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FOR LAW, ACCOUNTING & TAX FIRMS

TEMPLATE PACK · EDITION 2026

The AI Policy Pack for *Professional Firms*

Ready to use in one afternoon

01 AI Usage Policy

02 Approved AI Tools Register

03 Data Red Lines one-pager

04 AI Usage Log

05 AI Literacy Training Record

06 Roll it out in one afternoon

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START HERE

Your team is already using AI. *This pack puts rules around it.*

Six documents that turn informal, invisible AI use into a written, supervised practice you can show to a client, an insurer or a regulator. Fill in the highlighted fields, delete what does not apply, and you have a working framework by the end of the day.

01 **AI Usage Policy** — 3 pages · sign and circulate
The rules: scope, approved tools, data red lines, human review, citation checks, client transparency, incidents, roles.

02 **Approved AI Tools Register** — 1 page · review quarterly
The single list of tools staff may use, on which plan, with which data.

03 **Data Red Lines** — 1 page · print
The one-pager people actually read. Print it and put it next to every screen.

04 **AI Usage Log** — 1 page · ongoing
A light record of AI-assisted work on client matters and who checked it.

05 **AI Literacy Training Record** — 1 page · ongoing
Evidence that your people were trained. Relevant to Article 4 of the EU AI Act and to professional competence duties elsewhere.

06 **Roll it out in one afternoon** — 1 page · use once
A four-hour plan from blank page to signed policy and first training session.

→ How to fill it in

- Fields shaded like this [FIRM NAME] are placeholders. Replace every one before you circulate the policy.
- An editable Word version of the policy and all tables comes with this PDF (**AI-Policy-Pack-editable.docx**).
- Keep the policy short. A two-page policy people follow beats a twenty-page one nobody reads.

Important: this is a template, not legal advice. It is a starting point written for professional firms in general. Laws, regulators and professional conduct rules differ by country, state and profession. Adapt it to your jurisdiction, your professional rules, your client engagement terms and your insurer's requirements, and have it reviewed by someone qualified to do so before relying on it.

01 AI USAGE POLICY

[FIRM NAME] AI Usage Policy

Version	Effective from	Policy owner	Next review
1.0	[DATE]	[AI LEAD]	[DATE + 6 MONTHS]

1 Purpose

This policy sets out how [FIRM NAME] ("the Firm") uses artificial intelligence tools. Its aim is to let our people benefit from AI while protecting client confidentiality, meeting our professional and legal obligations, and keeping a qualified human responsible for every piece of work we deliver.

2 Scope

This policy applies to all partners, employees, trainees, contractors and anyone else working for or on behalf of the Firm, on any device, whenever they use an AI tool for Firm or client work. "AI tool" means any software that generates, summarises, translates, classifies or analyses text, audio, images, code or data using machine learning, including general chatbots, AI features built into existing software (word processors, email, practice management, accounting and research platforms), transcription and meeting assistants, and browser extensions.

3 Approved tools only

- Only tools listed in the **Approved AI Tools Register** may be used for Firm or client work, and only on the plan and for the data categories stated there.
- Personal or free consumer accounts must not be used for client work, even where the same tool appears in the Register under a business plan.
- To request a new tool, contact [AI LEAD]. A tool is approved only once its terms (data use, training on inputs, storage location, retention, security) have been reviewed and it has been added to the Register.
- AI features switched on by default in existing software count as AI tools. If in doubt, ask before using them on client material.

4 Data red lines

The following must **never** be entered into any AI tool that is not approved in the Register for that data category, and in particular never into consumer or free tools:

- Identity documents and ID numbers (passport, national ID, social security or tax numbers)
- Bank, card and account details, and full financial statements of identifiable clients
- Health, medical or other special-category data
- Data about opposing parties, counterparties, witnesses or other third parties
- Privileged or legally protected communications and documents
- Passwords, access codes, API keys and any security credentials

The Data Red Lines one-pager forms part of this policy.

5 Anonymise before you prompt

Where client material is needed to get useful output, remove or replace anything that identifies a person or the client before entering it: names, addresses, dates of birth, reference numbers, company names, distinctive facts. Use neutral labels such as "Client A", "Company B", "Employee 1". If a document cannot be meaningfully anonymised, use only a tool approved in the Register for confidential client data, or do not use AI for that task.

6 Mandatory human review

- AI output is a draft, never a final product. A qualified person must review, correct and take responsibility for any AI-assisted work before it is relied on, sent to a client, filed or submitted to any authority.
- The reviewer must be competent in the subject matter and must check accuracy, completeness, tone and fitness for the client's specific situation.
- AI must not be used to make, or be presented as making, final decisions on legal, tax or accounting advice.
- AI-assisted work on client matters is recorded in the **AI Usage Log** where required by [AI LEAD].

7 Verify every citation, figure and source

AI tools can produce authorities, case references, statutory provisions, tax rates, figures and quotations that look plausible but are wrong or do not exist. Before any such item is used:

- Check every case, statute, regulation, standard, ruling and guidance reference against an authoritative primary source or a trusted professional database.
- Re-calculate or trace back every figure, rate, threshold and deadline to its source.
- Never cite a source you have not opened and read yourself.

8 Client transparency

- The Firm will explain its general approach to AI in its engagement terms or client information: [DESCRIBE WHERE: e.g. engagement letter clause / website notice].
- Where a client has asked us not to use AI, or where the engagement terms restrict it, that instruction prevails.
- Where AI use is material to the work, the cost or the risk for a specific matter, discuss it with the client and record their position.
- Time saved through AI must be reflected honestly in billing. Do not bill for time not actually spent.

9 Intellectual property and outputs

Do not upload third-party material (paid databases, licensed publications, other firms' documents) unless the licence allows it. Treat AI output as unverified: check that it does not reproduce protected text in a way that matters for the work.

10 Incident procedure

An incident includes: entering red-line data into a tool not approved for it; a client document uploaded to the wrong tool or account; AI output with an error that reached a client, court or authority; or any suspected data leak involving an AI tool.

- **Report immediately** (same working day) to [AI LEAD] and [DATA PROTECTION CONTACT]. Do not try to fix it quietly. Reporting quickly is never a disciplinary matter in itself.
- **Contain:** delete the conversation or file where possible, revoke shared links, and note the tool, account, time and data involved.
- **Assess:** the Firm decides whether the client, the data protection authority, the insurer or the professional regulator must be notified, within any legal deadline that applies.
- **Learn:** record the incident, the cause and the fix, and update this policy, the Register or training if needed.

11 Roles and responsibilities

Role	Responsibility	Name
Managing partner	Approves this policy, owns overall accountability and ensures resources for training.	[NAME]
AI lead	Keeps the Register and this policy current, approves new tools, handles questions and incidents, organises training.	[NAME]
Data protection contact	Advises on personal data, assesses incidents and handles any notifications.	[NAME]
Supervising professionals	Ensure people they supervise follow this policy and that AI-assisted work is properly reviewed.	All partners and managers
Everyone	Follows this policy, completes training, asks when unsure and reports incidents immediately.	All staff

12 Training

Everyone in scope completes AI training when they join and at least [ONCE A YEAR], covering this policy, the red lines, how the approved tools work, their limits, and how to review output. Attendance is recorded in the **AI Literacy Training Record**.

13 Breaches and review

Breaches of this policy may lead to disciplinary action in line with the Firm's procedures. This policy is reviewed at least every [6 MONTHS] and whenever the Firm adopts a significant new tool or the rules that apply to it change.

> **Acknowledgement.** I have read and understood the [FIRM NAME] AI Usage Policy and agree to follow it.
>
> Name _____ Signature _____ Date _____

02 APPROVED AI TOOLS REGISTER

If it is not on this list, *it is not approved.*

Check each tool's current terms yourself before approving it: plans, data use and storage options change. "Trains on data?" means whether the provider may use your inputs or outputs to train its models under the plan you use. Review the whole register every quarter.

Tool	Plan / licence	Data allowed	Who can use	Trains on data?	Data location	Reviewed on	By
Example: [Tool name]	*Business / enterprise plan*	*Anonymised client text; internal non-client material*	*All fee earners after training*	*No (per contract)*	*[Region per terms]*	*[DD/MM/YYYY]*	*[Initials]*

Data categories to use in "Data allowed": Public / non-client · Internal firm material · Anonymised client material · Confidential client material (only tools with contractual confidentiality, no training on inputs, and acceptable storage location) · Red-line data: not allowed in any tool unless specifically approved in writing.

03 DATA RED LINES

Before you paste, *stop and check.*

Never put these into a consumer or free AI tool, or into any tool the Register does not approve for that data.

Identity documents and numbers 1

Passports, national ID cards, driving licences, social security, tax or company registration numbers of individuals.

Bank and payment details 2

IBANs, account and card numbers, statements, payroll files, full financial records of an identifiable client.

Health and sensitive data 3

Medical reports, sick notes, disability, and other special-category data such as religion, ethnicity or criminal records.

Opposing and third parties 4

Information about counterparties, opposing parties, witnesses, employees of clients, or anyone who is not your client.

Privileged material 5

Legal advice, litigation strategy, settlement positions, and confidential communications with the client.

Credentials and access 6

Passwords, PINs, two-factor codes, API keys, tax portal or bank logins. Never, in any tool.

INSTEAD: ANONYMISE

Replace names and numbers with "Client A", "Company B", "[amount]". Strip addresses, dates of birth and reference codes.

THEN: VERIFY

Every citation, figure, rate and deadline is checked against the original source before use.

ALWAYS: OWN IT

A qualified person reviews and signs off. AI drafts; you advise.

Not sure? *Don't paste it.* Ask **[AI LEAD]**

Something went wrong? Report it the same day to **[AI LEAD]** on **[PHONE / EMAIL]**. Fast reporting limits the damage.

04 AI USAGE LOG

Who used AI, on what, *and who checked it.*

Use a matter or client code, never the client's name. One line per AI-assisted task on client work. Thirty seconds per entry is enough: the point is a reliable trail, not paperwork.

Date	Matter / client code	Tool	Task	Data type used	Reviewer	Check done
[DD/MM/YYYY]	*M-0421*	*[Approved tool]*	*First draft of letter summarising new filing deadlines*	*Anonymised*	*[Initials]*	*Deadlines checked against official source; tone and facts edited*

"Check done" examples: citations verified in primary source · figures recalculated · facts checked against client file · rewritten for client · rejected, not used.

05 AI LITERACY TRAINING RECORD

Training that happened *but was never recorded* is hard to prove.

EU: Article 4 of the AI Act. Article 4 of Regulation (EU) 2024/1689 (AI literacy) has applied since 2 February 2025 to providers and deployers of AI systems, which includes firms that use AI tools in their work. The Digital Omnibus, Regulation (EU) 2026/1744, reworded the obligation towards measures that support AI literacy. **Check the current text** for exactly what applies to your firm. Either way, a dated record of who was trained, on what, is the simplest evidence you can keep.

Elsewhere: competence and supervision. Outside the EU, regulators and professional bodies expect the same thing in other words. In the US, ABA Formal Opinion 512 (29 July 2024) addresses lawyers' duties of competence, confidentiality and supervision when using generative AI. In the UK, the SRA has published guidance on AI use. Accounting ethics codes require professional competence and due care. Check the rules of your own regulator.

Name	Role	Date	Topics covered	Duration	Trainer / evidence
[Full name]	*Associate*	*[DD/MM/YYYY]*	*Policy, red lines, anonymising, verifying citations, approved tools*	*90 min*	*[Trainer]; attendance sheet*

Suggested core topics: what AI tools can and cannot do · this policy and the red lines · anonymisation in practice · hallucinated citations and figures · reviewing output · client transparency · reporting incidents. Keep slides, attendance sheets or certificates as evidence.

06 ROLL IT OUT IN ONE AFTERNOON

From blank page to signed policy *by the end of the day.*

Block one afternoon. You need the managing partner for the first and last hour, and everyone else for the training slot.

14:00 — 30 MIN

Find out what is already in use

Ask everyone, in a short message or a two-minute form, which AI tools they use for work, on which account (personal or firm), and for what. Make it explicit that honesty will not be punished.

Output: a raw list of tools and uses

14:30 — 60 MIN

Fill in the Approved AI Tools Register

For each tool on the list, check its current terms: business plan available, training on inputs, data location, retention. Approve, approve with limits, or ban. Usually two or three approved tools on a business plan are enough.

Output: Register completed and dated

15:30 — 45 MIN

Adapt and approve the policy

Replace every placeholder in the Word version, delete what does not apply, and check it against your professional rules and engagement terms. Name the AI lead and data protection contact. The managing partner signs.

Output: signed policy, version 1.0

16:15 — 15 MIN

Print and send

Print the Data Red Lines page for every desk. Email the policy and Register to everyone with a request to sign the acknowledgement within one week.

Output: red lines on every desk

16:30 — 60 MIN

Run the first training session

Walk through the red lines with real examples from your own work, show anonymisation live in an approved tool, and show one hallucinated citation being caught. Record attendance in the Training Record.

Output: first entries in the Training Record

17:30 — NEXT

Set the rhythm

Start the AI Usage Log on client matters from tomorrow. Put the quarterly Register review and the six-monthly policy review in the calendar now.

Output: review dates in the calendar

Want this set up *in your firm?*

Book an AI diagnostic at corpusproof.com. We look at how your team uses AI today and tell you what to fix first.

Book your AI diagnostic at corpusproof.com

SEE THE GAPS

Which tools are in use, on which accounts, with which data.

GET THE PRIORITIES

The few changes that reduce the most risk for your firm.

KEEP IT WORKING

Policy, register and training kept current as tools and rules change.

This pack is a general template provided free of charge for information purposes. It is not legal, tax or regulatory advice and does not create an advisory relationship. References to laws, regulations and guidance were checked at the time of writing but may change; verify the current text. Adapt the documents to your jurisdiction, your professional conduct rules and your firm, and seek qualified advice before relying on them. No AI tool or provider is endorsed.