

SOLICITORS RISK MANAGEMENT SUPPLEMENTARY QUESTIONNAIRE

1 Name of firm

2 What is the management structure of the Practice?

Managing Partner Managing Executive

Management Committee Executive Committee

Other (please specify)

Have there been any material changes in the management structure within the last three years?

3 If the Practice is managed by either a Management Committee or Executive Committee or the like, do they meet?

Weekly Monthly Other (please specify)

4 Does the Practice employ a full time non legal administrator? Yes No

5 Does the Practice designate or employ an individual with management responsibility for evaluating or dealing with complaints, actual or potential claims and other such matters? Yes No

6 (a) Does the Practice have written risk management procedures? Yes No

(b) Does the Practice have or use:

Client and new business vetting which prohibits any individual Solicitor from accepting a new client or matter without the approval of the Practice's management structure Yes No

Engagement letters Yes No

Non engagement letters Yes No

Disengagement letters Yes No

Scope of service letters Yes No

A written policy specifying the conflicts of interest procedures which include a cross check system and back up? Yes No

A policy which requires prior approval in writing for a Solicitor to serve as an Officer and/or a Director of a client or third party Yes No Not applicable

Diary system with if appropriate manual back up Yes No

Are periodic checks made to ensure that the diary system is being strictly followed? Yes No

Does the diary system provide for Solicitors being absent or on holiday ensuring that time deadlines are not missed? Yes No

A file review system which requires randomly selected files to be audited by a Solicitor other than the Solicitor handling the file? Yes No

Does the file review system include Partner to Partner auditing **Yes** **No**

Please provide any additional narrative in respect of your file review system to the above two questions which will assist our understanding of the file review system currently being used.

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(c) Are the risk management procedures outlined in 6(a) and 6(b) regularly reviewed, circulated and/or discussed within the Practice and have all Solicitors been made aware of them? **Yes** **No**

7 Does the Practice undertake any professional services for any client in which any Partner or Solicitor holds a partnership/directorship or have any other financial interest? **Yes** **No**

If "Yes", please provide details.

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8 Has the Practice had a risk management seminar or audit conducted within the last 3 years by an external risk management specialist? **Yes** **No**

If "Yes" have all recommendations been implemented by the Practice? **Yes** **No**

If "No" why not?

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9 Has the firm completed the "Self assessment Questionnaire in Risk Management" issued by the SIF? **Yes** **No**

If "Yes" did any Section rating result in a score of 0? **Yes** **No**

(please provide copies of the relevant sections and your proposed action to remedy any perceived shortcomings in your Practice risk management)

10 Does the Practice offer and promote Solicitors' continuing training? **Yes** **No**

If "Yes" who is responsible for overall supervision and control of the training?

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11 Does the Practice use a formal review system to evaluate, at least annually, the performance of all Solicitors and legal staff within the Practice? **Yes** **No**

**If you require any help or assistance in completing this form,
please call and speak to the solicitors team on
0870 264 2060**