Practice Management Review Resource List
(Lawyer)¹

General References

- *Rules of Professional Conduct*


- *Practice Management Guidelines*

- *Lawyer Practice Guides*

- *LawPro Managing Booklets*

- *LawPro Lending Library*

- *LawPro Magazine*

- *AccessCLE*

- *www.infolocate.ca*

¹ For an electronic and hyperlinked copy of this document, go to [www.lsuc.on.ca](http://www.lsuc.on.ca) and enter the search terms “Practice Management Review.” Note that you can also locate the resources by using the search function on the Law Society website.
A1a – Contingency Planning

- [Contingency Planning Guide](#)
- [Financial Management Practice Management Guideline](#) - See s. 4.17- 4.18
- [Guide to Closing your Practice](#)
- [Succession Planning Toolkit](#)
- [Contract Lawyers' List](#)
  - [The Sample Contract](#)
  - [Scenarios](#)
  - [Ethical Issues](#)
- [Parental Leave Assistance Program](#)
- [LawPro Managing Practice Interruptions](#)
- [LawPro Vulnerabilities Assessment Chart (pdf)](#)

  Note: Vulnerabilities Assessment Chart is also available in Excel format on the LawPRO site
- [Guide to Opening Your Practice](#) (page 47-51)
- [LawPro Lending Library](#), Management and Administration: *The Essential Form Book: Volume IV; Disaster Planning & Recovery/Risk Management & Professional Liability Insurance*
- LawPRO article; “[Preparing your practice for the unpredictable](#)” – located on same webpage as the Managing Practice Interruptions Booklet
- [ABA Surviving a Disaster – A Lawyer’s Guide to Disaster Planning](#)
- "*Contingency Planning - Because It Might Happen To You - A Guide to Being Practical,*” by Durward, M., (June 3, 2010) – Available online through the Great Library at [www.infolocate.ca](http://www.infolocate.ca)

A1b – Power of Attorney

- [Contingency Planning Guide](#)

A2a – Business Structures

- Rules 2.03, 2.04 and Subrule 6.07(2) of the [Rules of Professional Conduct](#)
- [Professional Management](#) – See s. 6.12
- [Business Structures](#)
A2b – Space Sharing

- Practice Arrangements: scroll to Sharing Office Space, Home Office
- LawPro >> Law firm structure - managing risk through structure

A2b – Written Business Arrangements/Partnership Agreements

- Subrules 10.1 to 10.3 of Rule 2.04, Rules of Professional Conduct
- Subsection 3(2) of By-Law 7.1
- By-Law 7, Part IV
- LawPro Lending Library >> Management & Administration >> The Essential Formbook: Volume 1 – Partnership and Organizational Agreement / Client Intake and Service Agreements
- Great Library Stacks -- Model Partnership Agreement, Kellough (KF 318 M62 1990)
- “Divorcing your Partners: Surviving a Firm Break-up”, by Hardie, R. (May 9, 2008) - Available online through the Great Library at www.infolocate.ca
- Annotated Business Agreements – Available online through the Great Library at www.infolocate.ca – see “Annotated Partnership Agreement”, by Manzer, A. (September 18, 2008)

A3 – Written Office Manual

  (Both resources are also available from The Lending Library)
- Equity Model Policies
- Contingency Planning Guide (Page 33)
- www.practicePro.ca >> Quick Links >> Topical listing of articles and resources >> PIPEDA >> Generic Law Firm Privacy Policy
- www.cba.org >> Publications >> CBA PracticeLink in Depth >> Solo and Small Firms >> Clients >> Law Firm Privacy Compliance in 10 steps
A5 – Marketing – Firm Name

- Rules 3.01, 3.02, 3.04, 3.05 and 3.06 (Marketing Legal Services) of the Rules of Professional Conduct
- Professional Corporations – scroll to Information for Lawyers – Law Firm Name Guidelines
- Guide to Opening Your Practice

A5 – Marketing - General

- Rules 3.01 and 3.02 of the Rules of Professional Conduct
- Technology – scroll to Marketing Legal Services via Website

A7 – Unauthorized Access

- www.practicePro.ca >> Quick Links >> Topical listing of articles and resources >> PIPEDA >> Generic Law Firm Privacy Policy
- www.cba.org >> CBA PracticeLink in Depth >> Solo and Small Firms >> Clients >> Law Firm Privacy Compliance in 10 steps
- “Confidentiality Agreement”

B1 – Phantom Clients

- Client Service and Communication – See s. 2.8
- Phantom Clients – scroll to Sample Non-Engagement Letter
- LawPro Managing the Lawyer/Client Relationship

B2 – Discussion of Retainer

- By-Law 7.1
- Client Service and Communication - See s. 2.9 and Resources (e.g. Establishing the Retainer, and Sample Client Memorandum: Billing Information)
- Practice Management Guidelines - See or go to Financial Management, Billing Methods and Charges, s. 4.2 and Resources (e.g. Litigation Cost Estimate Template)
- Retainer or Non-Engagement
B3 – Written Retainers - Use

- **Client Service and Communication** - See s. 2.1 to 2.9
- **Conflicts of Interest** - See Joint Clients
- **Consent** - scroll to To Act when There is a Conflict of Interest and To Act in a Joint Retainer
- [www.practicepro.ca >> Practice Aids >> Retainer Precedents](#)
- The Annotated Retainer Agreement (2009) – available online through the Great Library at [www.infolocate.ca](http://www.infolocate.ca) or at the Great Library KF 316.A75 L393 2009
- *Special Feature Section on Real Estate Claims and Title Insurance in Volume 9, Issue 4 of LAWPro Magazine dated December 2010*

B4 – Written Retainers - Sufficiency

- **Client Service and Communication** - See s.2.1 to 2.9
- **Conflicts of Interest** - See Joint Clients
- **Consent** - scroll to To Act when There is a Conflict of Interest and To Act in a Joint Retainer
- [www.practicepro.ca >> Practice Aids >> Retainer Precedents](#)
- LawPro Managing the Lawyer/Client Relationship
- The Annotated Retainer Agreement 2009 - available online through the Great Library at [www.infolocate.ca](http://www.infolocate.ca) or at the Great Library KF 316.A75 L393 2009

B5 – Money Retainers

- **Practice Management Guidelines** - See or go to **Financial Management** - See or scroll to Money Retainers s. 4.2.6

B6 – Conflicts Management

- **Rule 2.04, Rules of Professional Conduct**
- **File Management** – See or go to **Conflicts Checking Systems** s. 3.8
- **Conflicts of Interest**
- LawPro Managing Conflicts of Interest
- Canadian Bar Association Task Force - Conflicts of Interest Toolkit
- Independent Legal Advice and Independent Representation
B7 – Conflicts of Interest

- LawPro Managing Conflicts of Interest Situations
- Rule 2.04, Rules of Professional Conduct
- Independent Legal Advice and Representation
- Conflicts of Interest – scroll to Joint Clients
- Consent - scroll to To Act when There is a Conflict of Interest and To Act in a Joint Retainer
- Client Service and Communication – See or go to Joint Retainers s. 2.4
- Sample Form Joint Retainer Acknowledgement and Consent
- Sample Form Joint Retainer Acknowledgement and Consent – Real Estate

B8/9 – Client Service and Communication

- Rule 2.01, Rules of Professional Conduct
- Client Service and Communication – See or go to Timely and Effective Lawyer-Client Communications s. 2.14
- LawPro Managing the Lawyer/Client Relationship
- Law Pro Magazine “Taking the Guesswork out of Client Communication” Volume 3, Issue 1, Spring 2004
- “Getting Proper Instructions from Your Client; Written Instructions--the Paper Shield” by Kelly, J., (June 2004) – available online through the Great Library at www.infolocate.ca

B10 – Email Communication

- Clause 2.01(1)(d); Subrule 2.01(2); and Rule 2.03, Rules of Professional Conduct
- Technology - Professional Responsibilities when using Technology
- Data Encryption
- Technology Practice Management Guideline - See or go to Confidentiality 5.7 and Security Measures 5.10
- LawPro Managing the Security and Privacy of Electronic Data in a Law Office

C1 – Separate Files for Each Retainer

- File Management – See or go to Opening and Maintaining Active Client Files s. 3.6.1 and Essential Requirements s. 3.3
C2 – Key Information in File

- *By-Law 7.1*
- File Management – See or go to Essential Requirements s. 3.3 and Systems to Store and Retrieve Key Client Information s.3.5
- Client Identification and Verification requirements

C3 – Notation of Key Dates

- File Management – See or go to Essential Requirements s. 3.3 and Systems to Store and Retrieve Key Client Information s.3.5

C4 – File Organization

- File Management – See or go to Opening and Maintaining Active Files s.3.6

C5/6 – File Management Systems

- Rule 2.07, *Rules of Professional Conduct: Preservation of Client’s Property*
- File Management – See or go to Opening and Maintaining Active Files s.3.6 and Closing, Retaining and Disposing of Client Files s.3.12
- “File Opening Checklist”
- File Transfer
- Guide to Closing your Practice
- Manage your Practice >> Practice Management Topics >> Managing Files >> File Retention and Destruction >> Guide to Retention and Destruction of Closed Client Files and Retaining Closed Client Files

C7 – File Storage

- Rules 2.03 and 2.07, *Rules of Professional Conduct*
- Practice Management Guidelines >> File Management Storage of Active Client Files s.3.6.3 and Closing, Retaining and Disposing of Client Files s.3.12.4

C9 – Tickler System

- Rule 2.01, *Rules of Professional Conduct*
- LawPro Managing the Lawyer Client Relationship, Risk Management Techniques, Appendix 5
- Practice Management Guidelines – See or go to Time Management, Essential Features s. 7.2 and Time Management, Centralized Tickler or Reminder Systems s. 7.6
C10 – Bring Forward System

- Practice Management Guidelines – See or go to Time Management, Essential Features s. 7.2 and Time Management, Centralized Tickler or Reminder Systems s. 7.6

C11 – File Review

- Practice Management Guidelines - See or go to Time Management, Centralized Tickler or Reminder Systems s. 7.6

D2 – Detailed Time Dockets

- Practice Management Guidelines – See or go to Time Management, Keep Time Records s. 7.4.5 and Time Docketing or Recording Systems s.7.6.1
- Harmonized Sales Tax

D3 – Account Detail

- Rules of Professional Conduct, Rule 2.08
- Practice Management Guidelines -- See or go to Financial Management, Restricted Practices s.4.6
- Practice Management Guidelines -- See or go to Financial Management, Fee Arrangements s. 4.7
- Manage Your Practice >> Practice Management Topics >> Managing Money >> Fees and Disbursements
- Solicitor’s Act, R.S.O. 1990, C.S.15, s.33
- http://www.attorneygeneral.jus.gov.on.ca >>English>>Court Services>>Court Fees>>pre-judgment and post-judgment interest rates

D4 – Regular Billing and Internal Control

- Practice Management Guidelines – See or go to Financial Management - Interim Billing, Work in Progress or Account Status Reports s. 4.3
- By-Law 9, s. 9(1) 3

D5 – Managing Accounts Receivable

- Solicitor’s Lien
- Solicitor’s Lien Article (Last reviewed September 2007)

D6 – Deposit Funds in Trust Account

- By-Law 9, s. 1 and 7(2)(d)
D7a – General Receipts and Disbursement Journals
   •  *By-Law 9, s. 18(5)(6)*

D7b – Trust Receipts and Disbursement Journals
   •  *By-Law 9, s.18(1)(2)*

D7c – Client Ledger Cards
   •  *By-Law 9, s.18(3)*

D7d – Monthly Trust Reconciliations
   •  *By-Law 9, s.18(8)*
   •  *Bookkeeping Guide for Lawyers*
   •  *How to Reconcile a Trust Account*

D7e – Cashed Cheques
   •  *By-Law 9, s.18(10)*

D8 – Trust Comparisons
   •  *By-Law 9, Section 22(2)*
   •  *Bookkeeping Guide for Lawyers*
   •  *How to Reconcile a Trust Account*

D9 – Trust Reconciliations
   •  *By-Law 9, s.18(8)*

D10 – Cash Receipts
   •  *By-Law 9, s.19*

D11 – Inactive Trust Accounts
   •  *By-Law 9, s.22*
   •  *Unclaimed Trust Fund FAQs*
   •  *Unclaimed Trust Fund Lawyer and Paralegal Application*
D11 – Accounting Current – Stale Dated Cheques

- *By-Law 9, s.19*
- *By-Law 10*
- Unclaimed Trust Fund FAQs
- Unclaimed Trust Fund Lawyer and Paralegal Application

D12 – Trust Deposit Slips

- *By-Law 9, s. 18 (10)*

D13 – Financial Controls

- Subrule 6.01(2), *Rules of Professional Conduct*
- Practice Management Guidelines – See or go to Financial Management
- Bookkeeping Guide – See p.86 Internal Control Self Assessment Guide
- LawPro Managing the Finances of Your Practice and associated precedent documents including Business Plan and Sample Budget
- LawPro Lending Library >> Billing and Financial Management and various articles

E1 – Office Equipment

- Technology Practice Management Guideline – See Systems to Support Client Service s. 5.3
- Technology – scroll to Legal Software and Other Online Resources

E2 – Data Security

- Technology Management Guideline – See Security Measures s. 5.10, Back-up and Disaster Management s.5.11 and Obsolescence s. 5.12
- LawPro Managing the Security and Privacy of electronic data in a law office
- LawPro Managing Practice Interruptions
- Technology: Professional Responsibilities When Using Technology
- Technology Practice Tips - Podcasts
- Are Your Passwords Secure, LAWPRO Magazine “Focus on Mentoring”, April 2002
- If You Want To Protect Your Privacy, Secure Your Gmail
- Tips for creating strong passwords and passphrases
F1 – Professional Competency
- **Time Management** – See Professional Development s.6.2
- **Continuing Professional Development Overview**
- **By-Law 6.1**

G2 – Time Dockets for Billable and Non-Billable Time
- **Time Management** – See Keep Time Records s.7.4.5 and Time Docketing or Recording Systems s.7.6.1

G3 – Time Reports

G4 – Delegation and Supervision
- **Rule 5.01** of Rules of Professional Conduct
- **By-Law 7.1**
- **Professional Management** – See Relationship to Students, Employees and Others s.6.13

H1 – Regular Vacation
- **Personal Management** – See s. 8.1 to 8.8

H2 – Network of Colleagues
- **Personal Management** – See s. 8.1 to 8.8
H3 – Stress Management

- “Work Life Balance,” 3rd Annual Sole and Small Firm Conference and Expo (2008), Tab 4 – available online through the Great Library at www.infolocate.ca
- www.practicepro.ca >> Online Coaching Centre >> “Getting Stress Hardy”; or “Overcoming Procrastination”; or “Emotional Intelligence Workshop”
- Member Assistance Program (MAP)