

[DEPARTMENT]
File review form

File reference:		File handler:	
Client name:		Date of review:	
Reason for review <i>(e.g. supervision, complaint, mental block, audit)</i>		Reviewer:	

1. File opening

	Yes, No or N/A	Remedial action required (Y/N)	Notes
Client's full details clearly displayed on the file			
AML procedure followed and CDD documents reviewed			
Evidence of appropriate conflict check			
Retainer documents (Terms of Business, Client Care Letter) sent			
Retainer documents signed and returned			
Client informed of the likely cost of the matter, how fees are calculated, when payment will be required, and what happens if invoices are not paid			
Client's objectives are apparent on the file			
File handler has explained the legal and practical implications of the instructions			
It is clear what the firm is responsible for and what is excluded from the retainer (take greater care in 'un-bundled' family cases)			
The client is told of the name and status of the file handler			
A clear case strategy is apparent, including next steps to be taken			
Funding in place and cost/benefit analysis conducted			

Appropriate CFA/DBA advice given			
Client informed of right to cancel the retainer (including compliance with the Cancellation of Contracts made in a Consumer's Home or Place of Work etc. Regulations 2008 where appropriate)			
Has the file handler identified any client vulnerabilities, and proceeded accordingly?			
Has the file handler identified any risks to the client or firm, and taken appropriate action?			
Have the client's expectations been managed appropriately (e.g. timescales, outcomes)			
Properly accounted to the client for any commissions or other financial benefits			
If the case was referred, the source has been recorded and communicated to the COLP			
Where a referral fee is involved, the file is accepted in accordance with the law and the written referral agreement			
All related files have been identified			
Key dates have been identified and recorded on the file and in the appropriate diary system			

2. Conduct of case

a. Generic matters

	Yes, No or N/A	Remedial action required (Y/N)	Notes
If the costs estimate or file handler has changed,			

has the client been informed?			
Is the file well maintained and organised, and kept in accordance with the firm/department standards?			
Has all time been properly recorded?			
Are there any obvious gaps in the file?			
Attendance and file notes are properly recorded			
Client's letters, emails and phone calls have been responded to in accordance with our service levels			
Any client complaints have been identified and handled in accordance with the complaints procedure			
Counsel and experts have been appropriately instructed			
Client is kept up to date on progress and costs			
Matter is progressed proactively and delays are minimised			
Undertakings are given in accordance with our policy and discharged properly			
Referrals to third parties are dealt with in accordance with our policy			
Client has been sent a 'Demands and needs' statement where we are undertaking insurance mediation activities (e.g. ATE, title defect insurance)			
Any money laundering or other financial crime suspicions reported and dealt with in accordance with our procedures			
Risk profile of the file is reviewed at appropriate intervals			
Is the legal, technical and practical advice correct?			

<i>(Only complete this if the reviewer is qualified to do so.)</i>			
Closed files:			
Client balance is cleared			
File closing and archiving procedures followed			
If we are storing important deeds, wills etc. they have been archived accordingly and the client has been informed of any cost involved			
Other original documents returned to client			
File closing letter sent to client, informing them of outcome, storage and retention arrangements, and what they should do next.			
Client satisfaction form sent to client <i>(may not be appropriate in all cases)</i>			
File risk assessed before closing			

b. [DEPARTMENT]-specific matters

	Yes, No or N/A	Remedial action required (Y/N)	Notes
[INSERT specific check list for conveyancing, publicly funded, commercial, litigation etc.)			

3. Reviewer's comments

4. Remedial actions

Action required	Due date
1.	
2.	
3.	
4.	

The remedial actions were completed on and the file review is now complete.

Signed:
(Reviewer)

Signed:
(File handler)

Date:

Place one copy of this form on the file and forward a copy to the COLP (or Risk Manager).

NB. This is a suggested template and should be amended as appropriate