

File Review Form

Fee Earner	
File Name	
File Number	
Date of Review	

	Yes	No	N/A
File Maintenance			
File in good order.			
Attendance notes include date of attendance, file name & number, parties involved and duration of attendance (where matter is not a fixed fee);			
File Risk Management			
Money laundering requirements complied with;			
Conflict of interest check carried out and conflict monitored throughout;			
Partner notified where potential conflict identified;			
Risk assessment (to firm and client) carried out;			
Terms of business letter and scope of work sent to client prior to substantive work being carried out on the file;			
Terms of business letter references all criteria in Rule B4 (Complaints info, details of the work, who will do it etc)			
Key dates recorded on file;			
Client informed in writing if person with conduct of matter changes;			
Complaints referred to Complaints Officer and dealt with in accordance with complaints procedure;			
All information disclosed to the client;			
Client confidentiality maintained.			
Strategy			
Clear strategy present on file;			
Strategy kept up to date.			
Progress of Matter			
Client kept informed of progress of matter;			

	Yes	No	N/A
No periods of unexplained delay or inactivity;			
Client consulted on choice of advocate / expert.			
Costs / Fees			
Fixed fee / estimate for initial stages and overall costs agreed with client;			
Billing in accordance with billing frequency agreed at outset;			
Costs information updated & communicated to client at regular intervals and prior to estimate of costs being exceeded;			
Payment on account obtained, where appropriate.			
Conclusion of Matter			
Outcome accords with strategy (as updated, if necessary) and, if not, objectives or closing letter identifies reason(s) why not;			
Any future review required identified;			
Report sent to client on outcome;			
Fee earner accounts to client for any monies on client account (and any interest earned);			
Original documents returned;			
Client advised regarding storage and retrieval facilities;			
Concluding risk assessment undertaken to determine whether client objectives were met and whether the initial risk assessment was accurate.			

Summary of Findings:**Corrective Action Required:****Corrective Action Taken (must be within 28 days):**

By:

Action:

Verified by:

By:

Action: