



KNOWLEDGE AND BEHAVIOURS FRAMEWORK

1. What do you need to know?
2. How do you behave?
3. How do you develop yourself, personally and professionally, and
4. How do you present yourself?

1. What do you need to know?

About the law:

- The law related to your specialism
- The law outside your specialism as it affects what you do
- The legal know-how and research resources available to you from within the organisation and the law firms the organisation uses
- SRA requirements and Code of Conduct
- Ethical leadership for in-house lawyers

About your organisation's legal team:

- The organisation's legal team structure
- the current organisation legal strategy – what do we do, why, how; how do we work with our external lawyers and other providers
- our Lexcel manual, if any
- our current induction pack
- our knowledge management, legal, and document management systems

About your organisation:

- the organisation's current strategy and its wider business objectives
- the organisation's annual report and accounts
- the organisation's legal, trading and business structure
- the key strategy, commercial imperatives and risks of the parts of the organisation you work with
- the key decision makers in your part of the organisation – MDs, senior team members, other key people
- the key relationships in your business
- the key customers of your business unit

About the organisation's governance structure:

- compliance rules and strategy
- delegated procedures, guidance and sanction levels
- authority matrix – who can approve what?
- key materials within your legal team
- ethics and compliance policies
- key materials within your legal team
- SRA compliance and competence requirements



- Document execution procedures and guidance

2. How do you behave?

Interaction:

- rapport – maintain a good rapport with colleagues, customers, clients and other contacts
- responsiveness – be proactive
- punctuality and preparedness – be clear on the output you want from the meeting or call
- respect – act in a way which encourages mutual respect; ask probing questions, and take responsibility for your advice

Behaviours:

- act with integrity – remember you are the public face of the legal team and the organisation
- manage your time effectively, being flexible, organised and prioritising your work whilst dealing with the demands of multi-tasking
- remain calm, objective and with a good temperament, being politely assertive
- know when and how to say no
- conduct yourself in accordance with the SRA handbook and Code of Conduct

Communication and reporting:

- carry out regular file reviews in accordance with Lexcel and business requirements
- monthly reporting properly and on time
- communicate regularly and well
- manage expectations, being honest, being clear on what is required, and ensuring clarity on timeframes and outputs
- communicate and share your know-how, learning and skills with the team and beyond
- communicate in a way your recipient needs – not always by phone if they prefer email or vice versa
- take a collaborative approach to feedback and continuous improvement

Focus:

- recognise and remain focused on the best result - without comprising ethical or reputational principles in any way
- work in an ethical way that adds value to the organisation and is orientated to achieve the best possible outcome in the circumstances
- work as a team player



3. How do you develop personally, professionally and ethically?

Know yourself:

- be self-aware – know yourself through tools such as Belbin and Myers Briggs
- stretch and challenge yourself – be motivated to learn and improve yourself
- take ownership of your own personal and professional development including but not limited to the continuous personal development required by your professional body
- invest time in understanding what you don't know and how you can tackle such issues
- understand your comfort zone – and challenge yourself to go beyond it and add to your competencies
- Treat your Personal Development Plan as a live document to go the extra mile for your personal development
- understand the ethical context and have/develop confidence to challenge where necessary

Know what development is available in the organisation and use your organisation's development frameworks and objectives.

Use your opportunities for mentoring, coaching, secondments, cross-business activities and group projects.

Know where to seek help: who to ask, where to look for information and guidance, and don't ever be afraid to ask for advice.

4. How do you present yourself?

Be a trusted adviser, leader and ethics champion:

- Participate, and be seen to be participating
- Always be properly prepared
- With a consistency of approach
- As completely reliable – doing what you say you will do
- Manage expectations openly and well
- Use judgement in knowing when to refer to external lawyers
- Behave in an ethical manner and champion ethical behaviour
- Be an ethics champion

In your work output:

- Quality of work – free from errors, spellchecked, properly laid out
- By ensuring your advice is correct and ethical
- In plain English and where possible free from legal jargon
- With documents which give clear and accessible advice – know your audience



Personal attributes:

- as a business focussed enabler, as an honest and honourable professional
- accountable, thorough, measured and considered
- professional yet personable
- focussed on stakeholder value and awareness
- cognisant of reputation
- completely reliable and safe
- morally and ethically attentive
- willing to consider other options
- ethics champion
- leading by example

In your teams:

- meet your colleagues, internal contacts and senior management teams
- if you refer people or work to a colleague, always call or email them to tell them what you have done and give background
- remember everything is your job
- treat others as you want to be treated
- encourage open discussion of ethical concerns

Be knowledgeable:

- of SRA handbook and Code of Competence
- about the areas in section 1
- presenting your advice in context
- presenting all written material in a way which could be further distributed – even if that isn't intended
- confident in your ability, your purpose and your advice