



**PRIMELAW CERTIFICATION SELF-
ASSESSMENT CHECKLIST**
**For Use As A Guide To
PrimeLaw Implementation**

Published by The Law Society of Singapore

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PRACTICE DETAILS

This self assessment checklist is designed to assist practices to obtain an indication of their level of compliance with PrimeLaw. For a more comprehensive assessment and advice on compliance, practices may wish to engage Law Society's PrimeLaw approved consultants to review their current documentation and processes.

Checklist Headings

There are five headings contained in the Checklist Form:

PrimeLaw Reference No.

This sets out the reference number of the relevant Practice Management Standard.

Mandatory Requirement

This summarises, very succinctly, what the Standard requires.

Compliance Level

Tick the appropriate box indicating the level of compliance with the specific requirement in terms of documenting processes and complying with documented processes.

FC = Fully Compliant; PC = Partially Compliant; NC = Non Compliant

How Complied With

Briefly describe the relevant procedures and supporting documentation that exists within the practice.

The Practice should indicate where to find relevant documentation in the Practice. If individual documents are referred to, the Practice should index them sequentially; for example, document A, document B, etc.

Remarks (including follow up action required)

State the follow up action required (if any) to ensure compliance with the specific Standard and any other remarks.

N.B. A Practice should make as many copies of the self-assessment checklist as needed, always keeping a blank form to be completed when the self-assessment process produces an entirely satisfactory result.

NAME:

ADDRESS:

TELEPHONE & FAX:

ASSESSMENT CONTACT:

PRIMELAW Reference No.	Mandatory Requirement	Compliance Level (Please Tick)						How Complied With (indicating document reference and provisions)	Remarks (including Follow Up Action Required)
		Documented			Practising				
		FC	PC	NC	FC	PC	NC		
A1 – Business Plan	1. Instituted annual process for Business Review and Forward Business Planning which includes preparation of: a) Business Plan; b) Marketing Plan; and c) Annual Budget and Cash flow Forecast.								
	2. Business Review includes review of Practice's strengths, weaknesses, opportunities and threats in current environment.								
	3. Business Plan includes: a) Statement of Purpose; b) Key Objectives for next 12 months and outline strategy for longer term (further 2 years); and c) Strategies for achieving Key Objectives.								
	4. Instituted process to review status of implementation and success of Strategies every six months.								

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A2 – Marketing Plan	1. Have in place a Marketing Plan to achieve the Key Objectives set out in the Business Plan.								

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B1.1 – Management Supervision and Communications	1. Documented management structure accurately reflecting lines of accountability, authority and areas of responsibility.								
	2. Designated persons and documented roles and responsibilities for the Supervisors for: a) key areas of management, including financial management and risk management; and b) each area of work.								
B1.2 – Supervision of Management Functions	Documented procedures for the supervision of the management and organisation of the Practice including finance, marketing, personnel and office administration.								

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B1.3 – Communications	<p>Documented procedures that foster two-way communication between subordinates and supervisors / management and facilitates collaboration for:</p> <p>a) effective financial, case and risk management; and</p> <p>b) the achievement of Practice's business objectives.</p>								

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B2.1 – Job Description for Recruitment	1. Documented job description and requirements for each vacancy to be filled.								
	2. Documented and updated descriptions of roles, responsibilities and lines of accountability for every staff and fee-earner.								
B2.2 – Recruitment	1. Documented recruitment policies and procedures to ensure: a) the selection of the most suitable candidates for the job; and b) compliance with section 78 of the Legal Profession Act.								
B2.3 – Induction	1. Documented induction process to provide new members with essential information of the Practice, including: a) its objectives; b) management and supervisory structure; c) the Office Manual; and d) relevant key personnel.								

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B2.4 – Performance Review	1. Documented procedures for the annual review of the performance of staff and fee-earners.	ÿ	ÿ	ÿ	ÿ	ÿ	ÿ		
	2. Performance reviews shall be: a) confidential; and b) based on updated job descriptions and agreed objectives or performance targets.	ÿ	ÿ	ÿ	ÿ	ÿ	ÿ		
B2.5 – Training	1. Documented procedures providing for: a) staff and fee-earners to receive adequate training; b) training needs to be reviewed annually against the objectives of the Practice; c) maintenance of training records.	ÿ	ÿ	ÿ	ÿ	ÿ	ÿ		

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B3.1 – Office Manual	1. Office Manual that is available to all personnel.	ÿ	ÿ	ÿ	ÿ	ÿ	ÿ		
	2. Documented procedures for review, update and dissemination of Office Manual and updates to all personnel.	ÿ	ÿ	ÿ	ÿ	ÿ	ÿ		
B3.2 – Management and adoption of Information Technology (IT)	1. Adoption of appropriate information technology for Practice to meet its business objectives, manage the Practice and effectively deliver services to client, including: a) Word processing; and b) Internet access.	ÿ	ÿ	ÿ	ÿ	ÿ	ÿ		
	2. Documented procedures for the protection of the Practice's IT systems and data including: a) updated anti-virus programmes; b) firewalls for computers connected to the Internet; and c) procedures for regular backing up and to restore data.	ÿ	ÿ	ÿ	ÿ	ÿ	ÿ		

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B3.3 – Management of Legal Reference Materials	1. Documented procedures providing for fee-earners and research staff to: a) have ready access to up-to-date legal reference materials; and b) receive timely information about changes in law and practice.	ÿ	ÿ	ÿ	ÿ	ÿ	ÿ		
B3.4 – Management of Outsourced Services	1. Documented procedures setting out: a) services contracted to external service providers; b) arrangements with external providers; c) liaison person in Practice; and d) contact details of providers.	ÿ	ÿ	ÿ	ÿ	ÿ	ÿ		
	2. Where book-keeping functions are outsourced, compliance with Rule 11A of the Legal Profession (Solicitors Accounts) Rules and the Practice Direction of Council on Engagement or Employment of a Book-keeper under the Legal Profession (Solicitors Accounts) Rules dated 5 March 2004.	ÿ	ÿ	ÿ	ÿ	ÿ	ÿ		

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C1 – Appointment Of Financial Manager	1. Documented appointment of Financial Manager responsible for the management of day-to-day and longer-term financial affairs of the practice.	ÿ	ÿ	ÿ	ÿ	ÿ	ÿ		
C2 – Access And Reference To Financial Information	1.Prepare and have access to the following financial reports: a) Annual budget of the Practice (covering projections for income, expenditure and proposed capital expenditure); b) Quarterly variance analysis of income and expenditure against budget; c) Annual profit and loss statements; d) Annual balance sheet; e) Annual cash flow forecast; f) Quarterly variance analysis of cash flow; g) Monthly report on accounts receivable; and h) Monthly Report on aged list of debtors.	ÿ	ÿ	ÿ	ÿ	ÿ	ÿ		
	2. Budget and cash flow forecasts prepared in accordance with the business and strategic plans of the Practice.	ÿ	ÿ	ÿ	ÿ	ÿ	ÿ		

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C3 – Management Of Clients' Account	1. Documented procedures for proper authorisation of transfer of monies out of clients' account in accordance with the Legal Profession (Solicitors' Accounts) Rules.	ÿ	ÿ	ÿ	ÿ	ÿ	ÿ		
	2. Accurate tracking of balances in individual client's account, including: a) monthly bank reconciliations; and b) ready access to information on payment in and out of client account.	ÿ	ÿ	ÿ	ÿ	ÿ	ÿ		

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D1 – Systems	<p>1.Documented procedures and systems for the following:</p> <p>a) Maintaining a central index of clients and matters;</p> <p>b) Identification and management of conflict of interest;</p> <p>c) Monitoring the number and type of matters assigned to each fee-earner;</p> <p>d) Record and maintain a back-up system of key dates;</p> <p>e) Provide the supervisor with the ability to track and monitor the performance, progress and status of matters;</p> <p>f) Management of incoming and out going communications;</p> <p>g) Monitor the authorisation and compliance of undertakings given on behalf of the practice.</p>	<p>ÿ</p>	<p>ÿ</p>	<p>ÿ</p>	<p>ÿ</p>	<p>ÿ</p>	<p>ÿ</p>		

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	2. Central index of matters contains the essential information relating to the client and matter, including: a) name and contact details of client; b) matter name; c) type of matter; d) short description of matter; and e) names of fee-earner(s) responsible for matter.	ÿ	ÿ	ÿ	ÿ	ÿ	ÿ		
	3. Back-up system for key dates is: a) separate from the matter file; b) easily accessible by relevant personnel; and c) generally not taken out of the office.	ÿ	ÿ	ÿ	ÿ	ÿ	ÿ		

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D2 – Risk Management	1. Documented appointment of Risk Manager responsible for the management of risk in the Practice.	☐	☐	☐	☐	☐	☐		
	2. Documented procedures for risk management, including the following: a) Maintain information about the generic risks associated with the type(s) of work it performs; b) List and define types of cases which are likely to fall within acceptable risk levels; c) List and define cases which are likely to fall outside acceptable risk levels and implement procedures to manage them; d) Record problems or errors so that issues can be considered, corrected and prevented; e) Continually monitoring of risk by all fee-earners through the entire course of the matter; and f) Documented annual review of all risk assessment data generated within the Practice.	☐	☐	☐	☐	☐	☐		

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	3. Documented procedures to establish the identity of clients before accepting instructions in accordance with current guidelines or regulations for the prevention of money laundering and the funding of terrorist activities.	☑	☑	☑	☑	☑	☑		
D3 – Client Care	1. Documented procedures to ensure compliance with the provisions on solicitors' costs information and client care set out in the Legal Profession (Professional Conduct) Rules.	☑	☑	☑	☑	☑	☑		

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D4 – Matter Commencement	1. Documented procedures providing that fee-earners will record and confirm the following matters in a letter of engagement (counter-signed by the client): a) Name of client; b) Scope of services; c) Client's instructions and objectives; d) Explanation of issues and advice given (including cost issues, fees and disbursements); e) Proposed strategy, action and time scale; f) Name and status of responsible lawyer(s); g) Potential conflict of interest and client confidentiality issues (if any); and h) Client's responsibility.	ÿ	ÿ	ÿ	ÿ	ÿ	ÿ		
	2. At commencement of matter: a) Perform conflicts of interest searches; b) Identify and record key dates in the file and a back-up system; c) Assess the risk level of the matter and whether the practice is being exposed to any unusual degree of risk.	ÿ	ÿ	ÿ	ÿ	ÿ	ÿ		

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D5 – Progress of a Matter	1. Documented procedures to ensure that the client is kept updated on the progress of the matter, including the following matters: a) changes in the proposed strategy or action; b) costs information; c) circumstances which affect the degree of risk involved or cost benefit to the client in continuing with the matter; and d) adverse costs orders.	ÿ	ÿ	ÿ	ÿ	ÿ	ÿ		
	2. Timely and appropriate responses are made to correspondence and telephone calls to clients and appointments with clients are kept.	ÿ	ÿ	ÿ	ÿ	ÿ	ÿ		
	3. Risk to the Practice is continually being monitored.	ÿ	ÿ	ÿ	ÿ	ÿ	ÿ		
	4. Compliance with reasonable requests made by clients or, where not complied with, written advice to clients as to why request is not reasonable.	ÿ	ÿ	ÿ	ÿ	ÿ	ÿ		

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D6 – Matter Conclusion	<p>Documented procedures providing that at the conclusion of the matter:</p> <p>a) client is advised of the outcome and any further action that may be required in the future and events that may prompt a future review of the matter;</p> <p>b) all outstanding monies are accounted for;</p> <p>c) original documents and other property are returned to client and client is advised of any arrangements made for the storage of papers and other items (where appropriate);</p> <p>d) final risk assessment is undertaken</p>	ÿ	ÿ	ÿ	ÿ	ÿ	ÿ		

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D7 – File Management	1. Documented procedures to ensure that: a) the Practice is able to identify, trace and track documents; b) the status of the matter can be easily checked; c) documents are arranged in an orderly manner; and d) key information is shown clearly on the file.	☑	☑	☑	☑	☑	☑		
D8 – Delegation, Supervision and File Review	1. Documented procedures for the delegation and supervision of the conduct of casework, including: a) factors to be taken into account in delegating casework; b) supervision and periodic review of matter; and c) arrangements to ensure that corrective action is carried out promptly.	☑	☑	☑	☑	☑	☑		
	2. Supervisors to have: a) the appropriate level of experience to guide and assist subordinates; and b) sufficient time to fulfil their supervisory functions.	☑	☑	☑	☑	☑	☑		

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	3. File review takes into account the following: a) legal and tactical advice is correct; b) procedural compliance; and c) work accords with engagement letter and that client's expectations are met.	ÿ	ÿ	ÿ	ÿ	ÿ	ÿ		
D9 – Third Party Service Providers	1. Documented procedures for using external counsel, consultants and expert witnesses, including the following: a) Use of clear selection criteria based on expertise, experience, credible recommendations and availability; b) Consultation and proper advice given to the client in relation to the choice of third party service provider; c) Maintenance of records of consultants used; d) Instructions clearly describing what is required; e) Checking of opinions and reports; and f) Payment of fees.	ÿ	ÿ	ÿ	ÿ	ÿ	ÿ		