

# Osprey Approach: File Review

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The latest version is always online at  
<https://support.ospreyapproach.com/?p=43599>



Designed to be used as its own “matter”. Allows file reviews to be undertaken and reported on all within osprey. Key dates record when Corrective action is due by, and the suite of reports allows for the COLP to monitor compliance. Reports can be run by department allowing department supervisors to manage their departments review compliance.

**FILE REVIEW DETAILS**

Matter Number of File Reviewed

Fee Earner of File Reviewed

Please Select ▼

Please Select

Your Fee Earners Here

Supervising Fee Earner of File Reviewed

Please Select ▼

Please Select

Your Fee Earners Here

Department

Please Select ▼

Please Select

Your Departments Here

Office

Please Select ▼

Please Select

Your Branches Here

Reason for Review

Please Select ▼

Please Select

Routine

Fee Earner Request

Complaint

Supervisor Request

Date of File Review

Select a date 📅

Name of Person carrying out File Review

Please Select ▼

Please Select


Your Fee Earners Here

Status of Person carrying out File Review

**FILE REVIEW QUESTIONNAIRE COMPLIANCE REVIEW**

Compliance Review

Client Due Diligence Completed

Please Select 


Please Select

Yes

No

Not applicable

ID Obtained

Please Select 


Please Select

Yes

No

Not applicable

Was Engagement Letter Sent?

Please Select 

Please Select

Yes


No

Not applicable

Date Engagement Letter Sent?

Select a date 

Was Engagement Letter Signed and Returned?

Please Select 

Please Select

Yes


No

Not applicable

Date Engagement Letter Signed and Returned?

Select a date 

Costs Estimate Given and Updated if Necessary

Please Select 

Please Select

Yes

No

Not applicable

**FILE REVIEW QUESTIONNAIRE LEGAL REVIEW**

Legal Review

Matter progressed in a timely manner

Please Select	▼
<b>Please Select</b>	
Yes	
No	
Not applicable	

Course of action offered/taken Correct

Please Select	▼
<b>Please Select</b>	
Yes	
No	
Not applicable	

All appropriate courses of actions considered

Please Select	▼
<b>Please Select</b>	
Yes	
No	
Not applicable	

Accurate Legal Advice Given

Please Select	▼
<b>Please Select</b>	
Yes	
No	
Not applicable	

Appropriate Legal Advice Given

Please Select	▼
<b>Please Select</b>	
Yes	
No	
Not applicable	

Complete Legal Advice Given

Please Select	▼
<b>Please Select</b>	
Yes	

**FILE REVIEW QUESTIONNAIRE FILE MANAGEMENT REVIEW**

File Management Review

All Key Dates Recorded Correctly

Please Select	▼
Please Select	
Yes	
No	
Not applicable	

File Closed According to Procedure

Please Select	▼
Please Select	
Yes	
No	
Not applicable	

File Properly Maintained

Please Select	▼
Please Select	
Yes	
No	
Not applicable	

<input checked="" type="checkbox"/> Submit	Cancel
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**FILE REVIEW OUTCOME**

Any corrective action required

Please Select ▼

Please Select

Yes

No

Details of Corrective Action Required

Further Review Required

Please Select ▼

Please Select


Yes

No

Submit  Cancel

**CORRECTIVE ACTION**

Corrective Action Complete


Please Select 

Please Select

Yes


No

Date Corrective Action Complete

Select a date 

Comments on Corrective Action

Further Review Required

Please Select 

Please Select

Yes

No


 Submit



## FILE REVIEW QUESTIONNAIRE COMPLIANCE REVIEW

### Compliance Review

#### Client Due Diligence Completed

Please Select 


Please Select

Yes

No

Not applicable

#### ID Obtained

Please Select 


Please Select

Yes

No

Not applicable

#### Was Engagement Letter Sent?

Please Select 

Please Select

Yes


No

Not applicable

#### Date Engagement Letter Sent?

Select a date 

#### Was Engagement Letter Signed and Returned?

Please Select 

Please Select

Yes


No

Not applicable

#### Date Engagement Letter Signed and Returned?

Select a date 

#### Costs Estimate Given and Updated if Necessary

Please Select 

Please Select

Yes

No

Not applicable

**FILE REVIEW QUESTIONNAIRE LEGAL REVIEW**

Legal Review

Matter progressed in a timely manner

Please Select	▼
Please Select	
Yes	
No	
Not applicable	

Course of action offered/taken Correct

Please Select	▼
Please Select	
Yes	
No	
Not applicable	

All appropriate courses of actions considered

Please Select	▼
Please Select	
Yes	
No	
Not applicable	

Accurate Legal Advice Given

Please Select	▼
Please Select	
Yes	
No	
Not applicable	

Appropriate Legal Advice Given

Please Select	▼
Please Select	
Yes	
No	
Not applicable	

Complete Legal Advice Given

Please Select	▼
Please Select	
Yes	

**FILE REVIEW QUESTIONNAIRE FILE MANAGEMENT REVIEW**

File Management Review

All Key Dates Recorded Correctly

Please Select	▼
Please Select	
Yes	
No	
Not applicable	

File Closed According to Procedure

Please Select	▼
Please Select	
Yes	
No	
Not applicable	

File Properly Maintained

Please Select	▼
Please Select	
Yes	
No	
Not applicable	

 Submit	Cancel
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**FURTHER REVIEW**

Further Review Complete

Please Select ▼

Please Select

Yes

No

Date of Further Review

Select a date 📅

Name of Person carrying out further review

Please Select ▼

Please Select

Your Fee Earners Here

Comments on Further Review

Any corrective action required

Please Select ▼

Please Select

Yes

No

Details of Corrective Action Required

Submit  Cancel

# **Corrective Action File Note**

## Corrective Action File Note

<b>Review Status:</b>	{ MERGEFIELD FR_DETAIL_FR_STATUS }
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### File Review Details

Matter Number of File Reviewed:	{ MERGEFIELD FR_DETAIL_FR_MATTER }
Fee Earner of File Reviewed:	{ MERGEFIELD FR_DETAIL_FR_FEE_EARN }
Supervising Fee Earner of File Reviewed:	{ MERGEFIELD FR_DETAIL_FR_SUP_FEE_EARN }
Department of File Reviewed:	{ MERGEFIELD FR_DETAIL_FR_DEPT }
Office of File Reviewed:	{ MERGEFIELD FR_DETAIL_FR_OFFICE }
Reason for Review:	{ MERGEFIELD FR_DETAIL_FR_REV_REASON }
Date of File Review:	{ MERGEFIELD FR_DETAIL_FR_DATE_REVIEW }
Name of Person Carrying Out File Review:	{ MERGEFIELD FR_DETAIL_FR_REVIEWER }
Status of Person Carrying Out File Review:	{ MERGEFIELD FR_DETAIL_FR_STAT_REVIEW }

### File Review Outcome

Any corrective action required	{ MERGEFIELD FR_CORR_ACT_FR_CORR_ACT }
Details of Corrective Action Required	{ MERGEFIELD FR_CORR_ACT_FR_CORR_ACT_REQ }

### Corrective Action

Corrective Action Complete	{ MERGEFIELD FR_CORR_ACT_FR_CORR_ACT_COM }
Date Corrective Action Complete	{ MERGEFIELD FR_CORR_ACT_FR_CORR_ACT_D }
Comments on Corrective Action	{ MERGEFIELD FR_CORR_ACT_FR_CORR_ACT_DET }
Further Review Required	{ MERGEFIELD FR_CORR_ACT_FR_FUR_REV }

# **File Review Note**

## File Review Note

<b>Review Status:</b>	{ MERGEFIELD FR_DETAIL_FR_STATUS }
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### File Review Details

Matter Number of File Reviewed:	{ MERGEFIELD FR_DETAIL_FR_MATTER }
Fee Earner of File Reviewed:	{ MERGEFIELD FR_DETAIL_FR_FEE_EARN }
Supervising Fee Earner of File Reviewed:	{ MERGEFIELD FR_DETAIL_FR_SUP_FEE_EARN }
Department of File Reviewed:	{ MERGEFIELD FR_DETAIL_FR_DEPT }
Office of File Reviewed:	{ MERGEFIELD FR_DETAIL_FR_OFFICE }
Reason for Review:	{ MERGEFIELD FR_DETAIL_FR_REV_REASON }
Date of File Review:	{ MERGEFIELD FR_DETAIL_FR_DATE_REVIEW }
Name of Person Carrying Out File Review:	{ MERGEFIELD FR_DETAIL_FR_REVIEWER }
Status of Person Carrying Out File Review:	{ MERGEFIELD FR_DETAIL_FR_STAT_REVIEW }

### Compliance Review

Client Due Diligence Completed?	{ MERGEFIELD FR_INIT_REV_FR_CDD_COMP }
ID Obtained?	{ MERGEFIELD FR_INIT_REV_FR_ID_OBTAIN }
Was Engagement Letter Sent?	{ MERGEFIELD FR_INIT_REV_FR_CC_SENT }
Date Engagement Letter Sent?	{ MERGEFIELD FR_INIT_REV_FR_D_CC_SENT }
Was Engagement Letter Signed and Returned?	{ MERGEFIELD FR_INIT_REV_FR_CC_RET }
Date Engagement Letter Signed and Returned?	{ MERGEFIELD FR_INIT_REV_FR_D_CC_RET }
Costs Estimate Given and Updated if Necessary?	{ MERGEFIELD FR_INIT_REV_FR_COSTS }
Current Status of the Matter Easily Identifiable?	{ MERGEFIELD FR_INIT_REV_FR_CURRENT_STAT }
Any Undertakings Have Been Recorded?	{ MERGEFIELD FR_INIT_REV_FR_UNDER_REC }
All Outstanding Undertakings Discharged?	{ MERGEFIELD FR_INIT_REV_FR_UNDER_DIS }

### Legal Review

Matter Progressed in a Timely Manner	{ MERGEFIELD FR_INIT_REV_FR_MAT_PROG }
Course of Action Offered/Taken Correct	{ MERGEFIELD FR_INIT_REV_FR_COURSE_ACT }
All Appropriate Courses of Actions Considered	{ MERGEFIELD FR_INIT_REV_FR_ALL_OPTS }
Accurate Legal Advice Given	{ MERGEFIELD FR_INIT_REV_FR_QUAL_ACC }
Appropriate Legal Advice Given	{ MERGEFIELD FR_INIT_REV_FR_QUAL_APP }
Complete Legal Advice Given	{ MERGEFIELD FR_INIT_REV_FR_QUAL_COMP }

### File Management Review

All Key Dates Recorded Correctly	{ MERGEFIELD FR_INIT_REV_FR_KEY_DATES }
File Closed According to Procedure	{ MERGEFIELD FR_INIT_REV_FR_FILE_CLOSED }
File Properly Maintained	{ MERGEFIELD FR_INIT_REV_FR_FILE_MAINT }

### File Review Outcome

Any corrective action required	{ MERGEFIELD FR_CORR_ACT_FR_CORR_ACT }
Details of Corrective Action Required	{ MERGEFIELD FR_CORR_ACT_FR_CORR_ACT_REQ }
Further Review Required	{ MERGEFIELD FR_CORR_ACT_FR_FUR_REV }



# **Further File Review Note**

## File Review Note

<b>Review Status:</b>	{ MERGEFIELD FR_DETAIL_FR_STATUS }
<b>File Review Details</b>	
Matter Number of File Reviewed:	{ MERGEFIELD FR_DETAIL_FR_MATTER }
Fee Earner of File Reviewed:	{ MERGEFIELD FR_DETAIL_FR_FEE_EARN }
Supervising Fee Earner of File Reviewed:	{ MERGEFIELD FR_DETAIL_FR_SUP_FEE_EARN }
Department of File Reviewed:	{ MERGEFIELD FR_DETAIL_FR_DEPT }
Office of File Reviewed:	{ MERGEFIELD FR_DETAIL_FR_OFFICE }
Reason for Review:	{ MERGEFIELD FR_DETAIL_FR_REV_REASON }
Date of Original File Review:	{ MERGEFIELD FR_DETAIL_FR_DATE_REVIEW }
Date of Further File Review:	{ MERGEFIELD FR_CORR_ACT_FR_FUR_REV_D }
Name of Person Carrying Out File Review:	{ MERGEFIELD FR_DETAIL_FR_REVIEWER }
Status of Person Carrying Out File Review:	{ MERGEFIELD FR_DETAIL_FR_STAT_REVIEW }
Name of Person Carrying out Further Review:	{ MERGEFIELD FR_CORR_ACT_FR_FUR_REV_FE }
<b>Compliance Review</b>	
Client Due Diligence Completed?	{ MERGEFIELD FR_INIT_REV_FR_CDD_COMP }
ID Obtained?	{ MERGEFIELD FR_INIT_REV_FR_ID_OBTAIN }
Was Engagement Letter Sent?	{ MERGEFIELD FR_INIT_REV_FR_CC_SENT }
Date Engagement Letter Sent?	{ MERGEFIELD FR_INIT_REV_FR_D_CC_SENT }
Was Engagement Letter Signed and Returned?	{ MERGEFIELD FR_INIT_REV_FR_CC_RET }
Date Engagement Letter Signed and Returned?	{ MERGEFIELD FR_INIT_REV_FR_D_CC_RET }
Costs Estimate Given and Updated if Necessary?	{ MERGEFIELD FR_INIT_REV_FR_COSTS }
Current Status of the Matter Easily Identifiable?	{ MERGEFIELD FR_INIT_REV_FR_CURRENT_STAT }
Any Undertakings Have Been Recorded?	{ MERGEFIELD FR_INIT_REV_FR_UNDER_REC }
All Outstanding Undertakings Discharged?	{ MERGEFIELD FR_INIT_REV_FR_UNDER_DIS }
<b>Legal Review</b>	
Matter Progressed in a Timely Manner	{ MERGEFIELD FR_INIT_REV_FR_MAT_PROG }
Course of Action Offered/Taken Correct	{ MERGEFIELD FR_INIT_REV_FR_COURSE_ACT }
All Appropriate Courses of Actions Considered	{ MERGEFIELD FR_INIT_REV_FR_ALL_OPTS }
Accurate Legal Advice Given	{ MERGEFIELD FR_INIT_REV_FR_QUAL_ACC }
Appropriate Legal Advice Given	{ MERGEFIELD FR_INIT_REV_FR_QUAL_APP }
Complete Legal Advice Given	{ MERGEFIELD FR_INIT_REV_FR_QUAL_COMP }
<b>File Management Review</b>	
All Key Dates Recorded Correctly	{ MERGEFIELD FR_INIT_REV_FR_KEY_DATES }
File Closed According to Procedure	{ MERGEFIELD FR_INIT_REV_FR_FILE_CLOSED }
File Properly Maintained	{ MERGEFIELD FR_INIT_REV_FR_FILE_MAINT }
<b>File Review Outcome</b>	
Comments on Further Review	{ MERGEFIELD FR_CORR_ACT_FR_FUR_REV_COM }
Any corrective action required	{ MERGEFIELD FR_CORR_ACT_FR_CORR_ACT }
Details of Corrective Action Required	{ MERGEFIELD FR_CORR_ACT_FR_CORR_ACT_REQ }
Further Review Required	{ MERGEFIELD FR_CORR_ACT_FR_FUR_REV }