

**Equivalent means**

**Professional Skills Course**

Application for an assessment of the equivalence of professional qualifications and work–based learning for exemption from any or all three of the core elements of the Professional Skills Course (PSC).

**Use this application if you have completed the Legal Practice Course (LPC) and:**

* **you are undertaking a period of recognised training, or**
* **you are not required to complete a period of recognised training.**

Do NOT use this form if you are:

* a Barrister qualified in the UK
* a fully qualified EU lawyer eligible under the provisions of Directive 2005/36/EC and the Qualified Lawyers Transfer Scheme Regulations 2011

You should look at the [QLTS guidance](https://www.sra.org.uk/solicitors/qlts).

Do NOT use this form if you are:

* an EU, EEA or Swiss national who is partially qualified in another EU/EEA Member State or
* a UK national who is partially qualified in an EU/EEA Member State outside of the UK

You should use the Equivalent Means – Morgenbesser form.

This form is designed to enable you to provide us with the necessary details of your knowledge and skills. We will evaluate this to establish to what extend you have met the Outcomes for the PSC.

Read the [Information on Equivalent Means](https://www.sra.org.uk/students/resources/equivalent-means-information-pack/) on our website before you complete this form.

We recommend that you read the [Professional Skills Course Standards](https://www.sra.org.uk/trainees/professional-skills-course-providers/psc-written-standards).

If you need any help completing this form after reading the guidance, please [contact us](https://www.sra.org.uk/home/contact-us/).

What will happen next?

* We will assess your application on the basis of the information and evidence you have provided.
* We aim to provide you with a decision within 90 days of receipt of your application.
* When we have completed the assessment, you will receive our decision and any recommendations in writing.

Section 1. Personal Details

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| --- | --- |
| **Title** | **First Name** |
|  |  |
| **Middle Name(s)** | **Last Name**  |
|  |  |
| **Date of Birth** | **SRA ID (if applicable)**  |
|  |  |
| **Telephone (day)** | **Mobile No.** |
|  |  |
| **Email Address** | **Nationality** |
|  |  |

Section 2. Home address **(this should be your permanent address)**

|  |  |
| --- | --- |
| **House number / Name** | **Address Line 1** |
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| **Address Line 2** | **Address Line 3**  |
|  |  |
| **City** | **County**  |
|  |  |
| **Country** | **Postcode** |
|  |  |

Section 2. (continued) Correspondence address **(if different to home address)**

|  |  |
| --- | --- |
| **House number / Name** | **Address Line 1** |
|  |  |
| **Address Line 2** | **Address Line 3**  |
|  |  |
| **City** | **County**  |
|  |  |
| **Country** | **Postcode** |
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**Section 3. Degrees and diplomas**

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| --- | --- | --- | --- |
| **Institution** | **Title of qualification** | **Course start date DD/MM/YYYY** | **Course end date** **DD/MM/YYYY** |
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**Section 4. Professional examinations passed and courses attended**

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| --- | --- | --- | --- |
| **Institution** | **Title of qualification** | **Course start date DD/MM/YYYY** | **Course end date DD/MM/YYYY** |
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**For Section 3 and Section 4 continue on a separate sheet if necessary.**

**Section 5. Professional experience and employment**

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| --- | --- |
| **Organisation Name** | **Organisation SRA ID (if applicable)** |
|  |  |
| **Address Line 1** | **Address Line 2**  |
|  |  |
| **City** | **County**  |
|  |  |
| **Country** | **Postcode** |
|  |  |
| **Date started at organisation** | **Date left organisation** |
| **Job Title** | **Average number of hours per week** |
|  |  |
| **Name of supervisor(s) and SRA number (if known)** | **Legal qualification of supervisor** |

|  |  |
| --- | --- |
| **Organisation Name** | **Organisation SRA ID (if applicable)** |
|  |  |
| **Address Line 1** | **Address Line 2**  |
|  |  |
| **City** | **County**  |
|  |  |
| **Country** | **Postcode** |
|  |  |
| **Date started at organisation** | **Date left organisation** |
| **Job Title** | **Average number of hours per week** |
| **Name of supervisor(s) and SRA number (if known)** | **Legal qualification of supervisor** |
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| --- | --- |
| **Organisation Name** | **Organisation SRA ID (if applicable)** |
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| **Address Line 1** | **Address Line 2**  |
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| **City** | **County**  |
|  |  |
| **Country** | **Postcode** |
|  |  |
| **Date started at organisation** | **Date left organisation** |
| **Job Title** | **Average number of hours per week**      |
| **Name of supervisor(s) and SRA number (if known)** | **Legal qualification of supervisor** |

|  |  |
| --- | --- |
| **Organisation Name** | **Organisation SRA ID (if applicable)** |
|  |  |
| **Address Line 1** | **Address Line 2**  |
|  |  |
| **City** | **County**  |
|  |  |
| **Country** | **Postcode** |
|  |  |
| **Date started at organisation** | **Date left organisation** |
| **Job Title** | **Average number of hours per week** |
| **Name of supervisor(s) and SRA number (if known)** | **Legal qualification of supervisor** |

Continue on a separate sheet if necessary.

**Section 6. The assessment table**

We need you to evidence how you have met the PSC outcomes. This is a key part of your application. For further information, refer to the [guidance](https://www.sra.org.uk/trainees/resources/professional-skills-course-information-pack).

| **Outcome to be demonstrated** | **Tell us about your knowledge and skills against each outcome and how you achieved these.****Give specific examples** | **Where did you gain this professional experience?** | **Evidence in support** **eg reference, appraisal document, samples of work** |
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| **CORE AREAS** |
| **ADVOCACY AND COMMUNICATION SKILLS -** you must demonstrate experience of both civil and criminal advocacy which should have been gained over a period of five or more years. |
| **Element 1** The ability, in the context of a civil and a criminal case, to:* use language appropriate to the client, witness(es) and triers of fact and law
* listen, observe and interpret the behaviour of triers of fact and law, clients, witness(es) and other advocates and be able to respond to this behaviour as appropriate
* speak and question effectively and thereby competently use appropriate presentation skills to open and close a case
* use a variety of questioning skills to conduct examination in chief, cross examination, and re-examination
* prepare and present a coherent submission based upon facts, general principles and legal authority in a structured, concise and persuasive manner
* present a submission as a series of propositions based on the evidence
* organise and present evidence in a coherent and organised form
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| **Element 2**Be able to identify and act upon the ethical problems that arise in the course of a trial. |       |       |       |
| **CLIENT CARE AND PROFESSIONAL STANDARDS -** you must have acquired experience of the issues in the subject areas at an appropriate level, over a period of eight years or more |
| **Element 1 – Client Care and Communication Skills*** Communication both orally and in writing
* Interviewing skills
* Taking instructions
* Keeping clients informed
* Discussing costs
* Handling client expectations
* Dealing with difficult clients
* Avoiding complaints
* Identifying potential complaints
* Handling complaints
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| **Element 2 – SRA Code of Conduct for Solicitors, RELs and RFLs*** The SRA Principles and Code of Conduct
* Client confidentiality
* Conflicts of interest
* Undertakings
* Discussing advising and reporting on costs
* Contingency arrangements
* Retainers
* Letters of Engagement
* Avoiding, identifying and handling complaints
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| **Element 3 – Work and Case Management*** Time limits
* Time management
* Identifying and minimising risk
* The risk of professional liability
* Case file management
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| **FINANCIAL AND BUSINESS SKILLS -** we will only allow an exemption if you have been successfully examined on a similar syllabus recently. We need a copy of the syllabus. |
| **Element 1 – Accounting and financial issues**Be able to identify accounting and financial issues in the areas of work in which you work and have an awareness of:* the potential need to involve other professionals (e.g. accountants, financial services specialists) when advising business and/or private clients
* possible sources of financial information which can be utilised in advising business and/or private clients
* the need to determine whether additional accounting and financial information is required (including in appropriate cases the possibility of employing investigative accounting techniques) to meet the client's needs
* the financial regulatory environment in which clients' businesses operate and the need to identify the appropriate accounting regulatory regime applicable to a client's business
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| **Element 2 – Introduction to the market place**Be able to identify the main investment products on the market, distinguish their main features (e.g. long or short term, safe or speculative) and determine their suitability for different types of client.Be able to identify the tax and other advantages or disadvantages of particular types of investment. |       |       |       |
| **Element 3 – The regulatory framework**Have an understanding of the implications of:* the Financial Services and Markets Act 2000 (FSMA),
* the SRA Financial Services (Scope) Rules (Scope Rules)
* the Solicitors' Financial Services (Conduct of Business) Rules 2001 (Conduct of Business rules), and
* any Money Laundering Regulations (MLR).

An awareness of:* what is regulated by the Financial Conduct Authority
* the requirements for FCA authorisation
* the consequences of carrying out a 'regulated activity'  without FCA authorisation
* the method of obtaining FCA authorisation

An understanding of:* what constitutes a 'regulated activity' and the principal exclusions in the FSMA (Regulated Activities) Order 2001 (RAO)
* the exemption in 'Part XX' of the FSMA for professional firms not conducting 'mainstream regulated activities' but carrying on "exempt regulated activities"
* basic conditions which must be satisfied by firms wishing to undertake 'exempt regulated activities' (S327 FSMA & FSMA (Non-exempt Activities) Order 2001)

Be able to relate the FSMA, the Scope rules and the Conduct of Business rules to the areas of work in which they or the training establishment are involved.In the context of the regulatory structure set up by the FSMA and the concepts underpinning it, have an understanding of:* the distinction between tied and independent sectors; (to be kept under review)
* the FCA and the major compliance obligations contained in the FCA Handbook
* the appropriate SRA rules and guidance
* what constitutes a financial promotion and the principal exemptions in the FSMA (Financial Promotion) Order 2001
 |       |       |       |
| **Element 4 –The Scope Rules**Be able to:* identify the type of regulated activities which may be undertaken under the Scope Rules and be aware of the consequences of a breach of the Scope Rules
* identify the steps needed to comply with the Scope Rules, the Conduct of Business Rules and the SRA Principles and Code of Conduct chapters relevant to regulated activities under the FSMA

Have an understanding of the role of the solicitor in the financial services industry and should understand the implications of:* the solicitor's independence
* the employment of investment specialists, the establishment within a practice of a specialist financial services department and the mechanisms for such an establishment
* the inter-relationships of financial services work with other areas of work in the training establishment

Be able to identify the steps needed to comply with the Conduct of Business rules for exempt regulated activitiesBe able, under appropriate supervision, to maintain the required records and follow the firm's complaints procedureUnderstand how the receipt of commission should be dealt with under the Scope rules and should also understand the significance of the receipt of commission in connection with some of the exclusions in the RAOHave a good understanding of when an activity "arises out of or is complementary to" a particular professional service to a particular clientKnow who is able to act as an authorised personBe able to identify the appropriate authorised person for use in any particular situation |       |       |       |
| **Element 5 – SRA Code of Conduct for Solicitors, RELs and RFLs**Be able to apply the SRA Principles, Code of Conduct chapters, and other rules in the SRA Handbook in connection with financial dealings and in particular should understand what constitutes money laundering and the steps necessary to comply with any MLR. |  |  |  |
| **Element 6 – Mortgage fraud**Be able to apply the SRA Principles, Code of Conduct chapters, and other rules in the SRA Handbook in connection with financial dealings and understand the need to be alert to the possibility of mortgage fraud. |  |  |  |

**Section 7. Declaration**

**This declaration must be completed in all cases.**

Knowingly or recklessly giving us information which is false or misleading, or failing to inform us of materially significant information, may lead us to take disciplinary action against you.

We may need to contact third parties, such as education providers, in order to verify the information given in this form. By completing this declaration you are giving us your permission to do this.

We will revoke any decision if it was granted as a result of error or fraud.

I confirm that:

[ ] I am the individual named on this application and have read the guidance notes.

[ ]  I give you permission to make such investigations as necessary in the course of verifying the information given in this form.

[ ]  I agree to notify you of any other information relevant to the application and inform you immediately of any changes to the information provided.

[ ]  I declare that the information I have provided is true and correct.

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| **Full Name** | **SRA ID (if applicable)** |
|       |       |
| **Applicant Signature** | **Date** |
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[ ]  If completed electronically please tick to say you confirm the declaration.

**If the form is not signed and the fee is not received your application will not be processed.**

**Privacy Notice**

The Law Society is the data controller of the personal information we collect. We are the independent, regulatory arm of the Law Society, and operate separately from it.

For the purpose of verification, information regarding your qualifications may be shared with course providers.

Further details regarding your rights under data protection legislation and how your information is used can be found here: <https://www.sra.org.uk/dpa/>.

Section 8. Returning the form

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| To help us process your application quickly, please check that: [ ]  The declaration has been signed and dated.[ ]  Any additional sheets are labelled and attached to this form.[ ]  Full payment is included. Complete the Methods of Payment form (see below).[ ]  Any relevant documentation is enclosed, including a copy of proof of name change, for example deed poll or marriage certificate.**Making payment**Complete the Methods of Payment form found on our website at [www.sra.org.uk/payment/](file:///%5C%5CRed-fp-01%5Cgroups%5CSRA%20Business%20Change%20Team%5CProject%20Support%5CAuthorisation%20Project%20Support%5CVersion%20Control%5C2.%20DESIGN%20MASTERS%20indesign-word%20forms%20and%20notes%5CWIP%5CMel%20WIP%5Cwww.sra.org.uk%5Cpayment%5C). You can pay the full amount by bank transfer. We do not accept payment via credit or debit card.We will hold any payment we receive without an accompanying application form for up to 30 days before returning it to the sender. Bank Transfer payments If paying directly from your bank account, you must ensure you instruct your bank to pay us, as we are unable to request the payment for you.**Sending your application**You can either:* Send your completed application and the Methods of Payment form to SRAAdmissions@sra.org.uk, or
* Request a secure link to submit your application and Methods of Payment form by emailing SRAAdmissions@sra.org.uk.
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