



**RICHARD THACKER**  
*Independent Insurance Brokers*

**SOLICITORS' PROFESSIONAL INDEMNITY INSURANCE  
SUPPLEMENTARY DECLARATION**

**The Practice**

1. **Name(s) of Practice:** \_\_\_\_\_  
\_\_\_\_\_
2. **Principal Address of Practice** (including post code): \_\_\_\_\_  
\_\_\_\_\_
3. **Other Office Locations** (City/Town): \_\_\_\_\_  
\_\_\_\_\_

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

**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  
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
6. Does the Practice have any internal written quality procedures in place? YES/NO
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. How many active files are run per fee earner on average? \_\_\_\_\_
10. Are periodic checks made to ensure that the diary system is being strictly followed? YES/NO
11. 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
12. Does the file review system include Partner to Partner auditing? YES/NO
13. 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
14. 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
15. Do you have set procedures following the receipt of complaints from clients and/or any other party? YES/NO
16. Do you keep a central register of all complaints against the firm? YES/NO
17. Do recruitment procedures for all Partners and Employees include the taking up of references? YES/NO
18. Does the Practice offer and promote Solicitors' continuing training? YES/NO
19. 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
20. 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. \_\_\_\_\_
21. 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
22. Does the Practice have retrievable back up of all emails and computer systems? YES/NO
23. Does the Practice have a website? YES/NO
- If 'Yes', please advise website address \_\_\_\_\_
24. 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:  
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