NEW CLIENT/MATTER POLICY CHECKLIST*

1. **Does the legal practice have written policies and procedures for screening and evaluating every new client/matter, either generally or under specific circumstances?**

☐ Yes

☐ No

☐ Do not know

2. **Who is responsible for management and supervision of all aspects of a new client/matter intake?**

☐ Sole practitioner

☐ An individual partner/legal practitioner director

☐ Any partner/legal practitioner director

☐ Multiple nominated partners

☐ Board of directors/Shareholders

☐ Other (explain):

3. **Are the responsibilities for supervision of the new client intake or new matter opening process divided? If yes, is there separate oversight and independent review of the following areas?**

(a) Conflicts of interest

☐ Yes

☐ No

☐ Do not know

(b) Business suitability (e.g. is the matter within an area of the practice's competencies, do you have capacity to take on the matter [taking into account level of complexity, time available, type of client] and risk factors)

- ☐ Yes
- ☐ No
- ☐ Do not know

(c) Prospective client's ability to pay appropriate fees

- ☐ Yes
- ☐ No
- ☐ Do not know

4. Is the approval of:

(a) a sole practitioner (for a sole practitioner legal practice) or

(b) another partner(s)/legal practitioner director(s) (other than the introducing partner/employed solicitor)

required before accepting every new client/matter?

- ☐ Yes
- ☐ No
- ☐ Do not know

5. Can the initiating or introducing partner/employee authorise the issuance of a new matter number for an existing client without the need for the countersignature of another partner/legal practitioner director?

- ☐ Yes
- ☐ No
- ☐ Do not know

6. Is the form for opening new clients/ matters completed on paper or electronically?

- ☐ Yes
- ☐ No
- ☐ Do not know

* This is an adaption of the 'New Client/Matter Intake Questionnaire' prepared by Anthony E. Davis and Katie M. Lachter in their work Risk Management: Survival Tools for Law Firms (3rd ed.) published in 2015.