



Document Checklist

Before you start...

It is really important that you include as many sufficient documents as you can with your application. The more information we have, the more likely it is that we will be able to review your case and not have to keep asking you for more information.

Please note: Advocate has no resources to help you gather documents.

- ✓ If the papers are very bulky (over 100 pages) it would help if you select what seems the most important; but also provide a summary of what other documents exist- *so that if we need more we can ask you for it*
- ✓ Always put documents in date order – if there are a lot of documents, please put a list at the front
- ✓ **Always send photocopies not original documents. Any documents supplied will be destroyed after closure of a file unless** it is indicated that the applicant wishes to recover papers from Advocate. Any such indication must be made **at the time of making the application or submitting any further documents**
 - Papers can be recovered by the applicant or an adviser to the applicant in person, by supplying a DX number. Papers must in any case be recovered within 6 weeks of the closure of a case by Advocate unless special arrangements are made before this time.

In this guide we have outlined, where possible, documents that we **must see** in order for us to consider your application.



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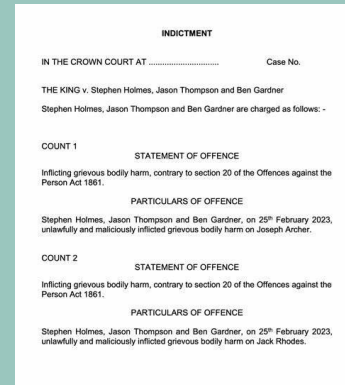
CRIME (Documents to be included with application)

Some documents below you can get from your solicitor. We **must see** documents in **bold** below and if you cannot obtain them from anywhere else, you can get from the Registrar of Criminal Appeals.

In relation to a proposed appeal against conviction from the Crown Court:

From: Solicitor

- ✓ Indictment →
- ✓ Prosecution statements
- ✓ Your proof of evidence and proofs of any witnesses
- ✓ Advice of Counsel (if any)
- ✓ Grounds of appeal settled by Counsel (if any)



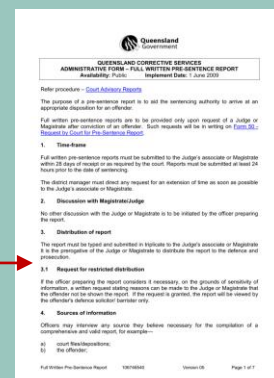
Can be obtained from: Registrar of Criminal Appeals

- ✓ **Form NG (appeal against conviction form)**
- ✓ **Transcript of Crown Court hearing which were put before the Single Judge of the Court of Appeal (if any)**
- ✓ **Written decision of the Single Judge of the Court of Appeal (if any)**
- ✓ **Any documents lodged with or received from the Court of Appeal (including any letters between the Court and trial Counsel or solicitors)**
- ✓ Form renewing application for permission to appeal, or details of precisely whether an application for permission to appeal has been renewed and when

In relation to a proposed appeal against sentence from the Crown Court:

From Solicitor:

- ✓ Indictment
- ✓ Prosecution statements
- ✓ Advice of Counsel (if any)
- ✓ Grounds of appeal settled by Counsel (if any)
- ✓ Pre-sentence report (if any) →
- ✓ Medical or psychiatric reports (if any)
- ✓ Criminal record form
- ✓ Copies of any letter relevant to mitigation, or character references, put before the Crown Court



Can be obtained from: Registrar of Criminal Appeals

- ✓ Appeal form sent to the Court of Appeal
- ✓ Transcript of Crown Court hearing which were put before the Single Judge of the Court of Appeal (if any)
- ✓ Written decision of the Single Judge of the Court of Appeal (if any)
- ✓ Any documents lodged with or received from the Court of Appeal (including any letters between the Court and trial Counsel or solicitors)
- ✓ Form renewing application for permission to appeal, or details of precisely whether an application for permission to appeal has been renewed and when

In relation to other cases:

- ✓ Summons or indictment
- ✓ Note or transcript of any relevant Court decision in your case
- ✓ Any letters or opinions from solicitors, barristers or advisers giving advice about your case
- ✓ Any documents lodged with or received from a Court and which are strictly relevant to your application

Please note: whilst our usual document submission policy remains (please see **Document Checklist** page), we may be able to make different arrangements with applicants who are in prison.

For more information on preparing for your criminal case:

[How a criminal case works | The Crown Prosecution Service \(cps.gov.uk\)](https://www.cps.gov.uk/how-a-criminal-case-works)



Defamation (Documents to be included with application)

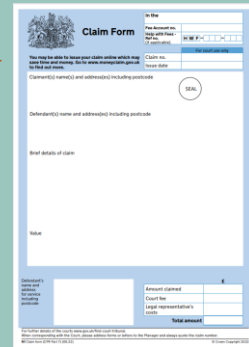
What is required will depend upon whether court proceedings have been started. We **must see** documents in **bold**.

Where proceedings have **not yet started**, we **must** be provided with:

- ✓ A written account of what has been said, written, broadcast or otherwise published:
 - If the complaint is about speech, then there will need to be a written statement from someone who heard the words being spoken
 - If the complaint is about writing, then please provide a copy or printout of the newspaper article, letter, report, website posting (not just a link to the web address/URL) or other written content
 - If the complaint is about a TV or radio broadcast, then please provide a written transcript
- ✓ Full details of exactly to whom the publication has been made and how you know that any particular person heard or read it
- ✓ Full details of what harm has been done or is likely to reputation, including any specific financial losses caused by the publication
- ✓ Full details of any additional known facts or circumstances that may have made the allegations seem worse, or caused additional upset or distress.
- ✓ A written explanation as to the truth (or not) of the allegations
- ✓ A written explanation about the circumstances in which the allegations were made: private meeting, private letter, official report, police report, newspaper article etc
- ✓ If the allegations were made in the media (newspaper, TV, radio, Internet news site), full details of any approach made prior to publication for comment
- ✓ A copy of any written complaint that has been made, or a written note of any complaint made orally
- ✓ A copy of any written response that has been received, or a written note of any response
- ✓ Copies of any letters or opinions from solicitors, barristers or other advisers giving advice about the case
- ✓ Copies of any offers to apologise, retract or settle the case that have been made, and any response

Where proceedings have started, Advocate **must** be provided in addition to the above with copies of the **following**:

- ✓ **Claim Form** and **Particulars of Claim** (submitted to court by the Claimant)
- ✓ **Defence** (submitted to court by the Defendant)
- ✓ **Reply** (submitted to court by the Claimant)
- ✓ All **Applications** or other **Forms** filed at court
- ✓ Any **Orders** made by the court, including **Notice of Allocation**, **Order for Directions**, incorporating any dates for compliance with timetable, deadlines etc
- ✓ **Skeleton Arguments** (if any), with any **Case Summaries**, or **Chronologies** that have been filed at court
- ✓ **Statements** or **Affidavits** (but without any of the exhibits, to start off with)



For appeals to a Judge or the Court of Appeal, Advocate **must be provided** with the **following**:

- ✓ The reasoned decision i.e. the written **Judgment** or a transcript if the judgment was given orally, of the lower court appealed against (e.g. a High Court Master or Judge)
- ✓ Any **Orders** made by the lower court, including the order recording the result of the judgment
- ✓ Any completed **Appellant's Notice**, **Grounds of Appeal**, **Respondent's Notice** that has been filed at court



Note: strict time limits apply for appeals. Until an applicant has been informed of the name of the Panel barrister who has agreed to assist, the applicant must ensure that the time limits are complied with and if necessary an extension of time obtained from the court.




Employment (Documents to be included with application)

What is required will depend upon whether proceedings have been started in the Employment Tribunal.

Where proceedings have not yet started we must be provided with copies of the following:

- ✓ The relevant documents such as contractual documents, correspondence, notes of meetings etc
- ✓ The charge letter and/or dismissal letter (if the matter relates to unfair dismissal, the dismissal/charge letter)
- ✓ Payslips (if the matter relates to non-payment of wages)

Where proceedings have started, we **must** be provided with copies of **the following**:

- ✓ **Notification to ACAS** that you wish to start a claim and confirmation that you have the legal address of your employer.
- ✓ **ACAS Certificate** (if provided)
- ✓ The **ET1 form** (the form used to begin proceedings) 
- ✓ with any further
- ✓ The **ET3 form** (the employer response)
- ✓ Skeleton Arguments (if any)
- ✓ A copy of any **Orders** made by the **Employment Tribunal**
- ✓ The relevant documents such as contractual documents, correspondence, notes of meetings etc.
- ✓ If witness statements have been drafted they should be provided



If proceedings have not been started, all relevant documents (as above) should be provided so that a proper view of the merits can be obtained and, if appropriate, tribunal documentation drafted.

For appeals to the **Employment Appeal Tribunal** and **Court of Appeal**, we must be provided with the following:

- ✓ The decision of the **Employment Tribunal or Employment Appeal Tribunal (EAT)**
- ✓ Any **Orders** made by the **Employment Tribunal, EAT or Court of Appeal (including the Reasons for the decision)**
- ✓ The **ET1, ET3, EAT1** (form to appeal against an Employment Tribunal order) and **EAT3** (form to respond to an appeal when asked to do so).
- ✓ If appealing to the **Court of Appeal, the Application Notice and Grounds of Appeal, and Response to the Application Notice.**
- ✓ Any witness statements
- ✓ The tribunal bundle or if it is very bulky, the most relevant documents



Family- children (Documents to be included with application)

Documents you should send in relation to a case in which a court has not made a final decision:

- ✓ All Applications and Forms filed at court
- ✓ Orders (all Orders made to date in the case)
- ✓ Statements or Affidavits (without any of the documents attached or exhibited)
- ✓ Other documents, such as Case Summaries, Case Synopses, Chronologies, Schedules and Skeleton Arguments, as filed with the Court (or as prepared even if not filed with the Court)
- ✓ All Reports from Medical or other Experts, Cafcass and the Children and Family Reporter
- ✓ Advice of Counsel/Attendance Notes of Advice given by Counsel or Solicitors (if any)
- ✓ Offers to settle the case and Responses
- ✓ Monthly expenditure exceeds income

In relation to an appeal against an order:

- ✓ Applications
- ✓ Orders
- ✓ A note or transcript of the Judgment, or Judgments if more than one, being appealed
- ✓ Grounds of appeal (if any) or the reasons why it is said that an appeal is justified
- ✓ Case Summaries, Case Synopses, Chronologies, Schedules, Skeleton Arguments and other similar documents as filed with the Court (both for the hearing which resulted in the judgment(s) being appealed and any filed for the appeal itself)
- ✓ A note or transcript of any hearing before the Appeal Court, in particular on any application for permission to appeal
- ✓ Advice of Counsel/Attendance Notes of Advice given by Counsel or Solicitors (if any)
- ✓ Offers to settle the case and Responses



GDC fitness to practice Documents to be included with application (General Dental Council- Fitness to Practice)



Sufficient documents should be included with an application for Advocate to make a decision as to whether to assist a case or not.

- If there are more than 100 pages of papers, please make a selection of what seems the most important, and provide a summary of what other documents exist.
- Always put documents in date order – if there are a lot of documents, please put a list at the front.

Advocate **must** see:

- ✓ Anything the registrant has submitted to the GDC (observations at any stage, information pertaining to indemnity, current employment)
- ✓ Notice of investigation letter (rule 4 letter)
- ✓ Notice(s) of hearing
- ✓ Decision of the Case Examiners
- ✓ Determination from the Interim Orders Committee
- ✓ Determination from the Practice Committee
- ✓ Bundles for the Case Examiners/Practice Committee/Interim Orders Committee

Click here to reset form Click here to print form

For office use only

To enter name and address of person to be notified

Name

Address

This notice is to tell you that the hearing date for the following case has been fixed.

Details of the case

Case no. Applicant

Person to whom the application relates

Details of the hearing

Date Time

Location

The hearing is for

directions

disposing of the matter

other

If you have any questions or need further information please check the website, www.justice.gov.uk or www.direct.gov.uk or contact Court Enquiry Service on 0300 450 4600.
If you are attending the hearing and you need any special assistance or facilities please contact Court Enquiry Service on the above number immediately so that arrangements can be made (if you have not done so already).

For more information on the Fitness to Practice process please visit the General Dental Council website [here](#).



General (Documents to be included with application)

Sufficient documents should be included with an application for Advocate to make a decision as to whether to assist a case or not.

- If there are more than 100 pages of papers, please make a selection of what seems the most important; and provide a summary of what other documents exist.
- Always put documents in date order – if there are a lot of documents, please put a list at the front.

Advocate **must** see:

- ✓ All court or tribunal papers, including Court orders and judgments
- ✓ Any letters or opinions from solicitors, barristers or advisers giving advice about the case
- ✓ Key correspondence with any other person(s) involved, or their solicitors
- ✓ Where assistance is requested with an appeal, a copy of the transcript of judgment from the court below
- ✓ Where advice is required about a contract or formal document, a full copy of the contract / document
- ✓ Where there is a dispute with an employer, the application should include the contract of employment or, if there isn't one, the letter of appointment or any handbook, company rules etc

GOV.UK can provide you with independent information regarding crime, justice and the law.



Please see a full list of Court and Tribunal forms [here](#):



Immigration (Documents to be included with application)

Some documents below you can get from your solicitor: We **must see** documents in **bold** below and if you cannot obtain them from anywhere else, you can get from the [Registrar of Criminal Appeals](#).



In relation to a proposed appeal against a Home Office decision to refuse leave to remain in the UK/asylum:

From: Solicitor

- ✓ Home Office letter setting out reasons for the decision
- ✓ Any correspondence between the Home Office and the claimant or claimant's legal advisors
- ✓ Any written statements submitted by the claimant
- ✓ Any letters of support from relatives or friends
- ✓ Advice of Counsel (if any)
- ✓ Grounds of appeal/Skeleton arguments settled by Counsel (if any)
- ✓ Any recent determination from the Tribunal
- ✓ In an asylum claim – tribunal judgment (if applicable)



Judicial Review (Documents to be included with application)

Sufficient documents should be included with an application for Advocate to make a decision as to whether to assist a case or not.

- If there are more than 100 pages of papers, please make a selection of what seems the most important; and provide a summary of what other documents exist.
- Always put documents in date order – if there are a lot of documents, please put a list at the front.

Judicial review is a type of court proceeding in which a judge reviews the lawfulness of a decision or action made by a public body.

In relation to Judicial Review, Advocate **must** see:

- ✓ Copy of the decision being challenged and any related decisions
- ✓ Explanation as to why the applicant feels the decision was unlawful
- ✓ If there is a delay in bringing judicial review, reasons for the delay
- ✓ If the decision raises issues regarding facts, documents which prove these facts
- ✓ Whether any alternative remedies have already been pursued
- ✓ All court or tribunal papers, including Court orders and judgments
- ✓ Any letters or opinions from solicitors, barristers or advisers giving advice about the case
- ✓ Key correspondence with any other person(s) involved, or their solicitors

Apply for a judicial review of a decision: **Form N461**

Judicial Review
Claim form

For Court use only
Name of Court
Reference number
Date
Day Month Year
Help with fees reference number
H W F

The rules relating to applications for Judicial Review are contained in CPR Part 54, and Practice Direction 54A – D. Search for the CPR on www.judice.gov.uk.

Additional information about judicial review proceedings can be found in the Administrative Court Judicial Review Guide. Search for the Guide on www.gov.uk.

Time Limit for filing a claim
A claim form must be filed promptly, and in any event **not later than 3 months** after the grounds to make the claim first arose: see CPR 54.3(1).



Negligence (Documents to be included with application)



Sufficient documents should be included with an application for Advocate to make a decision as to whether to assist a case or not.

- If there are more than 100 pages of papers, please make a selection of what seems the most important; and provide a summary of what other documents exist.
- Always put documents in date order – if there are a lot of documents, please put a list at the front.

In relation to negligence, Advocate **must** see:

- ✓ All court or tribunal papers, including Court orders and judgments
- ✓ Any letters or opinions from solicitors, barristers or advisers giving advice about the case
- ✓ Key correspondence with any other person(s) involved, or their solicitors
- ✓ Where assistance is requested with an appeal, a copy of the transcript of judgment from the court below

If available, please also supply:

- ✓ A detailed statement of your evidence (including information concerning the service that you received, and its effect on you)
- ✓ Any documents or statements that can be used as evidence
- ✓ Documents relating to loss of earnings
- ✓ Documents relating to any property damage
- ✓ Evidence of travelling expenses
- ✓ Documents relating to the cost of the service
- ✓ Relevant contractual documents
- ✓ A negligent professional's (for example, a solicitor) file of papers – including relevant documents, letters and attendance notes
- ✓ Copies of clinical notes and records (if applicable)
- ✓ Photographic evidence of any injuries incurred

For more information on what is considered professional negligence, please read the article [here](#).



Planning (Documents to be included with application)



Sufficient documents should be included with an application for Advocate to make a decision as to whether to assist a case or not.

- If there are more than 100 pages of papers, please make a selection of what seems the most important; and provide a summary of what other documents exist.
- Always put documents in date order – if there are a lot of documents, please put a list at the front.

In relation to planning cases, Advocate **must** see:

- ✓ A full copy of any decision of an Inspector or of the Secretary of State

Where there has been any such decision it is essential that this full copy document is provided to Advocate immediately

- ✓ All court or tribunal papers where there are already proceedings, including Court orders and judgments
- ✓ Any letters or opinions from solicitors, barristers or advisers giving advice about the case
- ✓ Key correspondence with any other person(s) involved, or their solicitors

For more information on determining a planning application and the appeal process, please visit the GOV.UK website [here](#).



Professional Disciplinary (Documents to be included with application)

Sufficient documents should be included with an application for Advocate to make a decision as to whether to assist a case or not.

- If there are more than 100 pages of papers, please make a selection of what seems the most important; and provide a summary of what other documents exist.
- Always put documents in date order – if there are a lot of documents, please put a list at the front.

- ✓ A chronology of events
- ✓ All correspondence from internal investigation
- ✓ All correspondence from regulatory investigation
- ✓ Please explain if you were represented by a Union Workplace Representative or privately and the outcome
- ✓ All court or tribunal papers, including Court orders and judgments
- ✓ Any letters or opinions from solicitors, barristers or advisers giving advice about the case
- ✓ Where assistance is requested with an appeal, a copy of the transcript of judgment from the court
- ✓ Where advice is required about a contract or formal document, a full copy of the contract / document
- ✓ Where there is a dispute with an employer, the application should include the contract of employment or, if there isn't one, the letter of appointment or any handbook, company rules etc



Wills and Probate

advocate



(Documents to be included

with application)

Sufficient documents should be included with an application for Advocate to make a decision as to whether to assist a case or not.



- If there are more than 100 pages of papers, please make a selection of what seems the most important; and provide a summary of what other documents exist.
- Always put documents in date order – if there are a lot of documents, please put a list at the front.

Advocate must see:

- ✓ All court or tribunal papers, including Court orders and judgments
- ✓ Any letters or opinions from solicitors, barristers or advisers giving advice about the case
- ✓ Key correspondence with any other person(s) involved, or their solicitors
- ✓ Where assistance is requested with an appeal, a copy of the transcript of judgment from the court below

If available, please also supply:

- ✓ Death certificate
- ✓ Will and any codicil
- ✓ Grant of Probate or Letters of Administration
- ✓ Other relevant documents relating to the dispute e.g. executor's renunciation, citation, caveat
- ✓ Inheritance Tax affidavit
- ✓ Estate account