



Lexcel v5 - case management checklist

Last updated: October 2011

		File number		
Name of organisation				
Branch address				
Fee-earner(s)				
Date				
Description of requirement				
6.6. b Key dates recorded on file and back-up system				
6.8 Conflict of interest check carried out and acted upon appropriately				
6.11.c If the file has been reviewed a record is retain on the matter file and centrally				
6.11.d Ensure any corrective action which is identified in a file review is acted upon within 28 days and verified by the reviewer				
6.12.b Assess the risk profile of all new instructions and notify the risk manager in accordance with procedures under 6.3 of any unusual or high risk considerations in order that appropriate action may be taken				
6.12.c Consider any change to the risk profile of the matter and report and advise on such circumstances without delay, informing the risk manager if appropriate				
7.2 Practices will communicate the following to clients in writing, unless an alternative form of communication is deemed more appropriate: a: establish the client's requirements and objectives				
7.2.b Provide a clear explanation of the issues involved and the options available to the client				
7.2.c Explain what the fee-earner will and will not do				
7.2.d Agree with the client the next steps to be taken				
7.2.e Keep the client informed of progress, as agreed				
7.2.f Establish in what timescale that matter will be dealt with				
7.2.g Establish the method of funding				
7.2.h Consider whether the intended action would be merited on a cost benefit analysis				
7.2.i Agree an appropriate level of service				
7.2.j Explain your responsibilities to the client and the client's responsibility to the firm				
7.2.k The client is given the name and status of the person dealing with their matter				
7.2.l The name of person responsible for the overall supervision of their matter				
7.3 Practices must have a record of any standing terms of business with regular clients				



7.4 You must give your client the best information possible about the likely overall cost of the matter, both at the outset and when appropriate, as the matter progresses, in particular you must: a: advise the client of the basis of your charging			
7.4.b Advise the client where the practice will receive a financial benefit as result of accepting instructions			
7.4.c Advise the client if the charging rates are to be increased			
7.4.d Advise your client of likely payments which you or your client may need to make to others			
7.4.e Discuss with the client how they will pay			
7.4.f Advise the client that there are circumstances where you may be entitled to exercise a lien for unpaid costs			
7.4.g Advise the client of their potential liability for any other party's costs			
8.2 Matter strategy/Complex case plan apparent on file			
8.3.a Key information must be recorded on the file			
8.3.b A timely response is made to telephone calls and correspondence from the client and others			
8.3.c Continuing cost information is provided			
8.3.d Clients are informed in writing if the person with conduct of their matter changes, or there is a change of person to whom any problem with service should be addressed			
8.4 Any undertakings shown clearly			
8.5.b Documents, files, deeds, wills or any other items relating to the matter are identifiable and traceable			
8.5.d Ensure that the status of the matter and the action taken can be easily checked by other members of the practice			
8.5.e Ensure that documents are stored on the matter file(s) in an orderly way			
6.14c Change in risk profile considered if appropriate			
8.6.b Where appropriate, consult with the client in relation to selection of advocate or other professional			
8.6.c Client informed of name and status of expert, timescales for response and disbursements, if appropriate			
7.5 Complaints procedure used if any complaint raised by client			
3.3 Time recording (may be recorded on file or central system)			
Procedures at the end of the case should only be assessed on closed files			
8.7.a Report to client on outcome			
8.7.b Account to client for money			
8.7.c Original documents returned to client			
8.7.d Client advised about storage and retrieval of papers			
8.7.e Client advised whether they should review the matter in future			
612.e Undertake a concluding risk assessment by considering if the client's objectives have been achieved			