

The firm automation readiness audit.

Mark one point for each practice you can support with evidence. Use the gaps to choose a focused process review.

INTAKE

- ☐ 1. Sensitive documents use an approved secure collection channel.

Review actual access and sharing settings, not just the product name.

- ☐ 2. Each client or matter has a clear document checklist.

Receipt and professional adequacy are separate states.

- ☐ 3. New uploads map to a stable client and engagement ID.

Ambiguous matches enter a staff queue.

- ☐ 4. Reminders check current status and contact permissions.

Apply stop rules, quiet hours, and an attempt limit.

- ☐ 5. Acceptance and conflict decisions have an authorized owner.

A system search assists a professional decision.

DATA

- ☐ 6. The firm has mapped where each data field travels.

Include integrations, model calls, logs, backups, and subprocessors.

- ☐ 7. Vendor terms, retention, and access are reviewed.

Check the specific plan and configuration.

- ☐ 8. The security plan reflects the actual workflow.

Record owners, access controls, and change review.

- ☐ 9. Required consent and disclosure decisions are documented.

Use qualified review for the firm and jurisdiction.

- ☐ 10. Sensitive outputs pause for authorized human approval.

Bind approval to the exact draft version and recipient.

From a score to a useful next step.

Finish the operations checks, then discuss the evidence behind your answers with the responsible people.

OPERATIONS

- ☐ 11. Repeated events cannot create duplicate business actions.

Use durable keys and destination reconciliation.

- ☐ 12. Failures reach an owned exception queue.

Set a backup owner and a recovery procedure.

- ☐ 13. Time drafts reflect actual work and are reviewed.

Saved capacity does not justify fictional billable time.

- ☐ 14. Retention and deletion rules account for holds and backups.

Unknown hold status blocks removal.

- ☐ 15. A pilot measures handling time and error rates.

Count review and maintenance, then compare actual outcomes.

My planning score: _____ / 15

0-5 / Start with foundations

Name an owner, map one intake process, and identify where sensitive data travels.

6-10 / Connect the gaps

Add explicit stop rules, an exception queue, and a measured pilot to the unchecked handoffs.

11-15 / Validate the evidence

Test recovery, review access and retention, and compare observed results before expanding.

Next process to review: _____

Owner and review date: _____