

TEN AREAS TO BE ADDRESSED TO DEMONSTRATE COMPLIANCE WITH “APPROPRIATE MANAGEMENT SYSTEMS”

1. **Negligence** - (providing for competent work practices)
2. **Communication** (providing for effective, timely and courteous communication)
3. **Delay** (providing for timely review, delivery and follow up of legal services)
4. **Liens/file transfers** (providing for timely resolution of document/file transfers)
5. **Cost disclosure/billing practices/termination of retainer** (providing for shared understanding and appropriate documentation on commencement and termination of retainer along with appropriate billing practices during the retainer)
6. **Conflict of interests** (providing for timely identification and resolution of “conflict of interests”, including when acting for both parties or acting against previous clients as well as potential conflicts which may arise in relationships with debt collectors and mercantile agencies, or conducting another business, referral fees and commissions etc)
7. **Records management** (minimising the likelihood of loss or destruction of correspondence and documents through appropriate document retention, filing, archiving etc and providing for compliance with requirements regarding registers of files, safe custody, financial interests)
8. **Undertakings** (providing for undertakings to be given, monitoring of compliance and timely compliance with notices, orders, rulings, directions or other requirements of regulatory authorities such as the OLSC, courts, costs assessors)
9. **Supervision of practice and staff** (providing for compliance with statutory obligations covering licence and practising certificate conditions, employment of persons and providing for proper quality assurance of work outputs and performance of legal, paralegal and non-legal staff involved in the delivery of legal services)
10. **Trust account regulations** (providing for compliance with Section 61 of the Legal Profession Act and proper accounting procedures)