



# IOP Professional Paralegal Competency Standards

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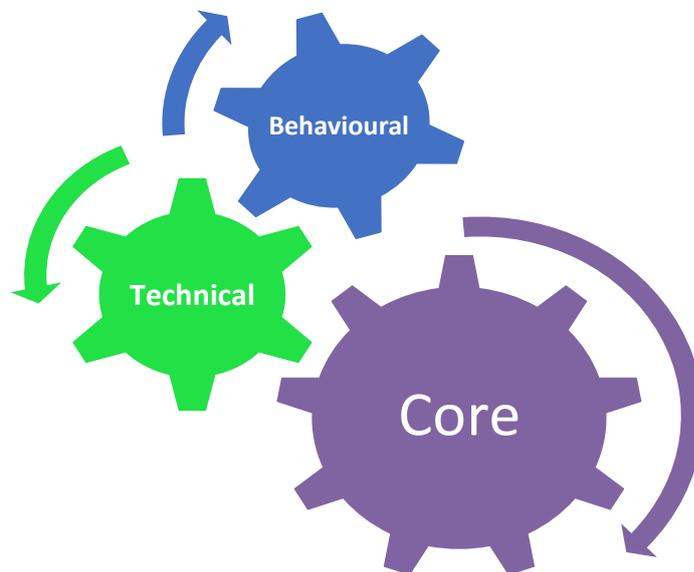
# Professional Competency Standards

These standards have been produced to assist Paralegals, employers and other stakeholders, to define the essential competencies a Paralegal is required to achieve in order to successfully carry out professional work.

The standards included in this document are not intended to be exhaustive as there are many diverse job roles undertaken by Paralegals in a variety of sectors where specialist knowledge may be required.

These standards reflect proficiency mapped to a Tier 2 Paralegal or above on the Professional Paralegal Register and the Associate or above membership grade of the IoP. They have also been mapped to the National Occupational Standards for Legal Services.

Professional Competency standards are made up of three elements as highlighted below:



## Core Competencies

At the centre of Paralegal Practice, is our consumers. The competencies required to deal with legal matters include the ability to draft documents; research; preparation of files; undertake advocacy and more besides.

## Technical Competencies

Paralegals must have the skills and knowledge to fulfil the needs of their clients, whether they are consumers, other businesses, local authorities or law firms. The paralegal role requires the ability to practice law and it does not matter whether the Paralegal charges for services, provides services on a pro-bono or voluntary basis, or whether the services are to be paid by an employer.

Technical competencies encompass both law and procedure. Paralegals need to be competent in the area of law that they practice. This may involve two or three areas of law or just one.

## Behavioural Competencies

This is often referred to as professional conduct, i.e. The way in which a paralegal deals with their clients. This includes client relations, professional conduct and continuing professional development.

### How to use these standards

These standards are copyright of the Institute of Paralegals, however they may be used by companies, educational establishments and training providers who wish to seek 'Approved' status for their qualifications, modules, learning or training programmes, in assessing whether their courses map sufficiently to these standards. Please see a summary of these standards in the Academic and Vocational Approved Guidance document for further information.

These standards are also useful for those seeking to enter the profession or those wishing to enhance their professional standing through progression of the IoP membership status and/or progression on their Tier status on the PPR.

Readers of these standards should be aware that there are many other relevant standards that could, or should, be applied in the training of Paralegals dependant on their specific job role.

These standards set out three levels that a practising Paralegal should attain from entry into the profession to fully qualified Paralegal Practitioner. You will see in the standards that as there is significant overlap between Accomplished and Expert Practitioners below, these have been amalgamated into one Level 3/4.

Paralegals that are working in a Solicitor's office should be aware that they are bound by the professional standards of the SRA and should refer to those standards if in doubt.

### Competency Levels

| Competency Level            | Definition   | Knowledge | Application | IoP | PPR    |
|-----------------------------|--|-----------|-------------|-----|--------|
| Expert Practitioner 4       | The highest level of knowledge and application - Expert      | Expert    | Constant    |     | Tier 4 |
| Accomplished Practitioner 3 | An Advanced degree of knowledge and consistent application   | Master    | Constant    |     | Tier 3 |
| Competent Practitioner 2    | Full knowledge with experience and application               | Full      | Regular     |     | Tier 2 |
| Novice 1                    | Limited or no knowledge or experience – potential to develop | Some      | Limited     |     | Tier 1 |

## Core Competencies

Core competencies are defined as follows:

- C1 Communication
- C2 Workload Management
- C3 Draft Legal documents
- C4 Prepare files for legal matters
- C5 Research
- C6 Manage Legal Cases
- C7 Conclude legal matters

## Technical Competencies

Technical competencies include:

- T1 Advocacy
- T2 Plan and cost legal work
- T3 Application of legal expertise

## Behavioural Competencies

Behavioural competencies include:

- B1 Client Relations
- B2 Professional Conduct
- B3 Self-awareness and development
- B4 Comply with legal, organisational and Regulatory requirements in the provision of legal services

# Core Competency 1: Communication

## IoP STANDARDS

You should be able to:

- A Establish Communication with clients, minimising the effect of any difficulties established
- B Communicate clearly, concisely and accurately
- C Introduce clients to the services you offer
- D Advise clients regarding the nature of confidentiality

| Performance Criteria  | Level 1   | Level 2  | Level 3/4  |
|---|---|--|--|
| P1-C1 Identify the outcome you wish to achieve  | Identifies/researches the nature of the problem         | Prepares a pre-interview checklist                                       | Considers/manages related issues   |
| P2-C1 Provide clients with appropriate time to explain their needs                          | Allocates basic interview time                          | Identifies information needed via interview checklist                    | Manages time effectively   |
| P3-C1 Communicate in a clear, concise and logical way                                       | Able to ask clear questions and record accurate answers | Conducts interview with open and closed questions and makes a record     | Manages difficult clients effectively  |
| P4-C1 Take appropriate action to minimise the effect of any difficulties with communication | Identify issues such as language barriers               | Pre-empt issues and makes arrangements prior to the interview commencing | Manages issues as they arise and minimises the effect through immediate action |
| P5-C1 Adopt a courteous and professional tone   | Uses a professional tone                                | Engages courteously and professionally in difficult situations           | Manages conflict whilst maintaining professionalism                            |
| P6-C1 Introduce clients to your services in a suitable way                                  | Identify services that are suitable for the client      | Explain services in detail   | Manages clients' expectations effectively                                      |
| P7-C1 Advise Clients on confidentiality   | Recognises the requirement to discuss confidentiality   | Explains the scope of Confidentiality                                    | Manages the scope of Confidentiality   |
| P8-C1 Take immediate action where necessary   | Identifies the need for immediate action and seeks help | Understands the options available to take action                         | Manages the actions to be taken  |

## Core Competency 2: Workload Management

## IoP STANDARDS

You should be able to:

- A Plan and Prioritise work
- B Use Time Management effectively
- C Adapt work-plans in line with prioritising

| Performance Criteria  | Level 1   | Level 2   | Level 3/4   |
|---|---|---|---|
| P1-C2 Plan and prioritise your work according to urgency in line with objectives and deadlines  | Identifies the need for a work-plan                       | Effectively prioritises work in accordance with objectives and timescales | Manages related issues. Manages work/department/organisation to meet objectives |
| P2-C2 Make sure all necessary resources are available.  | Identifies necessary resources                            | Efficiently gathers all required resources                                | Manages resources   |
| P3-C2 Set realistic timescales, re-prioritising other work as necessary   | Identify the need to prioritise work and set timescales   | Effectively sets timescales for work and evaluates regularly              | Manages workload of team/department   |
| P4-C2 Record work done as necessary for compliance, billing and file management purposes  | Identify the need for compliance, accurate record keeping | Accurately records work for compliance                                    | Manages compliance for organisation/department                                  |
| P5-C2 Liaise with and update your manager or others who contribute to your work   | Identifies colleagues that must be updated                | Effectively updates all colleagues  | Manages relationships and work teams  |
| P6-C2 Meet deadlines, adapt work plans in line with priorities, giving warning to the client or appropriate person in your organisation | Identify appropriate deadlines                            | Prepare work-plans for time-management to ensure deadlines are met        | Manages workloads and addresses time-management issues                          |
| P7-C2 Review and reflect on the outcomes of your work-plans   | Recognises the requirement to discuss confidentiality     | Able to explain and evaluate work-plans and their effectiveness           | Manages the scope of the work-plans and monitors effectiveness                  |

P8-C2 Delegate work effectively where possible

Identifies the need for assistance or advice

Delegates work appropriately

Manages the actions to be taken when work is delegated

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## Core Competency 3: Writing and Drafting

## IoP STANDARDS

You should be able to:

- A Know the documents commonly used
- B Draft legal documents accurately using straightforward language
- C Use precedents correctly

| Performance Criteria   | Level 1  | Level 2  | Level 3/4  |
|--|--|--|--|
| P1-C3 You can draft letters and documents commonly used by paralegals in practice areas  | Able to draft basic letters and documents                              | Prepare a range of legal documents                 | Accurately drafts professional documents                           |
| P2-C3 Identify the purpose, format and content of the legal document to be drafted   | Identifies the correct legal document required                         | Knows the correct format                           | Manages the range of documents used in the organisation/department |
| P3-C3 Be able to use precedents and relevant information to draft the legal document   | Identify when a precedent should be used                               | Proficient at using precedents                     | Manages the use of precedents within the organisation              |
| P4-C3 Be able to draft the legal document in a form and structure appropriate to the parties using straightforward language in line with legal, organisational and regulatory requirements | Identifies the appropriate form of structure for a particular document | Prepares accurate/draft documents                  | Accurately drafts professional documents                           |
| P5-C3 Be able to critically review and edit the draft legal documents to ensure that any corrections are made to P5.1 Spelling, P5.2 Grammar, P5.3 Syntax, P5.4 Punctuation                | Identify the need to review draft documents                            | Effective at reviewing and editing draft documents | Manages the review of complex documents                            |
| P6-C3 Submit the final document within agreed timescales   | Identify how and to whom the document is to be submitted               | Submit final documents in a timely manner          | Evaluate and sign-off documents                                    |

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## Core Competency 4: Prepare Files for Legal matters

## IoP STANDARDS

You should be able to:

- A Prepare files for legal matters
- B Submit files for legal matters

| Performance Criteria   | Level 1  | Level 2   | Level 3/4  |
|--|--|---|--|
| P1-C4 Review the current status of legal matters   | Reads/researches the nature of the legal matter  | Review accurately the status of files   | Manage files of department/team                                      |
| P2-C4 Address all relevant issues with legal matters   | Identifies relevant issues from files  | Address relevant issues in a timely manner                                      | Advise on relevant issues  |
| P3-C4 Accurately record, retain and disclose material  | Able to record information and understand what and to whom information can be disclosed  | Know how to record and retain material and the rules for disclosure             | Manage recording and disclosure procedures                           |
| P4-C4 Document all decisions and actions   | Identify the need to document decisions and actions                                      | Accurately document decisions and actions                                       | Manage the documents of decisions and actions                        |
| P5-C4 Present files for legal matters ethically, promptly, logically and acting in the clients' best interests                         | Be aware of ethical considerations and the need to act in the client's best interest     | Present files in a legal manner ensuring professional standards are met         | Manage file preparation of ethical and conduct issues                |
| P6-C4 Submit all files promptly to the relevant parties  | Understand the procedure for submitting files  | Efficiently submit files to relevant parties                                    | Manage the submission of files for a department/team                 |
| P7-C4 Take the necessary remedial action with files for legal matters where documentation or actions have not been completed correctly | Understand the need to check that documentation or actions have been completed correctly | Evaluate files to ensure documentation and actions have been executed correctly | Manage situations where errors and/or omissions have been identified |

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## Core Competency 5: Practical Legal Research

## IoP STANDARDS

You should be able to:

- A Confirm the client's needs
- B Research legal information and advice

| Performance Criteria  | Level 1  | Level 2   | Level 3/4   |
|---|--|---|---|
| P1-C5 Identify from the client, the information needed and for what purpose   | Understands the importance of gaining clear instructions | Conducts interview with care and skill to obtain clear instructions             | Manage interview procedures   |
| P2-C5 Access legal and procedural information about your area of practice to meet clients' needs  | Identify the methods available to access information     | Competently carry out relevant research   | Proficient at advanced research   |
| P3-C5 Establish if there is a deadline for providing information or advice and meet it  | Understand the need to establish deadlines               | Identifies key information needed via interview                                 | Management of staff time  |
| P4-C5 Record research findings citing sources, conclusions and present in a format most suitable for the intended recipient                                       | Understand how to record findings in a basic format      | Accurately records information and findings in a suitable, professional format  | Manage department/organisation's procedures for recording findings                              |
| P5-C5 Comply with all relevant legislation including:<br><br>P5.1 Codes of Practice<br>P5.2 Guidelines<br>P5.3 Ethical requirements<br>P5.4 Conflicts of interest | Identify the relevant legislation and codes of practice  | Knows and compiles with all relevant legislation and professional conduct rules | Manage the department/organisation's compliance with relevant legislation and codes of practice |

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## Core Competency 6: Establish Case Files

## IoP STANDARDS

You should be able to:

- A Establish case files
- B Progressing a case
- C Closing case files

| Performance Criteria  | Level 1  | Level 2  | Level 3/4   |
|---|--|--|---|
| P1-C6 Open client case files in line with organisational requirements   | Understand the information needed to open a client file  | Knows the procedure to open client case files                        | Manages the procedures for opening client case files  |
| P2-C6 Determine the method of funding cases or other cost implications  | Identify issues relating to funding costs  | Know the applicable funding rules and be able to explain cost issues | Knows and can explain in detail the funding rules in order to explain cost issues                     |
| P3-C6 Explain to clients the organisational systems and procedures for managing cases   | Able to provide basic knowledge of case management   | Prepare client-care letter   | Manages the preparation of client-care letters  |
| P4-C6 Record client details and agreed actions  | Identify the need to record client information   | Accurately maintain client file with relevant information            | Manages the accuracy of client files  |
| P5-C6 Progress agreed actions on behalf of clients and brief other individuals required to progress cases with details and responsibilities | Identify the actions required and tell individuals who need to be informed                       | Knows the procedures for self and others to progress the case        | Manage agreed actions, communicating effectively with others  |
| P6-C6 Inform clients about progress against milestones and outcomes   | Understand the purpose of keeping the client informed  | Liaise with the client on progress in a professional manner          | Manage the procedure for supplying progress updates   |
| P7-C6 Maintain case files to ensure they are accurate and up to date in line with organisation requirements                                 | Access files and make basic information updates  | Accurately maintains files   | Manage case file preparation to ensure accuracy and compliance with legal and regulatory requirements |
| P8-C6 Inform clients about actions they can take to progress cases towards closure in line with organisational requirements                 | Understand the ways in which clients should be informed of actions in order to progress the case | Know actions that can be taken to close a case                       | Manage the actions that are required to close a case  |

P9-C6 Explain reasons and procedures for closing cases to clients

Identify the range of reasons and procedures to close cases

Explain to clients why a case is to be closed and the procedure for doing so

Manage the procedures for closing cases

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## Core Competency 7: Conclude Legal Matters

## IoP STANDARDS

You should be able to:

- A Reviewing work to conclude a legal matter
- B Communicating the outcome to the appropriate party
- C Closing a file

| Performance Criteria  | Level 1   | Level 2   | Level 3/4   |
|---|---|---|---|
| P1-C7 Review all work in preparation to conclude legal matters  | Review own work to ensure it is accurate                            | Reviews and supports staff work to effectively conclude legal matters                                 | Review own and others work and manages the effective conclusion of legal matters of department/organisation |
| P2-C7 Identify the outcomes for the relevant parties  | Identify a range of likely outcomes for parties                     | Identify and explain the relevant and actual outcomes for clients                                     | Explain in depth the outcomes to clients  |
| P3-C7 Assess the impact of the outcomes for the relevant parties and how these should be communicated | Consider the likely impact of a range of likely outcomes            | Analyse the impact of the outcomes and communicate these in an appropriate manner                     | Critically analyse the outcomes and the methods of communication to clients                                 |
| P4-C7 Prepare appropriate communication for relevant parties  | Able to draft basic letters for clients                             | Drafts appropriate communications efficiently and effectively   | Produces professional communications for relevant parties   |
| P5-C7 Communicate the outcomes and the implications for the relevant parties                          | Identify the need to communicate effectively and appropriately      | Communicate outcomes in a professional manner   | Communicates with the highest degree of professionalism   |
| P6-C7 Close and archive the legal matter, identifying any legal matter that should be destroyed       | Able to identify when and how a matter should be closed or archived | Know how to close and archive a legal matter in accordance with relevant legal and ethical guidelines | Closes legal matters in accordance with regulatory requirements   |

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# Technical Competency 1: Advocacy

## IoP STANDARDS

You should be able to:

- A Prepare for Advocacy
- B Develop a case presentation strategy incorporating your client's goals
- C Understand basic evidential rules
- D Make an effective and persuasive submission

| Performance Criteria   | Level 1  | Level 2  | Level 3/4   |
|--|--|--|---|
| P1-T1 Review all relevant documentation and clarify with individuals any additional information that might be required                             | Identifies and reviews documentation identifying additional information required | Analyses documents and identifies the need for further information                         | Critically analyses documents in very complex cases and identifies further information required |
| P2-T1 Analyse a routine matter and assess the strengths and weaknesses of each party's case including, where appropriate, the opponent's evidence  | Identifies the basic strengths and weaknesses of a routine case                  | Efficiently analyses a complex matter assessing the strengths and weaknesses of the matter | Critically analyse a complex matter, the strength and weaknesses and the evidence               |
| P3-T1 Identify any errors or contradictions in the information   | Identifies basic errors in information   | Identifies all errors and contradictions in information                                    | Analyses contradictions in information  |
| P4-T1 Identify clearly the issues  | Identify the key issues in a basic matter  | Identifies the key issues clearly in a complex matter                                      | Clearly identifies the whole range of issues in a coherent way                                  |
| P5-T1 Prepare a case summary for presentation to a court, tribunal or other forum, ensuring oral and written presentations are clear and effective | Prepares a draft case summary for review   | Prepares case summaries for court or other forums  | Prepares case summaries for complex cases with clarity  |
| P6-T1 Assist in preparing cases for trial  | Assists in collating documents for trial   | Prepares case for trial  | Assists counsel or other senior colleagues with case preparation                                |

|  |  |   |  |
|--|--|---|--|
| P7-T1 Demonstrate an understanding of the purpose, techniques and tactics of examination, cross-examination and re-examination to adduce, rebut and clarify evidence | An awareness of the process of examination of evidence in court                  | Explains the purpose and procedures of examination, cross examination and re-examining the evidence | Applies the techniques of examination, cross examination and re-examining evidence to advise |
| P8-T1 Formulate a coherent submission based upon facts, general principles and legal authority in a structured, concise and persuasive manner                        | Understand the structure and content of a submission                             | Produces a coherent submission based on facts   | Expertly produces and delivers a submission in a persuasive manner                           |
| P9-T1 Comply with all relevant legislation, codes of practice, guidelines and ethical requirements   | An awareness of relevant legislation, codes of practice and ethical requirements | Effectively complies with relevant legislation and codes of conduct                                 | Manages compliance with codes of practice, ethical and professional standards                |

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## Technical Competency 2: Plan, document and cost the legal work to be undertaken

### IoP STANDARDS

You should be able to:

- A Identify and agree the work to be undertaken
- B Prepare a cost estimate

| Performance Criteria  | Level 1   | Level 2   | Level 3/4  |
|---|---|---|--|
| P1-T2 Agree and/or clarify the legal matter to be addressed with the client   | Prepare for the client interview by drafting an interview checklist | Carry out competent client interview and communicate effectively to the client            | Explain and clarify the legal matter and any issues that arise from it to the client           |
| P2-T2 Analyse the client's instructions to determine the work required to progress and conclude the legal matter                  | Analyse the client's instructions in a basic matter                 | Analyse the client's instructions in a complex matter and outline a work-plan             | Critically analyse the client's instructions in a complex matter and manage other's work-plans |
| P3-T2 Prepare a source plan detailing all the work to be carried out to progress and conclude the legal matter                    | Prepare a resource plan for a basic matter                          | Prepare a resource plan for a complex matter in order to progress and conclude the matter | Manage resource plans to ensure matters are progressed and concluded                           |
| P4-T2 Prepare a cost estimate for the work to be carried out in accordance with legal, organisational and regulatory requirements | Prepare a cost estimate for a basic matter                          | Prepare accurate cost estimates   | Prepares cost estimates and reviews department/firm estimates                                  |
| P5-T2 Prepare a client letter outlining the planned work and the estimated costs to progress and conclude the legal matter        | Prepare a draft client letter for review                            | Prepare an accurate, well-drafted client letter for review                                | Prepare accurate, professionally drafted client-care letters for review                        |

|   |   |  |   |
|---|---|--|---|
| <p>P6-T2 Provide the client-care letter in accordance with legal, organisational and regulatory requirements to:</p> <p>P6.1 peer/supervisor, where applicable, for review and approval.<br/> P6.2 the client for review and approval to carry out the work</p> | <p>Prepare a draft client-care letter for a peer/supervisor</p> | <p>Prepare a client-care letter (for approval where appropriate)</p> | <p>Draft a professional client-care letter for a client</p> |
| <p>P7-T2 Record details of the provision of the client-care letter in accordance with legal, organisational and regulatory requirements</p>   | <p>Make a record of the draft client-care letter</p>            | <p>Make a record on the client's file of the client-care letter</p>  | <p>Manage client-care files</p>                             |

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## Technical Competency 3: Application of Legal Expertise

## IoP STANDARDS

You should be able to:

- A Ensure your knowledge of law and procedure is up to date in your chosen field.
- B Apply legal knowledge to a given problem.
- C Know your capabilities

| Performance Criteria  | Level 1  | Level 2  | Level 3/4  |
|---|--|--|--|
| P1-T3 Know the law and procedure in your practice area                              | Knows the law and procedure in a specified area of law           | Able to explain the law and procedure accurately to clients              | Knows all relevant law and procedure                                       |
| P2-T3 Apply your legal expertise to the matters you handle                          | Able to apply knowledge to basic problems                        | Able to apply legal expertise to complex problems                        | Manages the highest level of the application of law in the department/firm |
| P3-T3 Develop your knowledge of relevant law and procedure                          | Identify gaps in knowledge and actively seeks development        | Actively complies with CPD requirements                                  | Continually enhances knowledge beyond CPD requirements                     |
| P4-T3 Understand when it is appropriate to pass a matter to a more senior colleague | Identify the scope and effect of your knowledge and/or authority | Understands the limits of expertise and seeks guidance where appropriate | Recognises and acquires expert knowledge when necessary                    |

# Behavioural Competency 1 : Client Relations

## IoP STANDARDS

You should be able to:

A Assist clients to clarify their requirements

B Identify a range of options and assist clients to choose a course of action

C Act in an appropriate and professional manner and taking personal responsibility for client care in all your dealings with your clients

| Performance Criteria   | Level 1  | Level 2   | Level 3/4   |
|--|--|---|---|
| P1-B1 Obtain background information about the client, their business (where relevant) and the issue they are consulting you on | Identifies the need to gain basic background information on the client               | Prepare and use a checklist for interviews using open and closed questions to gain information required | Conduct interviews to gain information with multiple clients in complex matters |
| P2-B1 Confirm your client's requirements   | Able to relay back to the client the information they have provided to you           | Use techniques to ensure your understanding   | Use a range of techniques appropriate to the nature of the client               |
| P3-B1 Identify a range of suitable options to achieve your client's requirements   | Identify through research a range of options to address the client's problem         | Know the range of options available to your client  | Evaluate a range of options to best achieve the client's requirements           |
| P4-B1 Provide clear information to clients on options to include potential consequences  | Identify the need to communicate effectively   | Explain options to clients in a clear manner  | Explain options to clients in complex matters in a clear manner                 |
| P5-B1 Ensure the client's understanding  | Identify a range of techniques that can be used to ensure the client's understanding | Use techniques to ensure the client's understanding   | Expertly use techniques to ensure the client's understanding                    |
| P6-B1 Assist clients to reach a decision on the most appropriate course of action  | Understand the client must make a decision   | Explain the pros and cons of each option  | Assist clients to reach a decision in complex matters                           |

|   |   |   |   |
|---|---|---|---|
| P7-B1 Be receptive to client feedback and acknowledge it in a professional manner. As appropriate, respond to it or pass it on to an appropriate colleague. | Understand the need to act professionally and when and how it is appropriate to respond | Act professionally when receiving client feedback | Manage client feedback of yourself and others   |
| P8-B1 Know your organisation's complaints procedure and discuss with your client  | Understand the organisations complaints procedure                                       | Explain complaints procedure in detail to clients | Know and evaluate the effectiveness of the complaints procedure and be able to discuss with clients |

## Behavioural Competency 2: Professional Conduct

## IoP STANDARDS

You should be able to:

- A Identify and understand the requirements of the relevant codes of professional conduct
- B Act in accordance with the requirements of professional conduct
- C Use appropriate channels for raising concerns about misconduct or unethical behaviour

| Performance Criteria   | Level 1   | Level 2   | Level 3/4   |
|--|---|---|---|
| P1-B2 Maintain your current knowledge of relevant professional codes of practice with regular updates          | Identify the professional codes of practice that apply to your role | Know the relevant codes of practice   | Analyse updates to codes of practice and be able to explain them      |
| P2-B2 Act in a professional manner at all times  | Identify the professional conduct standards that apply to your role | Provide services in a professional manner and adhering to the required professional standards | Acts in a professional manner in difficult or hostile matters         |
| P3-B2 Provide a good standard of client care, exercising competence, skill and diligence                       | Identify the standard of client care required                       | Know the standard of client care required ensuring to exercise the competence required        | Provides the highest level of skill and competence in complex matters |
| P4-B2 Maintain confidentiality   | Identify the need for confidentiality                               | Adheres to all legal and regulatory requirements to maintain confidentiality                  | Manages the processes and procedures to maintain confidentiality      |
| P5-B2 Demonstrate an understanding of the prohibition on acting where there is a conflict of interest          | Understand the concept of conflict of interest                      | Knows the requirements for avoiding a conflict of interest amongst clients                    | Manages a conflicts register or similar                               |
| P6-B2 Understand your organisation's anti-money-laundering policies to the extent that they apply to your work | Understands the money laundering provisions                         | Knows the requirements of anti-money laundering policies                                      | Manages the anti-money laundering policies                            |

P7-B2 Know the limits of your authority and seek guidance when uncertain

Identify your own capability and seek guidance when required

Know your level of expertise and seek guidance/advice when necessary

Analyse the need to seek guidance or advice from other experts

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# Behavioural Competency 3: Self-Awareness and Development

You should be able to:

A Evaluate your own practice

B Identify self-development needs

| Performance Criteria   | Level 1   | Level 2  | Level 3/4   |
|--|---|--|---|
| P1-B3 Evaluate the strengths and weaknesses of your professional practice against targets                        | Identifies strengths and weaknesses of own performance using a SWOT or similar analysis | Analyses feedback or performance to identify strengths and weaknesses of own practice                  | Critically analyses own performance against targets                           |
| P2-B3 Set and prioritise clear and realistic goals and targets for own development                               | Identifies the need to set goals for self-development                                   | Uses SMART strategy to set goals   | Manages own development against strategic goals                               |
| P3-B3 Be aware of changes to internal and external procedures and relevant compliance and regulatory obligations | Identify changes to regulations or other obligations                                    | Know the changes to regulatory and compliance obligations  | Manage changes to procedures for compliance with regulatory obligations       |
| P4-B3 Evaluate developments in your own practice to ensure continued self-development through CPD                | Identify the need to develop oneself to meet organisational needs                       | Understand the need to update knowledge or skills in relation to new developments in your organisation | Manage the needs of the organisation through effective CPD of self and others |
| P5-B3 Periodically ask for constructive feedback about your performance  | Identifies the need for constructive feedback   | Use PDP or similar appraisal system to seek constructive feedback                                      | Gain feedback from several sources to analyse your performance                |
| P6-B3 Be aware of the limits of your ability and seek guidance when asked to work beyond them                    | Identify your own capability and seek guidance when required                            | Know your level of expertise and seek guidance/advice when necessary                                   | Analyse the need to seek guidance or advice from other experts                |

Mapped with NOS SFJ AE2

## Behavioural Competency 4: Comply with legal, organisational and Regulatory requirements in the provision of legal services

You should be able to:

- A Comply with legal, organisational and regulatory requirements
- B Provide legal services and advice in a professional and ethical manner

| Performance Criteria  | Level 1  | Level 2   | Level 3/4  |
|---|--|---|--|
| P1-B4 Maintain a current knowledge and understanding of relevant legal, organisational and regulatory requirements within your area of responsibility   | Identify your own responsibility to the legal and regulatory requirements within your area of practice | Maintain required CPD to include professional standards and conduct requirements  | Manage legal regulatory and professional compliance of self and others   |
| P2-B4 Provide legal service, advice and guidance to clients ethically and in accordance with relevant legal, organisational and regulatory requirements | Understand the requirement to act ethically when providing advice or other legal services              | Know the requirements of legal, regulatory and professional requirements when providing legal services or giving legal advice | Explain the legal regulatory and professional requirements to your department/firm when providing legal services |
| P3-B4 Keep a record of decisions you take for professional and ethical reasons and be able to justify them  | Identify the need to record decisions  | Accurately record decisions and explain how and why the decisions have been made  | Manage the accuracy of recording decisions and analyse the justification for those decisions                     |

Mapped with NOS SFJ IC9