideration or has taken into account an irrelevant consideration. |
| <b>BPRO</b> | <b>Claim based on procedural unfairness</b><br>Where the predominant ground for challenge arises from a perceived flaw in the procedure adopted by the decision maker. This is appropriate for cases which are based on process rather than outcome challenges e.g. bias.   |
| <b>BDIS</b> | <b>Discrimination</b><br>Where the predominant ground for challenge arises from discrimination.   |

|             |  |
|-------------|--|
| <b>BHRA</b> | <b>HRA claim</b><br>Where the predominant ground for challenge arises from the application of HRA.   |
| <b>BMAL</b> | <b>Maladministration</b><br>Where the issues in dispute are being pursued by way of an ombudsman scheme.   |
| <b>BRDP</b> | <b>Application of regulatory or disciplinary procedure</b><br>Where, for example, a dispute concerns a decision by the Office for the Supervision of Solicitors, the General Medical Council, OFCOM etc. |
| <b>BOTH</b> | <b>Other</b><br>This category should only be used where the most significant legal issue in the case does not fall within any of the above categories.   |

### ***L1.1.2 Matter Type 2: Who the matter involves***

The Matter Type 2 must reflect the nature of the institution whose decision, act or omission is under challenge.

| <b>Code</b> | <b>Description</b>  |
|-------------|---|
| <b>BCGD</b> | <b>Central Government Department/Agency</b>                         |
| <b>BLOC</b> | <b>Local Authority</b>  |
| <b>BHSP</b> | <b>Health service provider</b>                                      |
| <b>BESP</b> | <b>Education service provider</b>                                   |
| <b>BPUB</b> | <b>Public Utility</b>   |
| <b>BPRI</b> | <b>Private Company/organisation providing other public services</b> |
| <b>BOTH</b> | <b>Other</b>  |
| <b>BNAS</b> | <b>NASS advice</b>  |

## **L1.2 Outcome for the client**

Enter a code from the category list showing the outcome reached for the client. This must be the outcome for the legal issue described by the matter type.

### ***L1.2.1 Matter concluded***

| <b>Code</b> | <b>Description</b>                         |
|-------------|--|
| <b>BA</b>   | <b>Client receives damages or property</b> |

|           |   |
|-----------|---|
| <b>BB</b> | <b>Client receives new or increased periodical payments</b>   |
| <b>BC</b> | <b>Client receives damages or property and new or increased periodical payments</b>   |
| <b>BD</b> | <b>Sum owed by client to a third party is reduced or is less than claimed</b>   |
| <b>BE</b> | <b>Liability of client to make regular payments is reduced or is less than claimed</b>  |
| <b>BF</b> | <b>Client secures re-determination</b><br>This code should be used if the client is successful in procuring a quashing of a disputed decision and the taking of a fresh decision (regardless of the outcome of the new decision).                                   |
| <b>BG</b> | <b>Client secures new, resumed or improved services</b>   |
| <b>BH</b> | <b>Client secures other substantive non-financial benefit</b><br>The matter is concluded with a non-financial benefit for the client. This code would be appropriate for cases which involve a vires challenge.   |
| <b>BI</b> | <b>Opponent/other party action prevented</b>  |
| <b>BJ</b> | <b>Opponent/other party action delayed</b>  |
| <b>BK</b> | <b>Client secures apology or explanation</b>  |
| <b>BL</b> | <b>Client advised and able to plan and/or manage their affairs better.</b><br>Applies where, as result of your advice or assistance, the matter for which advice was sought concludes and your client is better able to plan or manage their own affairs in future. |
| <b>BM</b> | <b>Matter concluded otherwise</b><br>This should only be used if there is no outcome of the most significant legal issue in the case which is covered by one of the above categories.   |

### **L.1.2.2 Matter not concluded**

Use the following codes only where you do not know the outcome.

| <b>Code</b> | <b>Description</b>   |
|-------------|--|
| <b>BU</b>   | <b>Matter stopped on advisor's recommendation</b><br>Matter stopped on the basis of advisor's opinion that continuation does not justify continued public funding (includes unfavourable opinions from experts or informal advice from counsel). |
| <b>BV</b>   | <b>Matter proceeded under other CLS Funding</b>  |
| <b>BW</b>   | <b>Client referred to another organisation</b><br>Includes referrals to other solicitors, charities or special interest groups and support services etc. Does not cover referral of different but connected cases.                               |

|           |   |
|-----------|---|
| <b>BX</b> | <b>Client advised and taking action themselves or with the help of a third party</b><br>Applies where you advise that you are unable to assist but the client carries on by themselves or with help from others.                                      |
| <b>BY</b> | <b>Client advised and third party action or decision awaited</b><br>Applies where the client has sought advice and assistance before third party action has been taken or decision received.  |
| <b>BZ</b> | <b>Outcome not known/client ceased to give instructions</b><br>Applies where a case has ended because the client has failed to give instructions, withdrawn instructions, or the matter has been ended for other reasons before the outcome is known. |

## Annex M:                      Welfare Benefits

Below is a screenshot of the fields available for completion when reporting a Welfare Benefits matter directly onto CWA. Those fields marked with an asterisk are mandatory.

The “Delivery Location” field has been removed for matters opened on/after the 1 September 2018.

When reporting Welfare Benefits work providers are also required to state if they have provided Welfare Benefits advice via face to face or remotely. Providers will be required to use a tick box functionality to confirm if they have provided face to face or remote advice to the client.

### **M1 Reporting Codes:**

#### **M1.1                      Matter Type**

The matter type must reflect the most significant legal issue dealt with

**M1.1.1 Matter Type 1: What type of benefit is involved**

| Code        | Description  |
|-------------|--|
| <b>WDLA</b> | <b>Disability living allowance/Attendance allowance</b><br>This code should only be used to report claims relating to Disability Living Allowance and Attendance Allowance matters   |
| <b>WDLA</b> | <b>Disability Living Allowance</b><br>This code should <u>only</u> be used to report disability living allowance related claims where the client is either under the age of 16 or 65 and above.  |
| <b>WBAA</b> | <b>Attendance Allowance</b><br>This code should only be used to report Attendance Allowance related claims.  |
| <b>WBPI</b> | <b>Personal Independence Payments</b><br>This code should only be used to report disability related claims where the client is of working age, i.e. between the ages of 16 and 64.   |
| <b>WBUC</b> | <b>Universal Credit</b><br>This code should only be used to report Universal Credit related claims.  |
| <b>WICB</b> | <b>Incapacity benefit</b>  |
| <b>WSFP</b> | <b>Social fund payments</b>  |
| <b>WHBT</b> | <b>Housing benefit</b>   |
| <b>WIST</b> | <b>Income support</b>  |
| <b>WJSA</b> | <b>Jobseekers allowance</b>  |
| <b>WIIB</b> | <b>Industrial injuries disablement benefits</b>  |
| <b>WBBT</b> | <b>Bereavement benefits</b>  |
| <b>WTAX</b> | <b>Tax credits – including pension credit</b>  |
| <b>WMUL</b> | <b>Multiple benefits</b><br><b>At the end of the case</b> please record the most significant legal issue dealt with (e.g. a client has a query about backdating housing benefit and a reassessment of income support. The backdating issue was dealt with quickly through correspondence and the reassessment issue went to appeal. This case should be recorded as WIST WAPL).<br><br>If a client simply wanted general benefits advice then code as WMUL WOTH. |
| <b>WOTH</b> | <b>Other benefits</b>  |
| <b>WESA</b> | <b>Employment and Support Allowance</b>  |

### **M1.1.2 Matter Type 2: What does the matter involve**

Where more than one matter is involved, record the highest level the matter reached: e.g. if a matter starts as a reassessment of benefits and proceeds to an appeal report it as WAPL.

| <b>Code</b> | <b>Description</b>   | <b>Condition</b>             |
|-------------|--|------------------------------|
| <b>WBPA</b> | <b>Preparing a permission application to appeal to the Upper Tribunal</b><br>Used for claims relating to the Client seeking advice and assistance in considering whether to submit an application to appeal to the Upper Tribunal and submitting an application to appeal to the Upper Tribunal. |                              |
| <b>WBUT</b> | <b>Appeal to the Upper Tribunal</b><br>Used for claims relating to substantive appeals on a point of law of the First-tier Tribunals decision in the Upper Tribunal.   |                              |
| <b>WBCA</b> | <b>Appeal to the Court of Appeal</b><br><br>Used for claims relating to an appeal on a point of law in the Court of Appeal.  |                              |
| <b>WBSC</b> | <b>Appeal to the Supreme Court</b><br>Used for claims relating to an appeal on a point of law in the Supreme Court.  |                              |
| <b>WBHC</b> | <b>Onward Council Tax Reduction Scheme Appeals to the High Court</b><br>Used for claims relating to an onward Council Tax Reduction Scheme Appeal to the High Court.   |                              |
| <b>WREA</b> | <b>Reassessment of benefits</b><br>Where entitlement to benefit is being reassessed by the DWP/LA/IR.  | To be used in ECF cases only |
| <b>WREV</b> | <b>Revision/supersession</b><br>Where the client requests review or supersession of a decision.  | To be used in ECF cases only |
| <b>WSSC</b> | <b>Appeal to Social Security Commissioners</b><br>Whilst the title refers to the SSC, this code should be used in relation to appeals to the Upper Tribunal  | To be used in ECF cases only |
| <b>WAPL</b> | <b>Appeal – Other</b>  | To be used in ECF cases only |
| <b>WOVE</b> | <b>Overpayment of benefits</b>   | To be used in ECF cases only |
| <b>WBAC</b> | <b>Backdating of benefits</b>  | To be used in ECF cases only |

|             |  |                              |
|-------------|--|------------------------------|
| <b>WLGO</b> | <b>Complaint to Local Government/ Parliamentary Ombudsman</b>  | To be used in ECF cases only |
| <b>WOTH</b> | <b>Other</b><br>This category should only be used where the most significant legal issue in the case does not fall within any of the above categories. | To be used in ECF cases only |
| <b>WNAS</b> | <b>NASS advice</b>   | To be used in ECF cases only |

## **M1.2 Outcome for the client**

Enter a code from the category list showing what outcome has been reached for the client. This must be the outcome for the legal issue described by the matter type.

### **K1.2.1 *Matter concluded***

| <b>Code</b> | <b>Description</b>   | <b>Condition</b>             |
|-------------|--|------------------------------|
| <b>WA</b>   | <b>Client receives/retains lump sum</b>  |                              |
| <b>WB</b>   | <b>Client receives continuing, increased or new periodical payments</b>  |                              |
|             |  |                              |
| <b>WC</b>   | <b>Client receives/retains both a lump sum and periodical payments</b>   |                              |
| <b>WD</b>   | <b>Sum owed by client to a third party is reduced or is less than that originally claimed</b>  |                              |
| <b>WE</b>   | <b>Liability of client to make regular payments is reduced or is less than claimed</b>   |                              |
| <b>WF</b>   | <b>Client advised and able to plan and/or manage their affairs better</b><br>Applies where, as result of your advice or assistance, the matter for which advice was sought concludes and your client is better able to plan or manage their own affairs in future. | To be used in ECF cases only |
| <b>WG</b>   | <b>Matter concluded otherwise</b><br>This should only be used if there is no outcome of the most significant legal issue in the case which is covered by one of the above categories.  |                              |
| <b>WS</b>   | <b>Successful Appeal</b><br>This Should only be used where there has been a successful appeal on a point of law at the Upper Tribunal, Court of Appeal and Supreme Court.  |                              |



**M1.2.2 Matter not concluded**

Use the following codes only where you do not know the outcome.

| <b>Code</b> | <b>Description</b>  | <b>Condition</b>             |
|-------------|---|------------------------------|
| <b>WU</b>   | <b>Matter stopped on advisor's recommendation</b><br>Matter stopped on the basis of advisor's opinion that continuation does not justify continued public funding (includes unfavourable opinions from experts or informal advice from counsel).      |                              |
| <b>WV</b>   | <b>Matter proceeded under other Civil Legal Aid</b><br>Includes full or investigative representation certificates.  |                              |
| <b>WX</b>   | <b>Client advised and taking action themselves or with the help of a third party</b><br>Applies where you advise that you are unable to assist but the client carries on by themselves or with help from others.                                      | To be used in ECF cases only |
| <b>WY</b>   | <b>Client advised and third party action or decision awaited</b><br>Applies where the client has sought advice and assistance before third party action has been taken or decision received.  | To be used in ECF cases only |
| <b>WZ</b>   | <b>Outcome not known/client ceased to give instructions</b><br>Applies where a case has ended because the client has failed to give instructions, withdrawn instructions, or the matter has been ended for other reasons before the outcome is known. |                              |

## Annex N: Early Legal Advice

Below is a screenshot of the fields available for completion when reporting an Early Legal Advice (Housing Loss Prevention Advice Service) matter directly onto CWA. Those fields marked with an asterisk are mandatory.

**Please note only Early Legal Advice (HLPAS) cases opened on or after the 1 September 2024 can be reported via CWA.**

The screenshot shows a web-based form for reporting Early Legal Advice (HLPAS) cases. At the top, there are fields for 'Firm Name' (Account Number and Schedule/Submission Reference) and 'Office Name' (Submission Period). Below this is a 'Matter Type' field with a green checkmark icon. The main section is titled 'Case Information' and contains several mandatory fields (marked with an asterisk): Schedule Reference, Case Reference Number, Case Start Date, Case ID, Procurement Area, Access Point, Client Forename, Client Surname, Client Date of Birth, UCN (with a format example: ddmmyyyy/AAAAA e.g. 05051962/M/SMIT for client Mark Smith with a DOB 05/05/1962), Postal Application Accepted, Gender, Ethnicity, Disability, and Client Postcode. To the right, under 'Outcome Details', there are more mandatory fields: Case Concluded Date, Advice Time, Travel Time, Waiting Time, Profit Costs excluding VAT, Disbursements excluding VAT, Counsel Costs excluding VAT, Disbursements VAT amount, Profit and Counsel VAT Indicator, Travel and Waiting costs excluding VAT, Stage Reached, Outcome for client, and Exceptional Case Funding Reference. Some fields have dropdown menus or date pickers.

## N1 Reporting Codes:

### N1.1 Matter Type

The matter type must reflect the most significant legal issue dealt with during the case.

#### ***N1.1.1 Matter Type 1: What the matter is about***

| Code | Description  | Condition   |
|------|--|---|
| LHPR | <b>Possession - Rent Arrears</b><br>a) A claim for possession has been made or is due to be made, <b>and</b><br>b) The main issue concerns arrears of rent of other charges. | To be used in cases started on or after 1 September 2024 only |
| LHPM | <b>Possession – Mortgage Arrears</b><br>a) A claim for possession has been made or is due to be made, <b>and</b><br>b) The main issue concerns mortgage arrears.             |   |

|             |  |   |
|-------------|--|---|
| <b>LHPT</b> | <b>Possession – Council tax arrears</b><br>a) A claim for possession has been made or is due to be made, <b>and</b><br>b) The main issue concerns council tax arrears.   | To be used in cases started on or after 1 September 2024 only |
| <b>LHPU</b> | <b>Possession – Utilities arrears</b><br>a) A claim for possession has been made or is due to be made, <b>and</b><br>b) The main issue concerns arrears in utilities payments.   | To be used in cases started on or after 1 September 2024 only |
| <b>LHPC</b> | <b>Possession – Court fines</b><br>a) A claim for possession has been made or is due to be made, <b>and</b><br>b) The main issue concerns arrears in court fines.  | To be used in cases started on or after 1 September 2024 only |
| <b>LHAS</b> | <b>Possession proceedings including Part 1 Injunctions - ASBCP.</b><br>To be used from 23 March 2015 onwards for all housing matters relating to Part 1 injunctions of the Anti-social Behaviour, Crime and Policing Act (ASBCPA) 2014.<br><br>(N.B. This civil injunction replaces a number of orders including anti-social behaviour orders, anti-social behaviour injunctions, drinking banning orders, intervention orders and individual support orders.) | To be used in cases started on or after 1 September 2024 only |
| <b>LHRE</b> | <b>Re-housing (non-homelessness)</b><br>a) A possession claim has been made or due to be made, <b>and</b><br>b) the main issue is the transfer, allocation or legal issues associated with finding alternative housing.  | To be used in cases started on or after 1 September 2024 only |
| <b>LHRP</b> | <b>Disrepair</b><br>a) A possession claim has been made or is due to be made, <b>and</b><br>b) the main issue concerns the alleged poor state of residential premises or fixtures or nuisance other than anti-social behaviour.  | To be used in cases started on or after 1 September 2024 only |
| <b>LHUE</b> | <b>Harassment/Unlawful eviction</b><br>a) A possession claim has been made or is due to be made, <b>and</b><br>b) the main issue is a claim or potential claim under the Protection from Eviction Act 1977 or in relation to a breach of covenant for quiet enjoyment.   | To be used in cases started on or after 1 September 2024 only |
| <b>LHOM</b> | <b>Threat of homelessness</b><br>a) a possession claim has been made or is due to be made, <b>and</b><br>b) The client has been threatened with homelessness, as defined in homelessness legislation.  | To be used in cases started on or after 1 September 2024 only |

|             |   |   |
|-------------|---|---|
| <b>LHLN</b> | <b>Landlord &amp; tenant: Other terms and conditions</b><br>a) a possession claim has been made or is due to be made, <b>and</b><br>b) the main issue concerns other matters between landlord and tenant including service charges, deposits and all implied or express terms of occupation excluding rent, disrepair and re-housing. | To be used in cases started on or after 1 September 2024 only |
| <b>LHOT</b> | <b>Other - Housing</b><br>This category should only be used where the most significant legal housing issue in the case does not fall within any of the above categories.  | To be used in cases started on or after 1 September 2024 only |
| <b>LDNP</b> | <b>Non priority debt(s)</b><br>a) a possession claim has been made or is due to be made, <b>and</b><br>b) the main issue concerns bank loans, credit card/HP/other regulated credit debts.  | To be used in cases started on or after 1 September 2024 only |
| <b>LDIB</b> | <b>Involuntary Bankruptcy (where client's estate includes their home)</b><br>a) A claim for possession has been made or is due to be made, <b>and</b><br>b) A creditor is seeking to make the individual (debtor) bankrupt in order to recoup a debt that they are owed, and the client's estate includes their home.                 | To be used in cases started on or after 1 September 2024 only |
| <b>LDOS</b> | <b>Order for Sale of the Home</b><br>a) A claim for possession has been made or is due to be made, <b>and</b><br>b) A creditor is seeking to force the sale of the client's property in order to recoup the debt they are owed.   | To be used in cases started on or after 1 September 2024 only |
| <b>LDOT</b> | <b>Other – Debt</b><br>This category should only be used where the most significant legal debt issue in the case does not fall within any of the above categories.  | To be used in cases started on or after 1 September 2024 only |
| <b>LWCB</b> | <b>Claiming benefits</b><br>a) A claim for possession has been made or is due to be made, <b>and</b><br>b) The main issue concerns the claiming of a benefit, allowance, payment, credit or pension.  | To be used in cases started on or after 1 September 2024 only |
| <b>LWRA</b> | <b>Reassessment of benefits</b><br>a) A claim for possession has been made or is due to be made, <b>and</b><br>b) The main issue concerns the reassessment of benefits.   | To be used in cases started on or after 1 September 2024 only |
| <b>LWRV</b> | <b>Revision/supersession</b><br>a) A claim for possession has been made or is due to be made, <b>and</b>  | To be used in cases started on or after 1 September 2024 only |

|              |  |   |
|--------------|--|---|
|              | b) The main issue concerns the revision or supersession of a benefit, allowance, payment, credit or possession.  |   |
| <b>LWAP</b>  | <b>Appeal of refusal of benefits</b><br>a) A claim for possession has been made or is due to be made, and<br>b) The main issue concerns the appeal of refusal of benefits outside of legal proceedings.                              | To be used in cases started on or after 1 September 2024 only |
| <b>LWVOV</b> | <b>Overpayment of benefits</b><br>a) A claim for possession has been made or is due to be made, <b>and</b><br>b) The main issue concerns the overpayment of benefits.  | To be used in cases started on or after 1 September 2024 only |
| <b>LWBD</b>  | <b>Backdating of benefits</b><br>a) A claim for possession has been made or is due to be made, <b>and</b><br>b) The main issue concerns the backdating of benefits.  | To be used in cases started on or after 1 September 2024 only |
| <b>LWLG</b>  | <b>Complaint to Local Government/ Parliamentary Ombudsman</b><br>a) A claim for possession has been made or is due to be made, <b>and</b><br>b) The main issue concerns a complaint to the local government/parliamentary ombudsman. | To be used in cases started on or after 1 September 2024 only |
| <b>LWOT</b>  | <b>Other – Welfare Benefits</b><br>This category should only be used where the most significant legal welfare benefits issue in the case does not fall within any of the above categories.   | To be used in cases started on or after 1 September 2024 only |

### ***N1.1.2 Matter Type 2: Who the matter involves***

Use the code that best describes the status of the main person involved in the case (likely to be the client) as it relates to their main legal issue (described in ‘What the matter is about’ above) prior to that issue being resolved or in any way addressed.

| <b>Code</b> | <b>Description</b>  | <b>Condition</b>  |
|-------------|---|---|
| <b>LPUB</b> | <b>Client has local authority landlord</b><br>Includes local authorities whose stock is managed by an ALMO. | To be used in cases started on or after 1 September 2024 only |
| <b>LPRI</b> | <b>Client has private landlord</b><br>Landlords other than local authorities and social landlords.          | To be used in cases started on or after 1 September 2024 only |
| <b>LHAC</b> | <b>Client has other social landlord</b><br>Registered social landlords, co-ops, housing action trusts.      | To be used in cases started on or after 1 September 2024 only |

|             |   |   |
|-------------|---|---|
| <b>LOWN</b> | <b>Client is owner occupier</b><br>Freeholders, long leaseholders, shared ownership.  | To be used in cases started on or after 1 September 2024 only |
| <b>LHLS</b> | <b>Client is threatened with homelessness</b><br>The client has been threatened with homelessness, as defined in homelessness legislation, but has not received a valid notice. This may include illegal eviction or possession or claim that the individual is a squatter when they are able to demonstrate they are the registered owner of a property. | To be used in cases started on or after 1 September 2024 only |
| <b>LCRE</b> | <b>Client is a creditor</b><br>Where the client faces possession and is owed money by a person and/or company and requires assistance recovering the debt.  | To be used in cases started on or after 1 September 2024 only |
| <b>LIBP</b> | <b>Client is defending involuntary bankruptcy proceedings</b><br>Applies where a creditor seeks a court order forcing the sale of the client's property in order to recoup the debt they are owed.  | To be used in cases started on or after 1 September 2024 only |
| <b>LSCH</b> | <b>Client wants to reschedule debts</b><br>Applies where the client cannot maintain the repayments required by creditors and wishes to put forward more affordable offers.  | To be used in cases started on or after 1 September 2024 only |
| <b>LVAL</b> | <b>Client wants to challenge validity of debts</b><br>Applies where the client does not believe that the amount being claimed by a creditor is correct and/or has reason to believe that they are not liable for the debt.  | To be used in cases started on or after 1 September 2024 only |
| <b>LMIX</b> | <b>Client wants both to challenge validity of debts and reschedule debts</b><br>A mixture of the LVAL & LSCH codes.   | To be used in cases started on or after 1 September 2024 only |
| <b>LBEN</b> | <b>Client has a benefit issue</b><br>Applies when the main issue concerns the individuals access to benefits  | To be used in cases started on or after 1 September 2024 only |
| <b>LOTH</b> | <b>Other</b><br>This code should only be used if the client does not fall into one of the above categories.   | To be used in cases started on or after 1 September 2024 only |

## N1.2 Stage Reached

Please enter the code from the category list provided showing what stage has been reached in the case. This should correspond to the "highest" level of assistance provided to the client.

| <b>Code</b> | <b>Description</b>  | <b>Condition</b>  |
|-------------|---|---|
| <b>LA</b>   | <b>First meeting</b> - Matters which conclude after the first meeting with the client, where no further work is undertaken beyond confirming instructions and giving advice, including the confirmation of advice letter.   | To be used in cases started on or after 1 September 2024 only |
| <b>LB</b>   | <b>Further work</b> - Work beyond the first meeting, not including the confirmation of advice letter, including work preparatory to putting the case for the client.<br><br>Applies where further work (e.g. investigative work) has been carried out but there has been no contact with the potential opposing party (other than for the purposes of investigation). | To be used in cases started on or after 1 September 2024 only |
| <b>LC</b>   | <b>Putting case for the client</b> - Includes correspondence with opposing party for the purposes of putting the case.<br><br>Includes pre-action protocol letters and any communication with a third party that constitutes substantively putting the case for the client. Also includes preparation of representations and evidence for tribunals etc.              | To be used in cases started on or after 1 September 2024 only |

## **N1.3 Outcome for the client**

### ***N1.3.1 Matter concluded***

Please enter a code from the category list provided showing what outcome has been reached for the client. This must be the outcome for the legal issue described by the matter type. If two or more categories apply (apart from both LA and LB where you should use LC) choose the one that appears to be the most significant for the client.

The codes are split into Matter concluded and Matter non concluded. Please select one.

| <b>Code</b> | <b>Description</b>   | <b>Condition</b>  |
|-------------|--|---|
| <b>LA</b>   | <b>Client receives/retains lump sum, damages or property</b><br>Any lump sum payment to client including any paid in reduction of rent. Any property right successfully asserted/defended. | To be used in cases started on or after 1 September 2024 only |
| <b>LB</b>   | <b>Client receives continuing, increased or new periodical payment</b>   | To be used in cases started on or after 1 September 2024 only |
| <b>LC</b>   | <b>Client receives/retains lump sum, damages or property and continuing, increased or new periodical payment</b>   | To be used in cases started on or                             |

|           |   |   |
|-----------|---|---|
|           |   | after 1 September 2024 only                                   |
| <b>LD</b> | <b>Sum owed by client to a third party is reduced or is less than originally claimed</b><br>A lump sum claim by a third party is successfully defended or the amount payable is less than claimed.  | To be used in cases started on or after 1 September 2024 only |
| <b>LE</b> | <b>Liability of client to make regular payments is reduced or is less than claimed</b><br>A claim for a periodic amount by a third party is successfully defended or the amount payable is less than claimed.   | To be used in cases started on or after 1 September 2024 only |
| <b>LF</b> | <b>Client housed, re-housed or retains home</b>   | To be used in cases started on or after 1 September 2024 only |
| <b>LG</b> | <b>Repairs or improvements to the client's home</b><br>Work done on the home or furniture/fixtures improved.  | To be used in cases started on or after 1 September 2024 only |
| <b>LH</b> | <b>Opponent/other party action benefits client</b><br>Third party takes action.   | To be used in cases started on or after 1 September 2024 only |
| <b>LI</b> | <b>Opponent/other party action prevented or delayed</b><br>Third party is dissuaded from taking action / extra time is gained– commonly in possession cases or rent payments are rescheduled  | To be used in cases started on or after 1 September 2024 only |
| <b>LJ</b> | <b>Client secures explanation or apology</b><br>Following a complaint or query of some kind to a third party.   | To be used in cases started on or after 1 September 2024 only |
| <b>LK</b> | <b>Client advised and enabled to plan and/or manage their affairs better</b><br>Applies where, as result of your advice or assistance, the matter for which advice was sought concludes and your client is better able to plan or manage their own affairs in future. | To be used in cases started on or after 1 September 2024 only |
| <b>LL</b> | <b>Liability contested successfully</b><br>Client was able to prove that they were not liable for a debt.   | To be used in cases started on or after 1 September 2024 only |
| <b>LM</b> | <b>Debt written off/ reduced</b><br>Creditor agreed that they would no longer pursue the client for balance or agrees to accept a lower amount in settlement of their debt  | To be used in cases started on or after 1 September 2024 only |
| <b>LN</b> | <b>Affordable payment arrangements negotiated on behalf of client</b>   | To be used in cases started on or                             |



|           |   |   |
|-----------|---|---|
|           | Creditor agrees to accept reduced payments based upon what the client could afford to offer.  | after 1 September 2024 only                                   |
| <b>LO</b> | <b>Admin order made</b><br>Administration Order agreed by the County Court.   | To be used in cases started on or after 1 September 2024 only |
| <b>LP</b> | <b>Client referred for IVA</b><br>Client referred to a third party to put forward a proposal for an Individual Voluntary Arrangement.   | To be used in cases started on or after 1 September 2024 only |
| <b>LQ</b> | <b>Bankruptcy order made</b><br>Client was able to declare themselves bankrupt, or creditor successfully petitioned for the client's bankruptcy.                                      | To be used in cases started on or after 1 September 2024 only |
| <b>LR</b> | <b>Debt relief order made</b><br>This should only be used where clients without access to bankruptcy orders are able to meet the necessary criteria under a Debt Relief Order.        | To be used in cases started on or after 1 September 2024 only |
| <b>LS</b> | <b>Matter concluded otherwise</b><br>This should only be used if there is no outcome of the most significant legal issue in the case which is covered by one of the above categories. | To be used in cases started on or after 1 September 2024 only |

### ***N1.3.2 Matter not concluded***

Use the following codes only where you do not know the outcome.

| <b>Code</b> | <b>Description</b>   | <b>Condition</b>  |
|-------------|--|---|
| <b>LT</b>   | <b>Matter proceeding to possession hearing at court</b><br>Applies when it is has not been possible to resolve the matter before the first substantive possession hearing.   | To be used in cases started on or after 1 September 2024 only |
| <b>LU</b>   | <b>Matter stopped on advisor's recommendation</b><br>Matter stopped on the basis of advisor's opinion that continuation does not justify continued public funding (includes unfavourable opinions from experts or informal advice from counsel). | To be used in cases started on or after 1 September 2024 only |
| <b>LV</b>   | <b>Matter proceeded under other Civil Legal Aid</b><br>Includes full or investigative representation certificates.   | To be used in cases started on or after 1 September 2024 only |
| <b>LW</b>   | <b>Client referred to another organisation</b><br>Includes referrals about the same matter to other solicitors, charities or special interest groups and   | To be used in cases started on or after 1 September 2024 only |

|           |   |   |
|-----------|---|---|
|           | support services etc. It does not cover referral of different but connected cases.  |   |
| <b>LX</b> | <b>Client advised and taking action themselves or with the help of a third party</b><br>Applies where you advise that you are unable to assist but the client carries on by themselves or with help from others.                                      | To be used in cases started on or after 1 September 2024 only |
| <b>LY</b> | <b>Client advised and third party action or decision awaited</b><br>Applies where the client has sought advice and assistance before third party action has been taken or decision received.  | To be used in cases started on or after 1 September 2024 only |
| <b>LZ</b> | <b>Outcome not known/client ceased to give instructions</b><br>Applies where a case has ended because the client has failed to give instructions, withdrawn instructions, or the matter has been ended for other reasons before the outcome is known. | To be used in cases started on or after 1 September 2024 only |