

ICAEW Transparency Guidance for Accredited Legal Services Firms: Transparency Self-Assessment Checklist

Use this interactive checklist to assess whether your firm is currently complying with ICAEW's requirements and whether you are also meeting the best practice standards recommended in our guidance: [Transparency Guidance for Accredited Legal Services Firms](#). The checklist differentiates between criteria that are **regulatory requirements** and **best practice**. Reflect on your results to assess your compliance, recognise what you're doing well and if there are any areas needing improvement.

Key

(R) = Regulatory requirement		(B) = Best practice	
Status	Score	Status	Score
✓ Fully implemented	3	✓ Fully implemented	2
! Partial	1	! Partial	1
✗ Not in place	0	✗ Not in place	0

PRICE	✓	!	✗
(R) Are total or estimated fees published including VAT and disbursements?			
(R) Do you provide a clear explanation of the fee structure (eg, fixed-fee or hourly rate)?			
(R) Do you explain what services are or are not included/covered by the published fee?			
Regulatory requirement 9 points			
(B) Do you keep clients updated in writing if costs are likely to change?			
(B) Do you provide a price calculator or other tool to obtain a tailored estimate?			
(B) Is your price information easy to find on your website (eg, no more than two clicks from homepage)?			
Best practice 6 points			

SERVICES	✓	!	✗
(R) Do you publish a clear explanation of your services, and what they include?			
(R) Do you provide information about the key stages of the probate process?			
(R) Do you provide information about expected timescales including any factors that may impact this?			
Regulatory requirement 9 points			
(B) Are staff qualifications and roles provided where relevant (eg, on your website or welcome pack)?			
(B) If you offer bundled services, is pricing and information about the scope of services clearly broken down?			
(B) Do you offer flexible/unbundled options where appropriate, with supporting information?			
Best practice 6 points			

COMPLAINTS	✓	!	x
------------	---	---	---

(R) Is your complaints procedure published online and included in your engagement letter?

(R) Does your complaints information include information about the right to complain to the Legal Ombudsman?

(R) Do you provide beneficiaries with your complaints procedure?*

(R) Are staff trained on how to handle and escalate complaints properly?*

Regulatory requirement 12 points

(B) Do you adapt your processes to meet the needs of vulnerable clients where appropriate?

(B) Do you explain how complainants should raise a complaint about your professional conduct?

Best practice 4 points

*Will be required by the 2025 [Legal Services Regulations](#)

REGULATORY STATUS	✓	!	x
-------------------	---	---	---

(R) Do you clearly state you are ICAEW-regulated on your website and engagement letters?

(R) Do you provide information about ICAEW's compensation scheme?

(R) Do you provide information about your PII cover?

(R) Have you published a short summary of the results of your last diversity monitoring survey? (where applicable)

Regulatory requirement 12 points

(B) Do you display the ICAEW probate accreditation logo on your website?

(B) Do you remind consumers that they can verify regulatory information about your firm on ICAEW's probate register?

Best practice 4 points

QUALITY AND FEEDBACK	✓	!	x
----------------------	---	---	---

(R) Do you keep full and accurate records of complaints received?

(R) Do you regularly evaluate your complaints records to identify learning points or ways to improve your service?

(R) Do you ensure that staff is competent to carry out legal services?

Regulatory requirement 9 points

(B) Do you ask consumers to provide feedback at the end of the engagement?

(B) Do you regularly review and act on feedback?

(B) Do you promote ICAEW's consumer feedback survey?

(B) Do you encourage feedback by using third-party review platforms?

Best practice 8 points

HOW DID YOU DO?

Transparency	Regulatory requirement	Best practice	Maximum combined score
Maximum total score	51	28	79
Your score			