

Civil File Review Checklist

Client's Name:	File Ref:
Reviewer:	Date:
Reviewee:	

File Management

1	Is the file well organised? (orderly & chronological)	Yes	No	
2	Is the file inactive?	Yes	No	
3	Have all key dates been entered in a back up/central diary?	Yes	No	N/A
4	Has a conflict of interest check been evidenced on the file?	Yes	No	N/A
5	Are all experts used sourced from the Approved List?	Yes	No	N/A
6	If no, has a reason for their use been noted on the case file?	Yes	No	N/A
7	Is the file free from undertakings?	Yes	No	
8	If no, are they entered in the Central Register?	Yes	No	N/A
9	Is the file free from complaints?	Yes	No	
10	If no, have they been reported to the Complaints Handling Partner?	Yes	No	N/A
11	Have Devolved Powers (DP's) been used?	Yes	No	N/A
12	If so, has the exercise of DP's been correctly recorded in the file	Yes	No	N/A
13	If a new Matter Start was opened for this file, was this appropriate?	Yes	No	N/A
14	If the matter is closed, were the correct outcome codes used?	Yes	No	N/A

Please comment on any concerns identified:

Correspondence

1	Has the client been sent a Client Care Letter	Yes	No	
2	Have the client's objectives been clearly identified	Yes	No	
3	Have instructions received, advice given, and the action to be taken, been confirmed in writing to the client at the outset?	Yes	No	N/A
4	Has the client been given a clear explanation of the issues and the options available?	Yes	No	
5	Has the client been given at the outset the best possible information possible about the overall likely costs?	Yes	No	
6	Where there is a potential liability for costs, has the client been informed of his/her likely liability?	Yes	No	N/A
7	Has information about the progress of the case been sent to the client at regular intervals (at least every 3 months)?	Yes	No	N/A
8	Have cost update letters been sent regularly and/or when appropriate?	Yes	No	N/A
9	If the file is closed, has a file closing letter been sent to the client?	Yes	No	N/A

Please comment on any concerns identified:

Funding

1	Is the matter within the scope of public funding?	Yes	No	N/A
2	Is evidence of funding present on the file?	Yes	No	N/A
3	In Legal Help cases, is there clear evidence of eligibility on the file?	Yes	No	N/A
4	Have the forms been properly completed?	Yes	No	N/A
5	Is any Cost Limitation close to being exceeded?	Yes	No	N/A

Please comment on any concerns identified:

File Notes

1	Are all claims for attendances in person or using the telephone clearly evidenced and justified?	Yes	No	N/A
2	Are all claims for preparation clearly evidenced and justified?	Yes	No	N/A
3	Are all routine telephone calls evidenced?	Yes	No	N/A
4	Are all routine letters evidenced?	Yes	No	N/A
5	Where preparation has been claimed for a letter, is this justified?	Yes	No	N/A
6	Where perusal has been claimed, is the time claimed justifiable?	Yes	No	N/A
7	Where travel is claimed, is the length of time claimed justifiable?	Yes	No	N/A
8	Have waiting times claimed of more 1 hour been justified on the file?	Yes	No	N/A
9	Are receipts for disbursements evidenced on the file where the value is greater than £10?	Yes	No	N/A

Please comment on any concerns identified:

Legal Issues

1	Does the matter meet the sufficient benefit test?	Yes	No	
2	Were appropriate instructions obtained?	Yes	No	
3	Was advice provided appropriate?	Yes	No	N/A
4	Was action taken on the matter appropriate?	Yes	No	N/A
5	Was representation provided appropriate?	Yes	No	N/A
6	Was preparation carried out on the matter appropriate?	Yes	No	N/A

Please comments on the overall conduct of this matter and state any concerns identified:

Is Corrective Action Required? (delete as Applicable)	YES/NO
If yes, date corrective action completed:	
If yes, date file handed back to reviewer for verification:	
If yes, date corrective action verified by reviewer:	
Signature of reviewer:	
Date:	