

Law Firm Name: _____

TRAINING AND SUPERVISION:

1. Does the law firm maintain a training program for new associates with regard to procedures, local practice rules and rules of professional conduct? ☐ Yes ☐ No
2. Are all associates of the law firm under the direct supervision of a partner or officer? ☐ Yes ☐ No
3. Are all associates of the law firm subject to periodic, formalized review? ☐ Yes ☐ No
4. Does the law firm use a peer review system to evaluate its partners or officers? ☐ Yes ☐ No
5. Is all work produced from support personnel reviewed by a lawyer? ☐ Yes ☐ No
6. Does the law firm have a system requiring complaints by either a client or other counsel to be reviewed by a partner or officer, other than the lawyer about whom the complaint is made? ☐ Yes ☐ No
7. Are departing lawyer's files reviewed by a partner or officer of the law firm? ☐ Yes ☐ No
8. Is there a procedure for periodic review of all ongoing matters by a committee of at least two partners or officers of the law firm? ☐ Yes ☐ No

RISK MANAGEMENT/BUSINESS CONTINUATION:

1. Does the law firm have a formal Risk Management program? ☐ Yes ☐ No
2. Does the law firm maintain a Risk Management manual that is available to all staff members? ☐ Yes ☐ No
3. In the last 2 years, has the law firm had an audit of its Risk Management program performed by a risk management specialist from outside the firm? ☐ Yes ☐ No
4. Does the law firm present in-house seminars pertinent to the areas in which its lawyers practice? ☐ Yes ☐ No
If yes, provide a list of all in-house seminars presented in the past 12 months.

5. Does the law firm have a computer back-up system, or some other form of emergency back-up system in the event of a disruption or interruption of business? ☐ Yes ☐ No
6. Does the law firm maintain an off-site location for the maintenance and storage of files? ☐ Yes ☐ No
7. Does the law firm have arrangements in place for alternate office space in the event that its current office location is rendered unusable? ☐ Yes ☐ No

LAW FIRM ADMINISTRATION:

1. Does the law firm have a full time Office Manager or legal administrator? ☐ Yes ☐ No
2. Does the administrator hold a professional certification from a national professional organization for legal administrators? ☐ Yes ☐ No
3. Does the law firm have a program or dedicated individual to keep track of required continuing education credits for each lawyer? ☐ Yes ☐ No
4. Are there more than 4 non-lawyer personnel (law clerks, paralegals and administrative staff) for every lawyer practicing in the law firm? ☐ Yes ☐ No
If yes, what is the staff to lawyer ratio? _____

CLIENT INTAKE AND PROCEDURES:

1. Does the law firm maintain a client intake form in each client's file? ☐ Yes ☐ No
If yes, how often are client intake forms updated?
2. Are new clients subject to the approval of a committee or designated partner or officer other than the lawyer generating the business? ☐ Yes ☐ No
3. Does the law firm have a procedure for evaluating a prospective client's financial strength, background and history of changing legal counsel? ☐ Yes ☐ No
4. Does service on a client's Board of Directors have to be approved by a committee of at least two partners or officers of the law firm? ☐ Yes ☐ No
5. Does the law firm's client information system include data regarding the opposing party, opposing counsel, client principals and/or client subsidiaries? ☐ Yes ☐ No

Additional Comments: _____

For residents of all states except CO: Any person who knowingly and with intent to defraud any insurance company or other person, files an application for insurance containing any materially false information or conceals, for the purpose of misleading, information concerning any fact material thereto or knowingly helps with intent to defraud, commits a fraudulent insurance act, which may be a crime and may subject the person to criminal and civil penalties.

Colorado: It is unlawful to knowingly provide false, incomplete, or misleading facts or information to an insurance company for the purpose of defrauding or attempting to defraud the company. Penalties may include imprisonment, fines, denial of insurance and civil damages. Any insurance company or agent of an insurance company who knowingly provides false, incomplete, or misleading facts or information to a policyholder or claimant for the purpose of defrauding or attempting to defraud the policyholder or claimant with regard to a settlement or award payable from insurance proceeds shall be reported to the Colorado Division of Insurance within the Department of Regulatory Agencies.

Professional liability insurance offered through Attorney Shield is underwritten by Professional Solutions Insurance Company (doing business in California as PSIC Insurance Company).

Signature/Title of Law Firm Representative

Date

Soliciting Agent (Please Print Full Name)

Agency Name



Mail to:
14001 University Avenue
Clive, Iowa 50325

Questions:
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