

## Case management checklist

Name of organisation			
Branch address			
Fee-earner(s)		Date	

Description of requirement	File number		
1.9.c Anti-Money Laundering Legislation - Identification Checking			
6.8.a & b Risk assessment carried out at the outset			
8.3 Conflict of interest check carried out and acted upon appropriately			
8.4.a Clients' requirements/objectives recorded/confirmed in writing			
8.4.b Clear explanation of issues raised and advice given recorded/confirmed in writing			
8.4.c Action to be taken & timescale recorded/confirmed in writing			
8.4.d Method of funding established			
8.4.e Merits of case on cost benefit analysis			
7.2 Compliance with Rule 2 of the Solicitors Code of Conduct 2007			
8.5 Matter strategy/Complex case plan apparent on file			
8.6.a Key information clearly recorded on file			
8.7 Any undertakings shown clearly			
8.6.b Key dates recorded on file and back-up system			
8.6.d Timely response to telephone calls and correspondence			
8.6.e Continuing information on cost is provided continually			
8.6.f Information about changes in matter handling/person to whom problems with the service to be addressed is given to client (if applicable)			
6.8.c Change in risk profile considered if appropriate			
8.8.b All documents/correspondence & items belonging to file identifiable & traceable			
8.8.d Status of file and action taken easily identifiable			
8.8.e Documents stored in an orderly way on file			
8.9.c Client informed of name and status of expert, timescales for response and disbursements, if appropriate			
7.4 Complaints procedure used if any complaint raised by client			
3.3 Time recording (may be recorded on file or central system)			
6.5.c File review (may be recorded on file or central system)			
<b>Procedures at the end of the Case should only be assessed on closed files</b>			
8.10.a Report to client on outcome			
8.10.b Account to client for money			
8.10.c Original documents etc. returned to client			
8.10.d Client advised about storage & retrieval arrangements for papers			
8.10.e Client advised whether they should review the matter in future			
6.8.e Concluding risk assessment carried out			