# AI-use readiness: assemble the evidence for a firm decision

For solicitors and small firms in England and Wales. This educational record helps a responsible solicitor examine a defined use of AI. It is not a regulatory filing, audit certificate or permission to begin live work. It does not cover Scotland or Northern Ireland. A completed table shows what was recorded; it cannot establish that the underlying arrangements are adequate.

**Firm:** [complete]. **Defined use and service configuration:** [complete]. **Responsible solicitor and decision date:** [complete]. **Trial or live-use scope:** [complete]. Store references in the firm's existing risk record rather than copying confidential matter material into a separate pack.

## 1. Locate evidence, not assurances alone

For each section record **document or test reference; version and date; evidence owner; finding; limitation; next action**. Separate supplier statements from the firm's observations. Use "evidence missing or unknown" where there is no current basis for a finding. A percentage of completed boxes does not measure legal compliance.

### Purpose and ownership

Identify the task, permitted users and information categories. Name the person who can restrict use, approve changes and arrange supervision. Link the adopted internal policy and training record. Record prohibited uses clearly enough for a new user to recognise them. Approval of a fictional-data trial should remain distinct from permission to submit client material.

### Information and disclosure

Link the actual data-flow comparison, including prompts, uploads, outputs, logs, support and further services. Record the basis for any disclosure of client affairs and the separate privilege assessment. Unresolved questions about access, reuse or waiver require a recorded restriction for the affected material. General supplier confidentiality wording is not the whole assessment.

### Supplier and data-protection arrangements

Link dated terms, relevant role analysis, processor evidence where applicable, recipients, retention and any transfer assessment. Identify the owner of the client-information plan. Record whether a DPIA is required and why. Under art. 35 UK GDPR, likely high risk to individuals' rights and

freedoms triggers a prior assessment. This worksheet is neither that assessment nor an exhaustive test of the trigger; seek the designated data protection officer's advice where applicable.

## 2. Show how review works

Link a fictional example from input to reviewed output. Identify who checked facts, sources, calculations and the relevant jurisdiction and date. Record whether the reviewer saw enough underlying material to assess accuracy. Include a failed example and its correction: an invented authority, missing fact or misleading summary is more informative than a successful demonstration alone.

Paras. 3.2, 3.3 and 3.5 of the SRA Code address competent service, competence and supervision. Para. 6.3 addresses confidentiality. Use the separate research-checking record when legal authorities are involved. A solicitor must review generated client, court or matter documents before use, signature, filing or sending.

## 3. Retain practical test results

- **Access and separation:** [test user removed; attempted access to another matter; result and limits].
- **Unexpected instructions:** [fictional document containing misleading instructions; observed response; restriction or correction].
- **Exit and recovery:** [readable export; restore; deletion request; what could and could not be checked].
- **Incident route:** [internal contact; supplier contact; evidence preserved; escalation exercise].

Use the firm's existing incident procedure for an actual event. This record sets no reporting timetable and makes no assumption about whether a particular incident is reportable.

## 4. Decide and revisit

**Decision:** [fictional trial only / specified use approved / specified use approved with conditions / further evidence required / declined]. **Reasons:** [complete]. **Unresolved items:** [issue; affected task or information; owner; target action; evidence needed]. **Limits on use:** [complete]. **Responsible solicitor:** [name, date and scope assessed].

Plan reassessment after changes to purposes, terms, recipients, models, integrations, controls or incidents. Keep the version actually assessed. The SRA AI warning reinforces that professional

responsibilities remain with solicitors. Even a record with no outstanding items requires a substantive assessment of the evidence and the proposed use.

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