

Checkpoints for preparing for post-lockdown regrowth: Business systems

Partnering our Podcast+ (www.pda-legal.co.uk/videos-on-risk-and-compliance) this checklist is intended to support legal practices with their strategic planning following the COVID-19 lockdown.

This completed checklist can **augment your portfolio of risk management evidence**.

For **Lexcel accredited organisations**, we have also indicated touchpoints.

Risk/Compliance Partner/Manager/Director considerations	Date conducted or completed (dd.mm.yyyy)
Structure and strategy (Lexcel, section 1)	
Reviewed the practice's Strategic Plan for the next 12 months	
Scheduled regular reviews on progress versus the Plan	
Management structure documentation is up to date	
Financial Management (Lexcel, section 2)	
Scheduled at least monthly reviews of your financial management data	
Reviewed billing procedures for remote working	
Information Management (Lexcel, section 3)	
The register of personal data is up to date (inc. processing during remote working)	
Documented your review of systems for protecting personal data	
Home/remote working procedure reviewed	
Reviewed the protection of data during transit between working locations	
Data Subject Access Request procedure reviewed	
Data breach procedure reviewed	
Cessation of employment; procedures in place for return of hardware/documents	
Register of all software <i>used</i> (not just 'owned' by the practice) in the work of the practice	
DPIA has been conducted where necessary (eg. remote working, new CMS)	
Risk Management (Lexcel, section 5)	
Compliance Plan reviewed	
Risk Register updated	
Outsourced service provider arrangements reviewed to ensure confidentiality is maintained	
Procedure for monitoring key dates reviewed	
Procedure for conflict checks reviewed	
Procedure for CDD/ID checks reviewed	
Review of procedure for undertakings in light of remote working	
Considered any changes to your file review procedures to monitor risk areas	
Risk data reviewed (regularly) and action taken is documented	
Information shared with staff appropriate to their roles and responsibilities	

Checkpoints for preparing for post-lockdown regrowth: People

Risk/Compliance Partner/Manager/Director considerations	Date conducted or completed (dd.mm.yyyy)
People Management (Lexcel, section 4)	
COVID-19 risk assessment completed	
Health and Safety Policy reviewed	
Flexible Working Policy reviewed	
ICO guidance for monitoring employee health information considered	
Data protection training/refreshers have been conducted for all staff, especially remote workers	
All staff received update training on recognising potential Subject Access Requests and breaches	
Access to equipment and resources for remote working staff has been resolved and staff trained	
Learning and Development Plans reviewed for all staff	
Staff role profiles are up to date	
Training provided (where appropriate) including; conflict checks, AML, client ID, confidentiality	
Induction procedure has been reviewed (especially where remote inductions take place)	
Appropriate training provided for persons transferring or changing roles	
Staff leaving procedures updated for remote/socially distanced handovers of work	
Risk Management (Lexcel, section 5)	
Supervision procedures reviewed (eg. changes to supervisors, methodology or frequency)	
Systems in place for effective supervision in a remote working/social distancing environment	
Client Care (Lexcel, section 6)	
Clients are up to date, in writing, on the management of their matter and the latest Terms	
Procedures reviewed for dealing with new enquiries	
Procedure reviewed for data protection for prospects and new appointments	
Review of procedures for managing complaints	
Experts and counsel, and matter progression (Lexcel, section 7)	
Registers of experts and counsel have been reviewed to ensure accuracy of their personal data	
Clients notified, in writing, of any changes of person dealing with their matter	
Information shared with staff appropriate to their roles and responsibilities	

Want guidance or support?

Get in touch via the Contact page on the PDA Legal website: www.pda-legal.co.uk/contact-us

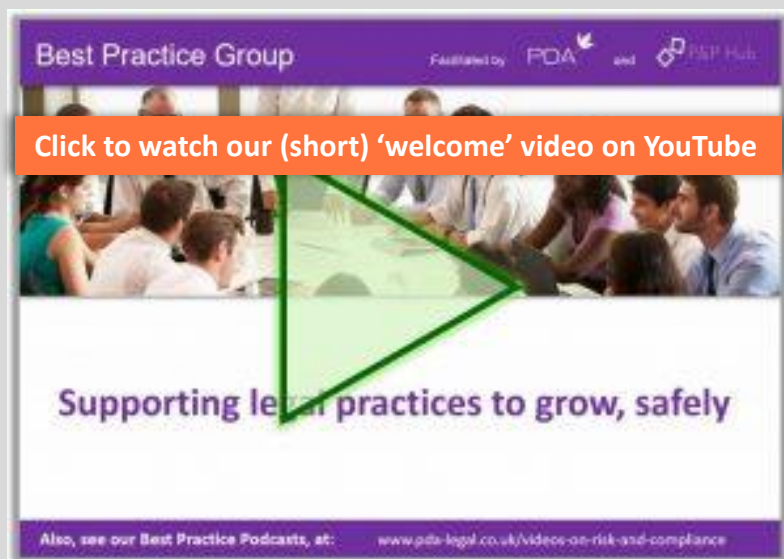
Or, connect with **Neil Partridge** from PDA Legal: www.linkedin.com/in/neilpartridge/

and **Samantha Aldridge** at PandP Hub: www.linkedin.com/in/samantha-aldrige-737475187/

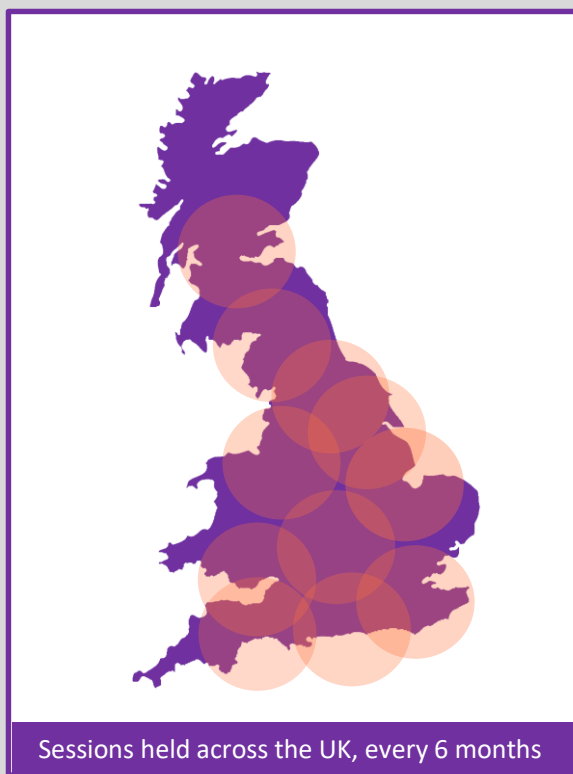


The **Best Practice Group** brings together legal practices of all shapes and sizes who wish to **confidentially** discuss and share knowledge of best practice, including **compliance with regulation**, the **Lexcel Standard**, **CQS**, **SQM**, and in support of **managing risk**.

Membership is free and by invitation.



Or [click here](#) to download a PDF information sheet



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OF MEMBERS REPORTED THAT THE OUTPUTS OF THE SESSION WERE USEFUL TO THEM IN THEIR ROLE OR FOR THEIR FIRM OVERALL

100%

WOULD RECOMMEND THE BEST PRACTICE GROUP TO AN ASSOCIATE OR COLLEAGUE

100%

AGREED THAT THE FACILITATORS WERE KNOWLEDGABLE ON THE TOPICS DISCUSSED

Get in touch: www.pda-legal.co.uk/contact-us

Or, connect with **Neil Partridge** from PDA Legal: www.linkedin.com/in/neilpartridge/

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