

## CORPORATE / INTERNAL INVESTIGATIONS PRACTICE

### (SOLICITOR SEAT) CHECKLIST

#### Introduction

A Corporate / Internal Investigations Practice should help a practice trainee ("PT") develop the specialised skills necessary to effectively handle the complex legal, regulatory, and business challenges encountered when corporations face potential misconduct, regulatory scrutiny, or compliance failures. This practice area requires a unique blend of investigative techniques, regulatory knowledge, client management skills, strategic thinking and problem-solving, that differs significantly from traditional litigation or transactional work.

Corporate investigations demand attorneys who can navigate sensitive internal dynamics, manage relationships with multiple stakeholders including executives, boards, employees, and regulators, while maintaining strict confidentiality and privilege protections. The work often involves high-stakes scenarios where swift, decisive action and sound legal judgment can significantly impact a company's reputation, financial exposure, and regulatory standing.

PTs may only undertake the Corporate / Internal Investigations Seat as a **Secondary Seat**.

The supervisor in the qualifying entity at which the PT is undertaking the Corporate / Internal Investigations Practice Seat must ensure that the PT completes:

- a) **Ten tasks** set out in Section A; and
- b) All tasks set out in Section B.

#### SECTION A

No.	Task	Done <i>(Please tick accordingly)</i>
A1	Receive guidance on understanding corporate structures and authority limits, and practise preparing an internal structure chart on structure of target company(ies)	<input type="checkbox"/>
A2	Research and understand the primary industry and work processes of at least two (2) target corporates or corporate structures	<input type="checkbox"/>

A3	Gain an understanding of a client's specific business operations and compliance challenges, and coordinating with a client's internal compliance and audit functions	<input type="checkbox"/>
A4	Receive guidance on investigation scoping and planning methodologies, including risk assessment frameworks	<input type="checkbox"/>
A5	Receive guidance on standard investigation budgeting processes and cost management principles, and prepare a budget estimate / proposal	<input type="checkbox"/>
A6	Receive guidance on the proper protocols for interviewing witnesses, and be involved in the preparation of an interview plan or strategy	<input type="checkbox"/>
A7	Receive guidance on document management systems and e-discovery protocols used in investigations	<input type="checkbox"/>
A8	Conduct basic forensic document analysis and timeline construction	<input type="checkbox"/>
A9	Assist with drafting investigation-related correspondence and client communications	<input type="checkbox"/>
A10	Assist with drafting legal advice memoranda arising from an investigation	<input type="checkbox"/>
A11	Reviewing investigative reports for key stakeholders	<input type="checkbox"/>
A12	Reviewing common types of investigation-related agreements (engagement letters, joint defence agreements, common interest agreements)	<input type="checkbox"/>
A13	Attend at least two meetings with external parties (regulators, interview subjects, opposing counsel, or third-parties such as external investigators or insurers)	<input type="checkbox"/>

A14	Attend at least two internal stakeholder meetings or strategy sessions	<input type="checkbox"/>
A15	Receive guidance on employment law implications, including disciplinary procedures and termination considerations	<input type="checkbox"/>
A16	Receive guidance on regulatory landscape and enforcement priorities of key agencies	<input type="checkbox"/>
A17	Gain an understanding of corporate governance implications and board reporting requirements	<input type="checkbox"/>
A18	Gain an understanding of the procedures for and consequences of voluntary disclosure and self-reporting to relevant authorities	<input type="checkbox"/>
A19	Receive guidance on insurance notification requirements and coverage issues for legal and investigation costs	<input type="checkbox"/>
A20	Receive guidance on remediation planning and implementation strategies following investigation conclusions	<input type="checkbox"/>
A21	Receive guidance on the role of accountancy and audit procedures in internal investigations, including basic principles of financial statements review, identification of accounting irregularities, and collaboration with audit professionals	<input type="checkbox"/>

## SECTION B

No.	Task	Done <i>(Please tick accordingly)</i>
B1	Receive training on professional conduct rules for investigation work, including "without prejudice" communications and settlement discussions	<input type="checkbox"/>

B2	Receive guidance on relationships with external service providers, including forensic accountants and technology vendors	<input type="checkbox"/>
B3	Receive guidance on professional presentation for client meetings and regulatory interactions	<input type="checkbox"/>
B4	Receive guidance on addressing work delays and managing client expectations during lengthy investigations	<input type="checkbox"/>
B5	Receive guidance on confidentiality duties, legal privilege, conflicts of interest management and multi-client representation issues in the corporate investigation context	<input type="checkbox"/>
B6	Receive guidance on whistleblower protections and handling of internal complaints	<input type="checkbox"/>

**To the Singapore Institute of Legal Education:**

**I certify that this Checklist accurately reflects the training undertaken and completed by the Practice Trainee during the relevant period<sup>1</sup>.**

<b>Full Name of Practice Trainee as per NRIC / FIN:</b>	
<b>Full Name of Singapore Law Practice:</b>	
<b>Full Name of Supervising Solicitor as per Practising Certificate:</b>	
<b>Signature of Supervising Solicitor:<sup>2</sup></b>	
<b>Date signed:</b>	

**Note:**

Where there is a change in supervising solicitor to a new supervising solicitor within the same Singapore law practice, the new supervising solicitor may certify the completion of tasks supervised by the previous supervising solicitor if the new supervising solicitor has verified the same with the previous supervising solicitor. If the new supervising solicitor is unable to make such a certification, the new and previous supervising solicitors may complete and sign separate copies of this checklist in respect of the tasks supervised by them respectively.

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<sup>1</sup> Where the practice training checklist is submitted as part of a training review, the relevant period is the "Relevant Period" as stated in the Training Review Form. Where the practice training checklist is submitted in the course of registering a termination of a practice training contract or upon completion of the practice training period, the relevant period is the period of practice training as stated in the Certificate of Diligence issued by the abovenamed Singapore law practice.

<sup>2</sup> Electronic and digital signatures are accepted. Please ensure that the supervising solicitor's signature is consistent across all documents submitted to the Institute, including the checklists and the Certificate of Diligence, if applicable.