|  |  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- |
| **File Review Form (Conveyancing Purchase)** | | | | | | |  | |
| **Client name** |  | | | **File No** |  | | |
| **Fee earner** |  | **Reviewer** |  | | **Date** | |  |
| **Matter** |  | | | | | | |

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| **Legal Issues Review** |  |  | Y | N | NA |
| Was the advice accurate, comprehensive and legally correct? | | |  |  |  |
| Has the fee earner undertaken all necessary actions? | | |  |  |  |
| Does the fee earner have sufficient experience to deal with case? | | |  |  |  |
| Are the advisor’s client-handling skills appropriate? | | |  |  |  |

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| Procedural Review | | | Y | N | NA |  | | | Y | N | NA |
| **FILE OPENING** | | | | | | FILE MANAGEMENT | | | | | |
| File opening procedures followed | | |  |  |  | Undertaking identified/registered | | |  |  |  |
| Conflict searches conducted | | |  |  |  | Key information maintained on file | | |  |  |  |
| Initial risk assessment | | |  |  |  | Status of the matter apparent | | |  |  |  |
| Client ID checks/AML compliance | | |  |  |  | Key dates recorded/diarised | | |  |  |  |
| Check on other party’s conveyancer | | |  |  |  | Monies on account, if applicable | | |  |  |  |
| **INITIAL INSTRUCTIONS AND CLIENT CARE** | | | | | | **CASE PROGRESSION** | | | | | |
| Instructions/advice/action confirmed | | |  |  |  | Client updated on progress/costs | | |  |  |  |
| Timescales confirmed | | |  |  |  | Risk Notices raised appropriately | | |  |  |  |
| Fee earner/supervisor: name/status | | |  |  |  | Response to calls/correspondence | | |  |  |  |
| Complaints procedure outlined | | |  |  |  | **USE OF EXPERTS** | | | | | |
| Adequate costs information | | |  |  |  | Approved Experts/Counsel used | | |  |  |  |
| T&C provided | | |  |  |  | Clear instructions/checking of reports | | |  |  |  |
| **CLOSED MATTERS** |  | **tick if not applicable** | | | |  |  |  | | | |
| Close of case letter | | |  |  |  | Client documents returned, if relevant | | |  |  |  |
| Closing procedures/checklist complete | | |  |  |  | Concluding risk assessment | | |  |  |  |
| **CONVEYANCING PURCHASE** | | | | | | | | | | | |
| Evidence of source of funds | | |  |  |  | Correct copy documents on file | | |  |  |  |
| Registration within priority period | | |  |  |  | Correct searches on file | | |  |  |  |
| Proper advice on leasehold | | |  |  |  | SDLT calculation correct | | |  |  |  |
| Contract report sent/ advice given | | |  |  |  | SDLT submission in time | | |  |  |  |
| Conveyancing Protocol compliance | | |  |  |  | Confirm no delay in registration appl’n | | |  |  |  |

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| **Outcome** | | | **Corrective action required?** | |  | Yes |  | No |
| **Reviewer’s observations** |  | | | | | | | |
| **Signed (reviewer)** |  | | | | | | | |
| **Corrective actions** |  | | | | | | | |
| **Date for completion** | **Fee earner confirmation** | | | **Reviewer verification** | | | | |
|  | |  | |  | | | | |