

Checklist for solicitors providing immigration services

Our checklists are useful for making sure you get the basics right.

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Client care

- Has the client been advised about progress and the strengths and weaknesses of their case?
- Has this assessment been recorded on the file and sent to the client?
- Has the client been provided with an opportunity to review key documentation and a record made on the file?
- Do fee earners keep a list of all active matters and record when each file was last reviewed to show how a matter is progressed and whether any action was required?
- Have you recorded that incoming post or key documentation has been checked or that a case review has happened?
- How are court/tribunal directions recorded and are these dates visible to other members of the team including supervisors?
- Are all clients given receipts, especially when payments are made in cash?
- Have you checked whether your arrangements for conducting online hearings are suitable and appropriate?
- Do you assess, and then record, whether a client is vulnerable?

Supervision

- Is your supervision structure (for both employees and external consultants) effective?
- Are supervisors competent and accessible?
- If you use consultants, how is their work supervised and would you have access to their files if they were unavailable?
- How do the firm and fee earners show that supervision has taken place?
- What background checks have you carried out on staff?
- Do all your fee earners have an up-to-date training record?
- Do your files accurately reflect everything that has happened on a matter?

Supervision - audits

- Does the firm have an audit system in place?
- Does everybody understand the purpose of an audit function?



- Does the fee earner see a copy of the audit so any recommendations or actions can be taken?
- Consider the frequency of your audits, the type of file which is reviewed (open, closed or archived) and what is reviewed during the audit.

Complaints

- Is your complaints information up to date?
- Does your complaints information include everything required by our rules?
- Does your complaints information make it clear that there will be no legal repercussions or detriment to the client or the matter if the client makes a complaint (for example details will not be passed to the Home Office)?
- Do you tell clients that any complaint will be handled confidentially and not disclosed to any third party?
- How and when can clients provide feedback?
- Have you reported any serious misconduct you have come across by another firm/solicitor to us?
- Have you made sure everyone in your firm is aware of the obligation to report regulatory breaches to us and that they know how to do so?