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Solicitors' PII Renewal Preparation Checklist

Organise timing, practice facts, claims and fallback.

Use it when	an SRA-authorised firm is preparing for renewal
Boundary	This is a renewal-preparation aid, not insurance advice. Use an authorised broker, insurer or adviser.

Built for independent law firms in England and Wales

Original ClickoAI edition | Version 1 | 18 August 2026 | clickoai.com/law-firm-guides

1. Frame the decision

Start early and make the firm's risk evidence reproducible. The worksheet organises facts; it does not judge cover.

Specific focus	Start early and present current evidence through an authorised adviser.

Questions to answer

- For this guide: Start early and present current evidence through an authorised adviser.
- When does policy expire?
- Who owns proposal?
- Are claims records current?
- What if cover is not secured?

Avoid

- waiting until final weeks
- guessing answers
- treating last year's submission as current

2. Control sheet

Treat a blank evidence field as a reason to pause, not a reason to guess. Record sources and owners before changing the workflow.

Area	Evidence to collect	Pass condition
Timing	Date and milestones	Starts early
Practice	Work mix and change	Facts reconciled
Claims	Claims and remediation	Records complete
Controls	Supervision and continuity	Evidence owned
Fallback	Advice and contingency	Plan understood

Fail closed

If an input, owner or approval is missing, record the gap and keep the affected step outside the proposed change.

3. Working record

Complete this page with counts, dates and named sources. Do not include client names, matter names, contract text or privileged material.

Field	Evidence or answer
Guide focus	Start early and present current evidence through an authorised adviser.
Policy	
Broker	
Proposal owner	
Claims date	
Control evidence	
Fallback date	

Evidence quality check

- The source is named and dated.
- An estimate is labelled as an estimate.
- The owner can reproduce the measure.
- The same method can be used after a change.

4. Decision record

Select the outcome that the evidence supports. A stop or no-change decision is valid.

- Stop: a required source, owner or approval is missing.
- Fix: repair the underlying route before adding technology or cost.
- Test: run one bounded change with a baseline and review date.
- Proceed: adopt only the option supported by the recorded evidence.

Decision field	Record
Chosen outcome	
Reason and evidence	
Owner and approvers	
Review or expiry date	

Primary sources

SRA: Indemnity Insurance Rules

Law Society: Renewing your firm's PII

NCSC: Small organisations guide to cyber security

Source status

Links checked 18 August 2026. Confirm the current version and obtain appropriate professional advice before relying on regulated, contractual, privacy, security, insurance, financial or wellbeing conclusions.