



IBP Legal Information Pack

IBP Legal are one of three centres in England and Wales to be awarded a Lexcel assessment licence by the Law Society. We have been a licensed Lexcel assessment centre for 15 years and have extensive experience in working with the legal sector.

Based in London, IBP Legal work with a team of highly qualified Assessors from all areas of the country. We help sole practitioners, legal firms of all sizes and in-house legal departments from both the private and public sector to achieve Lexcel accreditation. In doing so, we ensure that the process is independent, objective and rigorously quality controlled.



John Telfer
Managing Director

As well as providing Lexcel assessments, IBP Legal provide a range of services tailored to legal firms including Leadership and Management Development, Cyber Primed and BSI's new Valuing People Standard, BS 76000.

Click on the links within the contents list below for more information.

Contents	Page
IBP Legal Lexcel Assessment Services	2
The Lexcel Standard Version 6	3
Overlaps between the Lexcel and Specialist Quality Mark (SQM) Standards	19
Introduction to the BSI Valuing People Standard - BS 76000	3
Cyber Primed™ cyber security benchmark	3
Inspiring Leadership & Management Development	3



Lexcel Assessment Services

Following the review in 2012 of the Lexcel Assessment Delivery Service by the Law Society, Inspiring Business Performance Ltd (IBP Legal) were delighted to be awarded one of the 3 new Lexcel Assessment Licences. IBP Legal has been a licensed Lexcel assessment centre for 15 years and we have considerable experience in working with the Legal sector. We work with a team of highly qualified Assessors from all areas of the country.

IBP Legal manages and assures the quality of its Lexcel assessment services by:

- Actively managing the performance of our team of Assessors who deliver this service by working with defined policies and procedures relating to how we will manage our customers
- Ensuring that regular performance review activities take place with our Assessors, including regular quality assurance, observations and feedback
- Encouraging customer feedback so that we may regularly monitor our team's performance and our policies and procedures to enable us to deal with issues immediately, make any required changes and recognise positive feedback with our customers and our team

IBP Legal has built up a reputation amongst the legal sector for providing a high quality service and we consistently receive excellent feedback. Our Quality Policy is available to view on the Lexcel section of our website – www.inspiring.uk.com/Lexcel

IBP Legal has a dedicated Lexcel Quality Manager, Josie Addleton, with 15 years experience of assessing and working with the legal sector and the Lexcel Standard, who is responsible for performance management of the team, training and development of new Assessors, and quality assurance of all work as well as being the point of contact for any client with a query regarding Lexcel. Josie is also the first point of contact for firms who have visits planned should they have any queries regarding the process.

We would be happy to discuss your Lexcel journey, whether you are just starting out or have been accredited for some time. A visit can be arranged to discuss Lexcel if you would find this helpful.

If you would like to book an assessment with IBP Legal or would simply like to discuss Lexcel and the service IBP Legal can provide, please contact our Lexcel Quality Manager, Josie Addleton, who would be happy to arrange a visit, assist you in booking an assessment, provide an estimate of costs, or answer any questions you may have.

Contact Details:

Josie Addleton	Quality Manager	07971 509502	josieaddleton@inspiring.uk.com
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The Law Society



Lexcel England and Wales v6 Standard for legal practices

*Excellence in legal practice
management and client care*



Contents

About Lexcel	3
Glossary of terms	5
1 Structure and strategy	7
2 Financial management	7
3 Information management	8
4 People management	8
5 Risk management	9
6 Client care	12
7 File and case management	14

About Lexcel

- With ever-increasing competitive forces and client demands, it's vital to manage the quality and delivery of legal services. A quality management system demonstrates commitment and an ability to consistently deliver services that meet client expectations, improve overall satisfaction and assist regulatory compliance.
- Designed specifically for the legal sector, Lexcel is the Law Society's Standard for excellence in practice management and client care. It provides a flexible, supportive management framework to help practices develop consistent operational efficiencies and client service, manage risk effectively, reduce costs and promote profitability.
- Lexcel defines quality management procedures in seven areas: structure and strategy, financial management, information management, people management, risk management, client care, and file and case management.
- Achieving accreditation involves the submission of an application form and subsequent assessment by an independent assessment body. Lexcel accreditation is awarded for three years, with annual re-accreditation and monitoring visits to ensure continued compliance.
- Practices are required to achieve and maintain the stated requirements in the Standard. The independent assessment process validates that these have been met.
- Lexcel is owned and managed by the Law Society of England and Wales. This includes developing the Standard and associated products, administration and review of all applications, overseeing the assessment process and promoting the scheme. Except where specific franchise agreements are in place, the Law Society of England and Wales is the only body authorised to award Lexcel accreditation.

Who is Lexcel for?

- Legal practices in any jurisdiction in the world can apply for accreditation against the Lexcel Standard, regardless of the size or type of work undertaken. See the **Scheme rules** for further details.
- Two versions of Lexcel are available to reflect the needs of domestic and international markets:
 - **Lexcel England and Wales** - version 6 of the Standard for legal practices in England and Wales.
 - **Lexcel International** - version 5 of the Standard for practices in England and Wales with independent offices overseas and practices in foreign jurisdictions.
- Lexcel England and Wales is divided into two versions to meet the needs of legal practices and in-house legal departments. These entities are defined as:
 - **A law practice** in the form of partnerships, limited liability partnerships, sole practitioners, incorporated law firms and alternative business structures (ABS) authorised and regulated by the Solicitors Regulation Authority (SRA).
 - **An in-house legal department**, including those in corporations, public sector (including ABS'), law centres, not-for-profit and government organisations.
- For ease of reference, the generic term 'practice' is used throughout the Standard.
- Practices whose head office is in England and Wales must be authorised and regulated by the Solicitors Regulation Authority.
- Practices with multiple offices can apply by jurisdiction. For example, a law firm with five offices across England and Wales must submit one application and be assessed across all five offices. In contrast,

one that has two offices in England and Wales and an independent office overseas would need to submit two applications, if they wanted to apply for Lexcel across multiple jurisdictions. It is not mandatory for all offices across multiple jurisdictions to apply for Lexcel. Please see the **Scheme rules** for further details.

- Lexcel can be combined with other quality standards including ISO 9001, Investors in People and the Specialist Quality Mark (SQM) and could reduce the time and cost of assessment. A joint assessment may also be possible.
- Lexcel is accepted as a quality standard by the Legal Aid Agency, instead of accreditation against the SQM.
- An annual practice registration fee is payable to the Law Society and a fee is also payable to the independent assessment body.
- The annual practice registration fee is divided into five bands, based on the total number of admitted and non-admitted fee earners at the practice:
 - 1 fee earner
 - 2 – 15 fee earners
 - 16 – 40 fee earners
 - 41 – 85 fee earners
 - 86+ fee earners

Glossary of terms and guidance

- **Emboldened words** (apart from document headings) in the Lexcel Standard are defined in the **Glossary of terms**.
- A main requirement is presented in tabular form in the left-hand column. Specific requirements are listed in the right-hand column as sub-clauses.
- Separate **Guidance notes** provide further explanation of requirements and are divided into general and specific guidance based on the practice size:
 - General guidance – All practices
 - Specific guidance – For practices with 1 fee earner
 - Specific guidance – For small and medium practices (2 – 85 fee earners)
 - Specific guidance – For large practices (86+ fee earners).
- Practices have the flexibility to implement procedures that are appropriate to their circumstances in order to meet requirements in the Standard.
- Most practices will document all procedures in an office manual, but there is no specific requirement that prevents procedures being documented in a number of different sources.
- Although Lexcel will help practices comply with some aspects of legislation, accreditation does not guarantee compliance with local laws. This remains the responsibility of the practice.

Questions?

- If, after reading the Standard, **Scheme rules** and **Guidance notes**, you have any questions regarding Lexcel, please do not hesitate to contact us:
- **Tel:** +44 (0)20 7320 5933 **Email:** lexcel@lawsociety.org.uk

Glossary of terms

Term	Definition
Authorisations	Practices need to consider whether authorisation procedures need to be in place whereby different personnel are given permission to approve expenditure to pre-defined levels.
Corporate social responsibility (CSR)	For the purposes of Lexcel, CSR is defined as the commitment by a practice to operate in an ethical manner and contribute in a positive way to society. This is an optional requirement for practices, although practices tendering for the provision of legal services to organisations may be required to have a CSR policy in place.
Evaluation	To make a judgement.
Flexible working	Flexible working practices have become increasingly relevant to the legal sector as part of recruitment and retention. Some examples of flexible working are part time working, annualised hours, compressed hours and remote working.
Malicious software (malware)	Software that is used to disrupt computer operation, gather sensitive data or gain access to private computer systems.
Must	A mandatory requirement.
Objectives	Any objectives agreed and set out need to be measurable. They will require some form of quantification or have indicators of progress to measure performance.
Personnel	All employed staff which includes a principal, locums, partners, members and directors.
Plan(s)	A ' plan ' is a documented outline of where a practice desires to be in the future and describes how it intends to arrive at that destination. A plan can be described as a map which supports practices to arrive at their desired destination in the future. In general, the Lexcel Standard permits practices to develop plans in the manner and detail that the practice considers appropriate, assuming a basic level of adequacy. All plans must have a named person who is responsible for the plan . They must also be reviewed at least annually.
Policy / policies	A ' policy ' is a documented general approach taken within the practice to the issue in question. A policy defines why a particular approach is adopted by the practice. All policies must have a named person who is responsible for the policy . They must also be reviewed at least annually.
Procedure(s)	A ' procedure ' is a written description of how an activity will occur within the practice. A procedure describes the steps that personnel are required to follow in order to complete an activity. At an assessment, a procedure can only be said to be complied with if the assessor can observe that the procedure contained in the practice's documentation is in effective operation. All procedures must have a named person who is responsible for the procedure . They must also be reviewed at least annually.

Glossary of terms (continued)

Term	Definition
Reasonable adjustments	The duty to make reasonable adjustments is a legal responsibility under anti-discrimination legislation. The requirement is intended to make sure that disabled people do not face difficulties in employment, education or when using services. A reasonable adjustment is a reasonable step taken to prevent a disabled person suffering a substantial disadvantage compared with people who are not disabled.
Register	Multiple records that are held in hard copy or electronic format.
Risk register	A risk register is a record of the risks facing the practice. There is no fixed format for the risk register prescribed by Lexcel. It should indicate who has responsibility for a particular risk and any measures taken by the practice to mitigate or reduce the risk.
Role profile	A description of the role undertaken by an individual including the key purpose of the role, summary of responsibilities and the skills and experience required of the individual.
Should	An optional requirement. In some cases, practices may be required to explain why they have chosen not to implement a requirement by their Lexcel assessor.
Strategic plan	A strategic plan identifies the practice's goals and the activities necessary to achieve those goals.
Supervisor(s)	A person(s) who is(are) of sufficient seniority and in a position of sufficient responsibility with the appropriate skills and experience to guide and assist others.

Standard for legal practices

1 Structure and strategy

1.1 Practices must have documentation setting out the:	<ul style="list-style-type: none"> a. legal framework under which they operate b. management structure which designates the responsibilities of individuals and their accountability.
1.2 Practices must have a strategic plan , which must include:	<ul style="list-style-type: none"> a. objectives for at least the next 12 months b. the identification of resources required to meet the objectives c. the services the practice wishes to offer d. the client groups to be served e. how services will be delivered and marketed f. documented risk evaluation of objectives g. procedures for regular reporting on performance.
1.3 Practices must have a business continuity plan , which must include:	<ul style="list-style-type: none"> a. an evaluation of potential risks that could lead to business interruption b. ways to reduce, avoid and/or transfer the risks c. key people relevant to the implementation of the plan d. a procedure to test the plan annually, to verify that it would be effective in the event of a business interruption.
1.4 Practices should have a policy in relation to corporate social responsibility .	

2 Financial management

2.1 Practices must document the person who has overall responsibility for financial management.	
2.2 Practices must be able to provide documentary evidence of their financial management procedure , including:	<ul style="list-style-type: none"> a. annual budget including income and expenditure b. annual income and expenditure accounts c. annual balance sheet d. annual income and expenditure forecast to be reviewed quarterly e. variance analysis conducted at least quarterly of income and expenditure against budgets f. variance analysis conducted at least quarterly of cash flow and cash flow forecast.
2.3 Practices should have a time recording procedure .	
2.4 Practices must have a procedure in relation to billing clients, which must include:	<ul style="list-style-type: none"> a. the frequency and terms for billing clients b. credit limits for new and existing clients c. debt management.
2.5 Practices handling financial transactions must have a procedure , which must include:	<ul style="list-style-type: none"> a. the transfer of funds b. the management of funds received by the practice c. authorisations.

3 Information management

<p>3.1 Practices must have an information management and security policy, which must include:</p>	<ul style="list-style-type: none"> a. a register of relevant information assets of both the practice and clients b. procedures for the protection and security of the information assets c. procedures for the retention and disposal of information d. the use of firewalls e. procedures for the secure configuration of network devices f. procedures to manage user accounts g. procedures to detect and remove malicious software h. a register of all software used by the practice i. training for personnel on information security j. a plan for the updating and monitoring of software.
<p>3.2 Practices must have an e-mail policy, which must include:</p>	<ul style="list-style-type: none"> a. the scope of permitted and prohibited use b. procedures for monitoring personnel using e-mail c. procedures for the storage and destruction of e-mails.
<p>3.3 If the practice has a website, the practice must have a website management policy, which must include:</p>	<ul style="list-style-type: none"> a. a procedure for content approval, publishing and removal b. the scope of permitted and prohibited content c. procedures for the management of its security d. consideration of accessibility requirements for disabled clients.
<p>3.4 Practices must have an internet access policy, which must include:</p>	<ul style="list-style-type: none"> a. the scope of permitted and prohibited use b. procedures for monitoring personnel accessing the internet.
<p>3.5 Practices must have a social media policy, which must include:</p>	<ul style="list-style-type: none"> a. a procedure for participating in social media on behalf of the practice b. the scope of permitted and prohibited content.
<p>3.6 Practices must have:</p>	<ul style="list-style-type: none"> a. a register of each plan, policy and procedure that is contained in the Lexcel Standard b. a named person responsible for each policy, plan and procedure that is contained in the Lexcel Standard c. a procedure for the review of each policy, plan and procedure that is contained in the Lexcel Standard.

4 People management

<p>4.1 Practices must have a policy in relation to the health and safety of all personnel and visitors to the practice.</p>	
<p>4.2 Practices must have an equality and diversity policy, which must include:</p>	<ul style="list-style-type: none"> a. recruitment, selection and progression b. a procedure to deal with complaints and disciplinary issues in breach of the policy c. procedure to monitor diversity and collate equality data d. training of all personnel on compliance with equality and diversity requirements e. procedures for reasonable adjustments for personnel.

Standard for legal practices

4 People management (continued)

4.3 Practices must have a learning and development policy , which must include:	<ul style="list-style-type: none"> a. ensuring that appropriate training is provided to personnel within the practice b. ensuring that all supervisors and managers receive appropriate training c. a procedure to evaluate training d. a learning and development plan for all personnel.
4.4 Practices must list the tasks to be undertaken by all personnel within the practice usually in the form of a role profile .	
4.5 Practices must have procedures to deal effectively with recruitment selection and progression, which must include:	<ul style="list-style-type: none"> a. the identification of vacancies b. the drafting of the job documentation c. methods of attracting candidates d. clear and transparent selection e. storage, retention and destruction of records f. references and ID checking. g. where appropriate, the checking of disciplinary records.
4.6 Practices must conduct an appropriate induction for all personnel , including those transferring roles within the practice and must cover:	<ul style="list-style-type: none"> a. the management structure and the individual's responsibilities b. terms and conditions of employment c. immediate training requirements d. key policies.
4.7 Practices must have a procedure which details the steps to be followed when a member of personnel ceases to be an employee, which must include:	<ul style="list-style-type: none"> a. the handover of work b. exit interviews c. the return of property belonging to the practice.
4.8 Practices must have a performance management policy , which must include:	<ul style="list-style-type: none"> a. the practice's approach to performance management b. performance review periods and timescales.
4.9 Practices must have a whistleblowing policy .	
4.10 Practices must have a flexible working policy .	

5 Risk management

5.1 Practices must have a risk management policy , which must include:	<ul style="list-style-type: none"> a. a compliance plan b. a risk register c. defined risk management roles and responsibilities d. arrangements for communicating risk information.
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5 Risk management (continued)

<p>5.2 Practices must have a policy in relation to outsourced activities, which must include:</p>	<ul style="list-style-type: none"> a. details of all outsourced activities including providers b. procedures to check the quality of outsourced work c. procedures to ensure providers have taken appropriate precautions to ensure information will be protected.
<p>5.3 There must be a named supervisor for each area of work undertaken by the practice.</p>	
<p>5.4 Practices must have procedures to manage instructions, which may be undertaken even though they have a higher risk profile, including unusual supervisory and reporting requirements or contingency planning.</p>	
<p>5.5 Practices must maintain lists of work that the practice will and will not undertake. This information must be communicated to all relevant personnel and must be updated when changes occur.</p>	
<p>5.6 Practices must maintain details of the generic risks and causes of claims associated with the area(s) of work undertaken by the practice. This information must be communicated to all relevant personnel.</p>	
<p>5.7 Practices must have a procedure to monitor key dates, which must include:</p>	<ul style="list-style-type: none"> a. the definition of key dates by work type b. ensuring that key dates are recorded on the file and in a back-up system.
<p>5.8 Practices must have a policy on the handling of conflicts, which must include:</p>	<ul style="list-style-type: none"> a. the definition of conflicts b. training for all relevant personnel to identify conflicts c. steps to be followed when a conflict is identified.
<p>5.9 Practices must have a procedure to ensure that all personnel, both permanent and temporary, are actively supervised. Such procedures must include:</p>	<ul style="list-style-type: none"> a. checks on incoming and outgoing correspondence where appropriate b. departmental, team and office meetings and communication structures c. reviews of matter details in order to ensure good financial controls and the appropriate allocation of workloads d. the exercise of devolved powers in publicly funded work e. the availability of a supervisor f. allocation of new work and reallocation of existing work, if necessary.
<p>5.10 Practices must have a procedure to ensure that all those doing legal work check their files regularly for inactivity.</p>	

5 Risk management (continued)

<p>5.11 Practices must have a procedure for regular, independent file reviews of either the management of the file or its substantive legal content, or both. In relation to file reviews, practices must:</p>	<ul style="list-style-type: none"> a. define and explain file selection criteria b. define and explain the number and frequency of reviews c. retain a record of the file review on the matter file and centrally d. ensure any corrective action, which is identified in a file review, is acted upon within 28 days and verified e. ensure that the designated supervisor reviews and monitors the data generated by file reviews f. conduct a review at least annually of the data generated by file reviews.
<p>5.12 Operational risk must be considered and recorded in all matters before, during and after the processing of instructions. Before the matter is undertaken, the fee earners must:</p>	<ul style="list-style-type: none"> a. consider if a new client and/or matter is accepted by the practice, in accordance with section 6.1 and 6.7 below b. assess the risk profile of all new instructions and notify the supervisor, in accordance with procedures under 5.4, of any unusual or high risk considerations in order that appropriate action may be taken. <p>During the retainer the fee earner must:</p> <ul style="list-style-type: none"> c. consider any change to the risk profile of the matter and report and advise on such circumstances without delay, informing the supervisor if appropriate d. inform the client in all cases where an adverse costs order is made against the practice in relation to the matter in question. <p>At the end of the matter the fee earner must:</p> <ul style="list-style-type: none"> e. undertake a concluding risk assessment by considering if the client's objectives have been achieved f. notify the supervisor of all such circumstances in accordance with documented procedures in section 5.4 above.
<p>5.13 Practices must have a policy to ensure compliance with anti-money laundering legislation, which must include:</p>	<ul style="list-style-type: none"> a. the appointment of a nominated officer usually referred to as a Money Laundering Reporting Officer (MLRO) b. a procedure for making disclosures within the practice and by the MLRO to the authorities c. procedures for checking the identity of the practice's clients d. a plan for the training of personnel e. procedures for the proper maintenance of records.
<p>5.14 Practices should have a policy in relation to the avoidance of involvement in property and mortgage fraud, which must include:</p>	<ul style="list-style-type: none"> a. carrying out relevant checks in relation to the conveyancer acting for the other party.
<p>5.15 Practices must have a policy setting out the procedures to prevent bribery in accordance with current legislation.</p>	

5 Risk management (continued)

<p>5.16 Practices will analyse at least annually all risk assessment data generated within the practice. This must include:</p>	<ul style="list-style-type: none"> a. any indemnity insurance claims (where applicable) b. an analysis of client complaints trends c. data generated by file reviews d. any matters notified to the COLP and/or COFA e. any material breaches notified to the SRA f. any non-material breaches recorded g. situations where the practice acted where a conflict existed h. the identification of remedial action.
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6 Client care

<p>6.1 Practices must have a policy for client care, including:</p>	<ul style="list-style-type: none"> a. how enquiries from potential clients will be dealt with b. ensuring that before taking on a client, the practice has sufficient resources and competence to deal with the matter c. protecting client confidentiality d. a timely response is made to telephone calls and correspondence from the client and others e. a procedure for referring clients to third parties f. the provision of reasonable adjustments for disabled clients.
<p>6.2 Practices must communicate the following to clients in writing, unless an alternative form of communication is deemed more appropriate:</p>	<ul style="list-style-type: none"> a. where appropriate, establish the client's requirements and objectives b. provide a clear explanation of the issues involved and the options available to the client c. explain what the fee earner will and will not do d. agree with the client the next steps to be taken e. keep the client informed of progress, as agreed f. establish in what timescale that matter will be dealt with g. establish the method of funding h. where appropriate, consider whether the intended action would be merited on a cost benefit analysis i. agree an appropriate level of service j. explain the practice's responsibilities and the client's k. provide the client with the name and status of the person dealing with their matter l. provide the client with the name and status of the person responsible for the overall supervision of their matter.
<p>6.3 Practices must have a record of any standing terms of business with regular clients. The practice must be able to produce such terms in relation to issues covered by this section.</p>	

Standard for legal practices

6 Client care (continued)

<p>6.4 Practices must give clients 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 practices must:</p>	<ul style="list-style-type: none"> a. advise the client of the basis of the practice's charging b. advise the client where the practice will receive a financial benefit as a result of accepting instructions c. advise the client if the charging rates are to be increased d. advise the client of likely payments which the practice or the client may need to make to others e. discuss with the client how they will pay f. advise the client that there are circumstances where the practice may be entitled to exercise a lien for unpaid costs g. advise the client of their potential liability for any other party's costs.
<p>6.5 Practices must operate a written complaints handling procedure, including:</p>	<ul style="list-style-type: none"> a. the definition of what the practice regards as a complaint b. informing the client at the outset of the matter, that in the event of a problem they are entitled to complain c. the name of the person with overall responsibility for complaints d. providing the client with a copy of your practice's complaints procedure, if requested e. once a complaint has been made, the person complaining is informed in writing: <ul style="list-style-type: none"> i. how the complaint will be handled; and ii. in what time they will be given an initial and/or substantive response f. recording and reporting centrally all complaints received from clients g. identifying the cause of any problems of which the client has complained, offering any appropriate redress, and correcting any unsatisfactory procedures.
<p>6.6 Practices must have a procedure to monitor client satisfaction across all areas of the practice.</p>	
<p>6.7 Practices must have a procedure to accept or decline instructions, which must include:</p>	<ul style="list-style-type: none"> a. how decisions are made to accept instructions from new and existing clients b. how decisions are made to stop acting for an existing client c. how decisions are made to decline instructions.

7 File and case management

<p>7.1 Practices must ensure that the strategy for a matter is always apparent on the matter file and that in complex cases a project plan is developed.</p>	
<p>7.2 Practices must document procedures for the giving, monitoring and discharge of undertakings.</p>	
<p>7.3 Practices must have a procedure to:</p>	<ul style="list-style-type: none"> a. list open and closed matters, identify all matters for a single client and linked files where relevant and all files for a particular funder b. ensure that they are able to identify and trace any documents, files, deeds, wills or any other items relating to the matter c. safeguard the confidentiality of matter files and all other client information d. ensure that the status of the matter and the action taken can be easily checked by other members of the practice e. ensure that documents are stored on the matter file(s) in an orderly way.
<p>7.4 Practices will have procedures to ensure that matters are progressed in an appropriate manner. In particular:</p>	<ul style="list-style-type: none"> a. key information must be recorded on the file b. a timely response is made to telephone calls and correspondence from the client and others c. continuing cost information is provided 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 may be addressed.
<p>7.5 Practices must have a documented procedure for using barristers, expert witnesses and other external advisers who are involved in the delivery of legal services, which must include provision for the following:</p>	<ul style="list-style-type: none"> a. use of clear selection criteria in line with the equality and diversity policy b. where appropriate, consult with the client in relation to the selection of an advocate or other professional c. advising the client of the name and status of the person being instructed, how long she/he might take to respond and, where disbursements are to be paid by the client, the cost involved d. maintenance of records (centrally, by department or office) on barristers and experts used, including evidence of assessment against the criteria e. evaluation of performance, for the information of other members of the practice f. giving clear instructions g. checking of opinions and reports received to ensure they adequately provide the information sought (and, in litigation matters, comply with the rules of court and any court orders) h. payment of fees.

7 File and case management (continued)

<p>7.6 Practices must have procedures to ensure that, at the end of the matter, the practice:</p>	<ul style="list-style-type: none">a. if required, reports to the client on the outcome and explains any further action that the client is required to take in the matter and what (if anything) the practice will dob. accounts to the client for any outstanding moneyc. returns to the client any original documents or other property belonging to the client if required (save for items which are by agreement to be stored by the practice)d. if appropriate, advises the client about arrangements for storage and retrieval of papers and other items retained (in so far as this has not already been dealt with, for example in terms of business) and any charges to be made in this regarde. advises the client whether it is appropriate to review the matter in future and, if so, when and whyf. archives and destroys files in an appropriate manner.
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The Law Society



Excellence in legal practice management
and client care

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Lexcel England and Wales v6
Overlap with the Specialist Quality Mark (SQM)
Excellence in practice management and client care



Introduction

- This document is to highlight the differences between both Lexcel v6 - England and Wales for legal practices and in-house legal departments against the Specialist Quality Mark (SQM) requirements.

Guidance

- The left hand and centre columns lists the relevant Lexcel Standard where there is an overlap. If a Lexcel requirement is not listed it is because there is no overlap with SQM.
- The left hand column lists the legal practice Standard requirement.
- The centre column lists the in-house legal department Standard requirement
- The right hand column lists the relevant SQM requirement. Colour coding has been used to clarify the requirement:
 - **Amber** indicates that there is some similarity between the Lexcel and SQM requirement but to achieve Lexcel further work is required.
 - **Green** indicates that the Lexcel and SQM requirement is the same.

Questions

- If you are interested in obtaining the Lexcel Standard and want to understand the Lexcel requirements in more detail, please do not hesitate to contact us:
- **Tel:** +44 (0)20 7320 5933 **Email:** llexcel@lawsociety.org.uk

Lexcel England and Wales (v6) - overlaps with the SQM

Lexcel Standard (Legal Practices)	Lexcel Standard (In-house)	SQM Requirement
1.1 Practices must have documentation setting out the: b. management structure which designates the responsibilities of individuals and their accountability	1.1 The department must have documentation setting out the: b. management structure which designates the responsibilities of individuals and their accountability	C1.1, C1.2
1.2 Practices must have a strategic plan , which must include:	1.2 The department or its organisation must have a strategic plan . Where the department relies upon their organisation's strategic plan this must set out the departments' objectives. The plan should include:	A1.1
a. objectives for at least the next 12 months	a. objectives for at least the next 12 months	A1.1
b. the services the practice wishes to offer	b. the identification of resources required to meet the objectives	A1.1
c. the client groups to be served	c. the services the department wishes to offer	A1.1
d. how services will be delivered and marketed	d. the client groups to be served	A1.1
2.1 Practices must document the person who has overall responsibility for financial management.	2.1 The organisation must document the person who has overall responsibility for financial management of the department.	C2.1
2.2 Practices must be able to provide documentary evidence of their financial management procedure , including:	2.2 The department should be able to provide documentary evidence of their financial management procedure , including:	C2.2, C2.4
a. annual budget including income and expenditure	a. annual budget including income and expenditure	C2.2b
b. annual income and expenditure accounts	b. variance analysis conducted at least quarterly of income and expenditure against budgets.	C2.3
c. annual balance sheet	N/A	C2.3
d. annual income and expenditure forecast to be reviewed quarterly	N/A	C2.2b
e. variance analysis conducted at least quarterly of income and expenditure against budgets	N/A	C2.4
3.6 Practices must have:	3.6 The organisation or department must have:	G4.1

Lexcel Standard (Legal Practices)	Lexcel Standard (In-house)	SQM Requirement
a. a register of each plan, policy and procedure that is contained in the Lexcel Standard	a. a register of each plan, policy and procedure that is contained in the Lexcel Standard	G4.1
b. a named person responsible for each policy, plan and procedure that is contained in the Lexcel Standard	b. the named person responsible for each policy, plan and procedure that is contained in the Lexcel Standard	G4.1
c. a procedure for the review of each policy, plan and procedure that is contained in the Lexcel Standard.	c. a procedure for the review of each policy, plan and procedure that is contained in the Lexcel Standard.	G3.2 - requires quality procedures to be reviewed annually.
4.2 Practices must have an equality and diversity policy , which must include:	4.2 The department or the organisation must have an equality and diversity policy , which should include:	D1.3
a. recruitment, selection and progression	a. recruitment, selection and progression	D1.3
4.3 Practices must have a learning and development policy , which must include:	4.3 The department must be encompassed by the organisation's learning and development policy , which should include:	D2.3, D3.4
a. ensuring that all supervisors and managers receive appropriate training	a. ensuring that appropriate training is provided to personnel	D2.3, D3.4
b. a learning and development plan for all personnel .	b. ensuring that all supervisors and managers receive appropriate training	D2.3
4.4 Practices must list the tasks to be undertaken by all personnel within the practice usually in the form of a role profile .	4.4 The organisation or department must list the tasks to be undertaken by all personnel within the department usually in the form of a role profile .	D1.1, D1.2
4.5 Practices must have procedures to deal effectively with recruitment selection and progression, which must include:	4.5 The department must be encompassed by the organisation's procedures to deal effectively with recruitment selection and progression, or have procedures particular to the department, which should include:	D1.1, D1.4
b. the drafting of the job documentation	b. the drafting of the job documentation	D1.1
d. clear and transparent selection	d. clear and transparent selection	D1.4
f. references and ID checking	f. references and ID checking	D1.4

Lexcel Standard (Legal Practices)		Lexcel Standard (In-house)		SQM Requirement
4.6	Practices must conduct an appropriate induction for all personnel , including those transferring roles within the practice and must cover:	4.6	The department must be encompassed by the organisation's induction arrangements for personnel , or have arrangements particular to the department, including those transferring roles within the organisation and should cover:	D2.1
	a. the management structure and the individual's responsibilities		a. the management structure and the individual's responsibilities	D2.1
4.8	Practices must have a performance management policy , which must include:	4.8	The department must be encompassed by the organisation's performance management policy or have a policy that is particular to the department, which should include:	D2.2
	a. the practice's approach to performance management		a. the organisation or department's approach to performance management	D2.2
	b. performance review periods and timescales.		b. performance review periods and timescales.	D2.2
5.7	Practices must have a procedure to monitor key dates, which must include:	5.7	The department must have a procedure to monitor key dates, or be encompassed by the organisation's procedure , which must include:	E1.2c
	a. the definition of key dates by work type		a. the definition of key dates by work type for the department	E1.2c
	b. ensuring that key dates are recorded on the file and in a back-up system.		b. ensuring that key dates are recorded on the file and in a back-up system.	E1.2c
5.8	Practices must have a policy on the handling of conflicts, which must include:	5.8	The department must be encompassed by the organisation's policy on the handling of conflicts, or have a policy that is particular to the department, which should include:	E1.2a
	a. the definition of conflicts		a. the definition of conflicts	E1.2a
	b. training for all relevant personnel to identify conflicts		b. training for all relevant personnel to identify conflicts	E1.2a
	c. steps to be followed when a conflict is identified.		c. steps to be followed when a conflict is identified.	E1.2a
5.9	Practices must have a procedure to ensure that all personnel , both permanent and temporary, are actively supervised. Such procedures must include:	5.9	The department must be encompassed by the organisation's procedure to ensure that all personnel , both permanent and temporary, are actively supervised, or have procedures that are particular to their department. Such procedures must	D4

Lexcel Standard (Legal Practices)	Lexcel Standard (In-house)	SQM Requirement
	include:	
a. checks on incoming and outgoing correspondence where appropriate	a. checks on incoming and outgoing correspondence, where appropriate	D4
b. departmental, team and office meetings and communication structures	b. departmental, team and office meetings and communication structures, where appropriate	D4
c. reviews of matter details in order to ensure good financial controls and the appropriate allocation of workloads	c. reviews of matter details in order to ensure good financial controls and the appropriate allocation of workloads, where appropriate	D4.1
e. the availability of a supervisor	e. the availability of a supervisor	D3.1
f. allocation of new work and reallocation of existing work, if necessary.	f. allocation of new work and reallocation of existing work, if necessary.	D4.1, D4.3
5.10 Practices must have a procedure to ensure that all those doing legal work check their files regularly for inactivity.	5.10 The department must have a procedure to ensure that all those doing legal work check their files regularly for inactivity.	E1.2e
5.11 Practices must have a procedure for regular, independent file reviews of either the management of the file or its substantive legal content, or both. In relation to file reviews, practices must :	5.11 The department must have a procedure for regular, independent file reviews of either the management of the file or its substantive legal content, or both. In relation to file reviews, the department must :	E2.1
a. define and explain file selection criteria	a. define and explain file selection criteria	E2.1a, E2.1b
b. define and explain the number and frequency of reviews	b. define and explain the number and frequency of reviews	E2.1a
c. retain a record of the file review on the matter file and centrally	c. retain a record of the file review on the matter file and centrally	E2.4, E2.5
d. ensure any corrective action, which is identified in a file review, is acted upon within 28 days and verified	d. ensure any corrective action, which is identified in a file review, is acted upon within 28 days and verified	E2.1, E2.4
e. ensure that the designated supervisor reviews and monitors the data generated by file reviews	e. ensure that the designated supervisor reviews and monitors the data generated by file reviews	E2.2
f. conduct a review at least annually of the data generated by file reviews.	f. conduct a review at least annually of the data generated by file reviews.	E2.6

Lexcel Standard (Legal Practices)	Lexcel Standard (In-house)	SQM Requirement
<p>5.12 During the retainer the fee earner must:</p> <ul style="list-style-type: none"> c. consider any change to the risk profile of the matter and report and advise on such circumstances without delay, informing the supervisor if appropriate d. inform the client in all cases where an adverse costs order is made against the practice in relation to the matter in question. 	<p>5.12 During the retainer the legal advisor must:</p> <ul style="list-style-type: none"> c. consider any change to the risk profile of the matter and report and advise on such circumstances without delay, informing the supervisor if appropriate d. inform the client in all cases where an adverse costs order is made against the organisation in relation to the matter in question. 	F2.3b
<p>5.16 Practices will analyse at least annually all risk assessment data generated within the practice. This must include:</p> <ul style="list-style-type: none"> b. an analysis of client complaints trends 	<p>5.15 The department must be included in the organisations analysis of risk assessment data that is generated or undertake an analysis of risk data particular to their department. This should include:</p> <ul style="list-style-type: none"> b. an analysis of client complaints trends 	G1.3
<ul style="list-style-type: none"> e. data generated by file reviews 	N/A	E2.6
<p>6.1 Practices must have a policy for client care, including:</p> <ul style="list-style-type: none"> c protecting client confidentiality 	<p>6.1 The department must have a policy for client care, which should include:</p> <ul style="list-style-type: none"> c protecting client confidentiality 	F4.1
<ul style="list-style-type: none"> f. the provision of reasonable adjustments for disabled clients. 	<ul style="list-style-type: none"> f. the provision of reasonable adjustments for disabled clients. 	A3.1
<p>6.2 Practices must communicate the following to clients in writing, unless an alternative form of communication is deemed more appropriate:</p>	<p>6.2 The department must communicate the following to clients in writing, unless an alternative form of communication is deemed more appropriate:</p>	F1.1
<ul style="list-style-type: none"> a. where appropriate, establish the client’s requirements and objectives 	<ul style="list-style-type: none"> a. where appropriate, establish the client’s requirements and objectives 	F1.1a
<ul style="list-style-type: none"> b. provide a clear explanation of the issues involved and the options available to the client 	<ul style="list-style-type: none"> b. provide a clear explanation of the issues involved and the options available to the client 	F1.1b
<ul style="list-style-type: none"> g. establish the method of funding 	<ul style="list-style-type: none"> g. where appropriate, establish the method of funding 	F1.1d

Lexcel Standard (Legal Practices)	Lexcel Standard (In-house)	SQM Requirement
k. provide the client with the name and status of the person dealing with their matter	k. provide the client with the name and status of the person dealing with their matter	F1.1c
l. provide the client with the name and status of the person responsible for the overall supervision of their matter.	l. where appropriate, the client is given the name and status of the person responsible for the overall supervision of their matter.	F1.1c
6.5 Practices must operate a written complaints handling procedure , including:	6.5 The department must be encompassed by the organisation's complaints handling procedure or have a procedure particular to the department, which should include:	G1.1, G1.2, G1.3
a. the definition of what the practice regards as a complaint	a. the definition of what the organisation regards as a complaint	G1.2
b. informing the client at the outset of the matter, that in the event of a problem they are entitled to complain	b. informing the client at the outset of the matter, that in the event of a problem they are entitled to complain	G1.1
c. the name of the person with overall responsibility for complaints	c. the name of the person with overall responsibility for complaints	G1.3
d. providing the client with a copy of your practice's complaints procedure , if requested	d. providing the client with a copy of the organisation's or department's complaints procedure , if requested	G1.1
e. once a complaint has been made, the person complaining is informed in writing: (i) how the complaint will be handled; and (ii) in what time they will be given an initial and/or substantive response	e. once a complaint has been made, the person complaining is informed in writing: (i) how the complaint will be handled; and (ii) in what time they will be given an initial and/or substantive response	G1.1
f. recording and reporting centrally all complaints received from clients	f. recording and reporting centrally all complaints received from clients	G1.3
g. identifying the cause of any problems of which the client has complained, offering any appropriate redress, and correcting any unsatisfactory procedures .	g. identifying the cause of any problems of which the client has complained, offering any appropriate redress, and correcting any unsatisfactory procedures .	G1.2
6.6 Practices must have a procedure to monitor client satisfaction across all areas of the practice.	6.6 The department must be encompassed by the organisation's procedure to monitor client satisfaction or have a procedure that is particular to the department.	G2.1

Lexcel Standard (Legal Practices)	Lexcel Standard (In-house)	SQM Requirement
7.1 Practices must ensure that the strategy for a matter is always apparent on the matter file and that in complex cases a project plan is developed.	7.1 The department must ensure that the strategy for a matter is always apparent on the matter file and that in complex cases a project plan is developed.	E1.3, F2.1
7.2 Practices must document procedures for the giving, monitoring and discharge of undertakings.	7.2 The department must document procedures for the giving, monitoring and discharge of undertakings.	E1.2d
7.3 Practices must have a procedure to: a. list open and closed matters, identify all matters for a single client and linked files where relevant and all files for a particular funder	7.3 The department must be encompassed by the organisation's procedure or have a procedure particular to the department to: a. list open and closed matters	E1.1
b. ensure that they are able to identify and trace any documents, files, deeds, wills or any other items relating to the matter	b. ensure that they are able to identify and trace any documents, files, deeds, wills or any other items relating to the matter	E1.2b
c. safeguard the confidentiality of matter files and all other client information	c. safeguard the confidentiality of matter files and all other client information	F4.1
d. ensure that the status of the matter and the action taken can be easily checked by other members of the practice	d. ensure that the status of the matter and the action taken can be easily checked by other members of the department	E1.3
e. ensure that documents are stored on the matter file(s) in an orderly way.	e. ensure that documents are stored on the matter file(s) in an orderly way.	E1.2b
7.5 Practices must have a documented procedure for using barristers, expert witnesses and other external advisers who are involved in the delivery of legal services, which must include provision for the following:	7.5 The department must be encompassed by the organisation's documented procedure for using barristers, expert witnesses and other external advisers who are involved in the delivery of legal services, or have a procedure particular to the department, which should include provision for the following:	F5.1, F5.2, F5.3, F5.4, F5.5
a. use of clear selection criteria in line with the equality and diversity policy	a. use of clear selection criteria in line with the equality and diversity policy	F5.1
b. where appropriate, consult with the client in relation to the selection of an advocate or other professional	b. where appropriate, consult with the client in relation to selection of advocate or other professional	F5.4

Lexcel Standard (Legal Practices)	Lexcel Standard (In-house)	SQM Requirement
c. advising the client of the name and status of the person being instructed, how long she/he might take to respond and, where disbursements are to be paid by the client, the cost involved	c. advising the clients of the name and status of the person being instructed, how long she/he might take to respond and, where disbursements are to be paid by the client, the cost involved	F5.4
d. maintenance of records (centrally, by department or office) on barristers and experts used, including evidence of assessment against the criteria	d. maintenance of records on barristers and experts used, including evidence of assessment against the criteria	F5.2
e. evaluation of performance, for the information of other members of the practice	e. evaluation of performance, for the information of other members of the department or organisation	F5.3
f. giving clear instructions	f. giving clear instructions	F5.5
g. checking of opinions and reports received to ensure they adequately provide the information sought (and, in litigation matters, comply with the rules of court and any court orders)	g. checking of opinions and reports received to ensure they adequately provide the information sought (and, in litigation matters, comply with the rules of court and any court orders)	F5.3
7.6 Practices must have procedures to ensure that, at the end of the matter, the practice:	7.6 The department must have procedures to ensure that, at the end of the matter, the department:	F3.1.a, F3.1.c, F3.1.d, F3.1.e, F4
a. if required, reports to the client on the outcome and explains any further action that the client is required to take in the matter and what (if anything) the practice will do	a. if required, reports to the client on the outcome and explains any further action that the client is required to take in the matter and what (if anything) the department will do	F3.1a
b. accounts to the client for any outstanding money	b. where appropriate, accounts to the client for any outstanding money	F3.1c
c. returns to the client any original documents or other property belonging to the client if required (save for items which are by agreement to be stored by the practice)	c. returns to the client any original documents or other property belonging to the client, if required	F3.1d

Lexcel Standard (Legal Practices)	Lexcel Standard (In-house)	SQM Requirement
d. if appropriate, advises the client about arrangements for storage and retrieval of papers and other items retained (in so far as this has not already been dealt with, for example in terms of business) and any charges to be made in this regard	d. if appropriate, advises the client about arrangements for storage and retrieval of papers and other items retained (in so far as this has not already been dealt with, for example, in terms of business) and any charges to be made in this regard	F3.1b, F3.1d
e. advises the client whether it is appropriate to review the matter in future and, if so, when and why	e. advises the client whether it is appropriate to review the matter in future and, if so, when and why	F3.1e



IBP
Legal

Introducing the British Standard for Valuing People

BS 76000

- Human Resource
- Valuing People
- Management System
- Requirements & Guidance



Introducing Valuing People Standard (BS 76000)

People management standards have been around for a long time now and many organisations have benefited from working with them. The British Standards Institution (BSI) has now taken this a step further by introducing a new national Standard which carries BSI certification – BS 76000.

Using a holistic approach to people management, the Standard not only measures outcomes, but also assesses how your people practices are implemented across your organisation. This is achieved by combining a people management framework with documented operational policies and processes, therefore demonstrating the connection between your people and your organisational strategies.

BSI developed the Standard with input from a panel of experts from industry bodies, employers and unions. The Standard was then refined during a 100-day public consultation. Care was taken to include senior management, small business owners and general workers in the consultation. The result is a standard which applies to organisations of any size, sector and at any stage of maturity.

“Recognising the valuable role people play in the success of an organisation is becoming more important, and any approach towards nurturing, retaining and evolving staff, is essential. Businesses that demonstrate this understanding are increasing their attractiveness as employers. Not only is this a great way to draw and keep the best talent, it raises the bar and boosts reputation.”

Anne Hayes, Head of Market Development for Governance & Resilience at BSI

Organisations that already work with ISO Standards, such as ISO 9001 or ISO 27001, will find the BS 76000 framework and process familiar. For example, BS 76000 follows the Annex SL structure, plus Internal Audit activities and Annual Surveillance Visits from an external auditor are required to maintain certification.

In Practice – You're People Proposition

The BS 76000 Standard is your organisation's **People Proposition** and views the Proposition from a number of different angles:

- **Your organisation** and its levels of management, its interaction with its people and its support for them
- **Your people** who work for your organisation, how they are valued and engaged with to utilised their skills, capabilities, experience, behaviours and knowledge to their best ability to support the overarching business objectives
- **Your stakeholders** and how their interests are managed to the benefit of the organisation

BS 76000 is about people, and people only, within an organisation. It is **NOT** a rigid prescriptive Standard, thus allowing an organisation to develop a framework that is right for them in order to be the best they can be. The requirement for documented policies and processes to support this framework gives rise to a structured and consistent approach to valuing people and their contribution, both at a strategic and operational level.

Benefits

- ✓ Utilisation and maximisation of staff skills
- ✓ Enhanced Talent Management, both in keeping and finding talent
- ✓ Consistency of processes and outcomes across the whole organisation
- ✓ Valued staff = motivated and loyal staff
- ✓ Empowered and innovative staff, leading to increased performance
- ✓ Stronger customer relationships as a result of high staff engagement
- ✓ Clear people processes leading to transparency and high levels of trust
- ✓ Inspirational Leaders and Managers, driving team performance and individual performance
- ✓ Organisational improvement through effective evaluation methods



Contact Us

If you are interested in finding out how achieving BS 76000 certification could improve your organisation...

Call us on **0800 612 3098**

Email us at info@inspiring.uk.com

Visit our website at www.inspiring.uk.com

We will be happy to chat to you over the phone, provide a free online presentation or visit you for a face to face meeting to discuss things in more detail.



What is your business doing about the threat of Cyber Crime?

24% of all businesses detected one or more cyber security breaches in the last 12 months. ⁽¹⁾

Computer viruses affected 1.4m people and 650,000 people had their email or social media profile hacked. ⁽²⁾

Only 51% of all businesses have attempted to identify the cyber security risks faced by their organisation. ⁽¹⁾

5.8 million crimes due to fraud and computer misuse last year, 2.5 million of which were bank and credit card fraud. ⁽²⁾

⁽¹⁾ The Government's Cyber Security Breaches Survey 2016

⁽²⁾ Crime Survey for England and Wales Year Ending March 2016, Office for National Statistics

WHY YOU SHOULD BE CONCERNED ABOUT CYBER CRIME

The *myth* is that cybercrime is about unwanted hacks into computer systems and that a keen firewall or password scheme is guaranteed to provide protection.

The *reality* is that nearly two thirds of problems occur due to staff error, where procedural safeguards have not been maintained. In other words, even robust electronic counter-measures are merely (and quite literally) less than half of the story.

One of the most insidious aspects is that some cyber criminals are targeting vulnerable people and perhaps even your family or children, to gain information that they can use to target your business.

WHAT IS CYBER PRIMED?

Cyber Primed is the result of extensive research and development by established business and compliance consultancy firms, IBP and PDA.

Cyber Primed utilises latest intelligence from governments, multinational IT security specialists, regulators, insurers and cyber experts to identify potential risks in your business and then works with you to apply measures to assist your business to become more robust versus potential cyber attacks.

Cyber Primed will conduct a cyber security audit of your business, provide you with a report and could then help you put a plan and packages in place to sustain robust measures to support the protection of your business.

DO SOMETHING ABOUT IT NOW!

Don't wait for your business to come under attack. For more information about Cyber Primed, get in touch with us now:

Call us on [0800 612 3098](tel:08006123098)

Email info@inspiring.uk.com

Cyber >
Primed

Inspiring Leadership & CMI accredited programmes

INSPIRING Leadership is a 3-phase approach to Leadership Development:



Build up the confidence and engagement of your team by encouraging them to take on development programmes in bite sized chunks. Empower your management team to take control of their own learning and challenge themselves to step up in order to reach yours and their KPIs.

Leadership Development in 3 Phases

Diagnostic – Pinpoint areas for performance improvement and identify appropriate qualifications and units. Through using our **Inspiring Leadership Framework (ILF)** we can help you identify the preferred learning styles of your leadership team, and match that to a suitable approach to learning, to ensure they get the most out of their learning experience and increase the chances of a successful outcome.

Development – Delegates do not have to do the whole programme in one go and we offer an **incremental, building block approach**. This ensures the process is cost effective and needs led, with a higher success rate and no drop out.

Evaluation – INSPIRING will be able to evaluate the effectiveness of the development activities by repeating the ILF aspect of the diagnostic stage and comparing outcomes. This completes the quality loop and provides continuous development.

Individuals will have more faith in the business and be more engaged if they can see the positive impact that they have on the organisation and how this has created growth prospects for the business.



We can also help with design and implementation of a tailored performance management system to ensure that your team is set relevant KPIs / objectives that not only reflect your business needs, but also correlate to their personal development.

Features and Benefits:

- All your leadership development needs provided for in one place
- We are able to evaluate the training, measure its success and identify further development needs.
- Takes out the time consuming process of finding suitable training.
- Comprehensive approach ensures your training truly meets the needs of your leaders and your business.
- Information acquired during the diagnostic phase determines the appropriate entry level.
- Provides your leaders with a personalised development plan.
- Helps retain key skilled leaders which will reflect on your business growth.

If you want to gain a formal management qualification, you will have the option of working towards different levels of **CMI qualifications**.

Our INSPIRING Leadership programmes provide management development at three different levels, making them suitable for employees at various stages in their careers. If you want to gain a formal qualification as part of your development, we can help you choose the right course at the right level.

Level 3 Qualifications in First Line Management

Developed for junior managers, supervisors and first line managers who have operational responsibility for a defined area of activity and who wish to build on and develop their existing management skills and knowledge. This programme leads to qualifications across three levels:

Award: Provides an introduction to the skills, roles and responsibilities of this management area. It will also develop your basic knowledge by focusing on the development of specific management skills.

Certificate: Gives you a broader knowledge of effective management skills while focusing on the specific management areas appropriate to you and your workplace.

Diploma: Covers all the key skills and competencies you'll need to become an effective first line manager. See more details on these [Level 3 qualifications on the CMI Website](#).

Level 5 Qualifications in Management and Leadership

Designed for practicing middle managers and those aspiring to senior management who want to develop their core management skills such as managing resources, recruitment and information management. A level 5 CMI qualification focuses on the personal development of the individual learner's management capabilities and competencies across three levels:

Award: Lets you strengthen and develop your knowledge of middle management by focusing on specific management areas applicable to your job.

Certificate: A more extensive qualification that gives you a broader knowledge of middle management skills while focusing on the specific leadership areas appropriate to you and your workplace.

Diploma: Designed for middle managers and those aspiring to senior management who want to develop their key skills. A Diploma in Management and Leadership is the benchmark qualification for full CMI membership, taking you another step towards Chartered Manager status. See more details on these [Level 5 qualifications on the CMI Website](#).

Level 7 Qualifications In Strategic Management and Leadership

Developed for directors and senior managers who have the responsibility to translate organisational strategy into effective performance, these qualifications require the manager to focus on the implementation of their organisational strategy.

Award: This CMI qualification will build on the managerial skills and knowledge you already have. It will give you a greater understanding of the various roles and responsibilities involved in strategic management and allows you to focus on specific areas on management depending on your professional needs.

Certificate: Gives you a broader knowledge of effective management skills while focusing on the specific management areas appropriate to you and your workplace.

Diploma: Designed for strategic managers aspiring to develop their skills. A Diploma in Strategic Management & Leadership is the benchmark qualification for full CMI membership, taking you another step towards Chartered Manager status. See more details on these [Level 7 qualifications on the CMI Website](#).

Team up with Inspiring...

Want to find out how these qualifications would benefit employees within your business or are you a manager looking to improve your own skills? Our INSPIRING Leadership programmes can take you to the next step.

Call us on 0800 612 3098 or email info@inspiring.uk.com



Management & Leadership Development Programme

Linked to Chartered Management Institute Level 5 Diploma in Management & Leadership

Expected Outcomes

- From each learning intervention actions to take straight back into the working environment (Candidates will be expected to discuss at the next follow on workshop what they had learnt and how they applied their learning in their workplace)
- Level 5 Diploma in Management & Leadership
- Continuous Professional Development

Programme

Induction Day

Registration, meet the Delivery Team, discuss personal requirements, understanding the programme

Introduction to Management & Leadership (5020)

Unit Aim: This Unit is about the foundation skills and knowledge of a Middle Manager and Leader

Personal Development as a Manager (5001)

Unit Aim: This Unit is about assessing and improving individual management and leadership skills and competencies against objectives

Managing Team & Individual Performance (5003)

Unit Aim: This Unit is about management of individual and team performance and how to improve performance

Organisational Financial Management (5007)

Unit Aim: This Unit is about financial management systems and controls and the impact of external factors on organisational financial management

Being A Leader (5012)

Unit Aim: This Unit is about understanding and applying leadership skills and the understanding of ethical and cultural issues within the organisation

Leadership in Practice (5013)

Unit Aim: This Unit is about the links between management and leadership, key leadership principles and leadership theory

Structure of Programme

7 x 1 day workshops spread over 13 months

Sequence:

- Workshop day (dates to be confirmed)
- Within 4 weeks of workshop evidence submitted by Candidate
- Between Week 4 and 6 evidence marked/feedback by Assessor
- Between Week 6 – 8 any amendments undertaken by Candidate, IV and submitted to CMI
- Next Workshop

Course Leader

The delivery of the workshops will be by the same person to ensure continuity. The Course Leader has an in- depth understanding of the legal profession so that all learning is linked direct into the Candidates workplace.

Price

Including:

- Workshop Delivery
- CMI – Registration through to Accreditation at Level 5 Diploma
- Venue and Catering

£2,995 plus VAT per Candidate

CMI Accredited Leadership Development Programme Process

