Osprey Approach: File Review

This help guide was last updated on
Sep 19th, 2023

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.

ALLOCATE A CUSTOM QUESTIONNAIRE

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

Submit Cancel

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

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 Cancel

FILE REVIEW QUESTIONNAIRE COMPLIANCE REVIEW

Compliance Review

Client Due Diligence Completed

Please Select

- Please Select
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- Not applicable

ID Obtained

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- Not applicable

Was Engagement Letter Sent?

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- Yes
- No
- Not applicable

Date Engagement Letter Sent?

Select a date

Was Engagement Letter Signed and Returned?

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- 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
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FILE REVIEW QUESTIONNAIRE LEGAL REVIEW

Legal Review

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Please Select

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Course of action offered/taken Correct

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All appropriate courses of actions considered

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Accurate Legal Advice Given

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Appropriate Legal Advice Given

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- 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

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

Review Status:	{ MERGEFIELD FR_DETAIL_FR_STATUS }

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

Review Status:	{ MERGEFIELD FR_DETAIL_FR_STATUS }

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

Review Status:	{ MERGEFIELD FR_DETAIL_FR_STATUS }

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 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 }

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 }
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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

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 }