

**THE STATE BAR OF CALIFORNIA
STANDING COMMITTEE ON
PROFESSIONAL RESPONSIBILITY AND CONDUCT
FORMAL OPINION NO. 2024-209**

ISSUE: What are a lawyer’s ethical obligations to engage in succession planning?

DIGEST: Lawyers have an ethical obligation to protect their clients' interests throughout the representation, including in the event they are unable to continue practicing law on a temporary or permanent basis. The duty applies to all lawyers, regardless of firm size. To meet these obligations, lawyers must engage in an assessment of whether their professional responsibility obligations, including, but not limited to, the duties of competence, diligence, and communication, require a succession plan. Factors to be considered in this assessment include, but are not limited to, firm size, practice area coverage, the nature of the practice, and the lawyer’s age and health. Depending on this assessment, a lawyer may be required to take reasonable steps to plan for an interruption or cessation of practice, including engaging in formal succession planning, since a lawyer is unable to anticipate an inability to practice law.

**AUTHORITIES
INTERPRETED:**

Rules 1.1, 1.3, 1.4, 1.7, 1.9, 1.15, 1.16, 1.18, and 5.1 of the Rules of Professional Conduct of the State Bar of California.¹

Business and Professions Code sections 6068, subdivision (e)(1), and 6185.

INTRODUCTION

There is a great risk of prejudice to clients when an unexpected event occurs that renders their lawyer unable to continue practicing law, or a lawyer’s skills and ability gradually decline until the lawyer is unable to competently represent their clients. This risk applies to all lawyers, including sole practitioners and lawyers from small firms, who often act as both lawyers and law firm managers, as well as lawyers of any age practicing at a law firm of any size, who could be impacted by an unexpected event rendering them unable to practice law.

While no single California rule explicitly requires that a lawyer adopt a succession plan, together the duties of competence, diligence, and communication impose a duty on lawyers to take

¹ Unless otherwise indicated, all references to “rules” in this opinion will be to the Rules of Professional Conduct of the State Bar of California.

reasonable steps to protect the clients' interests during the course of the representation, including in the event of a lawyer's sudden inability to continue to practice law. A failure to properly plan or prepare for both anticipated and unexpected departures from a lawyer's practice may expose clients to significant damage or prejudice.

Succession planning for law firms and lawyers encompasses a variety of issues. At its heart, assessing whether a lawyer needs a succession plan forces a lawyer to consider what will happen to their clients if the lawyer is unable to continue to practice law and to develop a strategy for how such an event will be handled, and by whom, to protect clients' interests. In many instances, the results of this assessment will require a lawyer to engage in succession planning, which includes arranging in advance for how client matters will be timely handled in the lawyer's absence, how client files will be protected and returned to clients, and how funds and property belonging to clients will be returned to them, among other things.²

Succession plans also provide a roadmap allowing for the gradual transition of client work and management roles over a period of time to preserve long-term client relationships, and can create opportunities for emerging talent and an orderly transition of new leadership. However, law firms also need to consider succession planning as an important client protective measure and make reasonable efforts to ensure that the firm has policies and procedures in place designed to protect clients if a lawyer at the firm becomes unable to continue practicing law.

² Nationwide, there are many succession planning resources, including handbooks, guides, and ethics opinions, to assist lawyers in navigating how to think about and move forward with a succession plan. While mostly from other jurisdictions, these resources provide valuable information for all lawyers. "Ethics opinions and rules and standards promulgated by other jurisdictions and bar associations may also be considered" for guidance on proper professional conduct. See rule 1.0, Cmt. [4]. Any lawyer looking for guidance on this issue may wish to review the American Bar Association's website page on succession planning, which has a compilation of resources on this subject: https://www.americanbar.org/groups/professional_responsibility/resources/lawyersintransition/successionplanning/ (as of Jan. 25, 2024).

STATEMENT OF FACTS

1. Lawyer A is a sole practitioner who has a general litigation practice consisting mostly of representing plaintiffs in personal injury matters. Lawyer A has been a sole practitioner for almost 30 years and shares office space with a group of other sole practitioners and small firms. Lawyer A has no dedicated support staff, instead sharing a group of rotating assistants and paralegals with other colleagues to assist with pleadings and court filings. Lawyer A handles the firm's management and operations exclusively; no one else has access to Lawyer A's calendar, emails, client files, law firm bank accounts, or financial information. Lawyer A seldom takes vacations, and when they do, Lawyer A simply puts an out-of-office message on their email and voicemail and serves a Notice of Unavailability on opposing counsel.

Recently, Lawyer A had some health complications and was hospitalized for over a month. Eventually, Lawyer A's suitemates learned of Lawyer A's condition and instructed some of the shared support staff to advise any of Lawyer A's clients who showed up at the office that Lawyer A was in the hospital. But no one had access to client lists, files, emails, voicemail messages, or any financial information, so the shared staff could not assist Lawyer A's clients any further. When Lawyer A returned to the office, some of the issues that emerged during their hospitalization included: missed court appearances and discovery deadlines, motion deadlines had passed, failure to finalize a settlement agreement for a client that rendered the offer withdrawn, failure to respond to client demands to receive much-needed settlement funds held in Lawyer A's IOLTA account, and failure to respond to client's request for a file transfer to new counsel.

2. Lawyer B is a sole practitioner who was asked by Lawyer C to be an assisting attorney³ as part of Lawyer C's succession plan. Lawyer B and Lawyer C are both sole practitioners who represent clients in the same general jurisdictions and practice trust and estates planning and litigation. Lawyer C has been practicing for about 20 years longer than Lawyer B, so Lawyer C may also be interested in retiring soon. Lawyer B wants to know what ethical obligations are implicated by agreeing to be an Assisting Attorney for Lawyer C.
3. Law Firm Manager is the managing partner of Law Firm, a large firm with ten offices throughout California. Law Firm Manager is reviewing Law Firm's policies and procedures with outside ethics counsel to determine how Law Firm could engage in succession planning. Law Firm Manager is particularly concerned with one of Law Firm's smaller offices, a 5-person satellite office out of which Lawyer D is based, although

³ An assisting attorney is a lawyer with whom another lawyer has made arrangements to close down their practice or to handle it in the event the other lawyer is unable to continue practicing law.

Lawyer D works primarily remotely. Lawyer D is 70 years old and is only one of two lawyers at the entire firm who practices in a particular specialized field; no other lawyer in Law Firm’s 5-person satellite office practices in that specialized field.

DISCUSSION AND ANALYSIS

I. Ethical Duties Implicated for All Lawyers and Law Firms

A lawyer who does not properly plan or prepare for both anticipated and unexpected departures from the practice of law may expose clients to significant damage or prejudice. The duties of competence, diligence, and communication obligate lawyers to take reasonable steps to protect the clients’ interests during the course of the representation. This would include taking affirmative steps to assess the need for a succession plan in the event of an interruption or cessation of practice, voluntary or otherwise, particularly for those practicing as sole practitioners or in a small firm setting.⁴ (See ABA Formal Opn. No. 92-369 (1992) p. 2 [“As a precaution to safeguard client interests, the sole practitioner should have a plan in place that will ensure insofar as is reasonably practicable that client matters will not be neglected in the event of the sole practitioner’s death.”].) Factors to be considered in such an assessment include, but are not limited to, the lawyer’s firm size, their practice area, the number of other lawyers in their firm in that practice area, and the nature of their practice, as well as age, proximity to retirement, and overall health.

A. Duty of Competence

Lawyers must provide legal services with “competence,” which means that they must “apply the (i) learning and skill, and (ii) mental, emotional, and physical ability reasonably necessary for the performance of such service.” (Rule 1.1(b).) “Attorney competence includes anticipating events or circumstances that may adversely affect client representation, including the gradual or sudden inability to provide competent legal services. By planning ahead for the orderly disposition of their law practice, a lawyer can ensure that clients will continue to be represented without significant interruption in the event the lawyer dies or becomes incapacitated.” (Tuft et al, Cal. Practice Guide: Professional Responsibility (The Rutter Group 2019) Ch. 6-A Sources of Duty of Competence [citing ABA Model Rule 1.3, Cmt. [5]].)

⁴ Most professional liability carriers now require solo or small firm practitioners to make arrangements for an office closure in the event of a death or disability as a prerequisite to obtaining coverage. Also, the State Bar of California has “Senior Lawyer Resources” on its website, which includes a sample agreement to “Close Law Office in the Future” which may be instructive or useful for solo practitioners: https://www.calbar.ca.gov/Portals/0/documents/ethics/Surrogacy/AGREEMENT_TO_CLOSE_LAW_PRACTICE_IN_THE_FUTURE_REVISIED_08-1-2011.pdf (as of Oct. 21, 2024).

B. Duty of Diligence

Rule 1.3(a) provides that a “lawyer shall not intentionally, repeatedly, recklessly or with gross negligence fail to act with reasonable diligence in representing a client.” “Reasonable diligence” means that “a lawyer acts with commitment and dedication to the interests of the client and does not neglect or disregard, or unduly delay a legal matter entrusted to the lawyer.” (Rule 1.3(b).) It is reasonable to conclude that “reasonable diligence,” as defined, includes making sure that client interests are protected in the event of a lawyer’s inability or unavailability to practice law, and failure to do so may be viewed as reckless or gross negligence.⁵ Important client matters, such as court dates, statutes of limitations, or document filings, would be neglected, and harm or prejudice to clients may result if the lawyer does not plan for these types of events.

C. Duty of Loyalty

The duty of loyalty requires that the lawyer act in the client’s interest and to “protect [the] client in every possible way.” (*Santa Clara County Counsel Attys. Assn v. Woodside* (1994) 7 Cal.4th 525, 548 [28 Cal.Rptr.2d 617].) The American Bar Association’s Standing Committee on Ethics and Professional Responsibility concluded that a lawyer should “have a plan in place which could protect clients’ interests in the event of the lawyer’s death,” based, in part, on a lawyer’s fiduciary duties to inform clients when closing a law practice or partnership dissolution. (See ABA Formal Opn. No. 92-369 (1992) pp. 23.)

D. Duty to Communicate

A lawyer’s duty to communicate with clients includes the duty to “keep the client reasonably informed about significant developments relating to the representation” and to “explain a matter to the extent reasonably necessary to permit the client to make informed decisions regarding the representation.” (Rule 1.4(a)(3) and 1.4(b).) If a lawyer knows that they may be unable to practice law for an extended period of time, that is likely a significant development relating to the representation—the lawyer’s ability to represent the client goes to the heart of

⁵ The ABA Model Rules, and several other jurisdictions, have a Comment [5] in their rule 1.3, which states: “To prevent neglect of client matters in the event of a sole practitioner’s death or disability, the duty of diligence may require that each sole practitioner prepare a plan, in conformity with applicable rules, that designates another competent lawyer to review client files, notify each client of the lawyer’s death or disability, and determine whether there is a need for immediate protective action.” California does not have a version of this comment. Cf. ABA Rule 1.3, Cmt. [5]. See also ABA State Mandatory Succession Rule Chart, available at: https://www.americanbar.org/content/dam/aba/administrative/professional_responsibility/lawyer-succession-planning-rule-chart.pdf (as of Oct. 11, 2024). Other jurisdictions require a succession plan, but not as part of rule 1.3. See, e.g., Ariz. Supreme Ct. rule 41, Cmt. [2]; Fla. Rules Regulating the Fla. Bar, rule 1-3.8(e); Iowa Supreme Ct. Rule 39.18(1); Me. Bar Rules, rule 1(g)(12); Mich. Rules Concerning the State Bar of Mich., rule 21.

the attorney-client relationship. Thus, the lawyer would have a duty to communicate circumstances like imminent retirement or unavailability to practice law if material to the representation.

For the same reasons, the duty to communicate is also implicated when a lawyer unexpectedly becomes temporarily or permanently unable to practice law. Ideally, either another lawyer at the law firm or an assisting attorney should communicate with clients about the impact this event will have on their matter and how things can and should be handled going forward.⁶

E. Duty to Avoid Reasonably Foreseeable Prejudice when Terminating a Representation

Rule 1.16(d) requires a lawyer to take “reasonable steps to avoid reasonably foreseeable prejudice to the rights of the client, such as giving the client sufficient notice to permit the client to retain other counsel” in the event the lawyer terminates a client representation. This rule highlights the very real concern about avoiding prejudice to a client when a lawyer abruptly ends a representation, which may result in insufficient time for the client to find replacement counsel and missed deadlines, among other issues. A lawyer’s death or incapacity will effectively terminate the attorney-client relationship and a lawyer should plan for that event, knowing that such an event may be reasonably foreseeable in certain circumstances may require the lawyer to take reasonable steps to prevent this type of prejudice, such as developing a succession plan. (See rule 1.16(a)(3) & (b)(8).) Arranging for an assisting attorney or another designated lawyer at the law firm to step in and aid the lawyer’s clients helps to safeguard client interests.

F. Safekeeping Funds and Property of Clients

Lawyers have a duty to safeguard client funds and property under rule 1.15. If a lawyer is unable to continue practicing law permanently or for an extended period of time, a client may be unable to retrieve funds and property without significant delay and as they are entitled to under rule 1.15. Such a delay is likely to prejudice the client’s ability to access funds or property, or to find new counsel who will take on the client’s matter.

G. Duty to Supervise and Ensure Rule Compliance

Rule 5.1 requires managerial and supervisory lawyers to make reasonable efforts to ensure the law firm has measures in place for all lawyers to comply with the rules. This includes

⁶ In communicating with clients about circumstances that may give rise to a lawyer’s inability to practice law, one should maintain the privacy and other legal rights of the lawyer unless that lawyer authorizes their private information to be shared.” COPRAC Formal Opn. No. 2021-206, p. 12 (also citing to rule 1.4(d) [“A lawyer’s obligation under this rule to provide information and documents is subject to any applicable protective order, non-disclosure agreement, or limitation under statutory or decisional law.”]).

implementing measures necessary to comply with the duty to manage the law firm and supervise attorneys. Rule 5.1 is typically understood to be relevant to the supervision of junior associates; however, the duty to supervise may also become necessary for any lawyer if there is a declining ability to competently represent their clients or to comply with their other ethical obligations. (See Cal. Formal Ethics Opn. No. 2021-206.)

II. Analysis of Factual Scenarios

A. Scenario 1: Failure to Plan Results in Ethical Breaches

In Scenario 1, Lawyer A did not have a plan in place to protect clients in the event circumstances rendered Lawyer A unable to practice law. As a result, Lawyer A's health complications caused them to breach certain duties to clients and prejudice their clients' interests, including rules 1.1 [competence], 1.3 [diligence], 1.4 [communication], and 1.16 [withdrawal]. (Compare ABA Formal Opn. No. 92-369 (1992), p. 2 ["As a precaution to safeguard client interests, the sole practitioner should have a plan in place that will ensure insofar as is reasonably practicable that client matters will not be neglected in the event of the sole practitioner's death."].)

Lawyer A typically handled being out of the office by setting up an out-of-office message on their email and voicemail and serving a Notice of Unavailability on opposing counsel. However, Lawyer A's typical practice did not account for unexpected absences, like Lawyer A's recent medical event. As a result, no clients or opposing counsel were notified of Lawyer A's condition or whereabouts, deadlines were missed, and client obligations were ignored, violating Lawyer A's duty of competence and duty to communicate to their clients.

Here, based on the firm size, nature of the practice, and preexisting health issues, Lawyer A should have determined that there was a need for a succession plan and arranged for another lawyer or trusted individual to have access to Lawyer A's calendar, emails, client files, and banking or financial information in the event of an emergency. Alternatively, Lawyer A could have prepared a list of important passwords and access codes to be shared by a close family member with another lawyer only in the event of an emergency.⁷ Ultimately, Lawyer A breached their obligations to their clients, including the duties of competence, diligence, and communication, by failing to recognize the need for a succession plan.

There are many approaches to succession planning that could help protect the clients' interests in the event Lawyer A was unable to practice law temporarily or permanently. Here, Lawyer A had no plan in place for this type of event, which exposed clients to considerable risk of harm.

⁷ The referenced options available to Lawyer A involve possible access to or sharing of confidential or other sensitive information. When considering these options, Lawyer A should take reasonable steps to protect such information consistent with Lawyer A's duties and responsibilities. Compare Bus & Prof. Code, § 6068, subd. (e) (duty to maintain confidences) with § 6068, subd. (m) (duty to keep clients reasonably informed of significant developments).

B. Scenario 2: Ethical Duties Implicated for Assisting Lawyers

In Scenario 2, Lawyer B was asked to take on the role of an assisting attorney as part of Lawyer C's succession plan and wants to understand what ethical duties are implicated.⁸

1. The Existence of an Attorney-Client Relationship Between Lawyer B and Lawyer C's Clients

If Lawyer B agrees to be Lawyer C's assisting attorney, and depending on the unexpected event, Lawyer B may need to access Lawyer C's calendar; review upcoming deadlines; communicate with clients, the court, and opposing counsel about Lawyer C; and obtain any necessary extensions. Some issues for Lawyer C and Lawyer B to consider when developing the succession plan include:

- (1) How and when will the succession plan be implemented?
- (2) What are Lawyer C and Lawyer B's responsibilities, and what if Lawyer C is unavailable or deceased when the succession plan must be implemented?⁹
- (3) What advisors, support, or other resources will Lawyer B need, and are those resources in place?

Even if there is a succession plan between Lawyer B and C, Lawyer B may not automatically establish an attorney-client relationship with Lawyer C's clients. Before undertaking an attorney-client relationship with any of Lawyer C's clients, Lawyer B must undertake a conflict check and comply with rules 1.7 [conflicts: current clients], 1.9 [conflicts: former clients], and 1.18 [conflicts: prospective clients]. (See section II.B.3, *infra*.) Under most circumstances, there should be a written fee agreement between Lawyer B and Lawyer C's clients if Lawyer B will represent these clients going forward. (See Bus. & Prof. Code, §§ 6147 & 6148.) However, there may be circumstances in which the attorney-client relationship can be implied from the

⁸ If Lawyer C does not arrange for an assisting attorney to take control of Lawyer C's law practice, under Business and Professions Code section 6185, the California Superior Court is authorized to appoint an attorney as a practice administrator "to take control of the practice of a deceased or disabled licensee of the State Bar" and to wind it up. This process involves considerably greater burdens to clients (who are waiting to get funds, files, and new representation, and whose legal matters may have been put on hold), the court system, and the personal estate of the deceased or disabled lawyer who may be responsible for paying for the appointment and court intervention. See Bus. & Prof. Code, §§ 6180 et seq. and §§ 6190 et seq.

⁹ An attorney who intends to include reference to their law practice in their estate plan should consult the Probate Code regarding the appointment of a practice administrator. See Prob. Code, §§ 2468, 9764, & 17200, subd. (b)(22) & (23); Bus. & Prof. Code, § 6185. For further discussion of the role of an assisting attorney, see, e.g., Phila. Bar Assoc. Prof. Guidance Committee Opn. No. 2014-100, § III.

conduct of the parties. (See *Lister v. State Bar* (1990) 51 Cal.3d 1117 [275 Cal.Rptr. 802]; *Davis v. State Bar* (1983) 33 Cal.3d 231 [188 Cal.Rptr. 441]; *Streit v. Covington & Crowe* (2000) 82 Cal.App.4th 441 [98 Cal.Rptr.2d 193].) Whether an attorney-client relationship would form between Lawyer B and Lawyer C's clients would depend in large part on what arrangements were made between Lawyer B, Lawyer C, and Lawyer C's clients in advance on this issue, what each client's understanding of Lawyer B's role is, and if any client would choose to have Lawyer B represent them going forward, among other factors. (See Tuft et al, Cal. Practice Guide: Professional Responsibility (The Rutter Group 2019) Ch. 3-B Formation of Relationship, § 3:43, for discussion of factors used to determine attorney-client relationship generally.)

Here, we do not opine on all the factors that may be used to determine whether an implied attorney-client relationship may be formed between Lawyer B and Lawyer C's clients under certain circumstances. However, clear communication with Lawyer C's clients about exactly what role Lawyer B will be undertaking—whether purely administrative or as counsel on a temporary or permanent basis—is essential to avoid creating an implied attorney-client relationship where none is intended. In the event of a death or permanent incapacity, Lawyer B's actions are usually dictated by whether Lawyer B has been asked to close Lawyer C's practice or if there is an agreement that Lawyer B will continue to operate the law firm and service Lawyer C's clients subject to each client's consent.¹⁰ Clear communication about Lawyer B's role is will be critical for helping clients understand the scope of their relationship with Lawyer B during this time to assist clients in making informed decisions about their future representation.

2. Duty of Competence

Before considering whether Lawyer B could permanently take on the representation of any of Lawyer C's clients, Lawyer B would need to have the necessary competence to handle the representation. (Rule 1.1.) Specifically, Lawyer B would need to have the skill, support, time, and resources necessary to handle each matter. (*Ibid.*)

Here, because Lawyer B and Lawyer C both represent clients in the same general jurisdictions and practice trust and estates planning and litigation, Lawyer B is a good match to assist Lawyer C under these circumstances because Lawyer B will likely have the requisite competence to take on the representations. If not, Lawyer B can either acquire sufficient knowledge before performance is required, refer the matter to a competent lawyer (rule 1.1(c)), or continue to assist in the termination of the representation on behalf of Lawyer C. However, in an emergency, Lawyer B is permitted to “give advice or assistance in a matter in which the lawyer

¹⁰ If Lawyer C's succession plan involved an agreement between Lawyer B and Lawyer C regarding the sale of the law practice upon Lawyer C's death, then Lawyer B must also comply with rule 1.17 (sale of a law practice). If no such agreement is in place, it is customary to make plans to compensate an assisting attorney and related administrative support team members, since there can be considerable work and expenses involved in closing a law office.

does not have the skill ordinarily required” as long as it is limited to what is “reasonably necessary in the circumstances.” (Rule 1.1(d).)

3. Conflicts of Interest and Confidentiality

Before assuming the representation of any of Lawyer C’s clients on a temporary or permanent basis, Lawyer B must also analyze whether any potential representations would implicate conflicts with respect to any of Lawyer B’s current, former, or prospective clients. (Rules 1.7, 1.9, and 1.18.) If it was anticipated that Lawyer B would take over Lawyer C’s practice, it might be reasonable to try to clear conflicts in advance of any event that would necessitate Lawyer C being unable to practice law. Otherwise, as part of Lawyer C’s succession plan, Lawyer C could maintain a list of active clients with contact information and provide Lawyer B with information on how to access this list and any related conflicts database if it becomes necessary to do so.¹¹

Even if Lawyer B’s role as assisting attorney is limited to administratively helping close Lawyer C’s office, Lawyer B will nonetheless be interacting with Lawyer C’s clients and may need to obtain information related to those clients and the clients’ matters as part of this process. In doing so, Lawyer B should be mindful of the duties of confidentiality to Lawyer C’s clients, and how acquiring information that is protected by Business and Professions Code section 6068, subdivision (e) and rules 1.6 and 1.9(c) that is material to the matter may also give rise to conflicts of interest for Lawyer B.

4. Duty to Communicate

If Lawyer C is unable to continue practicing law permanently or for an extended period of time, that information is likely a “significant development relating to the representation” of which Lawyer C’s clients must be kept “reasonably informed.” (Rule 1.4(a)(3).) While this rule implicates Lawyer C’s duties to clients, Lawyer B, as the assisting attorney, has agreed to assist Lawyer C in fulfilling obligations to clients in the event that Lawyer C is unable to do so.

To facilitate Lawyer B’s role, Lawyer C’s succession plan should include specific details on how to contact clients and access current deadlines, calendars, law firm bank accounts, client trust accounts, financial records (including trust account written ledgers and account journals), and client files and property. Any other information that Lawyer C can provide to Lawyer B about the law firm and how it is organized will likely further assist Lawyer B in protecting the clients’ interests.

¹¹ There are likely to be confidentiality and other privacy concerns with providing Lawyer B access to this information in the present. However, Lawyer C should inform Lawyer B where information related to Lawyer C’s succession plan, practice information, login information and access codes, etc. can be found (e.g., in an envelope or file with Lawyer B’s name on it in the possession of an office administrator or spouse) if an unexpected event were to occur.

5. Other Duties

The duty to safeguard client funds and property under rule 1.15 and the duty to avoid reasonably foreseeable prejudice when terminating a representation under rule 1.16(d) are also duties that belong to Lawyer C. Still, Lawyer B will be instrumental in assisting with fulfilling these obligations. Again, providing Lawyer B with proper access to banking and financial information, client contact information, and client files will be essential to fulfilling these obligations.

C. Scenario 3: Law Firm's Duty to Plan

In Scenario 3, Law Firm Manager must “make reasonable efforts” to ensure that Law Firm has implemented “measures giving reasonable assurance” that all lawyers in Law Firm comply with the rules and the State Bar Act. (Rule 5.1(a).) Rule 5.1(a) “requires lawyers with managerial authority within a law firm to make reasonable efforts to establish internal policies and procedures designed” for the firm’s lawyers to comply with the Rules of Professional Conduct and the State Bar Act. (Rule 5.1, Cmt. [1].)

Here, Law Firm Manager’s review of Law Firm’s policies and procedures to determine whether they adequately protect the clients’ interests in the event any lawyer at the firm becomes unable to continue practicing law is an important step to comply with rule 5.1.

The scenario involving Lawyer D presents some heightened risks for Law Firm and its clients given that Lawyer D is isolated both geographically and in terms of Lawyer D’s practice area. Lawyer D is also a 70-year-old, which places Lawyer D at a higher risk for developing health-related complications. It is not known whether the other lawyer who practices in the same field as Lawyer D regularly coordinates and connects with Lawyer D on client matters or if anyone else at Law Firm does, or can, supervise Lawyer D’s work. Regular supervision of Law Firm’s lawyers to assess compliance with duties of competence and diligence, regardless of the lawyer’s age, is also an important aspect of rule 5.1.

Some of the issues that a managerial or supervisory lawyer should consider and analyze with respect to Lawyer D, as well as all of its lawyers, are:

- (1) If necessary, could someone else at Law Firm handle the clients and matters that the lawyer is handling?
- (2) Could Law Firm access the entirety of that lawyer’s client files and other needed data?
- (3) How would Law Firm communicate unexpected events and Law Firm’s plan for handling client matters to clients as soon as possible?
- (4) What is a reasonable approach to supervising the work of Lawyer D or other lawyers at Law Firm who are similarly situated to determine whether the lawyer maintains sufficient competence as required by rule 1.1?

If Law Firm does not have a plan for addressing such circumstances, the managerial or supervisory lawyer must assess whether one is ethically required to protect client interests. Whether Law Firm has implemented policies giving reasonable assurance that Law Firm has complied with the rules protecting clients in these instances in accordance with the requirements for managing and supervisory lawyers under Rule 5.1 will likely be a fact-intensive inquiry.

CONCLUSION

Succession planning is an important consideration to ensure that lawyers fulfill their ethical obligations when they are unable to continue practicing law, either temporarily or permanently. An attorney must assess whether a succession plan is necessary to protect their client's interests and prevent the risk of harm or prejudice to clients that may otherwise occur when a lawyer is unable to practice law. Based on this evaluation, a lawyer may need to take reasonable measures to prepare for a disruption or termination of their legal practice, including undertaking formal succession planning.

This opinion is issued by the Standing Committee on Professional Responsibility and Conduct of the State Bar of California. It is advisory only. It is not binding upon the courts, the State Bar of California, its Board of Trustees, any persons, or tribunals charged with regulatory responsibilities, or any licensee of the State Bar.