



Solicitors' Professional Indemnity Insurance Risk Management Questionnaire

The Practice

1. Name(s) of Practice: _____

Practice Structure

1. What is the management structure of the Practice?

Managing Partner Managing Executive
Managing Committee Executive Committee
Other (please specify) _____

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

Weekly Monthly
Other (please specify) _____

3. Has there been any changes to the internal management structure of the Practice in the last 3 years? YES NO

4. Does the Practice employ a full time non legal administrator? YES NO

5. Please provide the name and status of the person responsible for Risk Management in your practice.

Name _____ Status _____

Practice Management

1. Before accepting a new appointment are all new clients vetted/agreed by a partner or department head? YES NO

2. (a) Does the Practice use engagement letters which contain a scope of services? YES NO

(b) If the scope of services are amended, are these confirmed in writing in the form of amendments to the original engagement letter? YES NO

(c) Does the Practice have a written policy specifying the conflicts of interest procedures which include a cross check system and backup? YES NO

3. Are undertakings which are given on behalf of the Practice
(i) always approved by a Partner? YES NO

If 'No', who is authorised to give undertakings? Please provide details.

(ii) always recorded either centrally or on file? YES NO

4. Does the Practice have a formal money laundering policy for which training has been provided to all partners and employees? YES NO

5. Do all cheques and/or Electronic Fund Transfers for more than £25,000 require two signatures, at least one of which will be that of a Partner or Principal? YES NO

If 'No', who is entitled to authorise payment from the client account? Please provide details.

6. Does the Practice have internal written risk management procedures in place? YES NO

If 'Yes' are they reviewed regularly?

7. Is all incoming post checked by a Partner? YES NO
8. Does the Practice operate a centralised or departmental diary system with, if appropriate, manual back up? YES NO
9. Does the Practice have a case management system in place? YES NO
10. How many active files are run per fee earner on average? _____
11. Are periodic checks made to ensure that the diary system is being strictly followed? YES NO
12. Does the Practice use or have a file review system which requires randomly selected active files to be audited by a Solicitor other than the Solicitor handling the file? YES NO
13. Does the file review system include Partner to Partner auditing? YES NO
14. Does the Practice have a procedure in place for dealing with the workload of principals and fee earners who cannot work due to absence? YES NO
15. 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
16. Do you have set procedures following the receipt of complaints from clients and/or any other party? YES NO
17. Do you keep a central register of all complaints against the practice? YES NO
18. Do recruitment procedures for all Partners and Employees include the taking up of references? YES NO
19. Does the Practice offer and promote Solicitors' continuing training? YES NO
20. 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
21. Does the practice provide professional services for any client in which any Principal holds a partnership/directorship or has any financial interest? YES NO
- If 'YES', are these services always carried out by a Principal/solicitor other than the Principal connected with the client? If 'NO', please provide details. YES NO

22. Please give details of any accreditation standards achieved and date obtained:

Lexcel Investors in People

Other (please specify) _____

Do you have a community legal service quality mark? YES NO

Do you have a criminal defence service quality mark? YES NO

If none, have you recently applied or are you considering applying for any of the above? YES NO

If 'Yes', please advise details _____

23. Does the Practice have an email and/or internet user policy and any formal guidelines for the use of email and/or internet? YES NO
24. Does the Practice have retrievable back up of all emails and computer systems? YES NO
25. Does the Practice have a website? YES NO
26. Does the Practice provide legal advice via the website? YES NO

Signed for and on behalf of the Practice:

Signature of Partner: _____

Partner's Name (please print): _____

Date: _____

Please complete and return to:

Richard Thacker & Company Limited, Hexagon House, 21/23 Gatley Road, Cheadle, Cheshire, SK8 1NZ.

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