

# How do I carry out file-checks?

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File-checks allow designated users – usually compliance officers – to inspect the research created by other members of their firm. (This only applies to client-focused research. Product-focused research cannot be viewed in a file-check.)

You can start a file-check in two ways:

- Use the **File check** option on the menu bar of the home page. This displays a search form for finding research by other people.
- Open the details of the user you want to check in your firm's user list, and then use the **File check** option on the menu bar of the user-details page. This opens the same form as the above, but pre-populates the user name.

(These links are only displayed if your system administrator has given you permission to carry out file-checks. See below.)

The file-check search form is illustrated by the screenshot below. You can look for research based on any or all of: the adviser's name, the client's surname, the product or research type and the date the research was last modified. The first screenshot shows an example of all the research ever conducted by all users.

Research	Client(s)	User	Last change
Ben Reynolds: Manual fund Cautious1538	Ben Reynolds	Amy Wood	21/10/2015 14:27:21
Ben Reynolds: Balanced Portfolio	Ben Reynolds	Amy Wood	20/10/2015 15:27:14
Investment Bond: Unit Linked	Ben Reynolds	Amy Wood	20/10/2015 14:15:07
Linked funds on Prudential Intermediary Division Prudential Investment Plan (PIP)	Ben Reynolds	Amy Wood	15/10/2015 11:34:40
Critical Illness: Term	Ben Reynolds	Amy Wood	12/10/2015 15:09:54
Critical Illness: Term	Ben Reynolds	Amy Wood	12/10/2015 15:07:53
Linked funds on AXA Elevate Elevate Stocks & Shares ISA - Exploit	Ben Reynolds	Amy Wood	12/10/2015 12:22:59
Copy of linked funds on Standard Life Assurance Ltd Standard Life FundZone ISA	Ben Reynolds	Amy Wood	09/10/2015 13:27:27
Linked funds on Standard Life Assurance Ltd Standard Life FundZone ISA	Ben Reynolds	Amy Wood	09/10/2015 14:24:55
Term Assurance: Level	Ben Reynolds	Amy Wood	05/10/2015 15:14:13
Ben Reynolds: ISA0503	Ben Reynolds	Amy Wood	05/10/2015 15:09:01
ISA2809	Ben Reynolds	Amy Wood	28/09/2015 11:51:29
Copy of ISA2809	Ben Reynolds	Amy Wood	28/09/2015 11:50:00
Critical Illness: Term	Ben Reynolds	Amy Wood	28/09/2015 11:35:03
Individual Savings Accounts: ISA	Ben Reynolds	Amy Wood	23/09/2015 11:26:31
Critical Illness: Term	Ben Reynolds	Amy Wood	22/09/2015 10:52:07
Manual fund list:4952015	Ben Reynolds	Amy Wood	14/09/2015 10:45:00
Term Assurance: Level	Ben Reynolds	Amy Wood	03/09/2015 11:29:16
Ben Reynolds: ISA028913	Ben Reynolds	Amy Wood	02/09/2015 11:13:11
Term Assurance: Level	Ben Reynolds	Amy Wood	11/08/2015 13:27:40
Individual Savings Accounts: ISA	Ben Reynolds	Amy Wood	11/08/2015 15:26:28
Term Assurance: Level	Ben Reynolds	Amy Wood	11/08/2015 14:43:34
Ben Reynolds ISA04015	Ben Reynolds	Amy Wood	11/08/2015 14:34:30
Copy of Ben Reynolds: Individual Savings Accounts, ISA	Ben Reynolds	Amy Wood	11/08/2015 14:22:35
Half Invested Personal Pension: Full	Ben Reynolds	Amy Wood	07/08/2015 13:43:28
Linked funds on Prudential Intermediary Division Prudential Inheritance Bond	Ben Reynolds	Amy Wood	03/08/2015 11:23:04
Individual Savings Accounts: ISA	Ben Reynolds	Amy Wood	03/08/2015 11:28:43

You can then view the research you want to inspect simply by clicking on it.



The research is opened in read-only mode, as it is still “owned” by the original adviser. You will be able to see the all of the selections made on the **Features**, **Sectors**, **Conditions** or **Stats** tabs, but you will not be able to change them. You will also be able to see the list of contracts still available.

You can also view the ranking scheme the adviser has set up and reproduce **Quick Reports** or **suitability reports**.

If you do want to be able to experiment with changes to the research, then there are two options:

- Create your own copy of the research, in the usual way by clicking on the **Copy** link in the menu bar. The copied version of the research is “owned” by you, and therefore you can change it (without affecting the original).
- Ask the adviser to send their research to you. You can then amend it and send it back.

### Giving users the ability to carry out file-checks

System administrators give users the ability to carry out file-checks by opening the list of their firm’s users, opening the details of the user, and switching on the account permission labelled “Allow this user to carry out file checks”.

