

1. Competency: Four Management of Workload	Learning Outcome: 4.3 Maintain files and records in accordance with procedures
2. Evidence provided: Lexcel File Review and Checklist	
3. Outline how the evidence demonstrates you meet the outcome Demonstrate maintenance of your files and business systems: I have included a file review which is conducted as part of the Lexcel accreditation for [Redacted] County Council. The report demonstrates that I have maintained the file effectively. I am subject to regular file reviews which ensure this is an on-going competence and that I comply with the LEXCEL standards.	
4. Reflection and Evaluation I understand the importance of maintaining complete and accurate files to ensure that my firm retains its Lexcel accreditation	
5. Completion date: 22 May 2013 (ongoing)	
6. Signed (Applicant) [Redacted]	Date: 17.10.13
7. Signed (Supervisor) [Redacted]	Date: 18.10.13

1.1

FILE REVIEW SHEET

Client & Matter	CC v J and W Client: [REDACTED]
Reference Number/Fee-Earner	[REDACTED] K [REDACTED]
Reviewed by	A [REDACTED]
Date	22.05.13
Comments	None
Corrective Action Required	None
Name of Person to take Corrective Action Date corrective action to be Taken by	NA
Signature of reviewer	[REDACTED]
Signature of fee-earner	Date 22.05.13

Corrective Action Taken

Above corrective action performed
Signature of fee-earner

Date 22.05.13

Corrective action confirmed
Signature of reviewer

N/A

Date 22.05.13

Place one copy on matter file: one copy on central/departamental register

Requirement	Lexcel criteria	✓	Comments
Conflict of interest checked? – Yes, No or None.	8.3	✓	
Risk Management Procedures complied with?	6.7 (b)	✓	
Instructions recorded/confirmed in writing	Initial letter must appear on every new file and must show date it was sent	✓	
Advice given recorded/confirmed in writing		8.4 (a)	✓
Action to be taken recorded/confirmed in writing		8.4 (c)	✓
Information provided about complaints procedure		8.4 (c)	✓
Information provided about complaints procedure		7.3	✓
Key dates identified in file and entered in key date diary	8.7 (a & b)	✓	
Information on progress given to client at least six monthly	8.7 (d)	✓	
Information about changes in handling given to client (if applicable)	8.7 (e)	✓	
Timely response to letters/phone calls as per Office Manual para. 9.6	8.7 (c)	✓	
All documents/correspondence & other info. belonging to the file traceable	8.9 (b)	✓	
Any counsel, experts and others used on file recorded in central list	8.10	✓	
Status of file easily checked	8.9 (d)	✓	
Documents are arranged in the file in an orderly way	8.9 (e)	✓	
Key information shown clearly on the file	7.2	✓	
Any undertakings clearly shown	8.8	✓	
Procedures at the end of the case (F7) should only be assessed on closed files		✓	
Report to client on outcome	8.11 (a)		MA
Original documents etc. returned to client	8.11 (c)		
Client advised about storage and retrieval arrangements for papers	8.11 (d)		
Client advised whether they should review the matter in future	8.11 (e)		
Concluding Risk Assessment carried out	8.11		
Notification to Head of Legal Services (if applicable)	6.8 (f)		

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