Adviser review – one to one with a sample of adviser’s casework

<table>
<thead>
<tr>
<th>Adviser (name)</th>
<th>Date of interaction</th>
<th>Case reference</th>
<th>Form completed by</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

1. Were policies and procedures generally followed
   Equal opportunities considered
   Confidentiality explained
   Feedback requested
   Comments

   Yes/No

2. Did the adviser engage with the customer appropriately?
   (Section 3.1 Quality Standards)
   Comments

   Yes/No

3. Was the Information and Advice given appropriate and accurate?
   (Section 3.3 Quality Standards – use checklist at Appendix B3)
   Comments

   Yes/No

4. Appropriate actions taken?
   (Section 3.4 Quality Standards – use checklist at Appendix B3)
   Comments

   Yes/No

5. Is the information recorded in the customer record accurately
   (Section 3.6 Quality Standards)
   Comments

   Yes/No

Any other comments

Advisor comments