

# All Phases Supervision Toolkit

<b>Requirement</b>	Oversight, direction, checking and review of work delegated by the accountable partner or senior lawyer to lawyers and support staff in the conduct of a matter, provision of services and management of client relationships	
<b>Steps</b>	<b>Establish accountability</b>	<p>A principal should nominate a supervisor for the conduct of every new matter or to take over the conduct of an existing matter, including an alternative supervisor if needed:</p> <ul style="list-style-type: none"> <li>• A supervisor should be a principal or senior lawyer with relevant experience and capacity to supervise the matter</li> <li>• A supervisor must be available to oversee the day to day conduct of every file</li> <li>• A peer supervisor must be nominated to check and review work where the supervising practitioner has the conduct of a high importance, high risk matter</li> <li>• Only a supervisor has authority to delegate work</li> </ul>
	<b>Tailor approach</b>	<p>Upon opening a new matter and/or where there is a substantial change during the conduct of the matter, the supervisor should</p> <ul style="list-style-type: none"> <li>• Determine the complexity and risk associated with the conduct of the matter (and potentially a check and review by peer) before delegating any work</li> <li>• Delegate work to a lawyers, para legal and support staff who have appropriate capacity, capability and experience and that this is in accordance with the terms of the client engagement agreement</li> <li>• Determine context, time, output, limits and supervision expectations with respect to each delegated responsibility</li> <li>• Adapt the meeting and supervision schedule to Matter requirements and practitioner capability</li> </ul>
	<b>Set tone</b>	<p>The supervisor should set expectations for all staff with responsibility for the conduct of the Matter at commencement:</p> <ul style="list-style-type: none"> <li>• Communicate Matter details, strategy, time, output, limits and supervision expectations with respect to each delegated responsibility</li> <li>• Establish clear limits of responsibility and requirements for escalation to the supervisor</li> <li>• Set expectations for communication with the supervisor about delegated work, challenges in the work and whether further supervision is needed to support the team</li> <li>• Encourage ongoing informal communication throughout the conduct of the Matter</li> <li>• Encourage individual and collective responsibility for the quality and timeliness of work undertaken</li> </ul>
	<b>Review progress</b>	<p>The supervisor should regularly conduct diarised and informal reviews throughout the conduct of the Matter:</p> <ul style="list-style-type: none"> <li>• Critical dates and deadlines</li> <li>• Legal strategy and advice</li> <li>• Team performance and outputs</li> <li>• Changes:             <ul style="list-style-type: none"> <li>○ emerging conflicts of interest</li> <li>○ parties</li> <li>○ client expectations</li> <li>○ scope and fee</li> </ul> </li> <li>• Complaints and claims circumstances</li> </ul>
	<b>Review documents</b>	<ul style="list-style-type: none"> <li>• The supervisor should review and sign off on legal documents, written advice and important communications:             <ul style="list-style-type: none"> <li>○ All advice should be in writing</li> <li>○ Relevant supporting information should be included</li> </ul> </li> <li>• The supervisor should consider additional review where the work is complex or high risk:             <ul style="list-style-type: none"> <li>○ Peer review by another principal or senior lawyer who is not directly involved in the conduct of the matter</li> <li>○ External review including by a barrister or area expert</li> </ul> </li> </ul>