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| **Inquiry** | **Yes** | **No** | **N/A** | **Notes/Comments** | **Note improvements needed & dates for**  **follow up** |
| **Office Management: Policies & Procedures** | | | | | |
| **1.** Do you have a written office policies and procedures manual? |  |  |  |  |  |
| **2.** Are your policies and procedures reviewed with staff on a regular basis? |  |  |  |  |  |
| **3.** Do you have a system in place to record appointments, court dates, etc. made outside the office to be sure they are logged on your master calendar? |  |  |  |  |  |
| **4-1.** Does your docket control system (whether manual or computerized) include:  **a.** Administrative hearing dates? |  |  |  |  |  |
| **b.** All court appearances? |  |  |  |  |  |
| **c.** Closing dates? |  |  |  |  |  |
| **d.** Procedural deadlines? |  |  |  |  |  |
| **e.** Pleading and discovery dates? |  |  |  |  |  |
| **f.** Deadlines unique to your practice (real estate closings, creditor meetings, etc.)? |  |  |  |  |  |
| **g.** Appointment/meeting dates? |  |  |  |  |  |
| **4-2.** Does your docket control include a system to record the above dates/events immediately? |  |  |  |  |  |

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| **Inquiry** | **Yes** | **No** | **N/A** | **Notes/Comments** | **Note improvements needed & dates for follow up** |
| **Office Management: Policies & Procedures** | | | | | |
| **4-3.** Does your docket control system allow:  **a.** Lead time to complete work (i.e., early warnings)? |  |  |  |  |  |
| **b.** Statute of limitations? |  |  |  |  |  |
| **4-4.** Do you have a redundant docket control system as a back up? |  |  |  |  |  |
| **4-5.** As a part of your docket control system:  **a.** Do you routinely complete the work as prompted? |  |  |  |  |  |
| **b.** If not, do you re-calendar work not completed? |  |  |  |  |  |
| **c.** Do you calendar promises made to clients? |  |  |  |  |  |
| **d.** Have you had an employee oversee your docket control system? If so, do you review for accuracy? |  |  |  |  |  |
| **5-1.** Does your file management system include:  **a.** Procedures for opening and closing files? |  |  |  |  |  |

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| **Inquiry** | **Yes** | **No** | **N/A** | **Notes/Comments** | **Note improvements needed & dates for follow up** |
| **Office Management: Policies & Procedures** | | | | | |
| **b.** Daily filing? |  |  |  |  |  |
| **c.** Periodic auditing of files for quality of documentation, promptness of filing, etc.? |  |  |  |  |  |
| **e.** A file/document checkout procedure to avoid lost files? |  |  |  |  |  |
| **5-2.** When closing files, do you:  **a.** Send clients letters notifying them that you are not representing them any longer on this particular matter? |  |  |  |  |  |
| **b.** Return any items of intrinsic value held in safekeeping and have the client sign for it? |  |  |  |  |  |
| **c.** Use the letter closing the matter to the client as a marketing tool by noting other services you offer, etc.? |  |  |  |  |  |
| **d.** Review the file before it goes to storage and note any reasons why the file should be maintained beyond the time agreed to with the client? |  |  |  |  |  |

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| **Inquiry** | **Yes** | **No** | **N/A** | **Notes/Comments** | **Note improvements needed & dates for follow up** |
| **Office Management: Policies & Procedures** | | | | | |
| **5-3.** Are your closed files stored in a secure and safe location? |  |  |  |  |  |
| **6**. If you utilize cloud storage have you taken steps to insure that the service is secure for the unique attorney/client confidentiality requirements? |  |  |  |  |  |
| **7.** Do you have a system to easily retrieve stored files? |  |  |  |  |  |
| **8.** When associating with co- counsel, do you have an agreement about fees in writing? |  |  |  |  |  |
| **9-1.** Do you have a written plan and a successor attorney appointed in case something happens to you? |  |  |  |  |  |
| **9-2.** With regard to the successor attorney, have you:   1. Met with him or her recently? |  |  |  |  |  |
| **b.** Scheduled regular (annually or bi-annually) meetings? |  |  |  |  |  |

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| **Inquiry** | **Yes** | **No** | **N/A** | **Notes/Comments** | **Note improvements needed & dates for follow up** |
| **Office Management: Policies & Procedures** | | | | | |
| **c.** Shown the successor attorney your filing system, where your passwords can be obtained, explained your caseload, demonstrated your calendaring system? |  |  |  |  |  |
| **d.** Drafted and executed all necessary documents for the successor attorney to take action? |  |  |  |  |  |
| **e.** Determined the parameters of the successor attorney’s duties? |  |  |  |  |  |
| **f.** Introduced the successor attorney to your staff, significant other or anyone else involved in your practice? |  |  |  |  |  |