NOBC Proactive Regulation FAQ, Appendix B (As of May 19, 2017)

NOBC's Listing of Current and Available Innovative Programs Used in U.S. and Canadian Jurisdictions

A Collaborative Effort (inspired by the work of Jim Coyle and Jon White, Colorado Supreme Court Office of Attorney Regulation Counsel)

I. REGULATION

| Regulation Initiatives | Jurisdictions | Source for information |
|---|---------------------|--|
| Regulatory objectives | AB, ABA, CO, IL, | AB – Law Soc. Strategic Plan: |
| Regulatory objectives provide state supreme court | MA, MT, NE, NS, TX, | http://www.lawsociety.ab.ca/docs/defau |
| directives on promoting the public interest. They may | VA, WI, WA | lt-source/unknown/lsa-2017-2019- |
| include protecting the public, promoting confidence in | | strategic-plan_dec7.pdf |
| the rule of law and the administration of justice, | | |
| improving lawyer competence, ensuring lawyer | | CO – Regulatory Objectives (Preamble |
| compliance with the RPC, and other priorities. | | to Chapters 18-20, Colorado Rules of |
| References to well-being as part of an objectives | | Civil Procedure) |
| statement sends a message that this, too, is a priority for | | _ |
| regulators. | | IL – IARDC Mission Statement: |
| | | https://www.iardc.org/mission_stateme |
| | | nt.asp |
| | | |
| | | MA – |
| | | https://www.massbbo.org/Who_We_Are |
| | | OBC_ACAP#OBC |
| | | |
| | | NE – (Preamble to Nebraska Rules of |
| | | Professional Conduct) |
| | | https://supremecourt.nebraska.gov/supr |
| | | eme-court-rules/1825/preamble- |
| | | lawyer%E2%80%99s-responsibilities |
| | | * |
| | | NS – http://nsbs.org/nsbs-regulatory- |
| | | objectives |
| | | |

| | | TX – (Preamble to Texas Disciplinary Rules of Professional Conduct) TDRPC WA – General Rule (GR) 12.1 (regulatory objectives under consideration by Washington Supreme Court) 1 |
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| Mandatory insurance / mandatory disclosure of insurance programs Professional liability insurance protects lawyers and clients in the event a client's claims suffer harm from the lawyer's representation. | AZ, CO, ID, MA, MN, NE, NM, PA, VA, all Canadian jurisdictions | AZ – Rule 32(c)(12), Ariz. R. Sup. Ct. NE – Rule § 3-803(B)(6), Mandatory Annual Insurance Disclosure MA—Supreme Judicial Court Rule 4:02, § 2A http://www.mass.gov/courts/case-legal-res/rules-of-court/sjc/sjc402.html NM – Rule 16-104, N.M.R.A. PA – PaRDE 219(d)(1)(viii) WA – Admission and Practice Rule (APR) 26 (mandatory insurance disclosure for lawyers); APR 12(f)(2), Regulation 7 (financial responsibility requirement for limited practice officers); APR 28E(4), Regulation 12 (financial responsibility requirement for limited license legal technicians) |

¹ Proposed amendments to General Rule 12.1 that would incorporate the ABA Model Regulatory Objectives are currently under consideration by the Washington Supreme Court.

| Citizen participation Citizen participation in all committees and boards ensures that the office promotes the public interest | AZ, AR, CO, DC, IA, IL, FL, GA, HI, KY, LA, MA, MN, MT, NE, NH, NJ, OR, PA, TX, UT, VA, WI, WA, all Canadian jurisdictions | AZ – Rule 32(e)(4)(A), Ariz. R. Sup. Ct., Rule 50, Ariz. R. Sup. Ct., Rule 52, Ariz. R. Sup. Ct. AR – The Arkansas Supreme Court appoints two non-lawyers to each of the four panels FL – Citizen members are required to be on the Board of Governors and circuit Grievance Committees. Rules 1-4.1 and 3-3.4(c) HI – RSCH 2.4(a)(At least one-third of the members [of the Board] shall not be lawyers). IA – Court Rules 34.1, 34.6 LA – Supreme Court Rule XIX MA—12 board members of which 4 are nonlawyers. Hearing committee are generally comprised of 3 people, 2 lawyers and 1 nonlawyer. NE – District Committees on Inquiry (COI) Supreme Court Rule §3-306; Disciplinary Review Board (DRB) Supreme Court Rule § 3-307 PA – (Board ONLY) PaRDE 205(a) |
|---|--|--|
|---|--|--|

| | | TX – TRDP 2.02 |
|---|--|---|
| International agency information sharing Each office should have protocols/systems to facilitate information sharing with regulators from international jurisdictions. | CO, DC, GA, IL | |
| Risk Management | | |
| Risk assessments for practitioners (proactive management-based programs) Bar, disciplinary, or regulation counsel can provide practitioners with self-assessments designed to detect and resolve practice issues before misconduct arises. These assessments help identify, among other things, whether or not the practitioner has policies and procedures in place that address conflicts of interest, actions that must be taken in new and pending matters, proper accounting for client funds and property, and other common ethical issues. Such self-assessments may also provide resources that include template policies and procedures for current ethical issues. These programs may be voluntary or mandatory. They may involve incentives for those practitioners that complete the self-assessments, who institute policies and procedures in all identified deficient circumstances, and who successfully undergo a peer or regulator review of these new policies and procedures | CO, DC (through Practice Management Advisory Service), FL, IL (2018), New South Wales (voluntary or if ordered), NS, TX, VA, WA, WY. The Canadian Bar Association has voluntary self- assessments. | CO – Colorado Supreme Court Proactive Management-Based Program Subcommittee FL – Practice Resource Institute is an on-line resource for members to use in managing their practice. http://pri.floridabar.org/management/ IL – http://www.illinoiscourts.gov/Media/PressRel/2017/012417.pdf TX – Self-Assessment Tool WA – Self-Audit Checklist (for use by practitioners to assess their law office management systems) |
| Random trust account audit programs and bank trust | AZ, AR, BC, FL, GA | AZ- Rule 43(f)(3)(D), Ariz. R. Sup. Ct. |
| account notification programs These programs identify problems in specific law firm and lawyer trust accounts, thereby addressing those problems before significant trust fund mishandling occurs. | (rules exist, not used), IL (by title companies, etc.), HI (random audit and overdraft notification), IA, KS, LA (overdraft notification), LSUC, | FL – Lawyers and law firms must authorize banks to provide notice if an account is overdrawn. Rule 5-1.2(d)(4) IA – Court Rules Ch. 39 |

| | MA, MN (overdraft notification), MT, NE, NH, NJ, NM, NS, WA. See ABA charts here (random audits) and here (notification). | MA—SJC Rule 3:07, Mass. R. Prof. C. 1.15 (h), dishonored check notification, https://www.massbbo.org/Rules NE – Supreme Court Rule § 3-906 NH – Supreme Court Rule 50 NM – N.M.R.A. 17-204 (overdraft notification) WA – Title 15 of the Rules for Enforcement of Lawyer Conduct (ELC) (trust account examinations and overdraft notification) |
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| Working relationship with lawyer assistance programs (LAPs) Confidential rules that allow regulators to provide early | AZ, AR, CO, HI, ID, IL, KS, MT, NE, NH, OK, OR, TN, TX, WI, | |
| reporting to LAPs provide faster intervention for | WY | |
| attorneys who have mental health or substance use issues that affect their ability to practice law. | | |
| Collaboration with educational institutions | AB, CO, ID, IL, KS, | |
| Working with law schools, business analytics | NM, TX, UT, WA | |
| departments, etc., keeps regulators apprised of emerging and current issues in the profession. It also allows | | |
| regulators the opportunity to participate in public policy | | |
| decisions on such issues | | |
| Close relationship with the Client Protection Fund | AZ, AR, CO, FL, GA, | CO – Attorneys' Fund for Client |
| in the state | HI, ID, IL, KS, KY, | Protection |
| Working with the client protection fund ensures all | LA, MA, MN, MT, | |
| potential claimants have access to such funds. | NE, NH, NJ, OK, OR, | |

| | PA, TN, TX (administered by the disciplinary counsel's office), UT, VA, WA, WI, WY, all Canadian jurisdictions | FL – Chapter 7, Client's Security Fund Rules IL – https://www.iardc.org/clientprotection.h tml MA—Supreme Judicial Court Rules 4:04 through 4:06 (Clients' Security Board rules) PA – PaRDE 205(a), 221(g), (h), (o), 402(c)(4) WA – Lawyers' Fund for Client Protection; APR 15 (Lawyers' Fund for Client Protection); APR 15P (Lawyers' Fund for Client Protection procedural rules) |
|--|--|---|
| Automated emails to lawyers changing from government or large firm practice to small firm or solo practice | CO, IL (2017), NM (letter, no email) | |
| Automated emails from regulators alert these attorneys to be attentive to developing an ethical infrastructure as they transition practice. The larger volume of complaints against small firm and solo practitioners, and the challenges brought by law office and trust account management, demonstrate the need for such communication. | | |
| Succession planning Succession planning programs from regulators or the | AB, AZ, AR (has convened a State Bar | AZ – Rule 41(i), Ariz. R. Sup. Ct. |
| bar ensure client protection in the event of an attorney's disability or death. | task force), BC, CO, GA, ID, IL, IA, ME, | CO – <u>Planning Ahead, A Guide to</u> <u>Protecting Your Clients' Interests in the</u> |

| Lawyors assistance programs (CoLAP) | NM, OK, OR, SC, TX, WA, WI, WY, ABA resources | Event of Your Disability or Death (One of Which is Inevitable) IL – https://www.iardc.org/Succession%20Pl anning.htm; https://www.iardc.org/Closing a Law Practice.pdf IA – Court Rule 39.18 and Iowa State Bar Ass'n resources NM – http://www.nmbar.org/SuccessionTrans ition; TX – Succession Planning WA – Ending Your Practice; Succession Planning |
|--|--|---|
| Lawyers assistance programs (CoLAP) Lawyers assistance programs provide confidential help to attorneys, judges, and law students with mental health or substance abuse issues, as well as any other issues that may adversely impact their ability to practice or assist their preparation to enter the legal profession. LAPs also educate attorneys regarding substance abuse and mental health issues. | AZ, AR, CO, DC, FL, GA, HI (separate from regulation), ID, IL, IA, LA, KS, KY, MA, MT, NE, NH, NJ, NM, OK, OR (separate from regulation), TN, TX, UT, VA, WA, WY | CO – http://coloradolap.org/ FL - http://fla-lap.org/ MA— www.lclma.org ; Supreme Judicial Court Rule 4:07 NE - http://www.nebar.com/page/NLAP NM – http://www.nmbar.org/JLAP ; TX – TLAP |

| | | WA – <u>Lawyers' Assistance Program;</u> <u>APR 19(b)</u> (establishes program) |
|--|-----------------------------------|--|
| Attorney mentoring programs | AB, AZ, CO, DC, FL, | CO – Colorado Attorney Mentoring |
| • Peer-to-peer mentoring programs instill core values of professionalism and healthy practice. | GA, ID, IL, LA (voluntary), LSUC, | Program |
| values of professionalism and healthy practice. | KS, NE, OK, NM, NS, | FL – Practice Resource Institute and |
| | OR, TX, WA | Lawyers Advising Lawyers program |
| | | Law yers riavising Law yers program |
| | | IL – https://www.2civility.org/programs/mentoring/ |
| | | NE – http://inns.innsofcourt.org/for- members/inns/the-robert-van-pelt- american-inn-of-court.aspx |
| | | TX – <u>Attorney Mentoring Program</u> |
| | | WA – Mentor Link |
| | | |
| Education towards 'compliance' | | |
| CLE outreach | AB, AZ, AR, CO, DC, | IL – |
| CLE outreach by regulators can help practitioners | GA, ID, IL, KS, LA, | https://www.iardc.org/CLESeminars.ht |
| understand common ethical dilemmas and how to | MN, NJ, NM, TN, TX, | <u>ml</u> |
| prevent them, including programs on hanging your | UT, VA, WA, WI | |
| shingle and virtual law practice | | TX – <u>CLE Database</u> |
| | | WA – <u>WSBA CLE</u> (searchable |
| | | catalogue of recorded and upcoming |
| | | live seminars) |

| Professionalism school for all new attorneys | AZ, AR, CO, DC, FL, | AZ – Rule 34(n), Ariz. R. Sup. Ct. |
|---|---|--|
| | GA, LA, MA, TX, UT, VA, WA | CO – C.R.C.P. 203.2(6) and 203.4(6) |
| | | FL – All new members must complete a Practicing with Professionalism program. Rule 6-12.3 |
| | | MA—Supreme Judicial Court Rule 3:16, https://www.massbbo.org/Rules , establishing Practicing with Professionalism course for new admittees |
| | | TX – within one year of being licensed must take "A Guide to the Ethics of Law Practice" |
| | | WA – <u>Preadmission Education Program</u> (<u>PREP</u>) (free program required for all new attorneys) |
| Ethics school for all attorneys who need refresher instructions | CO, IL, LA, MA, NM, OR, TN, TX, UT, WA | IL – http://www.iardc.org/ethics_profsemina r.html |
| | | MA—full-day course, twice a year |
| | | OR – BR 6.4 |
| | | TX – multiple ethics courses |
| | | WA – Washington Law and Practice Refresher 2 Day Course Series: <u>Day 1</u> |

| Trust account school/assessment for all attorneys who need specific help on trust account issues | AB, AZ, CO, KS, LA, MA, NJ, NS (assessments), TX, VA (under development), WI | and Day 2 (also available for purchase as a recorded product) AZ – Trust Account Ethics Enhancement Program, Trust account Manual, Trust Account Hotline CO – Trust Account Manual MA—trust account school, monthly from October through May |
|--|--|---|
| Practice monitor training Training programs that encourage and assist peer review and monitoring as part of probation/diversion/reinstatement | CO, DC (through PMSC), KS, LA, NE, OK, TX (through grievance referral program), UT | TX – <u>Trust Account Manual</u> TX – <u>Grievance Referral Program</u> |
| Automated emails to lawyers changing from government or large firm practice to small firm or solo practice Automated emails from regulators alert these attorneys to be attentive to developing an ethical infrastructure as they transition practice. The larger volume of complaints against small firm and solo practitioners, and the challenges brought by law office and trust account management, demonstrate the need for such communication. | CO, IL (2017), NM (letter, no email) | |
| Ethics counsel/hotline The state bar or regulatory counsel may offer an ethics counsel or hotline that attorneys can contact to seek assistance with ethical dilemmas. | AB, AZ, BC, CO, DC, FL, GA, HI, ID, IL, IA, KS, KY, MA, MN, NE, NJ, NM, NS, OK, OR, TN, TX, USPTO, UT, VA, WA | FL – Toll free Ethics Hotline for members. IL – https://www.iardc.org/ethics.html IA – State Bar Ethics Committee |

| | | MA—helpline three afternoons a week TX - Attorney Ethics Hotline |
|--|--|---|
| | | WA – <u>Professional Responsibility</u> ; <u>APR</u> <u>19(e)(3)</u> (establishes program) |
| Law office management assistance programs | AB, AZ, BC, CO, DC, | CO – Practice Management Resources |
| These programs help attorneys, particularly solo and | FL, GA, IL, LA, | (Colorado Supreme Court Office of |
| small firm practitioners, implement professional office practices and procedures. | LSUC, MA, NS, OK, OR, TX (via grievance | Attorney Regulation Counsel) |
| | referral program), WA, WI | FL – Practice Resource Institute |
| | WI | MA— http://masslomap.org/ |
| | | WA – <u>Law Office Management</u> |
| | | Assistance Program; APR 19(d) |
| | | (establishes program) |
| Bar journal / newsletters articles | AZ, CO, DC, FL, GA, | FL – The Florida Bar Journal and The |
| Bar journals and newsletters offer insight on the | IL, IA, KS, KY, MN, | Florida Bar News |
| importance of an ethical infrastructure and RPC compliance. They serve as an important avenue to communicate with and interact with all lawyers licensed | MT, NE, NM, OK, PA, TN, TX, VA, WA | IA – Iowa State Bar Association |
| to practice law in the jurisdiction | | NE - |
| to practice law in the jurisdiction | | http://www.nebar.com/?TNLMagazine |
| | | |
| | | PA – Pa D. Bd. Newsletter: |
| | | http://www.padisciplinaryboard.org/atto |
| | | rneys/newsletter/ |
| | | |

| Incubator programs These programs have sprung up nationwide to help lawyers, particularly solo practitioners, learn how to practice law and operate a business. Regulators should consider educator outreach to these programs to nurture and ensure RPC compliance | AB, CO, DC (PMSC), GA, IL (Chicago Bar Foundation), NM | WA – NW Lawyer, NW Sidebar, WSBA Take Note, Social Media accounts: Facebook, Twitter, and YouTube AZ – New Lawyer Boot Camp |
|---|---|--|
| Complaints and Investigations Diversion/alternatives to discipline programs with conditions and monitoring Diversion agreements and probation conditions protect the public while allowing otherwise competent attorneys to continue practicing. The goal of such agreements is to correct minor instances of misconduct through training, monitoring, and/or mentoring in order to rehabilitate the attorney and ensure he or she can safely continue to practice. | AB, AZ, CO, DC, FL, IL, IA, KS, LA, LSUC, MA, NH, NJ, NS, OK, OR, PA, TN, TX, USPTO, UT, VA, WA, WI, WY | AZ – Rule 56, Ariz. R. Sup. Ct. CO – C.R.C.P. 251.13 (Alternatives to Discipline) FL – Diversion to Practice and Professionalism Enhancement Programs. Rule 3-5.4. Proposed new rule 3-5.5, Diversion to Evaluation and Treatment Program For Disruptive Lawyers. IA – Court Rule 35.14 (infrequently used) MA –Supreme Judicial Court Rule 4:01, § 8(1)(b), https://www.massbbo.org/Rules |

| | | PA – Probation, but only as part of discipline, Public or private: PaRDE 204(a)(4), (5) and (6) WA – ELC Title 6 (Diversion) |
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| Centralized telephone intake A centralized telephone intake system expedites receipt of a complaint, investigation of the matter, and ultimately its resolution by eliminating/reducing a written reporting system. This promotes public confidence in the profession, stems further misconduct, and by reducing the amount of time an attorney must await a final action on the matter, shortens the period of uncertainty and anxiety that accompanies receipt of a complaint. | AB, AZ, CO, FL, MA, NE, TX, UT, VA (requests a written follow-up), WA, WI | FL – Attorney Consumer Assistance and Central Intake Programs MA –Attorney and Consumer Assistance Program, https://www.massbbo.org/Who_We_AreoBC_ACAP#OBC |
| Improved timing for investigation Expedited investigations benefit the public and attorneys. The public benefits from having a grievance resolved in a timely manner, preventing further harm. Attorneys benefit because quicker timing identifies and hopefully resolves problems before further client harm occurs, thereby improving the chances the attorney can continue to practice law. | AZ, CO, FL, IL, LA, MN, NE, TX, VA, WA | FL – Standing Board Policy 15.56 sets out specific case processing goals |
| Mediation programs Mediation programs that address minor misconduct issues help disciplinary counsel focus on cases involving more serious misconduct. | AB, CO, FL, IL (through IARDC intake), KS, TN, TX (via Client-Attorney Assistance Program), UT, WA | CO – C.R.C.P. 251.13 (Alternatives to Discipline) FL – Chapter 14, Grievance Mediation and Fee Arbitration |

| Pro bono/low cost respondent representation programs These programs ensure all lawyers have an opportunity for competent representation in disciplinary and disability proceedings. Such programs also assist in the administration of justice | CO, DC, IL, KS, MA, UT, WA | WA – Request for Assistance Form (Consumer Affairs staff informally resolve disputes) AZ – the Arizona Association of Defense Counsel offers a one-time consultation with a lawyer who received a bar charge. Regulation advises respondent lawyers and promote use of the program. MA—The board's general counsel assists lawyers facing disciplinary complaints in obtaining counsel, often pro bono or low cost. WA – ELC 8.10 (Appointment of counsel in disability proceedings) |
|---|-------------------------------|---|
| Community outreach In order to build public trust, regulators should engage in community outreach. This not only enhances the public's faith in regulators to address misconduct, but it also promotes the rule of law and confidence in the administration of justice. | CO, IL, TX, WA | |

II. ADMISSIONS PROGRAMS

| Admissions Programs | Jurisdictions | |
|---|---------------------|---------------------------------------|
| Reciprocal admission | AZ, CO, DC, ID, IL, | AZ- Rule 34(f) and (h), Ariz. R. Sup. |
| On motion UBE score transfer and practice pending | KS, MT, NJ, NM, TX, | Ct. |
| admission programs facilitate consumer choice and | UT, VA, WA, WY | |
| lawyer mobility. | | CO – C.R.C.P. 203.3 |
| | | |

| Conditional admissions Conditional admissions allow talented future lawyers with a sustained period of recovery to enter practice healthy and ready to serve the public. The ABA Model Rule on Conditional Admission states: "[a]n applicant who currently satisfies eligibility requirements for admission to practice law, including fitness requirements, and who possesses the requisite good moral character required for admission, may be conditionally admitted to the practice of law if the applicant demonstrates recent successful rehabilitation from chemical dependency or successful treatment for mental or other illness, or from any other condition this Court deems appropriate, that has caused conduct that would otherwise have rendered the applicant currently unfit to practice law. The [Admissions Authority] shall recommend appropriate conditions that the applicant to the bar must comply with during the period of conditional admission." | AZ, AR, CO, FL, ID, IL, KY, LA, MN, MT, NE, NM, NJ, OR, TN, TX, WY | TX – Admission without examination AWOX WA – Admission by Motion; APR 3(c) AZ – Rule 36(g), Ariz. R. Sup. Ct. FL – Rule 1-3.2(b) Conditionally Admitted Members NE – Supreme Court Rule § 3-120 |
|---|--|---|
| Automatic referrals to lawyer assistance programs for applicants Does your admissions office work with law schools and prospective applicants to identify individuals who need to be connected with a lawyer assistance program or attorney mentoring program? | AR, CO, ID, KS, KY, LA, NE, TN, WY | |

| Counseling law students regarding admissions / RPC | AB, CO, DC, ID, IL, |
|--|---------------------|
| enforcement | KS, NE, OK, UT, |
| Regulators and bar association leadership visiting law | WA, WY |
| schools and engaging first and second year students in | |
| conversations on enforcement of the RPC and the | |
| admissions process educates students as to character and | |
| fitness issues. It also encourages them to think before | |
| acting when confronted with an ethical issue. | |

III. OTHER SUPREME COURT / BAR PROGRAMS

| Programs | Jurisdictions | |
|--|--------------------|--|
| Well-being task force programs | AL, CO, GA, IL | |
| Certain state bar associations have created task forces or | (Chicago Bar Ass'n | |
| committees to promote attorney well-being. For | and LAP), MD, IN, | |
| example, the Georgia State Bar created a task force called | MN, NC, SC, TN, TX | |
| "Lawyers Living Well." The Maryland State Bar | (through TLAP) | |
| Association's Wellness Committee hosts a "Be Fit to | | |
| Practice" website. Additionally, NOBC is working | | |
| closely with members of CoLAP and APRL on a national | | |
| task force on lawyer well-being. This is a coalition | | |
| comprised of representatives from CoLAP, NOBC, | | |
| APRL, the ABA Center for Professional Responsibility, | | |
| the ABA Standing Committee on Professionalism, the | | |
| ABA Young Lawyers Division, the ABA Law Practice | | |
| Division, the Conference of Chief Justices, and the | | |
| authors of the ABA CoLAP/Hazelden Betty Ford | | |
| Foundation study on The Prevalence of Substance Use | | |
| and Other Mental Health Concerns Among American | | |
| Attorneys as well as the authors of the 2014 Survey on | | |
| Student Well-Being, with findings published in the | | |
| autumn 2016 edition of the Association of American Law | | |
| Schools' Journal of Legal Education, Suffering in | | |

| Silence: The Survey of Law Student Well-Being and the Reluctance of Law Students to Seek Help for Substance Use and Mental Health Concerns. | | |
|---|--|--|
| Inventory counsel/receivership programs | AZ, CO, DC, FL, IL, IA, MN, NE, NM, PA, VA, WA | AZ – Rules 66-69, Ariz. R. Sup. Ct. CO – C.R.C.P. 251.32(h) (Protective Appointment of Counsel) FL – Rule 1-3.8, Right to Inventory NE – Supreme Court Rule § 3-328 (Appointment of a Trustee) PA – "Appointment of Conservator for Interest of Clients, PaRDE 321, et seq. WA – ELC 7.7 (Appointment of custodian to protect client interests) |