

**CODE OF CONDUCT AND DISCIPLINARY  
PROCEDURES.**



## **1. INTRODUCTION.**

Kentaro Mugerwa & Co. Advocates is built on Transparency, Excellence, and Diligence. This **Code of Conduct and Ethics** serves as a guide for all employees, associates, and staff in upholding the highest standards of ethical behavior and professional responsibility. We recognize that our clients, colleagues, and the public place great trust in our judgment and discretion. Every action we take reflects not only on our individual character but also on the integrity of the firm and the legal profession as a whole.

This Code sets out the principles that govern our conduct, including honesty, confidentiality, respect, fairness, and accountability. It is intended to ensure that our decisions and practices consistently demonstrate our dedication to justice, our clients' best interests, and the ethical standards established by the legal community.

## **2. ADMINISTRATIVE PROCEDURES.**

### **a) Office Hours and Communication Protocols.**

#### **i. Office Hours:**

- The office is open from Monday to Friday, 8:00 AM to 5:00 PM.
- The office is closed on weekends and public holidays.

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#### **iii. Communication Protocols:**

- Internal communication should be conducted via the official email system or designated communication platform.
- All external communications must be reviewed and approved by the relevant supervisor or department head.
- Prompt responses are expected for internal emails (within 24 hours) and external emails (within 48 hours).
- Urgent matters should be communicated via phone or in-person meetings.

### **a) Document Management (Filing, Archiving, and Retrieval).**

#### **i. Filing:**

- All documents should be clearly labeled and filed in the appropriate category and subcategory.
- Digital copies of documents should be saved in the designated folders on the firm's secure server.
- Physical copies should be filed in the relevant file cabinets or storage units.

#### **ii. Archiving:**

- Documents that are no longer active but must be retained for record-keeping should be archived.
- Both digital and physical documents should be archived in clearly labeled sections.

- A document retention schedule should be followed, with regular reviews to ensure compliance with legal and regulatory requirements.

iii. **Retrieval:**

- A document retrieval system should be in place, with an index or database to track the location of all archived documents.
- Only authorized personnel should have access to sensitive or confidential documents.
- Retrieval requests should be logged and monitored to maintain document security.

**b) Equipment Usage and Maintenance.**

i. **Usage:**

- Office equipment should be used for business purposes only.
- Employees should be trained on the proper use of all office equipment.
- Report any malfunction or issues with equipment immediately to the administrative department.

ii. **Maintenance:**

- Regular maintenance schedules should be established for all office equipment to ensure optimal performance.
- Maintenance logs should be kept for each piece of equipment.
- Service contracts with qualified technicians or companies should be in place for major equipment.

**c) Office Supplies Inventory and Procurement.**

i. **Inventory:**

- A comprehensive inventory of office supplies should be maintained.
- Regular inventory checks should be conducted to ensure stock levels are adequate.
- An inventory management system should be used to track usage and reorder levels.

ii. **Procurement:**

- All procurement of office supplies must be approved by the administrative department.
- A list of approved suppliers should be maintained, with preferred vendors for common supplies.
- Purchase orders should be used for all supply orders, and receipts should be verified against deliveries.

**d) Facilities Management.**

i. **General Maintenance:**

- The office premises should be kept clean and in good repair at all times.

- Regular inspections should be conducted to identify and address any maintenance issues.
- Contracts with professional cleaning and maintenance services should be maintained.
- ii. **Security:**
  - Access to the office should be strictly for professional visits and work.
  - Emergency procedures and evacuation plans should be in place and regularly practiced.
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- iii. **Utilities Management:**
  - Utilities such as electricity, water, and internet should be monitored to ensure efficient use.
  - Any issues with utilities should be reported immediately to the facilities manager.
  - Energy-saving practices should be encouraged to reduce costs and environmental impact.

### **3. CLIENT MANAGEMENT.**

#### **a) Client Intake Process.**

- i. **Initial Contact.**
  - All initial client inquiries, whether via phone, email, or in-person, are to be handled by designated staff who gather preliminary information using the standard Client Intake Form/systems.
  - Appointments for consultations are scheduled promptly, ideally within 24 hours of initial contact. Ensure the client understands the consultation process, including any fees.
- ii. **Consultation.**
  - During the consultation, collect detailed information about the client's legal issue, including relevant documents. Use the Consultation Checklist to ensure all necessary information is obtained.
  - Assess the merits of the case and discuss potential strategies with the client. If the firm decides to take the case, explain the terms of engagement, fees, and next steps.
- iii. **Onboarding.**
  - Provide the client with an Engagement Letter and a Client Agreement outlining the scope of services, fee structure, and confidentiality terms.
  - Create a new client file in both physical and electronic formats, ensuring all documents are properly labeled and stored.

**b) Case Management Procedures.**

**i. File Creation and Organization.**

- Establish both physical and electronic files for each case, including all client communications, legal documents, and internal notes. Use consistent naming conventions for easy retrieval.
- Ensure all files are securely stored and accessible only to authorized personnel.

**ii. Case Tracking.**

- Assign tasks and deadlines to team members. Regularly update case status and track progress.
- Implement regular case reviews to ensure compliance with legal standards and firm policies.

**iii. Document Management.**

- All documents must be drafted and reviewed according to the firm's standards. Use the Document Review Checklist to ensure accuracy and completeness.
- Finalized documents should be filed appropriately and shared with the client as needed. Maintain a backup of all physical and electronic files.

**c) Communication with Clients.**

**i. Phone Communication.**

- All calls are to be answered promptly and professionally. Messages should be recorded and forwarded to the relevant personnel.
- Key points from phone conversations should be documented in the client's file.

**ii. Email Communication.**

- Use a professional tone and structure in all email communications. All emails should be clear, concise, and free of jargon.
- Strive to respond to all client emails within 24 hours. If further time is needed, acknowledge receipt and provide an estimated response time.

**iii. Meetings.**

- Schedule meetings in advance, ensuring they are convenient for the client. Confirm the details with both the client and internal staff.
- Prepare an agenda and ensure all necessary documents are available. Take detailed notes and document action items in the client file.

**d) Billing and Invoicing Procedures.**

**i. Time Tracking.**

- All staff must accurately record their billable hours and expenses related to client work.

**ii. Invoicing.**

- Invoices should be prepared and sent on a regular basis, typically monthly. Include a detailed breakdown of services provided and any expenses incurred.
- Invoices can be sent via email or regular mail, depending on the client's preference. Follow up on unpaid invoices according to the firm's payment policy.

**iii. Payment Policies.**

- Clearly outline the payment terms in the Client Agreement, including due dates, accepted payment methods, and consequences of late payments.
- Address any billing disputes promptly and professionally. Document all communications related to disputes and resolutions.

**e) Conflict of Interest Policies.**

**i. Conflict Checks.**

- Conduct a conflict check before accepting any new client or case. Use the law firm's conflict-checking systems to ensure thoroughness.
- Document the results of the conflict check, including any potential conflicts identified and the steps taken to address them.

**ii. Disclosure and Waivers.**

- If a potential conflict is identified, disclose it to the client immediately. Explain the nature of the conflict and obtain written consent to proceed if applicable.
- Keep a record of all conflict disclosures and waivers in the client file.

**iii. Ongoing Monitoring.**

- Regularly review active cases for potential conflicts, especially when new parties are introduced or new facts emerge.
- Provide regular training to staff on conflict-of-interest policies and procedures to ensure compliance and awareness.

**4. LEGAL PROCEDURES [CONFIDENTIALITY].**

**a) Confidentiality Protocols.**

- **Client Information:** All client information, including identities, case details, and personal data, must be kept confidential and shared only on a need-to-know basis within the firm.
- **Data Security:** Implement strict data security measures, including encryption, secure passwords, and restricted access to sensitive files.

- **Confidentiality Agreements:** All staff, including temporary and part-time employees, **Must Sign** confidentiality agreements upon hiring and regularly undergo training on maintaining client confidentiality.

## 5. CASE FILING PROCEDURES.

### a) **File Creation and Management.**

- i. **File Setup:** Establish a standardized process for creating physical and digital case files, including a unique identifier for each case.
- ii. **File Organization:** Use a consistent format for labeling and categorizing documents, including pleadings, correspondence, and evidence.
- iii. **File Maintenance:** Ensure files are kept up to date with all relevant documents and communications. Regular audits should be conducted to verify the accuracy and completeness of case files.
- iv. **File Security.**
  - **Access Control:** Limit access to case files to authorized personnel only. Implement secure storage solutions for both physical and electronic files.
  - **Backup Protocols:** Regularly back up digital files and store backups securely to prevent data loss.

### b) **Court Appearances and Hearings.**

- i. **Preparation for Appearances.**
  - **Docket Management:** Maintain a centralized calendar for all court dates, deadlines, and appearances. Assign responsibility for tracking and reminding relevant staff of upcoming obligations.
  - **Pre-Hearing Meetings:** Schedule meetings prior to court appearances to review case status, strategy, and necessary documents.
- ii. **Conduct During Appearances.**
  - **Professional Conduct:** All staff must adhere to the highest standards of professional conduct in court, including dress code, punctuality, and respectful communication.
  - **Documentation:** Ensure all necessary documents are prepared and organized before court appearances. Designate a staff member to take detailed notes during proceedings.
- iii. **Post-Appearance Follow-Up.**
  - **Debriefing:** Conduct debriefing sessions to review court outcomes, next steps, and areas for improvement.

- **Document Filing:** Update case files with notes and documents from the court appearance.

**c) Legal Research Methodologies.**

**i. Research Standards.**

- **Research Tools:** Utilize approved legal databases and libraries. Get yourself well acquainted in using these tools efficiently.
- **Research Techniques:** Follow a standardized approach to legal research, including identifying relevant statutes, case law, and legal precedents.

**ii. Documentation of Research.**

- **Citations:** All legal research must be properly cited following the firm's citation guidelines.
- **Research Logs:** Maintain detailed logs of all research conducted, including sources consulted, key findings, and how the information will be applied in the case.

**iii. Quality Control.**

- **Review Process:** Implement a review process for all research to ensure accuracy and relevance. Senior attorneys should oversee and approve final research reports.

**d) Documentation Standards.**

**i. Document Creation and Review.**

- **Standard Formats:** Use standard templates for common documents, including contracts, pleadings, and correspondence. Ensure consistency in formatting, language, and style.
- **Drafting Guidelines:** Follow clear guidelines for drafting documents, including clarity, conciseness, and legal accuracy.

**ii. Document Approval.**

- **Review and Approval:** All documents must be reviewed and approved by a Head of department or any other person before they are finalized and distributed or sent.

**iii. Record Keeping.**

- **Archiving:** Archive finalized documents systematically, ensuring they are easily retrievable. Follow legal and regulatory requirements for record retention.
- **Destruction Policy:** Implement a secure and compliant process for the disposal of outdated or sensitive documents.

**e) Compliance Regulations.**

**i. Legal Compliance.**

- **Adherence to Laws:** Ensure all firm activities comply with relevant laws and regulations, including those related to client confidentiality, billing practices, and employment laws.
- **Regular Audits:** Conduct regular internal audits to ensure compliance with legal and ethical standards.

**ii. Training and Awareness.**

- **Staff Training:** Provisional training on legal compliance, ethical standards, and best practices will be ensured.
- **Updates and Communication:** Keep being informed about changes in laws, regulations, or firm policies that impact their work.

**iii. Reporting and Accountability.**

- **Incident Reporting:** Establish clear procedures for reporting and addressing compliance issues or breaches.
- **Accountability:** Hold staff accountable for adhering to compliance standards, with consequences for violations clearly outlined in the firm's policies.

**6. CONCLUSION.**

We understand that our commitment to ethical conduct is the cornerstone of our credibility and success. This **Code of Conduct and Ethics** is not merely a set of rules, but a reflection of our shared values Transparency, Excellence and Diligence that guide our every decision and action.

All Employees, Associates, and staff of the Firm, regardless of role or position, have a duty to uphold these standards and to act with honesty, fairness, and integrity in all professional interactions. We are collectively responsible for maintaining the trust of our clients, our colleagues, the courts, and the public.

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