**File Review Form**

**General Comments -**

* This is a template/precedent document only. It should be tailored as appropriate to suit the needs of each individual firm.
* All sections should be considered and implemented as deemed appropriate for the firm. This cover page should not be included.
* The LQSI cannot accept any responsibility for any errors or omissions contained in this template document.
* The document should be reviewed on an annual basis, or as required.

**Specific Comments –**

* This form has been updated to take into account the following:
* Terms of business may be accepted by clients electronically.
* The file opening form may be approved electronically by a partner/principal.
* File labels may be in hard copy or on case management.
* AML obligations are set out at questions 6 and 7, in relation to client id and address verification and, separately in relation to customer risk assessments for AML regulated files.
* **This version should be used for file reviews for the 2024 standard.**

**The Legal Quality Standard of Ireland**

**Reviewed February 2024**

|  |
| --- |
| Name of fee earner: |
| Name of reviewer: |
| Date of review: |
| Client: |
| File Reference: |
| New Client/Existing Client: |

*Note: reasons should be given for any N/A answers*

|  |  |
| --- | --- |
| 1. Is there a letter of engagement/client care letter on file? | Yes No N/A |
| 1. Does the letter of engagement/terms and conditions of business contain a limitation of liability clause? | Yes No N/A |
| 1. Does the letter of engagement/terms and conditions of business include a Privacy Statement? | Yes No N/A |
| 1. Have the terms of engagement been signed/accepted electronically by client? | Yes No N/A |
| 1. Is there evidence of compliance with s.150 on the file? | Yes No N/A |
| 1. ~~Has the firm complied with its AML oblligations?~~ Is there client address and ID confirmation and verification on file? (applies to all files) | Yes No N/A |
| 1. Has an AML client risk assessment been completed to establish the level of customer due diligence i.e. simplified/standard/enhanced due diligence? | Yes No N/A |
| 1. Is there evidence of a conflict of interest check on file? | Yes No N/A |
| 1. Has a general matter risk assessment been carried out? (applies to all files) | Yes No N/A |
| 1. Is the file opening form fully completed and signed/approved by a partner (either in writing or electronically)? | Yes No N/A |
| 1. Has client creditworthiness been considered e.g. interim billing? | Yes No N/A |
| 1. Have the client’s bank account details (if required) been securely received or verified? | Yes No N/A |
| 1. Are the client’s instructions clearly documented? | Yes No N/A |
| 1. Were case plans/instructions check lists used? | Yes No N/A |
| 1. Is the file label fully completed?/Are file details fully inputted on case management? | Yes No N/A |
| 1. Are attendance notes being made and recorded on file? | Yes No N/A |
| 1. Is all correspondence in date order? | Yes No N/A |
| 1. Is incoming correspondence date stamped? | Yes No N/A |
| 1. Has a client complaint been received, and if so, has it been notified to the appropriate partner in accordance with the firm’s client complaints policy and recorded on the register? | Yes No N/A |
| 1. Is the file maintained in good order, neat and tidy and easy to find your way around? | Yes No N/A |
| 1. Has the file been well progressed and is there evidence of recent activity? | Yes No N/A |
| 1. Is there evidence that this file has been reviewed appropriately where required? | Yes No N/A |
| 1. Is there evidence that the work on the file has been supervised, where appropriate? | Yes No N/A |
| 1. If an undertaking has been given or received, is there confirmation of this on the file? | Yes No N/A |
| 1. Is there confirmation that the documented undertaking has been logged on the undertakings register? | Yes No N/A |
| 1. Has the existence of the undertaking been noted on a prominent position on the file? | Yes No N/A |
| 1. Are there any critical/key dates to be considered and if so, have these been updated into the central register? | Yes No N/A |
| 1. Has the existence of the critical/key date been noted on a prominent position on the file? | Yes No N/A |
| 1. If the file is ready for closing, has the closing procedure been fully adhered to? | Yes No N/A |
| 1. Is the file audit satisfactory? | Yes No N/A |

**OVERALL ASSESSMENT OF FILE**

|  |  |
| --- | --- |
| Excellent |  |
| Very Good |  |
| Good |  |
| Fair |  |
| Poor |  |

**Date:\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_**

**Signed by reviewer:\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_**

**Signed by fee earner:\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_**

**(***post corrective action*)

* **Any corrective action must be completed by the fee earner within 14 days of the review.**
* **One copy of the file review checklist to be retained on the file and one centrally and noted on the file review register.**