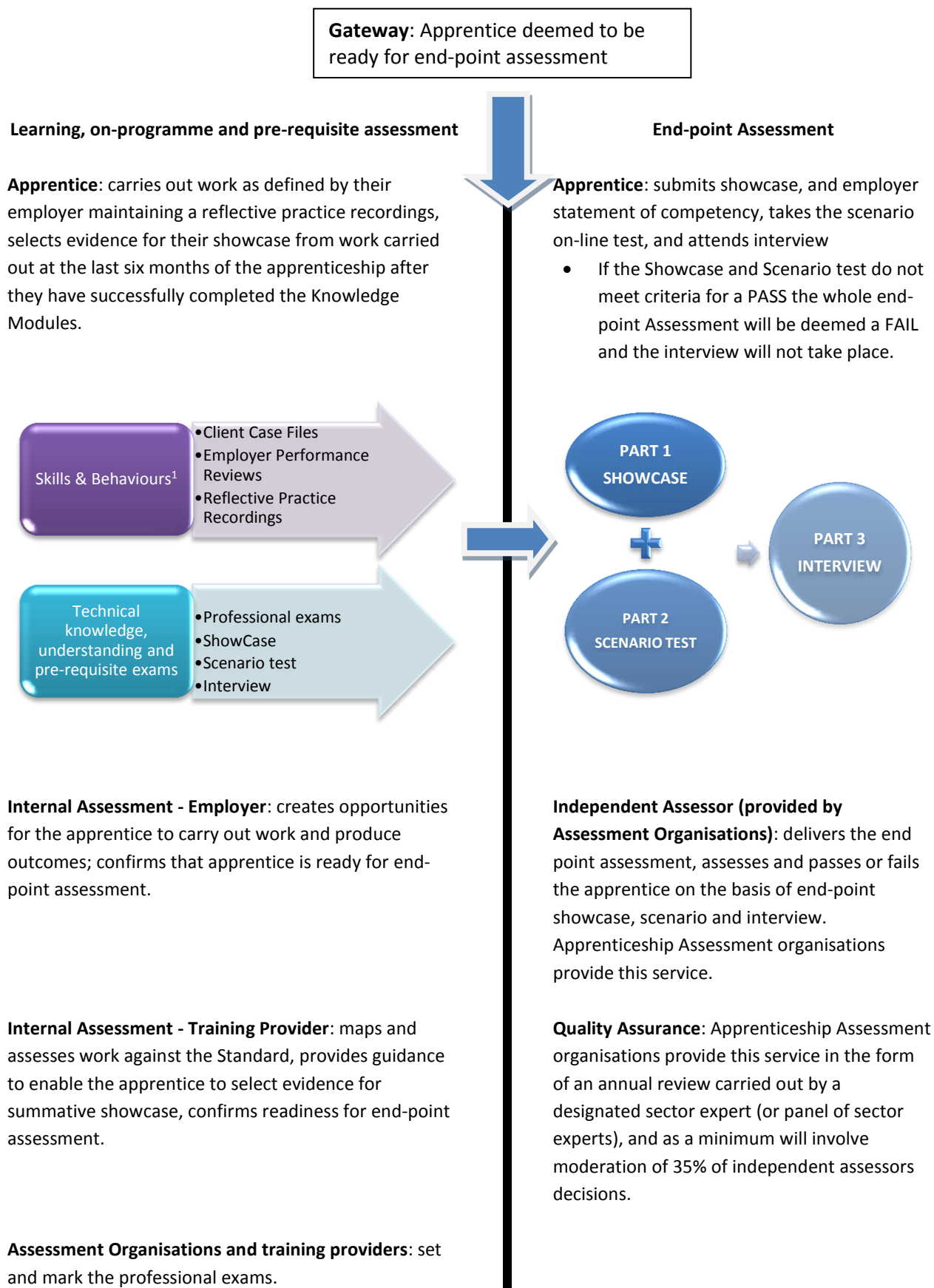


Licensed Conveyancer Apprenticeship Approach to Assessment: Summary

Contents

1.	Introduction and Overview	2
2.	On-programme and pre-requisite assessment	6
3.	Professional Exams	7
4.	Final end-point assessment	8
5.	Ensuring independence	12
6.	Delivering consistent, reliable judgements	13
7.	Delivering accurate, valid judgements.....	14
8.	Graded assessments	15
9.	Affordability	16
10.	Manageability/Feasibility.....	17
11.	Professional Body Registrations.....	17
12.	Appendix 1: The Employer Competency Statement – Guidelines and CLC Practical Check List 18	
13.	Appendix 2: Scenario test.	30
14.	Appendix 3: CLC requirements for first licence (Held in Employment)	32
15.	Appendix 4: Professional Exams.	33

Licensed Conveyancing Apprenticeship: Summary of Approach to Assessment



1. Introduction and Overview

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Licensed Conveyancing Apprenticeship: Summary of Approach to Assessment

The apprenticeship Standard for a Licensed Conveyancer was designed by the industry for apprentices employed in a wide variety of different organisations in the conveyancing, legal, banking, building society and wider conveyancing fields. It is unlikely that large numbers of people will enrol on apprenticeship in this role, with an expectation of 100 to 150 in the first two years reaching around 150 each year thereafter.

Our approach to assessment, therefore, has been designed to be:

- appropriate, relevant and feasible in a wide range of contexts;
- consistent across these contexts;
- affordable and manageable based on the number of potential learners.

Employers have adopted the following broad principles to inform the approach:-

- Assessment should motivate apprentices to do their very best, not just do enough to satisfy a minimum standard – for example, by using a portfolio showcase* coupled with an interview, apprentices can be given a clear performance goal to aim at.
- Assessment process should add value to both the apprentice and the employer, by complementing and building on normal performance management and development tools.
- It should enable and encourage progression and continuous professional development by being linked to professional exams and recognition.
- It should position the apprenticeship not just as a job, but as a licensed professional providing the legal reserved activity of Conveyancing – assessment at the end marks a clear recognition of achievements, on which the individual can build.
- Assessment methods chosen should ensure relevance and consistency, irrespective of the specific job role of the apprentice.
- Costs and practicalities should be appropriate and proportionate to employers with small numbers of apprentices.
- Assessment should be driven by the Standard and should cover full competence in the occupation of a Licensed Conveyancer.

The approach is based on employers' requirements that apprentices, a) are able to perform their role to a demonstrably high standard on completion; and b) make good progress towards this goal throughout the apprenticeship.

*This is a key element of the end assessment that should demonstrate application of knowledge and be supported by other material as required to show full coverage of the Standard

Overview of Assessment

The on-programme assessment consists of a number of professional examinations and modules which once successfully completed, culminate in a three part 'end-point' assessment combining a showcase of evidence, scenario tests and a one-to-one Interview. The end point assessment components are not graded; apprentices will either PASS or FAIL. Grading has deliberately not been applied to the apprenticeship standard as a whole for the following reasons:

- Following successful completion (PASS) of the end-point assessment, apprentices will become eligible to apply to the Council for Licensed Conveyancers for their first employed licence to practise.
- Grading does not align with current CLC end-point assessment policy and is not common to other professional legal qualifications.

Continual assessment:

A modular series of knowledge assessments that can be achieved via CLC professional qualifications developed specifically for the apprenticeship at Level 4, 5 and 6 standard covering:

- The CLCs Foundation Conveyancing
- Law and Legal Method
- Law of Contract
- Land Law
- Landlord and Tenant
- The CLCs Final Conveyancing
- CLC Final Accounts

Exams and assignments must be passed so that the apprentice has acquired the knowledge commensurate with the Standard that is required to begin compiling evidence for the final end-point assessment.

End-point assessment:

A final three Part end-point assessment, compiled in the last six months from evidence collected near the end of the apprenticeship – undertaken by Independent Assessors;

Part 1

A Summative Showcase – containing evidence from client case files, dead files, workplace research projects and any investigative actions recorded in due course of satisfactorily concluding a conveyancing matter; and which, taken together (with supporting documentation such as compliance checks, record of internal audit, manager/client feedback, log book of activity), cover the totality of the standard. In addition the showcase should be supported by the inclusion of:

- a. **The Employer Statement of Competency** – is the employer voice that summarises the on-programme assessment made by the employer. It should form an element of the end-point evidence around professional behaviours and conduct against the Standard in its entirety. A template covering competency statements for professional behaviours and the CLC practical training check list is provided for employers in appendix 1a and b.

Part 2

An end-point Scenario test– conducted as an online test taking up to two hours and consisting of up to three scenarios in order to accommodate variable expense or scope of tasks. Assessment Organisations must provide a bank of scenarios. The apprentices should be able to demonstrate the practical application of their competence to a specific issue or task relevant to the role of a Licensed Conveyancer. Sample criteria can be found in appendix 2.

It can also be used to show the theoretical application of knowledge into practice in circumstance when the apprentice has not been commonly exposed to the area of work; such as some agricultural or commercial matters.

Once both Parts 1 and 2 have been assessed and each graded with a PASS the apprentice can proceed to:-

Part 3

A one-to- one Interview – between the apprentice and the external assessor taking up to one and a half hours; exploring what has been produced in the showcase, how it has been produced; and how they have performed to provide satisfactory conclusions on a range of non-standard freehold; and leasehold; and if pertinent to the business, commercial and agricultural conveyancing matters in their role as a Licensed Conveyancer during the apprenticeship. The employer may be present, but will not be permitted to contribute to the interview proceedings.

Independent assessors will assess Parts 1 and 2 (showcase and scenarios) and elicit evidence from the two sources to inform in parallel Part 3 (the interview); to determine whether apprentices meet the Standard and demonstrate a level of knowledge and professional competence commensurate with the responsibilities and accountability of their role; in order to award apprentices with a PASS or FAIL.

Assessment Organisations must put all moderators and external verifiers through a training process to ensure consistent approach to making judgements. Assessment Organisations wishing to deliver the Licensed Conveyancer Standard will agree to make available to CLC any information that will enable the CLC to carry out a periodic review of the approaches taken in the apprentice programme. This is to enable the CLC to be assured of the appropriate standards of delivery.

The end-point assessment and moderation process should be carried out by Assessment Organisations. The Moderation process may incorporate a panel consisting of representatives from employers and professional associations to further ensure reliable and consistent judgements are made. Assessment Organisations must ensure all moderators are industry appropriate by way of professional legal or educational qualification.

Following successful completion (PASS) of the end-point assessment, apprentices will become eligible to apply to the CLC for their first employed licence to practise. The end-point PASS provides the apprentice with recognised equivalent exemption for the theoretical and practical elements of the application.

Applicants must also satisfy the CLC that they are a fit and proper person to practice as a Licensed Conveyancer. *Details of CLCs requirements for first employed licence are set out in appendix 3 (and may be subject to change).*

2. On-programme and pre-requisite assessment

This is a minimum one and a half-year apprenticeship, but an apprentice is likely to take up to five -years to ensure they have had the opportunity to develop all areas of the Standard. A robust process of on-programme assessment will ensure that apprentices make good progress towards the final end-point assessment, which itself will be of sufficient quality to attest to the level of skills, knowledge and behaviours.

The purpose of the on-programme assessment is to focus the performance areas that add value to the employer and the apprentice becoming work ready and must centre on real

conveyancing competencies demonstrated in a real legal service environment. Assessment should be based upon employers using their normal performance management processes to monitor the progress of the apprentice to provide feedback and guide development in the on-programme stage.

Training providers will need to work closely with the employer to plan and deliver support, training and continuous on-programme assessment appropriately. Training providers will support this by ensuring that the requirements of the apprenticeship are reflected in these processes, and by filling any gaps through their work with apprentices. This will include:

1. employers and training providers carrying out joint reviews of progress at regular intervals, involving apprentices, line managers and others directly involved, e.g. mentors, workplace coaches etc. They will agree how any issues are to be resolved.
2. Apprentices carrying out knowledge assessments, via approved professional exam(s) and/or modular knowledge assessments, at appropriate points as agreed by the employer and the training provider to assess the apprentice's readiness to undertake the end-point assessment phase Parts 1 to 3.
3. Apprentices being encouraged to develop and maintain examples of their work throughout their apprenticeship, however, evidence forming as elements of the Summative Showcase must be taken from work carried out in the last six months of the apprenticeship.

The decision as to when the apprentices are ready to pass through the **Gateway** from learning and on-programme assessment into the end-point assessment phase will be made by the employer and the training provider based on their monitoring of apprentices' progress. In order to move into the end-point phase, apprentices will need to have completed all of the knowledge modules.

3. Professional Exams

Professional (on-programme) exams assess the technical knowledge and understanding as set out in the Standard. In totality, these exams and modules will cover the full range of the required legal knowledge and technical understanding. The knowledge modules will be developed against the Standard and will take the form of professional exams recognised by CLC. Exemption from some modular elements can be mapped against these to ensure the widest choice of delivery to fit with current business practice. This will enable:

4. A range of professional exams and technical modules to give exemption from the

CLC professional qualifications/modules. An example of what this may look like is illustrated in appendix 4.

In practice it means that:

5. Employers can work with the training provider to develop learning programmes based on their current chosen use of professional exams (as exemptions against the CLC qualifications) if they wish; and
6. Apprentices do not have to be assessed more than once in specific knowledge areas.

Assessment Organisations will periodically review alternative legal qualification against the CLCs recognised exemptions to ensure that these continue to be the most relevant and any significant changes must be brought for review by the CLC. Lists of professional exams (and recognised exemptions) will be maintained by Assessment Organisations and must consist of established widely recognised and highly valued professional exams.

The professional exams and technical modules can be taken at any time during the apprenticeship (prior to the end point assessment phase) to ensure relevance to the job role of a Licensed Conveyancer and to maximise the impact of learning. The training provider and employer will agree when the professional exams and modules will be taken and the schedule for these assessments to be completed before the end-point assessment phase Parts 1 to 3 take place.

Re-Takes for professional exams

The Assessment Organisations rules apply.

4. Final end-point assessment

The purpose of the end-point assessment is threefold.

It should assess the apprentice has gained an understanding of the factual and theoretical knowledge needed to critically analyse, interpret and evaluate complex information pertinent to a conveyancing transaction in order to satisfactorily conclude non-standard freehold and leasehold conveyancing matters; and if pertinent to the business commercial and agricultural matters; and should assess their ability to address ambiguous detail encountered in the course of conducting conveyancing matters.

Each component of the end-point assessment should test the apprentice's ability to interpret relevant principles, and interacting factors associated with conducting non-standard conveyancing matters on a range of titles; including freehold, leasehold, and if pertinent to the business commercial and agricultural titles.

Lastly, it should assess the breadth of the apprentice's critical knowledge and understanding of types of information that are relevant to establish remedies for non-standard conveyancing matters on freehold and leasehold; and if pertinent to the business commercial and agricultural matters; and that they understand when it is appropriate to escalate a matter when it becomes beyond their professional competence or the legal service that is being provided.

The end-point assessment will take place in the last six months of the apprenticeship, using three assessment methods: - Parts 1, 2 and 3.

Part 1: A Summative showcase- including the Employer Statement of Competency

Part 2: A Scenario test

Part 3: A one-to-one Interview

The process

Parts 1 and 2 must be assessed before Part 3 takes place to inform the questioning that will form the body of the interview. Parts 1, 2 and 3 are marked with a PASS or FAIL. If Parts 1 and 2 do not meet the respective minimum criteria for each Part for a PASS; the end-point assessment overall is a FAIL.

When the Apprentice FAILS either Part 1 or 2

Apprentices are limited to one opportunity to PASS Part 1 (Showcase) and three opportunities to PASS Part 2 (Scenario Test).

When the apprentice PASSES Stage 1 and 2 and FAILS Part 3

Apprentices are limited to two opportunities to PASS Part 3. PASS marks awarded for Parts 1 and 2 remain valid PASS marks for the second attempt at Part 3. *Note extension timescale below.*

Extension timescales

All end-point assessment re-takes must be completed within three calendar months of the original scheduled Part 3 (interview) assessment date.

4.1 Part 1 - Summative showcase

Licensed Conveyancing Apprenticeship: Summary of Approach to Assessment

The purpose of the summative showcase is for apprentices to present evidence from real-work product that is likely to have been completed towards the end of the apprenticeship, illustrating the application of knowledge, skills and behaviours.

The evidence contained in the showcase will comprise of material obtained from client files, reflective practice recordings, research projects, employer performance reviews and where appropriate as absolutely necessary, the completion of structured scenario exercises; that demonstrate the apprentices carrying out conveyancing matters which, together, cover the totality of the Standard.

These pieces of work will be produced by the apprentice having first learned and applied the relevant knowledge skills/competencies and behaviours. It will align with the minimum requirements of the Standard, enabling the apprentice to demonstrate how they have applied their knowledge and understanding in a real conveyancing environment to achieve satisfactory outcomes for the conveyancing matters commensurate to their role.

It will show how an apprentice has demonstrated the behaviours, especially around contact with others, team work and areas where they meet the threshold requirements of the role; can be in the form of manager's report, emails, client feedback, peer review, etc. Including:

7. what the apprentice has shown they can do against the requirements of their job role;
8. how the apprentice has approached and the way they have completed the task(s); and
9. who the apprentice has worked with demonstrating personal and interpersonal qualities they have brought to all their work relationships.

Employers and training providers will assist the apprentice to develop their showcase to ensure that the summative showcase reflect genuine work-place evidence that covers the totality of the Licensed Conveyancers Apprenticeship Standard. The mechanisms for collating the showcase are best determined by the employer and training provider. However, electronic platforms, including online e-learning tools, e-portfolios, skype, face-time and video are encouraged to increase accessibility.

The completed showcase will be assessed by an independent assessor who makes their own judgement on the quality of the work and this will inform Part 3. The independent assessor may also note particular aspects of the work that they wish to discuss with the apprentice

during the interview, either to confirm their judgement and/or provide further information on which to base their final decisions; for awarding a PASS or FAIL for Part 1.

If Part 1 (the Summative Showcase) in its entirety does not contain sufficient evidence to meet the Standard then it will be deemed to be a FAIL and the Part 3 will not take place. As Part 3 (the interview) outlined in 4.3 will be based upon the Parts 1 and 2, this allows a safeguard to ensure that the work is that of the Apprentice.

4.2 Part 2 - Scenario test

The purpose of the summative Scenario test is to assess the apprentice is able to demonstrate a practical application of their competence to a specific issue or task relevant to the role of a Licensed Conveyancer.

It will be assessed by an independent assessor who makes their own judgement on the quality of the work and this will inform Part 3. The independent assessor may also note particular aspects of the work that they wish to discuss with the apprentice during the interview, either to confirm their judgement and/or provide further information on which to base their final decisions; for awarding a PASS or FAIL for Part 2.

Assessment Organisations will develop a suite of scenarios that elicit that proper legal outcomes have been evidenced. They will also develop guidance covering the use of scenarios to inform Part 3, so that the independent assessor is fully appraised to determine what meets the Standards. Regular cross Assessment Organisation standardisation meetings will ensure consistent approaches are taken and that all key areas are appropriately explored.

If Part 2 (Scenario test) does not contain sufficient evidence to meet the requirements for a PASS Mark, apprentices should be given the opportunity to re-take Part 2; however this should be limited to three opportunities in all. At which point if the apprentice has still not meet the minimum requirements of a PASS mark the summative assessment will be deemed to be a FAIL and the Interview will not take place. As Part 3 (the interview) outlined in 4.3 will be based upon an apprentice gaining a PASS in both Parts 1 and 2, this allows a safeguard to ensure the readiness of the Apprentice.

4.3 Part 3 – one-to-one Interview

The purpose of the interview is provide additional rigour to Parts 1 and 2 of the end-point assessment process by putting in a third and final mechanism to prove the apprentice's occupational readiness by testing they ability to defend, explain the validity of courses of action .

The interview is a structured discussion between the apprentice and their independent assessor, focusing on a combination of evidenced assessed in Parts 1 and 2, and how they have performed non-standard conveyancing matters on a range of titles during the apprenticeship. Where it covers both what the apprentice has done, and the standard of their work, and also how they have approached the work in order to provide satisfactory outcomes pertinent to the conveyancing transaction. This enables the assessment to cover a broad range of knowledge and understanding, skills and behaviours such as:

10. thinking and problem-solving skills used to obtain satisfactory conclusions (including remedies) on a range of conveyancing matters;
11. ability to form client, colleague and other professional relationships; to obtain outcomes in the best interest of the client and the business;
12. communication skills to ensure effective professional relationships; and
13. business and commercial understanding in the context in which the conveyancing service (reserved activity) is being provided.
14. clarify any questions the independent assessor has from their assessment of the summative showcase;
15. confirm and validate judgements about the quality and appropriateness of work;
16. explore aspects of the work, including how it was carried out and why a course of action was taken in more detail;
17. Provide a basis for the independent assessor to make a holistic decision on whether a PASS or FAIL is awarded on the whole apprenticeship.

5. Ensuring independence

Independence and impartiality are achieved through the final summative assessment being undertaken by independent assessors who are employed by organisations that have been approved on the **SFA Register of Apprentice Assessment Organisations**. The independent assessor will make a holistic assessment of each apprentice's work, including the PASS or FAIL grade to be awarded, on the basis of evidence supplied in Parts 1 to 3; the summative showcase, scenario and in the interview.

Employers are not expected to be an element of this process for their own apprentices and will not be required to make any grading judgement. All independent assessors should be managed by an Assessment Organisation who will provide assessment materials, or approve employer-based or training provider-based materials.

6. Delivering consistent, reliable judgements

Assessment Organisations should ensure that all assessment methods are designed to produce assessment outcomes that are consistent and reliable, allowing fair and proper comparison between apprentices employed in different types and sizes of organisation and assessed by different assessment organisations.

All professional exams (on-programme) should be recognised and quality assured by one of the following bodies, CLC, Ofqual, QAA or a Higher Education Institution with awarding powers. This will optimise the number of qualification components that can be used to meet the Standard.

Assessment Organisations involved in delivering the end-point assessment of the apprenticeship must:

18. be able to create the tools and materials to deliver the assessment;
19. have expertise in quality assuring assessment;
20. have sector knowledge and understanding and be credibility with employers;
21. have capability to recruit external assessors from sector experience of their staff
22. have experience of quality assure Internal verification processes
23. have robust third party arrangements with training providers with expertise in developing training and development plans;
24. have robust governance, including leadership and management arrangements;
25. provide an established assessment infrastructure with the ability to extend into a wide geographical coverage;
26. have regulated quality assurance and quality control procedures;
27. commit to resource annual standardisation meetings; including but not limited to collaboration with other Assessment Organisations and Sector Experts.

This approach puts the Standard at the heart of the assessment process, ensuring that judgments on occupational competence are consistent and that there is standardisation and comparability between employers.

Assessment Organisations will need to develop specifications for the tools, materials and techniques to be used in assessment. These tools will be standardised using cross assessment organisation liaison meetings before being trialled and tested and approved by Assessment Organisations for implementation. Particular attention will be paid to ensure that the tools are consistent and produce comparable results.

Assessment Organisations should work with training providers and employers to establish the legal skills and conveyancing knowledge required by independent assessors and set benchmark for quality as appropriate. Assessment Organisations will then be responsible for having robust internal quality assurance and verification processes to ensure that the quality, consistency and validity of assessments are maintained within their organisations. Assessment Organisations wishing to deliver the Licensed Conveyancers Apprentice Standard will agree to make available to CLC any information that will enable the CLC to carry out a periodic review of the approaches taken in the apprentice programme. This is to enable the CLC to be assured of appropriate standards of delivery.

Moderation within assessment organisations

Each Assessment Organisation will need to set up and operate quality assurance processes (as detailed below), that will monitor and control the independent assessment function of their organisation.

In order to do this each Assessment Organisation will be required to put in place one or more Sector Experts (or panel of Sector Experts) to carry out an annual quality assurance review (on a sample basis) of the conveyancing related judgements made by the independent assessors at the end-point assessment. The number of sector experts should increase in line with the numbers of apprentices. An effective and viable sector expert/apprentice ratio should be determined by the Assessment Organisation (the findings of sector experts should be reviewed at the annual standardisation meetings). This will be a proportionate quality assurance measure and will ensure external assessors deliver consistent and reliable judgements that reflect conveyancing industry standards.

Criteria for Sector Experts

Sector Experts must be either; Authorised Persons or Legally Qualified Persons and must be an independent individual without previous involvement in the end-point assessment Parts 1 to 3.

The purpose of Sector Experts

Each Assessment Organisations Sector Experts will ensure industry standards for moderation have been met by all apprentices and will check that end-point assessments are robust, that they assess fully against the Standard, that they are undertaken consistently and to the same standard, and that the people undertaking the assessments make consistent and reliable judgements founded on proper legal outcomes.

7. Delivering accurate, valid judgements

The assessment process has been developed specifically for the Standard and is designed to test the totality of the Standard. The combination of three assessment methods in the final end-point assessment ensures that the assessment of each apprentice is based on their performance and reflects accurately the quality of their work and the application of skills; knowledge and behaviours specified in the Standard, to build a cumulative picture of performance against the Standard.

28. The summative showcase is based on real-work products which, taken together, cover the totality of the Standard, and provides a demonstration of the application of knowledge and competence in the work environment. This is a key factor for employers in the validity of the final assessment decision.

- a. **The Employer Statement of Competency** enables the employer to summarise the formative growth of the apprentice and performance judgements made by the employer and forms an element of the summative evidence against the Standard in its entirety.

29. The summative scenario enables theoretical application of knowledge into practice in circumstance when the apprentice has not been directly exposed to the area of work; such as agricultural or commercial matters. The assessment of scenarios should allow the apprentice to show their ability to problem solve and use their critical thinking skills to resolve issues that are relevant to the role of a Licensed Conveyancer, but not necessarily common to their role in the business.

30. The summative One-to-one Interview with an independent assessor allows apprentices to demonstrate how they have carried out their work. This again increases accuracy and validity by providing the assessor with an opportunity to assess depth and breadth in the application of underlying knowledge, skills and behaviours combined to bring about satisfactory conclusion for a range of non-standard conveyancing matters.

The role of the independent assessor is critical, ensuring that **assessments are only undertaken by suitably qualified and trained assessors**, using approved tools and materials, with documented criteria, as well as robust internal verification and quality control processes.

8. Graded assessments

Independent assessors will PASS or FAIL apprentices using all the information gained in the final three Part end-point assessment against defined criteria. The criteria and exemplars for assessing PASS and FAIL will be developed by Assessment Organisations working in partnership with employers, training providers and in liaison with the CLC to ensure consistent interpretation of these high-level criteria. Grading will only be applicable to the professional qualifications needed to meet the Standards.

Some employers may wish to volunteer staff to be Independent Assessors and they will need to work directly with Assessment Organisations and Training Providers to satisfy any requirements under general terms of recognition or other appropriate quality assurance arrangements. Assessment Organisations will moderate, validate and verify the assessments and the grades awarded by different assessors to ensure that these are fair and comparable. In the event of an appeal against the grade awarded, Assessment Organisations will carry out an independent review of the evidence to confirm or modify the grade.

9. Affordability

This apprentice standard is a new scheme and therefore we have no direct comparison to review when considering costs. The group of employers has, however, considered costs and the most appropriate form of assessment in great detail. A key driver for our assessment model has been to ensure our approach is consistent and directly linked to our standards. Our assessment process is robust and will ensure the best use of management time. The costs and practicality of assessment have been an important consideration in the development of this approach and at this stage we do not anticipate high numbers, this has resulted in an approach which will be very easy to manage in all firms regardless of size or numbers of apprenticeships.

Cost effectiveness has been increased in a number of ways, including:

31. a modular approach, which is flexible and recognises knowledge assessed through vendor and professional qualifications;
32. the pragmatic combination of assessment methods ensures breadth, validity and reliability to satisfy the assessment requirements whilst minimising additional, non-value adding assessment costs;
33. the removal of the current requirements for the collection of unnecessary evidence throughout the duration of the apprenticeship by focusing on end-point assessment;

34. the involvement of the employer in defining the work projects reduces the need for multiple visits by assessors;
35. a wish to make use of modern technology to allow the maximum flexibility for undertaking the interview and the scenario, as well as storing and maintaining the showcase portfolio.

The training costs will build in 20% of the overall apprenticeship being delivered off-site of the employers premises. It is anticipated that the end point assessment will be around 10% of the total costs.

10. Manageability/Feasibility

The use of technology is key to the delivery of the apprenticeship to allow for real time progression monitoring and allow for learner development through reflective log book that can be reviewed on-line. Interviews can also be conducted using any live feed video technology to optimise geographical accesses and time and cost efficiencies.

11. Professional Body Registrations

The CLC is the professional regulatory body representing this standard. They have worked alongside the employer group to develop the Standard and also the assessment approach. The apprentice standard provides eligibility to apply to the CLC for professional Licence. The CLC will provide a letter of support in the final admission of the assessment plan.

12. Appendix 1: The Employer Competency Statement – Guidelines and CLC Practical Check List

1.a The Employer Competency Statement – Guidelines for behaviour

Design by employers for employers to help maintain consistent judgements of the employability skills set out in the Standard.

The employability skills are assessed informally by the employer throughout the apprenticeship.

An end-point assessment of skills 1 to 7 is made the employer in the last six months of the apprenticeship and forms the Employer Competency Statement and is a component of Part 1 of the end-point assessment process.

Employability Skill	Employer Performance Statement	Statement Evidence Benchmark
1. Accountability	<ul style="list-style-type: none"> a. Demonstrates the ability to master tasks, relate well with others, and respond to mandates for change. b. Supervises broad and complex client case-file management by being able to develop and implement effective plans of action. c. Leads enquiry based approaches and conscientiously ensures matters are managed and concluded satisfactorily on behalf of the client(s) and business. 	<ul style="list-style-type: none"> i. Takes appropriate steps to ensure all legal undertakings are conducted in a principled manner maintaining compliance with robust regulatory, accounting and consumer protection arrangements and deliver the CLC Code of Conduct’s Outcomes by complying with its Overriding Principles and Recognised Body Certificates. ii. Takes appropriate steps to ensure all activities are conducted in accordance with the Management and Supervision Arrangements Code. iii. Adapts well to change and pressure and effectively prioritises workload. iv. Able to provide precise instruction to those they supervise. v. Clearly communicates feedback to those they supervise using a range of strategies to progress their development.

Licensed Conveyancing Apprenticeship: Summary of Approach to Assessment

		vi. Uses reflective practice based approaches to develop own leadership, management and supervisory capability.
2. Compliance and ethics	<p>a. Prioritises work to manage compliance governance procedures to comply with all CLC or other regulators audit requirements.</p> <p>b. Manages robust regulatory, accounting and consumer protection arrangements in the transaction process required to bring non-standard matters to satisfactory conclusion.</p> <p>c. Ensures the service delivered is accessible and responsive to the needs of individual Clients, including those who are vulnerable; in compliance with the CLC Equalities Code and Guidance.</p>	<p>i. Takes steps to quality assure the actions of others ensuring the best interest of the client and the business.</p> <p>ii. Conducts due-diligence audit checks on client files, and client/lender account management; to ensure the supervised work to uphold compliance and the CLC Transaction Files Code & Guidance.</p> <p>iii. Takes appropriate steps to ensure no-one client, employee, colleague, job applicant, trainee, or other party – dealt with feels discriminated against (whether directly or indirectly), victimised or harassed; in compliance with the CLC Equalities Code and Guidance.</p> <p>iv. Identifies when a matter exceeds own ability and or legal knowledge and rectifies using CPD and or peer-review techniques to improve own performance.</p>
3. Commercial Awareness	a. Demonstrates an interest in business and an understanding of the wider environment in which an organisation operates including its	v. Takes appropriate steps to assess legal and ethical factors; identifying contribution to - or implications to client(s) and the business.

Licensed Conveyancing Apprenticeship: Summary of Approach to Assessment

	<p>customers, competitors and suppliers.</p> <p>b. Conducts matters with efficiency, cost-effectiveness, customer care and knowledge of the market place in which the company operates (current economic climate and major competitors).</p>	<p>vi. Assesses risks and issues/to ensure matters are dealt with diligently supporting outcome focused regulation, mitigating risk to the business and client(s).</p> <p>vii. Uses a range of strategies to up-hold outcomes focused regulatory and consumer ethics by ensuring all activities are conducted in accordance with the Management and Supervision Arrangements Code and CLC Recognised Body Recognition Framework and the Licensing Body (*ABS) Licensing Framework.</p>
4. Critical Thinking	<p>a. Demonstrates the ability to think and act strategically demonstrating a high 'functional' level of emotional intelligence, motivating and addressing staff performance from evidence based perspective.</p> <p>b. Able to critically analyse, interpret and evaluate complex information in order to progress a matter to satisfactory conclusion.</p>	<p>i. Approaches Law based queries from an informed knowledge base to competently and lawfully conduct transactions in the best interest of the client and business.</p> <p>ii. Analyses mistakes, misinterpretation, positive and negative factors in order to put in place any remedies required for a complex case-load.</p>
5. Problem Solving	<p>a. Uses a variety of legal research methods to resolve issues arising at all stages of a client transaction and is able to identify practical solutions or remedies in law in sensitive commercial environments.</p> <p>b. Addresses client issues using a solution based</p>	<p>i. Critically evaluates actions, methods and results by their short-and-long-term implications for both the business and client(s).</p> <p>ii. Uses own initiative to search for escalate, or resolve transactional queries.</p>

Licensed Conveyancing Apprenticeship: Summary of Approach to Assessment

	<p>approach by working effectively between all interested parties to secure satisfactory outcomes.</p>	
6. Customer Service	<p>a. Builds successful empathic client relationships using tact and diplomacy and uses the appropriate level and style of communication to suit a variety of audiences; and manages this across the broad spectrum of clients and professional parties.</p> <p>b. Takes responsibility to ensure work environments promote values of excellent customer services in compliance with the CLC Complaints Code and Guidance.</p>	<p>i. Able to communicate technical information, provide clarification, using plain English to provide professional guidance.</p> <p>ii. Assesses where the service provided is not of the expected standard and identifies the course of action to provide appropriate redress for the client where necessary.</p> <p>iii. Takes appropriate steps to manage staff to deal with any complaints impartially and comprehensively.</p> <p>iv. Captures/communicates key details when handling complaints.</p> <p>v. Identifies and puts in place appropriate steps to protect those who are vulnerable.</p>
7. IT Skills	<p>a. Uses a range of strategies to manage client records using employer's client management conventions.</p>	<p>i. Accurately operates accounting systems that underpin regulatory management of client monies.</p> <p>ii. Interrogates, analyses and interprets on-line legal research websites, CML, Land Registry, HMRC and regulators sites to identify current policy, statistics, consumer information, training and publications to inform the process of identifying appropriate remedies to bring a complex matter to conclusion.</p> <p>iii. Uses all available legal research tools to inform the business' strategic direction and safeguarding consumer's best interests.</p>

Licensed Conveyancing Apprenticeship: Summary of Approach to Assessment

Appendix 1.bCLC Practical Training Check List

Apprentices will as part of the course of the programme complete at least ONE year of supervised, current practical training before obtaining their first licence. “Practical Training” means full or part-time employment assisting in the provision of conveyancing services, supervised by an ‘Authorised Person’: Regulators approve Authorised Persons to carry out reserved legal activities e.g. a Licensed Conveyancer; a Solicitor; a Fellow of the Chartered Institute of Legal Executives.

In signing off the Employer Competency statement, employers will be confirming that the apprentice has covered the technical processes set out in the practical training check list.

TECHNICAL PROCESSES COMPLETED SATISFACTORILY

SALES / PURCHASES OF FREEHOLDS OR LEASES <i>completed</i>	<i>Tick when</i>
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Acting for the seller		
1	Taking instructions, dealing with terms of engagement and fee estimates	
2	Client due diligence (CDD and EDD) checks	
3	Preparation of draft contract	
4	Dealing with property information forms or preliminary enquiries (including leasehold information from landlord and/or management company)	
5	Dealing with licence to assign where necessary	
6	Dealing with exchange of contracts by Law Society formulae A, B or C	
7	Obtaining mortgage redemption statements	
8	Deducing title to (a) unregistered land & (b) registered land	
9	Answering requisitions	
10	Approving buyer's draft conveyance, transfer or assignment	
11	Preparing completion statements	
12	Making general pre-completion arrangements	
13	Completing the transaction and dealing with mortgage redemption and release of collateral security	
14	Reporting completion and accounting to client	
15	Provide the number of transactions in the last 12 months <i>(state number in</i>	

Licensed Conveyancing Apprenticeship: Summary of Approach to Assessment

	box)	
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Acting for the buyer		
1	Taking instructions, considering financial arrangements of buyer, advising on survey, dealing with terms of engagement and written fee estimates.	
2	Client due diligence (CDD and EDD) checks	
3	Consideration of Anti-Money laundering issues including source of funds enquiries.	
4	Considering draft contract	
5	Making preliminary enquiries and further enquiries where necessary	
6	Making local land charge searches and additional enquiries of local authority and such other searches as may be appropriate, eg drainage and water, of public Index map and environmental	
7	Obtaining references etc where Licence to assign required	
8	Dealing with insurance & exchange contract of contract by Law Society formulae A, B and C	
9	Investigating title to (a) unregistered land and (b) registered land	
10	Raising requisitions	
11	Preparing draft conveyance, transfer or assignment	
12	Preparation of any mortgage deed and certificate of title	
13	Making appropriate searches before completion and dealing with entries revealed	
14	Preparing completion statement and obtaining funds from clients	
15	Completing the transaction including use of the Code for Completion.	
16	Reporting completion to client(s) and mortgages where appropriate	
17	SDLT – freehold and leasehold	
18	Preparing and delivering notices to life company and landlord	
19	Preparing and delivering notices to life company and/or share transfer to Landlord or Management Company	
20	Registration of buyer (and charge) at Land Registry for all of dealing of whole, dealing of part and first registration of title	

Licensed Conveyancing Apprenticeship: Summary of Approach to Assessment

21	Number of transactions in the last 12 months <i>(state number in box)</i>	
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GENERAL EXPERIENCE IN THE FOLLOWING MATTERS completed	Tick when
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1	Sale of tenanted property	
2	Advising co-purchasers	
3	Sale of part	
4	New properties	
5	Planning matters	
6	Sale by auction	
7	Dealing with retentions	
8	Undertakings	
9	Capital Gains Tax and Value Added Tax implications	
10	Powers of attorney	
11	Personal contact with client	
12	Costs and Accounting	
13	Awareness of anti money laundering provisions including the Proceeds of Crime Act 2002 (as amended), Money Laundering Regulations 2007 and CLC or SRA Guidance.	

GRANTS OF LEASES completed	Tick when
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Acting for the landlord		
1	Taking instructions	
2	Drafting contract / tenancy agreement / lease	
3	Deducing title in appropriate cases	
4	Preparation of completion statement	
5	Completing the transaction	

Acting for the tenant		
1	Taking instructions	
2	Considering draft contract / tenancy agreement / lease and making amendments	
3	Investigating title, searches etc in appropriate cases	
4	Preparation of any mortgage deed and report on title	
5	Preparation of completion statement and obtaining funds	
6	Completing and reporting transactions	
7	SDLT and registration where appropriate	

GENERAL CONSIDERATION OF LEGISLATION AFFECTING LANDLORD/ Tick when completed
TENANT RELATIONSHIP UNDER THE FOLLOWING STATUTES

1	Rent Act 1977 as amended	
2	Rent (Agriculture) Act 1976 as amended	
3	Housing Act 1988 and 1996	
4	Housing Acts with regard to secure tenancies, right to buy or take further lease in the private sector and shared ownership leases	
5	Leasehold Reform Act 1967 with regard to right to buy or take further lease in the private sector	
6	Part 1 and 2 of the Landlord & Tenant Act 1954	
7	Agriculture Holdings Act 1986	
8	Landlord & Tenant Act 1987	
9	Leasehold Reform Housing & Urban Development Act 1993	

DELIVERY OF POSITIVE OUTCOMES FOR CLIENTS

DEMONSTRATES PROFESSIONAL AND ETHICAL BEHAVIOUR

Tick when confident that the trainee acts in a principled manner consistent with the CLC Code of Conduct and delivers the relevant Outcomes

1	Overriding Principle - Act with independence and integrity	
1.1	<u>Outcome</u> – Clients receive good quality independent information, representation and advice	
1.2	<u>Outcome</u> – Clients receive an honest and lawful service	
1.3	<u>Outcome</u> – Client money is kept separately and safely	
2	Overriding Principle - Maintain high standards of work	
2.1	<u>Outcome</u> – Clients are provided with a high standard of legal services	
2.2	<u>Outcome</u> – Client matters are dealt with using care, skill and diligence	
2.3	<i>For Manager Trainees only</i> <u>Outcome</u> - Appropriate arrangements, resources, procedures, skills and commitment are in place to ensure Clients always receive a high standard of service	
3	Overriding Principle – Act in the best interests of Clients	
3.1	<u>Outcome</u> – Each Client’s best interests are served	
3.2	<u>Outcome</u> – Clients receive advice appropriate to their circumstances	
3.3	<u>Outcome</u> – Clients have the information they need to make informed decisions	
3.4	<i>For Manager Trainees only</i> <u>Outcome</u> – Clients are aware of any referral arrangements and that they are consistent with the firm’s responsibilities both to them and to the CLC	
	<i>For Manager Trainees only</i> <u>Outcome</u> – Clients are aware of any limitation or any condition resulting from	

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3.5	the firm's relationship with another party	
3.6	<u>Outcome</u> - Clients' affairs are treated confidentially (except as required or permitted by law or with the Client's consent)	
	No requirement to complete assessment against Overriding Principles 4 and 5 of the Code of Conduct, these are provided for reference only	
4	Overriding Principle – Comply with duty to the court	
	This principle is applicable only to litigation and advocacy	
5	Overriding Principle - Deal with regulators and ombudsmen in an open and co-operative way	
5.1	<u>Outcome</u> – Acts in accordance with their regulatory responsibilities	
6	Promote equality of access and service	
6.1	<u>Outcome</u> – The service is accessible and responsive to the needs of individual Clients, including those who are vulnerable	
6.2	<u>Outcome</u> – No-one dealt with is discriminated against (whether directly or indirectly), victimised or harassed	
6.3	<u>Outcome</u> – accepts responsibility where the service provided is not of the expected standard and provide appropriate redress for the Client where necessary	
	<i>For Manager Trainees only</i>	
6.4	<u>Outcome</u> – the handling of complaints takes proper account of Clients' individual needs, including those who are vulnerable	
	<i>For Manager Trainees only</i>	
6.5	<u>Outcome</u> – Complaints are dealt with impartially and comprehensively	

13. Appendix 2: Scenario test.

Conducted as an online test taking up to two hours and consisting of up to three scenarios in order to accommodate variable expense or scope of tasks. The apprentices should be able to demonstrate the practical application of their competence to a specific issue or task relevant to the role of a Licensed Conveyancer; including but not limited to:

1. Providing adequate advice to a client in line with the CLCs Code of Conduct and any other relevant rules and regulations; including both freehold and leasehold matters.
2. Ability to raise and solve relevant issues when looking at a property title; such as third party interests, encumbrances on title and defects in title etc; including both freehold and leasehold matters.
3. Identify issues on adverse search results and be able to resolve such issues.
4. Drafting letters to clients and other third parties involved in a conveyancing transaction.
5. Preparation of financial statements and bills of cost; also have an understanding of the client and office account and the double entry book keeping system.
6. Drafting special conditions needed in a contract; taking into account the current edition of the Law Society's Standard Conditions of Sale; including both freehold and leasehold matters.
7. Be able to identify which Land Registry Forms to use in specific instances and be able to draft the same; including both freehold and leasehold matters.
8. Identify when a transaction is unusual or complex; including being able to identify in what instances the firm would need to cease to act e.g. where a conflict of interest arises.
9. Demonstrate the ability to identify when issues contained in relevant law, such as; Anti-Money Laundering Regulations, Public Law and any other relevant legislation that a Licensed Conveyancer should know, should be dealt with and in what way.
10. Understand and identify obligations where acting for a mortgage lender; including both freehold and leasehold matters.
11. Be able to offer guidance and support to a Conveyancing Technician on a supervisory level.
12. Knowledge of professional undertakings, when they should be given and the consequences of not adhering to the same. Must be given in line with the CLCs Undertakings Code; including both freehold and leasehold matters.
13. Sound knowledge of the CLCs Handbook and Code of Conduct and be able to apply in practice; including both freehold and leasehold matters.

14. Ability to advise clients and third parties of available remedies should there be a breach of contract and be able to deal with a transaction where there has been a delayed completion; including both freehold and leasehold matters.

14. Appendix 3: CLC requirements for first licence (Held in Employment)

APPLICATIONS FROM QUALIFIED INDIVIDUALS

- PROFESSIONAL EXAMS TO MEET CLC LEGAL KNOWLEDGE REQUIREMENTS
- EVIDENCE OF SUFFICIENT CONVEYANCING EXPERIENCE
- KNOWLEDGE OF THE REQUIREMENTS OF THE CLC LAWYER STANDARD
- UNDERSTAND THE REQUIREMENT FOR CPD AT RENEWAL

PROCEDURE FOR APPLICATION TO CLC:

- COMPLETE THE APPLICATION FORM
- MEET THE FIT and PROPER REQUIREMENTS AS PRESCRIBED ON THE FORM FOR DISCIPLINARY and FINANCIAL MATTERS and CONDITIONS OF ISSUE UNDERS s16 ADMINISTRATION OF JUSTICE ACT 1985
- SIGN THE DECLARATION AT THE END OF THE APPLICATION
- PAY THE FEE – PRO-RATA DATE OF APPLICATION FOR THE FIRST LICENCE
- PROVIDE THE PRESCRIBED SUPPORTING DOCUMENTATION:
 1. **CERTIFICATES OF FITNESS – 2 REQUIRED WITH RELATED REFERENCES**
 2. **PRACTICAL TRAINING OR APPRENTICESHIP CERTIFICATE/S**
 3. **PRACTICAL TRAINING CHECKLIST (the student must be able to check the majority of the items on the list – if they are unable to complete all of the Landlord & Tenant section, the licence is issued with a conditional statement that they must only deal with these matters under supervision as relevant to their experience)**

Licensed Conveyancing Apprenticeship: Summary of Approach to Assessment

15. Appendix 4: Professional Exams.

Professional exams assess the technical knowledge and understanding as set out in the Standard. In totality, these exams and modules will cover the full range of the required legal knowledge and technical understanding. The knowledge modules will be developed against the Standard, and will take the form of professional exams recognised by CLC. Exemption from some modular elements can be mapped against these to ensure the widest choice of delivery to fit with current business practice

CLC Professional Qualifications	Possible Equivalent (a combination of modules may be required)	Exemptions (Full and Partial)
CLC Foundation Conveyancing Level 4	LPC PLP(L.6) Unit, and the LLB in Legal Practice Conveyancing Unit (L.6)	CILEx Level 6 Diploma in Law and Practice; must include Unit 17 Conveyancing.
CLC Law and Legal Method (The English Legal System) Level 4	Foundation Units on LLB (L.4)	First Law Degree GLD LPC CILEx Level 6 Diploma in Law and Practice(must include Unit 9 Land Law)
CLC Land Law Level 5	LLB/LLB in Legal Practice Land Law (L.5) and Equity and Trusts (L.6) Graduate Diploma in Law ('GDL') Land Law (L.6) and Equity and Trusts (L.6)	First Law Degree GLD LPC CILEx Level 6 Diploma in Law and Practice(must include Unit 9 Land Law)

Licensed Conveyancing Apprenticeship: Summary of Approach to Assessment

CLC Law of Contract Level 5	LLB/LLP in Legal Practice Law of Contract (Level 5) and Law of Tort (L.5)	First Law Degree LPC GLD CILEx Level 6 Diploma in Law and Practice (must include Unit 2 Contract Law).
CLC Landlord and Tenant Level 6	LLB/LLB in Legal Practice- Land Law (L.5) GDL Land Law (L.6) LPC Property Law and Practice unit ('PLP') LLB/LLB in Legal Practice/GDL Criminal Law (L.s 5&6) LLB in Legal Practice Conveyancing unit (L.6) Note* Rent regulation/Succession/Mobile Homes Act 2006 and Agricultural Leases, must be covered in addition.	LPC (including elective for commercial Property Law) Note* Rent regulation/Succession/Mobile Homes Act 2006 and Agricultural Leases, must be covered in addition.
CLC Final Conveyancing Level 6	LPC PLP(L.6) and LLB in Legal Practice Conveyancing Unit (L.6) LLB/LLP in Legal Practice – Law of Tort (L.5) Graduate Diploma in Law ('GDL') Law of Tort (L.6) LPC Accounts (L.6),	LPC CILEx Level 6 Diploma in Law and Practice (must include Unit 17 Conveyancing).
CLC Conveyancing Accounts Level 6	Units form the LPC Accounts (L.6) Units from the Legal Practice Conveyancing (LPC) (L6)	LPC (partial)

Licensed Conveyancing Apprenticeship: Summary of Approach to Assessment