

Screening guidance - control templates

Area	Description	Law Mutual MYR Templates?	Other References
Confirm identity and authority	<ul style="list-style-type: none"> Client identity checklist 	Client identity checklist	Law Institute of Victoria VOI checklist
Understand nature of the legal need	<ul style="list-style-type: none"> Conflicts database Conflicts procedure including: <ul style="list-style-type: none"> requirements for update of conflicts database i.e. what information, who must input it and when requirements for conflicts check, monitoring and management 		
Check for conflict of interest	<ul style="list-style-type: none"> Standard instruction form that includes <ul style="list-style-type: none"> prompts for capturing risk related information and/or risk indicator checklist sign off procedure by accountable senior practitioner Client credit checking procedure 	Conflicts procedure	
Determine capacity and suitability of the client	<ul style="list-style-type: none"> If it is not possible to meet the prospective client in person, a teleconference or videoconference should be conducted with the client (client representatives in the case of a corporation) Relevant enquiries include sighting/copying of a driver's licence or passport; conducting a title search or corporate structure search Check all prospective clients where instructions are given by one prospective client on behalf of other clients in a joint matter All clients in a joint matter, regardless of who has given instructions, should consent to instructions 	Screening risk checklist contains some of this information	
Determine capability and appetite to conduct matter	<ul style="list-style-type: none"> Risk appetite statement that sets limits on the work the practice is prepared to take Mandatory signing off by accountable senior practitioner 		
Manage initial client expectations	<ul style="list-style-type: none"> Practice capability statement (brochure or online) outlining extent of services, areas of specialisation and team capability Confirmation of instruction template to explain instructions and obtain written confirmation of the potential client 		
Decide to accept or reject client and matter	<ul style="list-style-type: none"> Policy on who can and cannot screen and accept clients on behalf of the firm Standard letter accepting instructions Standard letter declining to act Checklist for declining a matter 	Checklist for declining a matter	