

WBL Logbook Sheet Template

Competency e.g. 1	Learning Outcome e.g. 1.1	Example Number
4	4.3 Maintain files and records in accordance with procedure	1
Evidence provided e.g. letter to client dated 01.01.2017, Telephone attendance note dated 01.01.2017		
1.Evidence of Case Management System & filing documents in accordance with firm's procedure.		
Explain how the example meets the learning Outcome and how the evidence shows this		
<p><u>Demonstrate maintenance of your files and business systems (including databases and accounting records) in accordance with the procedure established where you work. Demonstrate keeping files up to date and processing financial transactions in accordance with rules and procedures and with due regard to information security</u></p> <p>Please see attached the evidence provided which demonstrates that I maintain my files in accordance with my firm's procedures.</p> <p>Our department has a case management system (Outlook) in which all of our individual files are stored upon. We are paper light and do not hold paper files.</p> <p>In accordance with our firm's procedure, at the outset of a file being opened we will be required to complete the following tasks:</p> <ol style="list-style-type: none"> 1. Completion of conflict checks. 2. Completion of ID checks. 3. New client proposal form. 4. New matter opening form. 5. Client care letter to the client. <p>The file will then be provided with a client number and matter number for example: EXA001.1 – a workspace will then be opened in our case management system so that I can save all of the documents relating to that file in the individual workspace.</p> <p>I am required to save all of the above completed documents in the Quality and Compliance section of our workspace for auditing/file review purposes.</p> <p>The other sections of our workspace are as follows: Bundle, Case Working Note, Correspondence, Counsel, Documents, Emails, Experts, LAA Funding, Medical Records and Notes. This allows me to save the relevant documents in each section.</p>		

In accordance with my firm's procedures, the documents which I save within my workspaces are to be named as follows (which you will see from the evidence attached):

- Date document saved to workspace;
- Title of document;
- Date of document (if different from date saved to w/s).

Reflection and evaluation

Describe what you learnt from the activity you undertook to meet the Learning Outcome. You may want to complete this section at a later date once you have had time to reflect on your practice and experience.

I understand that it is important for my files to be maintained to a high level of standard, for both my own use for the purposes of file auditing. Given that we are paper light, keeping an updated electronic file is very important as other fee earners will from time to time work on each other's files and therefore it is important that documents are easily accessible.

**Date work completed:
(i.e. evidence date)**

14/10/2021

Applicant's Name

Applicant's signature

I confirm that the work within the evidence is my own

Date

Quality and Compliance - FileSite - Outlook

FileHomeSend / ReceiveFolderViewiManageMimecastTell me what you want to do...

New Email ItemsNew PackagesSent EgressDeleteDeleteReplyReply AllForward

Move to: ?To ManagerTeam Email

MoveRulesOneNote

Unread/ ReadCategorizeFollow Up

Search PeopleAddress BookFilter Email

Show/Hide EM ToolbarRefreshFile ActionsProperties

SearchDocumentsWorkSpacesWhere Filed

iManage E-Mail Management

Search for Workspaces (shortcut) - (Ctrl+9)FilePrintSave AttachmentsActionsHelp

FavoritesInbox 4Sent ItemsDeleted Items 15GRAConsolidated Vi...BundleCase Working N...CorrespondenceCounselDocumentsE-MailsExpertsLAA FundingMedical RecordsNotesQuality and Co...

All Unread

Search Quality and Compliance (Ctrl+E)Current Folder

DESCRIPTION	DOC. NUMBER	VERSI...	CLASS	AUTHOR	EDIT TI...	E...
29.07.21 - CC Letter -	33,153,198		1 DOC	AORANGE	Thu 1...	<input type="checkbox"/>
28.07.21 - New - (Completed Matter Openin...	32,297,405		1 DOC	AORANGE	Wed 2...	<input type="checkbox"/>
28.07.21 - New - (Completed Client Proposa...	32,297,333		1 DOC	AORANGE	Wed 2...	<input type="checkbox"/>
28.07.21 - New - (Conflict Checks)	32,297,184		1 DOC	AORANGE	Wed 2...	<input type="checkbox"/>
28.07.21 - New - (Proof of ID)	32,297,125		1 DOC	AORANGE	Wed 2...	<input type="checkbox"/>
28.07.21 - New - (Proof of Address)	32,297,103		1 DOC	AORANGE	Wed 2...	<input type="checkbox"/>

28.07.21 - New - (Matter Opening Form)

ProfileViewVersionsRelatedHistoryWhere Used

New Matter Opening Form

Please complete the table below and then select 'File', 'Send To', 'Mail recipient as Attachment' and send to a member of the support team.

Client Name/Number	
Matter Description	
Supervising Partner and Fee Earner	
Fee Estimate	
Case Plan or Supervision Plan?	
Contact Details	
Is a conflict/severity requirement? If so, against what name?	
Notes - and any specific rules to be applied or should standard rules be used?	
Value of Claim/Transaction (0.00 is not an acceptable response)	
Risk Management Questions	
Q1. Will the Matter involve the buying or selling of a business, property or the managing of client money, securities or other assets and/or including providing advice about a person's tax affairs?	
Q2. Will the Matter involve the creation, operation or management of trusts, companies, forming companies or other legal persons?	
Q3. Are you acting, or arranging for another person to act as a director or secretary of a company, or a partner or a partnership, as a trustee, or as a nominee shareholder?	
Q4. Are you acting as (or on behalf of the client of) an insolvency practitioner?	
Q5. Are you providing a registered office, business address, correspondence or administrative address or other related services for a company, partnership or any other legal person or arrangement?	
Q6. Is there anyone, involved in the Matter, who appears on the Treasury Sanctions List or who may be considered to be a 'Politically Exposed Person' (see Explanatory Notes overleaf)?	
Please answer to any of Q3 to Q6 is yes then please answer Q7, Q8, Q9 and Q10.	
Q7. Are there any third parties (excluding the buyer if	