

Practice 2.0 Law Firm Self-Audit Checklist

This checklist is a tool for law offices, both big and small, to help identify strengths and weaknesses in office management policies and practices. Completion of this self-audit should assist practitioners in becoming more self-aware of the state of their practice, as well as identify areas where proactive steps may be taken to reduce liability and to proactively prevent ethics or malpractice problems from occurring. This checklist should be filled out by a managing attorney or other attorney with sufficient authority in the firm, as non-lawyer employees may not have all necessary information to complete the checklist and may be hesitant to be fully candid in responses.

To fill out the checklist, please enter the requested information in the space provided. For yes/no questions, please mark either the 'yes' or 'no' column for each question. If your answer to a question is 'frequently or most of the time', please check 'yes.' If your answer would be 'seldom or rarely,' please check 'no.' If a question does not apply to you or your firm, please leave the question blank. Please make note of questions and answers that you feel you would like to discuss in more depth with the Practice Management Attorney during your consultation.

1. General Practice / Office Information

1a. Firm Background and Staffing

Year Existing Firm Began Operations: _____

Areas of Practice:

Area	% of practice

Total Firm Caseload: _____

Number of Partner Attorneys (Including Yourself): _____

Number of Non-Partner Attorneys: _____

Number of Staff Paralegals: _____

Legal Assistants: _____

Secretaries: _____

Receptionists: _____

Other: _____

	Yes	No
Do we conduct appropriate background checks before hiring key staff?		
Does each staff member have clearly defined duties and responsibilities?		
Has each staff member received formal training on each of their duties and responsibilities?		
Do staff members receive specific training targeted at our ethical and regulatory responsibilities?		
Do staff members receive training and assistance in de-escalation of upset parties?		
Do we conduct additional formal refresher training for staff on a routine basis?		
Does each staff member have a clearly defined supervisor who is responsible for reviewing their work?		
Do we have a regular employee review/evaluation process for our employees?		
Do we have an actual, written office policy manual that lays out our office's policies and procedures?		
Do we have formal HR policies in place for dealing with employee discipline and/or disputes?		
Do we have written provisions for overtime, vacation, sick leave and medical insurance?		
Do we have a formal policy in place regarding employee referral of new clients to the firm?		

Do we clearly communicate expectations of performance to all employees?		
Do we encourage and invite feedback from your employees?		
Do we properly supervise and review their work?		
Do we lead by example?		
Do we express appreciation to employees for work well done?		
Do we make sure any error or correction is shared privately in a timely and constructive manner?		
Do we have regular meetings with employees?		
Do we have a succession plan in place to deal with the incapacitation or death of an attorney?		
Does our staff know who to contact in the event of an incapacitation or death of an attorney?		
With regard to our successor attorney, have we:		
a. Met with them recently?		
b. Scheduled regular meetings?		
c. Shown the successor attorney our filing system, where our passwords can be obtained, explained our caseload and demonstrated our calendaring system?		
d. Drafted and executed all necessary documents for the successor attorney to take action?		
e. Determined the exact parameters of the successor attorney's duties?		

f. Introduced the successor attorney to our staff, significant other and anyone else involved in the practice?		
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1b. Caseloads

	Yes	No
Does each case have a specific attorney assigned as the responsible attorney?		
If not, are there policies in place that dictate which attorney is responsible for what tasks?		
Does each case have a specific support staff member assigned as the responsible support person?		
If not, are there policies in place that dictate which staff member is responsible for what tasks?		
Do we conduct a regular review of the size of each attorney's caseload to prevent overburdening?		
Do we have a policy or procedure in place for reducing an attorney's caseload should it become too large or burdensome?		

2. Intake / Pre-Retention

2a. Consultation Process

	Yes	No
Are incoming calls inquiring about our services logged or documented in some way?		

Do potential clients fill out an intake sheet with biographical information, names of involved parties and relevant details regarding their case or claim?		
Do we charge for initial consults?		
If so, are clients advised in writing, in advance of the consult, of the fee they will be charged for the consult?		
Are all initial consultations performed by an attorney?		
Do we send turndown letters or emails to clients that do not retain the firm after their consultation?		
Does our non-engagement letter state clearly that no lawyer-client relationship exists? Warn about the Statute of Limitations? Suggest that they seek other counsel?		
Are persons who engage in initial consultations, including those who do not retain the firm, added to our conflicts checking system?		
Do we maintain records of initial consultations, including those that do not result in the potential client retaining the firm?		

2b. Choosing the Right Clients

	Yes	No
Do we generally accept most prospective clients that contact us?		
Have we familiarized yourself with Ethical Rule 1.18 Duties to Prospective Clients?		
Before accepting representation, do we have a client screening process that includes the following: What are prospective client's goals?		

<p>Has the prospective client changed attorneys in the past?</p> <p>Does the prospective client have unrealistic expectations?</p> <p>Is the perspective client overly concerned about cost or fee shopping?</p> <p>Is the prospective client's matter appropriate for the size and scope of our practice?</p> <p>Have we thoroughly discussed our fees and expenses with the prospective client in detail, including the type of fee charged?</p>		
<p>Do we have the necessary knowledge and experience in the practice area needed to serve this client matter?</p> <p>If not, are you willing to associate with co-counsel?</p>		
<p>Do we thank clients in person and in writing for choosing our firm?</p>		

2c. Conflicts

	Yes	No
Do we have a formal conflicts checking system?		
Does our conflicts checking system check against the names of current clients, past clients, opposing parties and major/essential witnesses?		
Does our conflicts checking system include names and addresses of corporate client officers and directors?		

Does our conflicts checking system cross-reference to the related files in order to facilitate researching of potential conflicts?		
Do we ask potential clients for other names (maiden, marital, alias, d/b/a, f/k/a, a/k/a, etc.) that they or the adverse party may use or have used?		
Do we run a formal conflicts check <i>prior</i> to the potential client having their initial consultation?		
Do we offer training and materials to staff that assist them in understanding, spotting and helping the firm avoid conflicts of interest situations?		
Do we note or document somewhere that the conflicts check was run and who ran it?		
If a potential conflict is discovered, does a supervisory attorney review the situation to determine if representation can proceed?		
If it is determined representation can proceed despite a potential conflict, do we explain the potential conflict to the client in writing and obtained a signed waiver from them?		
Do we have screening procedures in place that screen a conflicted legal professional from the inception of a case?		
Do we accept representation of multiple persons or parties in a single matter?		
If so, do we advise them, in writing, of the potential for conflicts and how confidentiality will be handled?		
Do we barter or accept property or services in exchange for legal services?		
If so, do we have the property or services appraised at a specific value and have the client sign a conflicts writing		

setting forth the specific terms of the agreement, that they are advised (and actually given) opportunity to seek the advice of independent legal counsel and that we are not representing them in the transaction itself?		
Do we solicit online case/contact submissions through our website?		
If so, do we limit the amount of case information a potential client can send via our submission form, so as not to accidentally conflict ourselves off of an existing matter?		

3. Retention & Fees

3a. Fee Agreements

	Yes	No
Do we have all clients sign a written fee agreement upon retention?		
Do we provide a copy of the signed fee agreement to the client and retain a copy for our records?		
Is the scope of representation clearly defined with sufficient specificity?		
Are common areas of representation that are not covered by the agreement (appeals, post-decree matters, etc.) clearly indicated as not being included in the agreement?		
Does our fee agreement correctly and specifically define <i>who</i> the actual client is?		
If we accept third-party payor funds, does our agreement make clear they are not the client, that they do not direct the		

representation, how confidentiality will be handled and how any refunds of those funds will be handled?		
If the fees to be charged are hourly fees, do we require the client to pay an advance deposit to bill against?		
If so, is this money deposited directly into the firm's IOLTA account?		
On hourly agreements, do we submit regular billing statements to the client to keep them apprised of the cost of their matter?		
Are billing statements reviewed by a supervisory attorney for accuracy and reasonableness prior to being sent out?		
If the fees to be charged are flat fees, do we define the fees as earned upon receipt or not in our fee agreement?		
If the flat fees are earned upon receipt, are they deposited directly into the firm's operating account?		
If the flat fees are not earned upon receipt, are they deposited directly into the firm's IOLTA account until earned?		
On flat fee agreements, do we charge a tiered fee (such as an additional fee for trial)?		
If so, is the trigger for the earning of that tiered fee specific enough to avoid disputes over whether it is due and/or earned?		
If the fee to be charged is a contingency fee, do we ensure the client has signed a written fee agreement?		
On contingency fee cases, do we make clear in the agreement whether the cost reimbursements are deducted before or after the attorney's fees?		

If we accept cost payments in advance, are those payments being deposited directly into the firm's IOLTA account until earned/expended?		
If any of our fees are called earned upon receipt or non-refundable, do we also advise the client in writing that they may discharge the firm at any time, and in that event, may be entitled to a refund to all or part of the fee based upon the value of the representation?		
Do we have language addressing early termination and specifically how our fees will be calculated in such an event?		
If our fees or fee rates change during a representation, do we notify the client in writing in advance of performing any work at the new rate?		
Do we have a 'no guarantee of results' clause in our fee agreement?		
Do we have document retention language in our fee agreement that defines when we may destroy the file?		
Do we have a fee arbitration clause in our fee agreement to deal with fee disputes?		
If we are splitting fees with an outside lawyer or firm, do we advise the client in writing of the outside lawyer/firm's participation and the fee split?		
If so, do we have the client sign that notification?		
Also if so, do we execute a writing with the outside lawyer/firm setting forth the terms of our agreement, including what the fee split will be, who will perform what work and who will undertake what responsibility for the representation?		

Do we have a system in place whereby all fees are reviewed at the end of representation to determine if the fees claimed were reasonable?		
Do we have a system or policy in place that ensures any refunds or residual funds are timely processed and sent out (usually within 30 days)?		
Do we have a clause in our fee agreement advising clients of the usage of Artificial Intelligence -powered programs and advising them to notify the firm if their information requires extra security measures?		
Legal Paraprofessionals, have I included the required information including my license number? See Sample Miscellaneous Fee Agreement Provisions for sample language		
Alternative Business Structures, have we included the name and contact information of our Compliance Lawyer?		

3b. Client Expectations & Management

	Yes	No
Do we have any criteria developed for when we will turn away or decline representation of problematic potential clients?		
Do we send any type of opening letter or packet to new clients informing them of what to expect regarding our representation and the processing of their matter?		
Do we address communications expectations with new clients at retention so that they know how long to expect to wait for responses to questions or how often they should expect communication from the firm?		

Are clients made clearly aware at retention of the budgetary expectations regarding their representation (such as the fact an advance deposit will not likely be sufficient to cover the entire matter, or whether expensive expert witness services will be required)?		
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3c. File Creation / Case Management

	Yes	No
Is there a standard process that dictates who opens a new client file and how it should be set up?		
Are routine expected deadlines (such as statutes of limitations) automatically calendared when a file is opened?		
Do we currently use paper files?		
If so, are the files organized in a standardized manner so that specific documents can easily be located?		
Do documents get filed in case files in a timely manner?		
Do we use, or have we evaluated whether we should use, digital case management software?		
If we use digital case management software, have we conducted due diligence into the company providing it (is it large enough that we are confident it is not going to fail) and the terms and conditions of the software (where is our client data being stored and is it secure/confidential)?		
Do we currently store documents digitally?		
If so, are they stored in an organized and searchable manner so that cases and documents can be easily located?		

Do we have a standardized naming convention for our electronic files (e.g. last name _subject or file# _subject)?		
Do we copy or move emails from email accounts into the client file itself to maintain a complete unified file?		
If we store case documents both digitally and in paper format, do we ensure each copy is complete or have procedures in place to ensure a document in only one of the files is not missed when checking the other file?		
Are our computer systems backed up automatically, on a regular basis, to the cloud or an off-site location?		
Is there a policy in place that dictates how received mail is handled, by whom, and how it is added to the file?		
Does each file contain a checklist detailing steps and obligations for that file?		
Do we maintain a master (firm wide) calendar?		
Do we keep individual calendars for each employee?		
Does our calendar include <ul style="list-style-type: none"> a. Statutes of Limitations b. Discovery and Filing Deadlines c. Administrative hearings d. Court appearances e. Appointments / Meeting dates f. Practice area specific deadlines and dates (real estate closings, creditor meetings, etc.) g. Self-imposed or discretionary deadlines? 		
Is there a policy in place that dictates who should calendar new dates on the firm's calendaring system?		
Are we able to access our calendar remotely?		

Are key staff able to access my calendar when needed?		
Do we calendar blocks of time to work on projects?		
Do we calendar blocks of time to work on the business?		
Do we use a routing or notation system on received pleadings to document important dates contained within have been calendared and by whom?		
Do we use a calendar tickling system to warn of deadlines in advance of their arrival that works for us?		
Does each file have a log or notes section for tracking activity and communication conducted in the matter?		
Do we conduct a regular review (at least once a month) of all active matters to ensure no activity or client contact is necessary?		
Do we conduct a regular review of inactive matters (at least every other month) to determine if representation needs to be terminated or advance fees refunded?		
Are both active and closed files stored in a safe and secure location?		
Do we have policies and procedures in place to provide for a timely return of the client file upon demand (within 30 days, or sooner if client/case needs dictate)?		

4. Communications

4a. Communications Policies

	Yes	No
Do we have a policy in place that mandates all client calls must be returned within a set period of time (such as 48 hours)?		
Do we have a policy in place that mandates all e-mail client communication must be responded to within a set period of time (such as 2 days)?		
Do we contemporaneously copy clients on all received or sent documents?		
Do we separately notify clients of all hearing dates and/or deadlines other than simply copying them on the documents that establish the dates?		
Do we log or document all client communications in our cases?		
Do we log or document important or major client decisions, such as the authorization of settlements?		
Do we send follow-up letters or emails after client meetings to confirm or memorialize decisions made during those meetings?		
Do we ask clients how they located us or who referred them to us?		
Do we ask clients for feedback at the conclusion of representation?		
If we use webmail or cloud computing, do we notify clients of this so they can raise any privacy concerns?		
Are our computer systems password protected?		

Are our emails and letters marked as “confidential” or “privileged?”		
Do we text message with clients?		
If so, do we have processes in place to preserve and store those text messages in our client files?		
Are our Artificial Intelligence resources properly set up to prevent the inadvertent disclosure or misuse of client information?		

4b. Confidentiality

	Yes	No
Do we have a formal confidentiality policy that is provided to all employees and contractors?		
Do we offer training and materials to staff to assist them in understanding, spotting, and helping the firm avoid confidentiality breaches?		
Does our office have an adequate layout for clients to be able to discuss their confidential issues without being overheard by other clients or members of the public?		
Are confidential materials (including fax machines and printers) kept in a location not openly accessible to visiting clients or members of the public?		
Is our office adequately secured from a security standpoint? (locks, alarms, limited accessibility)		
Are our computer systems, including mobile devices, adequately password protected?		

Do we have regularly updated anti-virus software and an effective network firewall?		
Do we remove inappropriate metadata before emailing attachments?		
Do we have policies in place regarding BYOD (bring your own device) or using personal phones or email systems?		
Do we have policies in place regarding personal use of work computers by staff?		
If there is a breach of our office security or computer systems, do we have policies in place for notifying clients their information may have been compromised?		
If we share office staff with other attorneys, law firms or businesses, has the shared staff been formally trained on our confidentiality requirements?		
If we share office space with other attorneys, law firms or businesses, is the office signage sufficiently clear to indicate we are separate entities from them?		
Have we discussed confidentiality with landlords, other tenants, cleaning personnel, interns, volunteers and employees, including family members who work for or assist us? Have we obtained a signed confidentiality agreement from them?		
If we use Artificial Intelligence-enhanced programs or software, are we competent in its use under ER 1.1? Have we trained all staff not to enter confidential client information in those programs? In the alternative, have we vetted these programs to ensure that confidential client information is secure?		

Have we read the terms and conditions of Artificial Intelligence-enhanced programs or software and understand the privacy policies contained in them?		
Do we regularly train attorneys and staff in the risk of scams, phishing and ransomware attacks?		
Do we have a written disaster plan in place to address the protection of client data and maintaining operations in the event of potential disasters (e.g. natural disasters, theft, cyberattacks, illness, etc.)		
Do we have a secure backup method for our data? (Best practice is three points of backup on a daily basis maintained off-site)		

5. Termination

5a. Withdrawal / Notification

	Yes	No
Do we formally notify clients when our representation of them has ended?		
If so, do we have a form or template letter that is sent out at the end of all matters?		
If a client wishes to terminate our firm's representation, are they able to do so without having to come in for an in-person meeting or sending a formal letter of termination?		
Do we formally withdraw from representation with the court at the end of a client matter?		

If not, do we have systems in place to identify new post-matter documents or pleadings that come in and to have them appropriately acted upon?		
Do we survey clients at termination regarding their experience with our firm?		
In personal injury matters, do we provide the client with a detailed settlement breakdown/accounting?		
If so, do we have the client sign that breakdown/accounting?		

5b. Client Property

	Yes	No
At the termination of representation, do we do a 'look back' at our fees in each case to determine if they were reasonable and actually earned?		
Do we have a system in place to ensure client refunds are processed in a timely manner?		
Do we make all necessary client refunds within 30 days?		
In case of a fee dispute, do we have procedures in place for the holding of disputed funds and how we will attempt to resolve the dispute?		
Do clients receive a copy of their client file at termination?		
Do we have a policy and procedure in place to return original client documents to them at the conclusion of the case?		
If not, were they provided copies of all case documents as the case progressed, and were they warned in advance that these copies would constitute their copy of the client file?		

Do we retain copies of client files for a sufficient period of time post-representation?		
Do we regularly review our document retention policy to determine if our storage timelines are still sufficient?		
Do we store all closed client files in one location?		
Is our file storage in a secure location with adequate security protections?		
Do we have a procedure in place for regularly reviewing and destroying closed files that have passed their retention period?		
Do we destroy closed files in a manner that sufficiently protects confidentiality, such as shredding or burning?		
Do we use sub-contractors for file storage or destruction?		
If so, have we reviewed their policies and/or trained them to ensure that files are properly maintained and destroyed?		
Have we considered whether bulk scanning closed files makes financial and practical sense?		
If a client requests a copy of a closed file, do we have procedures in place that allow us to timely respond to the request?		

6. Marketing & Advertising

6a. Advertising

	Yes	No
Have we reviewed our firm name to ensure it is in compliance with the Rules governing firm names and titles?		
Do we advertise our services?		
If so, do our advertisements contain the name of the firm or a responsible attorney at the firm?		
Also if so, do our advertisements contain contact information for the firm itself?		
Have we reviewed our advertising materials to ensure they do not contain any information likely to mislead a consumer?		

6b. Marketing

	Yes	No
Are we attracting new, quality clients to our firm?		
Are we retaining quality clients?		
Do we have a webpage that is up to date?		
Do we use social media as a marketing tool?		
Do we have a written marketing plan that we follow to attract new clients or maintain current clients?		
When we close a file, do we survey or at least ask our clients about their experience with the firm?		

Do we ask new clients what brought them to our firm?		
Do we call, write thank you notes or send referral fees to other attorneys or clients who refer new clients?		
Do we set aside time each week to market our firm (client lunches, contacts with other lawyers who might refer us business, etc.)		
Do clients often refer new clients to our firm?		
Do other lawyers often refer new clients to our firm?		

7. IOLTA

7a. Account Operation

	Yes	No
Is our IOLTA held in a Foundation approved institution?		
Are only managerial/supervisory attorneys listed as signatories on the IOLTA account?		
When the IOLTA bank statement arrives, is a managerial/supervisory attorney the first one to open and review the bank statement?		
Have we sufficiently divided tasks as a security measure so that there is not one single person in charge of all IOLTA recording and accounting?		
Have we ensured there are no ATM or debit cards linked to the IOLTA?		
Are the IOLTA checks kept in a secure location?		
Are the IOLTA checks a different color than and/or sufficiently differently looking than the operating account checks?		

Do the IOLTA checks clearly identify themselves as being for the IOLTA account on the face of the checks?		
Are duplicate deposit slips used to make IOLTA deposits?		
Are all IOLTA disbursements made by electronic transfer or pre-numbered IOLTA check?		
Do we wait ten business days from a deposit into the IOLTA before disbursing funds out of the IOLTA?		
If we make disbursements prior to ten business days, are those funds proper limited-risk funds and do we have sufficient funds (outside the IOLTA) on hand to cover any shortfall?		
Do we maintain a small sum of administrative funds in the IOLTA to cover bank fees or charges?		
If so, is that amount \$200 or less?		
Do we only use our IOLTA for matters directly related to legal representations?		
Do we timely disburse all earned funds from the IOLTA?		
Do we timely disburse all client funds from the IOLTA?		
If we are maintaining manual records, have we considered using automated alternatives such as QuickBooks?		

7b. Record Keeping

	Yes	No
Is there a particular person or persons who are responsible for the day-to-day IOLTA accounting and recordkeeping?		

Have those persons been adequately trained in the IOLTA requirements?		
Are all IOLTA deposits and disbursements recorded in a timely manner, at the same time the deposits or disbursements are actually made?		
Do we maintain copies of canceled checks (front and back) that have been disbursed from the IOLTA?		
Do we maintain copies of duplicate deposit slips for funds that have been deposited into the IOLTA?		
If we make any electronic deposits to or disbursements from the IOLTA, do we maintain a copy of the confirmation?		
Do we maintain a general IOLTA ledger?		
Does our general IOLTA ledger contain the date, client matter, payor/payee, amount and running balance for each item?		
Do we maintain individual client ledgers for each client?		
Do our individual client ledgers contain the date, client matter, payor/payee, amount and running balance for each item?		
Do we maintain an administrative funds ledger?		
Does our administrative funds ledger contain the date, payor/payee, amount and running balance for each item?		
Do we reconcile our trust account bank statements with our general ledger and individual client ledgers each month?		
When we reconcile our trust account, do we make sure that the balance totals the grand total of our individual clients' trust balances and the general ledger balance?		
Do we make and keep a written record of our monthly three-way reconciliation?		

Do we maintain copies of our IOLTA records for at least five years post-representation of a client?		
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8. CLIENT RELATIONS

	Yes	No
Do we discuss communication with clients such as: a. Conflicts of Interest b. Confidentiality c. Use of email/ telephone/ text/ client portals d. How clients will be kept informed e. Possible emergencies and how to handle them		
Do we inform staff of client communication preferences?		
Do we introduce clients to staff?		
Do you have written communication procedures?		
Do you and your staff return client calls and/or emails within 24 to 48 hours?		
Do you maintain an Active Case File List?		
Do you complete work in a timely fashion?		
Do we follow up on assignments given to others?		
Do you follow up with clients when their case is inactive?		
Do we discuss with the client the need for hiring experts and other costly expenses?		
Do you send a closing letter at the end of each matter telling the client: a. The representation is complete?		

b. What additional actions the client must take? c. The firm's file retention policy? d. Thank you and request for referrals and feedback?		
Do you clearly identify non-lawyer staff as non-lawyers in all client communications?		
Do we clearly communicate the recommended course of action with our clients?		
Do we document our clients' choice of action in writing, particularly when it is adverse to our advice?		
Do we keep clients informed of the status of their case?		
Do we impress upon clients how important it is that they are candid and cooperative?		
Are we careful with scheduling to avoid long waits for client appointments?		
Are we generally available to our clients and give them needed time to discuss important matters?		
Are we respectful and courteous to our clients?		
Do we give our clients our undivided attention when meeting with them?		
Do we meet with clients in a private, uncluttered area?		
Do we refrain from using legal jargon that clients may not understand?		
Do we discuss with clients alternative courses of action?		
Do we inform clients how to handle concerns regarding their case or with our firm's services?		

Do we promptly deliver bad news to clients in such a fashion that it is understandable?		
Are we careful about not revealing client confidences in social settings?		
Do we keep our word to clients about completing their legal work or at least notify them if there will be a delay?		
Do we carry professional responsibility insurance to protect us and our clients?		

9. FIRM FINANCIAL MANAGEMENT

	Yes	No
Do we use time and billing software? If so, what do we use? * Smokeball Bill is available as a free member benefit from the State Bar of Arizona		
Is time recorded contemporaneously?		
Do we have a schedule of what tasks are billable and non-billable?		
Are costs posted to client files in a timely manner?		
Are discounts (write-downs) shown on the bill?		
Are bills sent out on a regular schedule?		
Are payments and credits posted to client files in a timely manner?		
Are the accounts receivable evaluated and client follow-up done?		
Do we have checks and balances in place for cash handling and other accounting functions?		

Do we have a written fee schedule?		
Do we perform annual reviews to ensure that general costs charged to clients are representative of actual costs incurred?		
Do we do: Flat fee work? Contingent? Hourly? Hybrid?		
Do we clearly explain to the client whether a contingent fee percentage will be taken from the gross or net proceeds?		
With a contingent fee, do we clearly explain how we will be compensated if we are discharged or withdraw (if allowable) if the client refuses a reasonable offer to settle?		
Are credit cards accepted for payment? If so, does our fee agreement address who is responsible for processing fees?		
Do we have at least a basic understanding of accounting principles?		
Do we have an annual gross fee budget? (i.e. a plan for annual firm income)		
Do we regularly schedule a time to review the firm financials?		
Do we frequently have cash flow problems?		
Do we have an electronic accounting system?		
Do we have safeguards in place to avoid and detect employee theft?		

10. PROFESSIONALISM & SELF CARE

	Yes	No
Do we conduct conflict checks before giving legal advice to potential clients?		
Do we have a designated back-up attorney for: vacations, emergencies, disability or death?		
Do we have access to other legal professionals practicing in the same field of law that we do, such as through a group or section ?		
Do we regularly seek out continuing legal education relevant to our practice and professional development?		
Do we delegate work to staff, prioritize and communicate when the task is due?		
Do we use checklists for substantive law and administrative tasks?		
Do we use the SBA Ethics Line (602-340-7284) for questions regarding our own prospective conduct?		
Do we use the Practice 2.0 Line (602-340-7332) for questions regarding practice management, technology, resources or fee agreement reviews?		
Do we have healthy coping mechanisms to support our mental health, such as therapy, exercise, getting enough sleep or a reliable support network?		
Is stress in my personal or professional life affecting my work?		
Are you always honest with your clients and other lawyers?		
Am I aware of the confidential resources provided by the State Bar of Arizona to assist lawyers dealing with mental health, substance or alcohol use disorders?		

If I have a problem with my mental health or a substance use disorder, have I sought help dealing with it?		
Do I have a mentor ?		

11. ADDITIONAL RESOURCES

If you require additional assistance, please visit our website at [Practice 2.0 | State Bar of Arizona](#) or contact one of the programs listed below that the State Bar of Arizona offers to assist members in their day-to-day practice.

Practice 2.0 - 602-340-7332

Offers free confidential practice management assistance on a voluntary basis for inquiring members. Also offers free and confidential fee agreement review services.

Ethics Hotline - 602-340-7284

Offers informational telephonic ethics advice to members with specific prospective issues or questions.

Trust Account Hotline - 602-340-7305

Offers informational telephonic advice to members regarding setting up or managing IOLTA trust accounts.

Member Assistance Program - 602-340-7334

Offers peer support to persons experiencing personal, emotional, physical or substance related issues.

Mentorship Program - <https://www.azbar.org/mentor>