SUPERVISION OF PRACTICE AND STAFF CHECKLIST

Principal/Partner/Director

Issues to consider when developing your legal practice's policies and procedures in relation to employee supervision NB. List is not exhaustive.

Supervision of Practice

Professional staff:

- [ ] Are they holding appropriate practising certificates?
- [ ] Legal Practitioner Directors must have unconditional practising certificates.
- [ ] Have you notified the Queensland Law Society of staff changes?

Staff:

- [ ] Do you have policies and procedures setting out clear delegations, responsibilities, authority and boundaries for staff?
- [ ] Do you have a structured onboarding program to ensure all staff are properly trained for their duties, are aware of the *Australian Solicitors Conduct Rules 2012* and other statutory entitlements eg. *Legal Profession Act 2007*; *Workers Compensation and Rehabilitation Act 2003*; holidays and leave etc.
- [ ] Do you keep a register to record initial inductions and on-going training provided?
- [ ] Do you provide staff performance reviews at least once per year?

ILPs:

- [ ] Do legal practitioner directors meet regularly to review the performance of the practice?
- [ ] Does the meeting (agenda) address issues such as:
  - [ ] operational
  - [ ] work/risk management policies and processes
  - [ ] compliance issues
  - [ ] people management.
- [ ] Are you monitoring practice budgets?
- [ ] Are you monitoring when supplier agreements are due for renewal?

Compliance:

- ☐ Have you reviewed your practice processes and policies for compliance with the:
  - ☐ *Legal Profession Act 2007*
  - ☐ *Legal Profession Regulations 2017*
  - ☐ *Australian Solicitor Conduct Rules 2012*
  - ☐ Other statutory/taxation obligations.

Supervision of Staff

Scope:

- ☐ Do you understand the scope of professional standards rules and guidance in relation to supervision?
- ☐ Do you understand the full range of benefits of effective supervision (ie. it is not just about risk management or meeting billable hour's targets)?
- ☐ Have you considered what would be appropriate employee supervision and self-supervision in your own practice?

Supervision Training:

- ☐ Have you participated in training on effective delegation and supervision?
- ☐ When was the last time you had a refresher? Do you have regular training?
- ☐ Have you provided supervising staff with training on effective delegation, supervision, stress management, time management and employee wellbeing?

Mechanics:

- ☐ Who carries out the initial risk assessments on all new files and clients?
- ☐ What arrangements do you have in place to monitor all incoming and outgoing communications (including emails) to identify potential risks?
- ☐ Do you have daily time set aside to address both proactive and reactive supervision duties?
- ☐ How is this time/availability communicated to all staff?
- ☐ Do you have regular one-to-one supervision meetings scheduled for all staff?
- ☐ Do you review staff workload including the appropriateness of the tasks being delegated to the staff member?
- ☐ Do you have regular team and whole of office meetings scheduled?
- ☐ Do you have more than one office? How do you monitor/supervise/meet with staff in different locations?
- ☐ Have you budgeted for preparation and attendance at supervision meetings and file audits in individual billable targets?
- ☐ Do you have a checklist or agenda to be prepared prior to scheduled file reviews /supervision meetings? This checklist could include a range of risk indicators you have identified.
- ☐ Do you provide staff with checklists to minimise oversights?
- ☐ Have your legal processes been built into your IT workflow management program?
- ☐ Do you have a named supervisor in each area of work?

Feedback:

☐ Have you scheduled regular appraisals with your supervising staff for feedback on the quality of their supervision?

☐ Have you asked your staff for feedback on your own supervision skills and arrangements?

File review:

☐ How often do you conduct file reviews of substantive legal content?

☐ How often do you conduct file reviews covering procedural file management and communication?

☐ How do you ensure that all fee-earners have the time, opportunity and encouragement to approach their supervisors for support?

☐ How do you undertake regular file inactivity checks?

☐ How often do you check on unbilled work in progress or unpaid bills?

☐ Do you participate in Lexon's EMR file review program? If not, what alternate random file audit program are you running in your practice?
