

# **Patent Examination Board**

## **Self-assessment report**

### **2014 Examination Session**

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## Foreword

The Patent Examination Board (PEB) came into existence in 2013. The Governance Board (GB), responsible for oversight and quality assurance of all policy and operational matters met formally for the first time in February 2014.

It has been our intention from the outset to build on the best of practice from our predecessor, the Joint Examination Board (JEB), and to improve where necessary the procedural framework within which the examinations operate.

Two themes have underpinned the first year of our operation. First, the need for greater transparency. The days of 'black-box' examinations and qualifications, where only those intimately involved with their administration were fully aware of how examination papers were written and marked and then awards made, are long gone throughout most of the UK's qualification systems. It is entirely right that such transparency now applies to the PEB qualifications.

The effect of increased transparency, however, is that the whole system becomes more open to challenge. We accept that challenge. If problems are detected they will be acknowledged and remedied. If improvements are needed they will be made.

The second theme that underpins our work is that the interests of candidates should be uppermost. It is candidates' futures that depend on the quality of our examination procedures and the standards of the qualifications we offer. It is right, therefore, that candidates' interests are our primary concern.

Looking to the future, we are in the process of putting in place a process to complement the quality assurance activities carried out by the Governance Board. The Governance Board supports the excellent day to day work of the PEB carried out by Georgina Sear and Rebecca Moody through its three lay members, who bring expertise from the fields of higher education, professional awarding bodies and statutory regulation. This educational and assessment expertise is complemented by the detailed knowledge and understanding of the profession brought by our two patent attorney members. However, we have a vested interest in everything we do, and it is right that there is an element of external validation. It is our intention that a programme of external validation will commence shortly.

In the meantime, we offer this self-evaluation report to all interested parties, as a benchmark against which our progress might be judged.



Robert Taylor, Chair of the Governance Board

## **Purpose of this report**

It is a requirement of the PEB constitution that it produces an annual self-assessment report.

This report is intended to:

- provide information to all interested stakeholders, including the PEB GB, the PEB Examiners, CIPA, IPReg and candidates about the status and conduct of the PEB and its ability to discharge satisfactorily its responsibilities to conduct examinations which are fit for purpose, reliable and valid;
- provide a single source of benchmark data by which to monitor improvements in subsequent years.

The report is intended to be proportionate in terms of the administrative burden it places on PEB administration and the scale of the operations. Future PEB self-assessment reports will use the data provided in this report as comparison data by which to measure trends and improvements as appropriate.

## **Introduction**

In its first year of operation the PEB GB decided on an overall policy of improvements where needed, and some 'look and learn' tactics in other areas. This policy was arrived at so as not to unsettle candidates (by, for example, changing the nature of the assessment or number and range of venues), and not to change unnecessarily processes that were working well.

The main changes introduced in 2014 were driven by the desire to create:

- greater transparency for candidates;
- clearer, consistently applied and documented processes;
- clarity of roles and responsibilities for examiners, and remuneration for key processes such as question paper setting.

These changes were introduced to:

- start to create for candidates a greater sense of trust and confidence in the examination system;
- allow the GB to monitor processes and outcomes as part of their quality assurance framework;
- start to migrate knowledge and responsibility from JEB board members towards the examiners.

The PEB GB approach to quality is to:

- introduce appropriate standard policy and processes for key areas;
- monitor their implementation;
- seek feedback on the impact of the policy and/or process;
- amend the policy and/or process in the light of evidence from the monitoring and feedback.

## **Constitutional matters**

The PEB GB, appointed in late 2013, met twice for training and induction in January 2014, and then met formally as follows:

February 2014

March 2014

April 2014

May 2014

June 2014

July 2014

September 2014

December 2014 (follow on meeting in January 2015)

All the meetings were quorate. An agenda with standing items (Appendix 1), is used at all meetings with other items being added as required, and in accordance with the approval and reporting schedules (Appendix 2).

In accordance with the constitution, the PEB GB elected a chair person. The performance review of all board members was conducted by an external consultant in December 2014, and the outputs were shared individually with each member of the board. There were no issues arising.

The PEB GB has not drafted a three year operating plan for the Patent Regulation Board. It intends to do this as soon as possible after the output of the IPReg consultation is known.

## **Financial matters**

The PEB is not yet financially self-supporting, and the predicted operating losses are currently being underwritten by CIPA. The operating loss in year two (2015 examinations) will be greater than those in year one as the PEB is making provision for the production of a bank paper (Appendix 3). The PEB GB is considering raising fees from year three, when the increased benefits of the new regime and support to students are embedded.

## **Reporting**

Interim progress reports on the review of policies and procedures on a range of processes identified in the original submission to IPReg were made in June and September 2014 (Appendix 4 and 5).

Appendix 6 gives an overview of the reports made to the PEB GB as part of its quality assurance and monitoring of the PEB Qualifying Examinations.

## **Complaints report**

The complaints report is submitted to the GB in March of each examination year. Complaints are handled in accordance with working instructions which mirror the published PEB Customer Feedback Policy. There are 22 complaints to date from teachers, examiners and students. They fell into two

categories - administration (17 complaints) and change (4 complaints), and one unclassified. Remedial action was taken where appropriate (see Appendix 7 for the complaints log).

### **Enquiries about Results received and processed with outcomes**

This report will appear in the 2015 PEB self-assessment report. The EaR window for 2014 examinations opened on results day, March 2<sup>nd</sup> 2015.

### **Status of PEB working instructions**

As the PEB has developed its policies, candidate and administrative procedures during this first year, it is in the process of writing a comprehensive set of working instructions to ensure the office procedures are consistent, known and followed. The current status of these working instructions can be found in Appendix 8.

### **Issues arising from Examiner reports**

Examiner reports expressed many similar points for each examination as in previous years (then called 'Examiner comments').

The 2015 Examiner Reports are available in full on the PEB website.

In addition, comments were invited from examiners for the attention of the PEB GB. These were reported to the GB in March 2015, and appropriate action will be taken as necessary.

### **Reasonable adjustments granted**

A reasonable adjustments policy and procedure was implemented for the 2014 examinations. Candidates applied for adjustments on their examination application form. The report can be found at Appendix 9. Nine candidates made requests for reasonable adjustments as follows:

- 7 candidates requested extra time (of which 2 also requested use of a word processor);
- 3 candidates requested use of a word processor;
- 1 candidate requested coloured paper.

### **Special Consideration requests made**

Three requests were made from two candidates for special considerations. The requests were considered at awarding. No adjustments to marks were made.

### **Quality Assurance of the setting process**

The PEB implemented a documented question paper setting process in 2014 (see Appendix 10) which incorporated monitoring by the PEB GB lay members. The question paper setting process was reviewed via a *Question Paper Review* (see Appendix 11) by examiners, PEB staff and the GB members after it had completed its cycle. The outputs of the survey are incorporated into a revised

2015 question paper setting process. The main improvements which are being implemented for the 2015 process are:

1. Hold a drafting meeting, where required, for the finals papers, prior to holding two Question Paper Evaluation Committees (QPEC)
2. Hold an examiner training day on Question paper (QP) setting in February 2015 (held March 4 2015)
3. Provide templates and guidelines (on writing a QP and mark scheme) for use and reference whilst setting a paper
4. Start the question paper setting process in March, and issue a timetable of events and stages and responsibilities through to pass for print
5. Use new suppliers for question paper printing and technical drawings
6. Introduce a Patent Attorney scrutineer/tester to work the paper before the QPEC, and attend and contribute to the QPEC
7. Revise the quality monitoring form and ensure all actions are followed up

### **Quality Assurance of the marking process**

All examiners were required to attend a standardisation meeting at which the marking of common scripts was reviewed and the mark scheme was scrutinised and amended. Further, new examiners had to submit a mid-marking sample of their marking to their supervisor.

Final examinations were double blind marked, and where these two marks fell outside stated boundaries, were subject to a further review process, which included the Principal Examiner to arrive at the mark to be awarded.

Awarding meetings were held for all examinations where rank order and other statistics were considered.

### **Number of administrative appeals lodged and outcomes**

No administrative appeals were lodged.

### **Results**

Results were issued on the published dates, and pass rates were broadly in line with previous year's examinations as displayed in Appendix 12.

### **Incidents**

There were three minor incidents reported to the PEB GB for this examination year. None required remedial action, as the decision was that none of the incidents resulted in a compromise of any question papers or candidate scripts. See Appendix 13 for details.

### **Issues arising from invigilator reports**

Invigilators were trained and issued with instructions. They were required to submit a report on each examination within twenty four hours of the examination. Matters arising were compiled and reported to the PEB GB with actions taken/proposed.

### **Quality and status of examiners**

There were no examiner vacancies for the 2014 examinations. The majority of examiners were migrated from the Joint Examination Board, with some new Principal Examiners at Foundation level, and some new marking examiners at Final level, this to reduce to marking burden on any one examiner. A Patent Attorney member of the PEB GB, acted as the Chief Examiner for the Foundation examinations.

All examiners received as appropriate training on setting question papers, and marking instructions.

All examiners were subject to performance appraisal via a quality assurance report completed by the supervising examiner. At the time of writing, supervising examiners have completed their sections of the report, and PEB administration is to complete the relevant sections, before the reports are scrutinised and analysed and feedback is given to the examiners.

### **Exemptions granted**

There were no exemptions granted.

### **Entries**

Candidate entries were broadly in line with previous years by examination. The detail can be found at Appendix 14.

### **Third party suppliers**

In order to ensure a better understanding of the nature of the services supplied by the third party suppliers, a decision was made to continue with the existing suppliers in the first year of operation of the PEB. There were a number of issues and incidents reported during the cycle that resulted in frustration for the examiners, and rework for PEB administration. As a result it was decided to seek alternative suppliers for question paper printing, scanning services, examination distribution services, proof reading and technical drawing. The performance of the new suppliers will be monitored during the 2015 examination cycle. It is expected they will deliver more technologically adaptable services with greater security, flexibility, visibility and speed.

### **Surveys**

In addition to the survey about the question paper production processes cited above, the PEB GB surveyed students after the 2014 examinations. The results of the survey can be found in Appendix

15. An summary analysis and the full report was published in the CIPA journal, and all the issues requiring attention have been addressed or will be incorporated into the 2015 examination cycle.

The PEB GB wishes to consider if the time taken between sitting the examinations and results issue can safely be shortened. Accordingly it surveyed students about their expectations, and examiners about their marking loads and when they conduct marking. A report was presented to the March 2015 GB meeting and the outcomes will be reported shortly<sup>1</sup>.

## **Syllabus review**

The PEB adopted the JEB syllabuses for the 2014 examinations, and reviewed these syllabuses in 2014. As a result of this review and a consultation exercise on proposals, the examination syllabuses have been retitled and referenced, grouped to form qualifications called *Foundation Certificate* and *Final Diploma* and formatted to appear in a common format. There are no significant changes to the content of the syllabuses.

The PEB does not propose to undergo any further, more substantial syllabus review until the outcomes of the IPReg consultation are known.

## **Summary**

The PEB has created and documented a range of policies and procedures in relation to:

- Question paper setting
- Standardisation (of marking)
- Marking
- Awarding
- Examiner quality (selection, instructions, training and evaluation)

It has sought feedback by surveying students, Governance Board members and examiners and this, combined with unsolicited feedback has provided information on how to further improve and refine these policies and procedures in the light of initial implementation.

In 2015 the PEB intends to consolidate and refine the question paper setting process, and further improve examiner training on marking and awarding.

The PEB has sought to be open and transparent with students, and in 2015 it published mark schemes and implemented an Enquiry about Results process in order to encourage confidence in the system and demonstrate transparency. In addition, examination candidates were surveyed for their views on the 2014 examinations. Examiners were asked to review and respond to the students' comments and will take account of all relevant issues during the writing of the 2015 papers and mark schemes.

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<sup>1</sup> This is now published on the PEB website.

For the first time, on results day, the candidates' unmarked answer scripts, the examiners reports, the mark schemes and good pass scripts (with total marks awarded shown) were all available together, supporting candidates and their trainers in reaching informed judgements with regards to examination performance.

All nine syllabuses were renamed, reformatted and published, ready for the 2015 examination preparation. Additionally the examinations were grouped into named qualifications and certificates offered for the successful achievement of each qualification, as well as for the achievement of each examination.

The performance of the Governance Board was independently evaluated during 2014 and was judged to be performing well.

Plans for the future include developing performance descriptors for the qualifications in order to clearly establish a statement of the minimum competences that must be demonstrated in order to pass any examination. The PEB considers this to be a significant issue, as there is much debate about the standards of the examinations but no benchmark statements to clarify what is meant by 'standard'.

An external evaluation of all PEB processes and procedures will be carried out during 2015, and any recommendations leading to improvements in the quality of the qualifications offered will be acted upon.

The data the PEB has collected during its first year of operation, and which is summarised in this report, provides the Governance Board and others with a benchmark against which future examination series will be evaluated and reported.

## Appendices

### Appendix 1 – Governance Board agenda template

The x meeting of the  
**Patent Examinations Board Governance Board (PEB GB)**

[Date] at 95 Chancery Lane, London, WC1A 1DT

The meeting will convene at [10:30] and is expected to conclude business by [16:30] at the latest.

Invited to attend:

#### AGENDA

\* standing items

	Item	Paper Number	Indicative timing
1.	<b>Governance *</b> a. To review the Declarations of interest register* b. To approve the Minutes* of the PEB GB held on [date] c. To review actions* arising from the PEB GB held on [date] d. To review composite actions list*		10.30
	<b>Break</b>		
2.	<b>Finance and Operational*</b> a. Review most recent PEB accounts* b. Review PEB Risk register and incident log*		
	<b>LUNCH</b>		1.00pm
3.	<b>Reporting and approval schedule*</b> Reporting a. Approval – no items on schedule a.		
4.	<b>Quality Assurance*</b>		
5.	<b>AOB*</b>		
6.	<b>Future meetings and agenda items</b> a. Date of next meeting	[date]	
7.	<b>Finish formal business</b>		<b>16.30</b>



## GB Review and approval timetable and record

No	Report type	Date due	Audience	
1	Budget			
	For next examination year	December	PEB GB and CIPA	
2	Examiners			
	Examiner roles and responsibilities	December	PEB GB	
	Examiner selection criteria and allocation size	December	PEB GB	
	Examiner instructions, induction and training schdeule	December		
	Examiner report formats	December		
	Examiner appraisal criteria	December		
3	Quality assurance of assessment			
	Question paper quality assurance/setting model	December	PEB GB	
	Quality of marking model	September	PEB GB	
	Syllabus review	tbd		
	Question paper production process with third party	December	PEBGB	
	Review of level descriptors for finals and standard setting for foundation papers	December		
4	Policies and Regulations			
	Examination Regulations	September	Candidates/IPReg	
	All PEB policies	September	PEB GB	
5	Communications			
	Approve the annual Publication of Information Schedule for the forthcoming cycle (format and indicative content)	December		

### Appendix 3 – PEB Budget 2015-16

<b>PEB Operating Budget 2015 - 2016</b>			
	<b>2014</b>	<b>2015 (1 QP written)</b>	<b>2015 (2 QPs written)</b>
Number of FC entries	200	190	190
Charge per FC entry	170	180	180
Number of FD entries	638	625	625
Charge per FC entry	250	260	260
LSC entries	0	100	100
Charge per LSC entry	0	300	300
<b>Income</b>			
Foundation Examinations	34000	34200	34200
Final Examinations	159500	162500	162500
LSC Examinations	0	30000	30000
<b>Total Exam Fees</b>	<b>£193,500</b>	<b>£ 226,700.00</b>	<b>226,700.00</b>
<b>Expenditure</b>			
Examiner Fees	96,600	106600	115,700
Examiner Expenses	10,000	7,500	10000
GB Fees		17,850	21,000
GB Expenses	37,800	16,000	16000
Exam Logistics (outsourced)	20,000	20,000	20000
Invigilation	3,500	3500	3500
Printing	200	200	200
Travel Courier	1,000	0	0
Exam Room Hire	25,000	20,000	20000
Bank Charges	50	200	200
Staff costs (CIPA)	10,000	15000	15000
Staff costs (CIPA)	5,000	20,000	20000
On costs @25%	3,750	8750	8750
Misc.	2,000	2000	2000
Development		10000	10000
Accreditation costs		tbc	tbc
<b>Expenditure</b>	<b>214,900</b>	<b>247600</b>	<b>262,350</b>
<b>Balance</b>	<b>-£ 21,400</b>	<b>-£ 20,900.00</b>	<b>-£ 35,650.00</b>

## Appendix 4 – Report to IPReg in June 2014

<b>Report from PEB to IPReg June 2014 on progress towards arrangements for the establishment of the Patent Examination Board</b>
Dear Ann
Please a progress report on the second worksheet of this document. It is based on Appendix 1 to the original submission.
<b>Progress in 2013</b>
In the latter part of 2013, the GB was appointed, examiners recruited or migrated, the examination regulations agreed, and transition arrangements published. Policies were also drafted during this time. These were subsequently approved and/or amended by the GB prior to publication on the PEB website.
<b>Progress in 2014</b>
The GB has met on a monthly basis in 2014, and has established a comprehensive cycle of business which ensures that quality assurance mechanisms are implemented and reported on in a timely fashion.
PEB operations have developed to support these requirements, and to ensure that candidates have the information they require in a timely manner and in a user friendly form.
This has included the development of an interactive examination registration form, and a website.
The PEB is ensuring appropriate contracting of all suppliers of services to the PEB.
A secure workspace area for examiners has been established for the creation and quality assurance of examination question papers.
Future developments include the training and standardisation of marking examiners.
<b>Future</b>
The PEB GB cycle of business ensures that all data and feedback relating to all aspects of PEB governance, independence, and operations is reviewed, and that appropriate amendments are adjustments are made if appropriate.

Report to IPReg June 2014 on progress towards arrangements for the establishment of the Patent Examination Board														
	Key		on target or early				date amended - see comments		issue - see comments				Comments	
	January	February	March	April	May	June	July	August	September	October	November	December		
Entry deadline published	Early				May-14									Published in January 2014
Entry deadline								Aug-14						1 August 2014. See ' Examinations sat' below
Question papers written														On target for printing July 2014
Question papers quality assured							Early							
Examinations sat														Start in September to avoid major religious festivals
Marking period														
Quality assurance of marking														
Result published			Mar-15											
Enquiries about Results process					March to June 2015									
Website updated														
<b>Arrangements for PEB 2014 Examinations</b>														
GB nominations agreed, appointed								2013					New date	Achieved December 2013
Appoint examiners		New date											2013	Completed February 2014
Review and amend Examination Regulations				2014										Completed in with approval in principle, undergoing minor amends May 2014
Determine and publish JEB/PEB transitions arrangements for candidates											2013			Published on JEB and PEB websites
<b>Policies and operational instructions for the following to be agreed and documented:</b>														
Selection, remuneration and appointment of examiners											2013			Established and documented an initial recruitment and selection process. To be further refined post 2014 examinations for 2015 examination cycle.
Publishing entry deadlines	2014													Established and documented Publishing Key Dates Policy
Late entries	2014													Reviewed - unaltered from JEB policy.
Quality assurance of writing of question papers		2014												New draft process being trialled. Will be evaluated and amended as necessary for 2015 question papers.
Quality assurance of marking of question papers		2014						New date						In progress. Standardisation, sampling regimes and marking instructions being finalised ready for 2014 marking.
Invigilation, Malpractice and the conduct of the examinations			2014					New date						Malpractice Policy published. Invigilation and conduct of the examinations work will be completed by end July 2014.

Monitoring of standards between papers, levels and over time		2015 - new date	2014										Policy and methods will be established as part of the QPP and awarding process. Expect to be completed by February 2015.
Publication of results and Certificates				2014									Dates and Policies agreed and published for 2014 examinations.
Enquiries about Results (including appeals)				2014							New date		Policy published. Back office and customer processes to be completed by November 2014.
Data Protection				2014									Data Protection Code published and adopted
Access and Special Arrangements				2014									Policy published. Also policy for Special Considerations
Publication of information				2014									Policy published
Complaints and enquiries						2014							Policy published
Syllabus review						2014		new date					Initial redrafting of syllabi to be completed by Aug 2014 (no change to content). Syllabus review cycle to be established by November 2014.
Conflict of interest						2014							Policy, operations and monitoring established for GB, examiners and suppliers
Confidentiality of assessment materials						2014							Establishing secure shared working space (May 2014), and all involved in examination process have contractual clauses relating to this requirement
Data retention and archiving						2014						new date	Policy to be agreed and implemented by December 2014
Risk Management						2014							Risk register established, populated and monitored by GB
Reporting schedule and content for all of the above						2014							Reporting and monitoring requirements of GB and reporting points to IPReg established and proceduralised. Internal Calendar of Business for GB established.

## Appendix 5 – Report to IPReg in September 2014

<b>Report for PEB GB and IPReg September 2014 on progress towards arrangements for the establishment of the Patent Examination Board</b>
<b>Introduction</b>
This progress report on the second worksheet of this document is based on Appendix 1 to the original submission. All actions that were reported as completed in June 2014 have been removed from tab 2 of this report (progress).
<b>Highlights of Progress June - September 2014</b>
The GB is working as an increasingly effective team, building on the quality assurance and assessment expertise of the Lay Members and the industry and examination expertise of the Patent Attorney Members. The GB has continued to meet on a monthly basis in 2014, barring August 2014, and is currently deciding on its meeting schedule for 2015.
<b>Quality assurance of Marking.</b> We have devised a comprehensive system for ensuring the quality of marking including: examiner instructions, standardisation, monitoring and awarding processes. These procedures follow the best practice used widely across UK examination boards.
<b>Results.</b> We are aiming to issue marks to candidates earlier than the JEB has done previously, without compromising the quality of marking and awarding. This will largely be achieved by close management and monitoring of the marking processes.
We have devised a comprehensive set of <b>Invigilator Instructions</b> , conducted invigilator training and reviewed and published information for candidates for the 2014 examinations.
We have drafted and are implementing a schedule for the <b>Publication of Information</b> to ensure that all stakeholders are kept fully informed of developments.
We have created a comprehensive <b>Risk Register</b> and an <b>Incident Log</b> which are reviewed at least quarterly by the PEB GB to ensure that all known risks are identified and managed effectively.
We have developed a comprehensive <b>review, approval and reporting schedule</b> for items to be considered by the PEB GB. This ensures all key areas are included in a continuous plan-do-review-implement action cycle designed to lead to continuous improvement of the assessments offered by PEB.
<b>Planning</b>
We have reviewed all <b>our policies</b> for 2015 examinations, and these have been approved by PEB GB.
We are reformatting all the <b>PEB syllabuses</b> in-line with best practice in UK examination boards, and renaming and renumbering them. There is no major change to content at this stage, neither have we established a formal syllabus review process pending the outputs of the IPReg review.
By December 2014 we will have carried out a comprehensive review of the newly implemented <b>Question paper process</b> with all stakeholders before considering improvements to the process for the 2015 papers.
We will be seeking the opinions of all major stakeholders via <b>structured questionnaires</b> about the implementation of the 2014 examination cycle to feed into our <b>quality planning</b> for 2015. This will allow candidates, examiners and other stakeholders to provide direct feedback about the examinations in an unprecedented way that reflects the intention of the GB to work in a transparent manner.

Report to IPReg September 2014 on progress towards arrangements for the establishment of the Patent Examination Board													
	Key	on target											
	January	February	March	April	May	June	July	August	September	October	November	December	Comments
Examinations' week										2014			Start in September to avoid major religious festivals
Marking period	2015	2015									2014	2014	
Quality assurance of marking	2015	2015									2014	2014	
Results published			Mar-15										
Enquiries about Results process				March to June 2015									
<b>Arrangements for PEB 2014 Examinations</b>													
Review and amend Examination Regulations								Agreed with IPReg for 2015					Completed undergoing final minor amend requested by IPReg
<b>Policies and operational instructions for the following to be agreed and documented:</b>													
<b>Invigilation, Malpractice and the conduct of the examinations</b>													
Monitoring of standards between papers, levels and over time		2015 (awarding meetings)					Complete						Policy and methods will be established as part of the QPP and awarding process. Expect to be completed by February 2015.
Publication of Results and Certificates				2015									
Enquiries about Results (including appeals)											2014		Policy published. Back office and customer processes to be completed by November 2014.
Publication of information							Complete						Policy and schedule agreed by PEB GB
Syllabus review (reformatting)										2014			Initial redrafting of syllabi to be completed by October 2014 (no change to content).
Data retention and archiving												2014	Policy to be agreed and implemented by December 2014



## Appendix 7 – Complaints log

Status	Student Year	Entered for	Date received	Date acknowledged	Complaint category	1st response day met (within 5 working days)	2nd response date met (if required)
Teacher			21.07.14	25.07.14	Admin	25.07.14	
Student	2014	P6	21.07.14	25.07.14	Admin	25.07.14	
Student	2014	P6	22.07.14	24.07.14	Admin	24.07.14	
Student	2014	P6	22.07.14	24.07.14	Admin	24.07.14	
Student	2014	P6	22.07.14	24.07.14	Admin	24.07.14	
Student	2014	P6	22.07.14	24.07.14	Admin	24.07.14	
Student	2014	P6	23.07.14	24.07.14	Admin	24.07.14	
Student	2014	P6	24.07.14	24.07.14	Admin	24.07.14	
Student	2014	P6	24.07.14	24.07.14	Admin	24.07.14	
Examiner			04.08.14	04.08.14	Change	04.08.14	11.08.14
Examiner			06.08.14	06.08.14	Change	06.08.14	11.08.14
Student	2014	P6	02.09.14	02.09.14	Admin	02.09.14	
Student	2014	P6	02.09.14	02.09.14	Admin	02.09.14	
Teacher			02.09.14	02.09.14	Admin	02.09.14	
Student	2014	P6	02.09.14	02.09.14	Admin	02.09.14	
Student	2014	P6	09.09.14	09.09.14	Change	09.09.14	
Examiner			08.10.14	09.10.14	Admin	09.10.14	
Student	2014	P6	13.10.14	14.10.14		14.10.14	
Examiner			16.10.14	16.10.14	Admin	16.10.14	
Examiner			17.10.14	17.10.14	Admin	17.10.14	
Examiner			21.10.14	21.10.14	Admin	21.10.14	
Student	2014		18.02.15	18.02.15	Change	18.02.15	

## Appendix 8 – Current status of Working Instructions

Log WIs (PEB)	Working Instructions	Status
1	Enrolling students onto Integra	Complete
2	Reasonable Adjustments candidates and special consideration	Complete
3	Exemption requests	Drafted
4	Results (inc. issuing and deadlines)	Drafted
5	EAR (inc. communications)	Drafted
6	Establishing exam period and candidate entry window	Drafted
7	Exam venues and furniture	Complete
8	Invigilation process	Complete
9	QP production process	Complete
10	Sourcing and selecting 3rd party printers	Not started
11	Printing Processes (inc. return of scripts)	Drafted
12	Script allocation	Complete
13	Management and support examiner and exam period	Not started
14	Examiners reports & sample scripts for the website	Drafted
15	Invoices and refunds	Drafted
16	Complaints handling	complete
17	Servicing the Governance Board	Not started
18	Maintaining PEB website	Drafted
19	Emailing PEB examiners & Board members	Complete
20	Prize Giving	Drafted
21	Key Dates	Not started
22	Reporting to the Governance Board	Complete
23	Communications	Complete
24	Examiner recruitment	Drafted

## Appendix 9 – Reasonable Adjustments granted

Examination	Adjustment granted	Number of instances of request
LAW	Extra time	1
D&C	Extra time	1
P1	Extra time	1
P5	Extra time	1
P7	Extra time	1
P2	Extra time	4
P2	Word processor	2
P2	Coloured lenses/overlay/paper	1
P3	Extra time	1
P6	Extra time	6
P6	Word processor	2
P6	Coloured lenses/overlay/paper	1
		<b>TOTAL: 22</b>

## Appendix 10 – Question paper (QP) setting process for 2014

Process stage
1. Initiate QP drafting (training event 6.3.14)
2. 1 <sup>st</sup> draft QP submission deadline 9.5.14
3. Peer Review 9 – 19.5.14 (22.5.14 amended deadline)
4. QPEC meeting by 31/05/14
5. Re-drafting 1-20.06.14
6. Chief Examiner sign-off 18-20.06.14
7. 2 <sup>nd</sup> draft QP submission deadline 20.06.14
8. Scrutineer review 27.06.14 – 4.07.14
9. PE redrafting 4-14.7.14
10. Non-tech proofing (14-17.7.14)
11. FINAL sign off by PE/CE 21.07.14
12. Process report received and noted by GB at July mtg or electronically (24.07.14)

## **Appendix 11 – Question Paper review**

### **1. Introduction and background**

JEB board members were contacted, and insofar as was possible, a picture was established of the setting regimes for the Foundation and Final examination question papers as they had existed under the JEB.

Fees were not paid to JEB members for setting examinations. The PEB has a fee rate per question paper payable to the Principal Examiner.

### **2. 2014 question papers production process and rationale**

The PEB GB required the question paper setting process to be transparent, secure, documented and auditable. Using good practice from other awarding bodies, and the knowledge gained about the extant process, an overall structure for producing the examination question papers for the Qualifying Examinations for use in 2014 was proposed (a) to i) below) and agreed with the Governance Board.

### **3. Proposed question papers production process with narrative explanation of ‘actual’ variations**

#### **a) Principal Examiner drafts question paper and mark scheme**

This was completed, and some final examination questions were drafted collectively and between the team of examiners via documents with passwords which were emailed between examiners.

#### **b) First draft question papers and mark schemes sent to all Principal Examiners for a stage**

This was completed using Google drive.

#### **c) QPEC chaired by a GB lay member attended by all PEs for a stage. QPs and mark schemes amended**

Meetings were chaired by the Chief Examiner, and the GB lay member in attendance recorded that due process was followed along with any other issues arising.

There were issues to do with who was producing and inserting the diagrams for use in the final examination question papers, in what format, and when.

There were issues to do with who was typesetting the rubric and examination question papers.

#### **d) PE submits second draft of the QP and mark scheme to PEB admin**

This was done, via the Google drive. Second QPECs were then held for the final examination question papers.

#### **e) Proof reading and scrutineering**

It was decided not to use the scrutineer at this stage, and to delay the proof reading until nearer the end of the process.

#### **f) PE received comments and makes amendments to QP and mark scheme**

#### **g) Final draft of QP and mark scheme sent to PEB admin**

Stages f and g involved multiple iterations using the Google drive.

#### **h) Proof read and amends made**

This stage was achieved via an external proof reader and PEB administration. There were issues as to who was inserting the proof reader marks, and who was checking that they had been made accurately.

**i) CE and PE sign off the QP and mark scheme**

This was the final sign off.

An additional stage involved checking the 'pass for print' proof received from the printer. This was done by PEB administration as authorised by the GB.

**4. Data sources for this review**

Graphic services supplier

PEB administration

Foundation PE Examiners

Final PE Examiners

PEB GB members

Written sources (QPEC evaluation forms, examiner and emailed comments)

**5. Issues addressed in the review**

	<b>Issue</b>	<b>Source/Perspectives sought</b>
1	Use of Google drive <ul style="list-style-type: none"> <li>• QP labelling/version control</li> <li>• User error/rework</li> <li>• Recording progress of papers through process</li> </ul>	PEs PEB admin PEB GB
2	Collaboration of examiners prior to first draft	Final PEs only
3	Examiner Communications	PEs PEB admin PEB GB
4	Recording, format/agenda of QPEC meetings	PEs PEB GB members
5	Actions arising from QPEC meetings	PEs PEB admin PEB GB members
6	Number and timing of QPEC meetings	PEs PEB GB
7	Question paper rubrics	PEB admin PEs PEB GB
8	Mark schemes <ul style="list-style-type: none"> <li>• Quality and consistency of mark schemes</li> </ul>	PEB GB PEB admin PEs
9	Scrutineer process	PEs PEB GB PEB admin
10	Proof reading	PEs PEB GB PEB admin
11	Time table for production	PEs PEB GB

		PEB admin
12	Ownership and responsibility for stages of the question paper setting process	PEs PEB GB PEB admin
13	Production and insertion of technical drawings	PEB admin PEs for P3,4 and 6
14	Identifying and recording deliberate 'errors' in the final examination question papers	PEs all finals PEB admin

## 6. Summary of findings using data sources

	Issue	Overview
1	Use of Google drive <ul style="list-style-type: none"> <li>• QP labelling/version control</li> <li>• User error/rework</li> <li>• Recording progress of papers through process</li> </ul>	Main issues were the filing view and loss of formatting.
2	Collaboration of examiners prior to first draft	Final examiners used emails with pass words
3	Examiner Communications	General feeling that examiners were not given enough information in a timely fashion.
4	Recording, format/agenda of QPEC meetings	Lack of clarity about how the changes are recorded by whom, and purpose of GB pro forma. That being said 4 out of 6 respondents thought it was clear what they had to do. By and large agenda followed, but greater clarity requested on the purpose of the meeting, who does what afterwards, and who makes decisions would be helpful.
5	Actions arising from QPEC meetings	See 4. One suggestion was that changes are made in real time electronically.  Polarity of views – one thought PE responsible enough to note and make changes, another thought every change should be logged.
6	Number and timing of QPEC meetings	No real issues. One felt that Foundation QPECs should be a full day.  CE finals and JG there should be a 'drafting/ideas' meeting prior to the two QPECs for P3, 4 and 6. Timing was thought to be OK within the process.
7	Question paper rubrics	No significant issues with changes made.
8	Mark schemes <ul style="list-style-type: none"> <li>• Quality and consistency of mark schemes</li> </ul>	Majority though producing them at same time as QP was good, and some would welcome further training/discussion re consistency of the allocation of marks

		across the different papers.
9	Scrutineer process	Majority in favour of having paper 'worked' prior to QPEC.
10	Proof reading	No significant comments. One noted ALL proof reader amends should be approved by the PE.
11	Time table for production	No one made suggestions as to how it may be shortened, other than starting it earlier i.e as soon as marking completed. In order to produce two papers some thought they could two could be commissioned together.
12	Ownership and responsibility for stages of the question paper setting process	See 4.
13	Production and insertion of technical drawings	Only one response.
14	Identifying and recording deliberate 'errors' in the final examination question papers	
15	Other comments (not already covered in 1-14)	<p>Training welcomed, and standardised advice on how to refer to laws, official bodies, dates, fonts etc</p> <p>Checking and signing off of the final draft to be clarified.</p> <p>Some observations that not all participating examiners were clear about their role and authority in the QPEC.</p> <p>Technology unreliable in QPECs.</p>

## 7. Recommended actions/issues for discussion

	Issue	Potential action	Decision/Comment
1	Use of Google drive <ul style="list-style-type: none"> <li>• QP labelling/version control</li> <li>• User error/rework</li> <li>• Recording progress of papers through process</li> </ul>	Explore alternatives suggested by responders.  Await CIPA IT developments which should offer this as a solution.  Revert to either a) emailed documents with passwords or b) some combination of google drive and documents with passwords	In hand Dec 2014. If no suitable alternative, adopt b).
2	Collaboration of examiners prior to first draft	See 1.	As 1.
3	Examiner Communications	Ensure clear timetable	

		<p>published, with who is accountable for what at what stage identified.</p> <p>Create Examiner instructions (and templates) for QP setting to include standardised referencing and use of fonts (currently in production). These will be refined at the proposed February examiner training meeting.</p> <p>Ensure by communications or training that all examiners are aware of the importance of their role in critiquing QPs and mark schemes.</p>	
4	Recording, format/agenda of QPEC meetings	<p>a) PE is responsible for making amends.</p> <p>b) PE and CE sign off final versions established</p> <p>c) Review and amend GB monitoring form (GS/H M-H)</p> <p>d) PEB admin to be made responsible for making sure any issues arising from c) are actioned and recorded as actioned.</p>	
5	Actions arising from QPEC meetings	See 4.	
6	Number and timing of QPEC meetings	<p>Consider 3 QPECs for Finals, the first being an 'ideas/drafting' meeting.</p> <p>Consider whole day QPEC for Foundation.</p>	
7	Question paper rubrics	No action, other than to review them again, and remove any remaining anomalies/make further improvements to consistency and layout.	
8	<p>Mark schemes</p> <ul style="list-style-type: none"> <li>Quality and consistency of mark schemes</li> </ul>	<p>Training day planned for February to include this.</p> <p>See 3 above and 15 (in</p>	

		section 6).	
9	Scrutineer process	Introduce this for all papers for 2015.	
10	Proof reading	No comments, but particular issues the proof reader needs to look out for to be included in a proof reader brief.	
11	Time table for production	Start process in March 2015 and commission two papers.  Consider question paper setting day as an alternative model (used for LSC).	Still awaiting outputs of IPReg review which may affect the need for this for some papers.
12	Ownership and responsibility for stages of the question paper setting process	See 4.	
13	Production and insertion of technical drawings	Work with relevant examiners and new technical drawing and print suppliers to establish a robust documented system.	
14	Identifying and recording deliberate 'errors' in the final examination question papers	PEs to be asked to identify these at start of and during process. Proof reader to be informed as part of brief.	
15	Other	Should all proof reader amends be checked by PE?  Working Instructions to state that all examiner meetings to be set up as WebEx to minimise chance for disruption.	

## Appendix 12 – Report on results

PEB Qualifying examinations												Patent Examination Board
2014 examination pass rates												
		2014	2013	2012	2011	2010	2009	2008	2007	2006	2005	2004
Foundation	D&C	69.23%	75.68%	81.82%	65.63%	70.27%	64.86%	47.27%	68.33%	69.09%	84.21%	74.60%
	Law	91.89%	85.71%	88.24%	90.00%	68.00%	61.70%	61.54%	69.44%	71.11%	65.22%	66.22%
	P1	90.32%	94.44%	73.53%	89.47%	89.47%	82.76%	100.00%	84.00%	89.29%	84.00%	91.67%
	P5	83.78%	82.86%	78.13%	85.71%	75.00%	93.10%	93.75%	80.65%	86.67%	86.67%	83.67%
	P7	94.70%	88.89%	96.15%	86.21%	83.33%						
Finals	P2	67.79%	54.65%	48.85%	52.17%	54.17%	50.62%	66.51%	59.72%	51.53%	51.08%	43.50%
	P3	50.89%	58.88%	53.54%	51.30%	45.35%	60.33%	55.56%	44.14%	50.36%	51.77%	43.24%
	P4	60.19%	68.63%	62.50%	57.28%	55.81%	65.35%	39.34%	57.01%	44.78%	50.34%	37.25%
	P6	41.62%	43.61%	36.45%	42.92%	54.21%	39.17%	40.87%	55.69%	46.40%	44.40%	46.01%

### Appendix 13 – Report on Incidents

No	Narrative	Reported	When	Decision	Actions taken/planned
1	Theft of examiner laptop	To GB Chair	23.06.2014	No compromise	<ol style="list-style-type: none"> <li>1. Instructions to examiners on reporting incidents</li> <li>2. Common secure area for pre-draft collaboration</li> </ol>
2	Final version of Foundation examination (for hard copy proof) papers delivered to incorrect address (no. 52 instead of no. 51)	To PEB Admin	08.08.14	No Compromise	<ol style="list-style-type: none"> <li>1. Confirmed recovery of papers on 10.08.14 and confirmed parcel had not been opened/tampered with.</li> <li>2. Complaint raised with DHL.</li> <li>3. Error discovered to be internal CIPA admin error in online booking process. This has been addressed internally.</li> </ol>
3	QP Tester returned e-mail with the Final version of a Litigation Skills paper and mark scheme copying in two of his secretaries	Detected by PEB admin	04.02.14	No compromise	<ol style="list-style-type: none"> <li>1. Tester reprimanded and instructed Tester to ask both Secretaries to delete the e-mail</li> <li>2. Tester wrote e-mail of apology and confirmed that his secretaries had not opened the e-mail and he stood at their desks while the email was deleted.</li> <li>3. Confirmed Tester's will use personal e-mail in future</li> </ol>

#### Appendix 14 – Report on candidate entries

Year	D&C	Law	P1	P2	P3	P4	P5	P6	P7
2014	39	40	35	183	113	105	39	224	38
2013	37	35	36	172	107	102	35	227	36
2012	33	34	35	174	99	104	33	214	26
2011	32	30	38	161	115	103	35	212	33

## Appendix 15 – Student Survey 2014

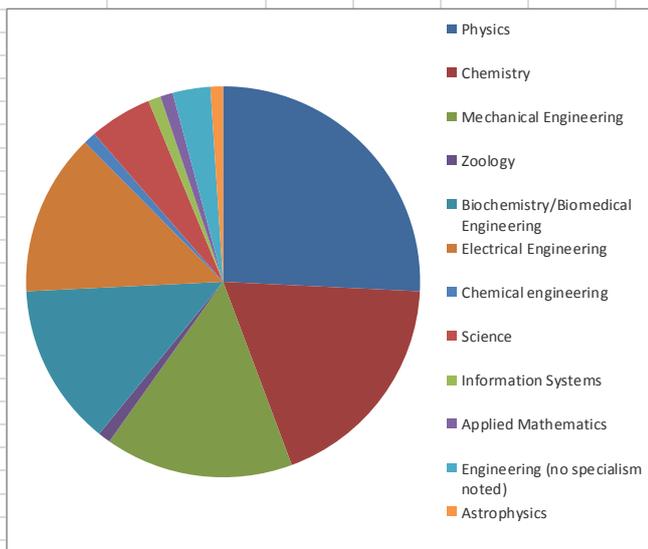
### Question 1

#### PEB Examinations 2014 Student survey

Please state the specialisation of your STEM degree (if applicable).

Answer Options	Response Count
	97
<b>answered question</b>	<b>97</b>
<b>skipped question</b>	<b>7</b>

Number	Response
25	Physics
18	Chemistry
15	Mechanical Engineering
1	Zoology
13	Biochemistry/Biomedical Engineering
13	Electrical Engineering
1	Chemical engineering
5	Science
1	Information Systems
1	Applied Mathematics
3	Engineering (no specialism noted)
1	Astrophysics

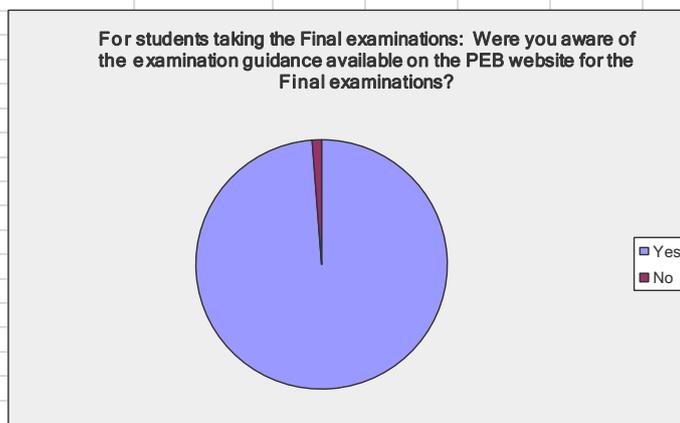


### Question 2

#### PEB Examinations 2014 Student survey

For students taking the Final examinations: Were you aware of the examination guidance available on the PEB website for the Final examinations?

Answer Options	Response Percent	Response Count
Yes	98.8%	84
No	1.2%	1
<b>answered question</b>		<b>85</b>
<b>skipped question</b>		<b>19</b>



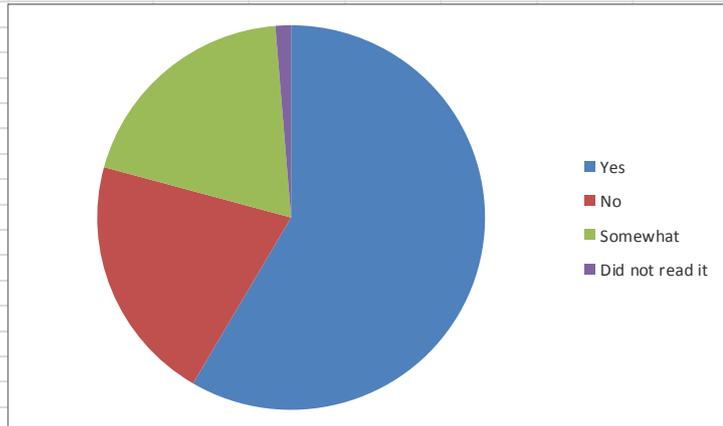
### Question 3

#### PEB Examinations 2014 Student survey

If yes, did you find this guidance useful in the preparation for your examination(s)?

Answer Options	Response Count
	80
<i>answered question</i>	<b>80</b>
<i>skipped question</i>	<b>24</b>

Number	Response Text
45	Yes
16	No
15	Somewhat
1	Did not read it



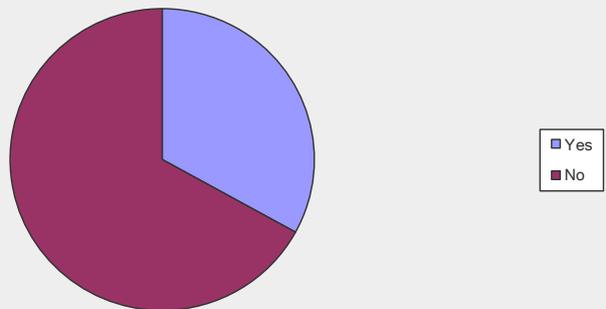
### Question 4

#### PEB Examinations 2014 Student survey

For students taking Foundation and Final examinations: Were you aware of the changes to the rubric for the examination papers? If yes, go to question 5. If no, go to question 6.

Answer Options	Response Percent	Response Count
Yes	33.0%	30
No	67.0%	61
<i>answered question</i>		<b>91</b>
<i>skipped question</i>		<b>13</b>

For students taking Foundation and Final examinations: Were you aware of the changes to the rubric for the examination papers? If yes, go to question 5. If no, go to question 6.



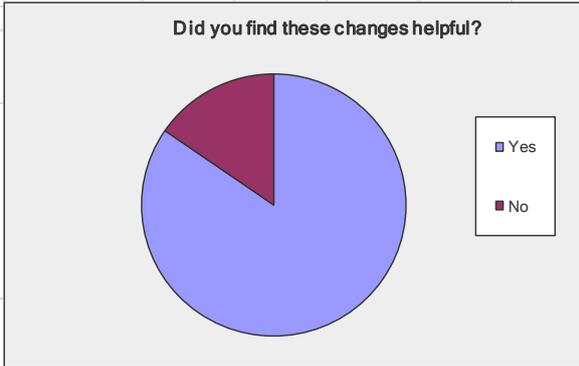
### Question 5

#### PEB Examinations 2014 Student survey

Did you find these changes helpful?

Answer Options	Response Percent	Response Count
Yes	84.6%	22
No	15.4%	4
Other (please specify)		5
<b>answered question</b>		<b>26</b>
<b>skipped question</b>		<b>78</b>

Number	Other (please specify)
1	Don't understand the question
2	To be honest, I remember that they have changed, but I can't remember how.
3	the only change I was aware of was to P4 on the day, I noticed that it seemed much less clear re. whether divisional claims were required. I do strongly feel changes like this should be advertized in advance - there is enough pressure already without being thrown off ballance on the 1st page!
4	I only answered 'yes' because I think Q4/5 is bizarre and you should be more specific in what you mean.
5	Rules are rules.

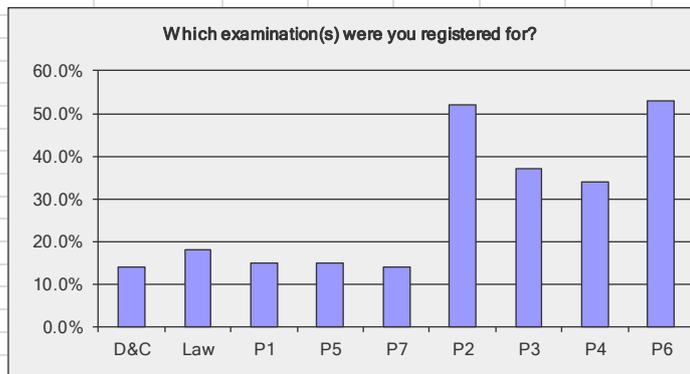


### Question 6

#### PEB Examinations 2014 Student survey

Which examination(s) were you registered for?

Answer Options	Response Percent	Response Count
D&C	14.0%	14
Law	18.0%	18
P1	15.0%	15
P5	15.0%	15
P7	14.0%	14
P2	52.0%	52
P3	37.0%	37
P4	34.0%	34
P6	53.0%	53
<b>answered question</b>		<b>100</b>
<b>skipped question</b>		<b>4</b>

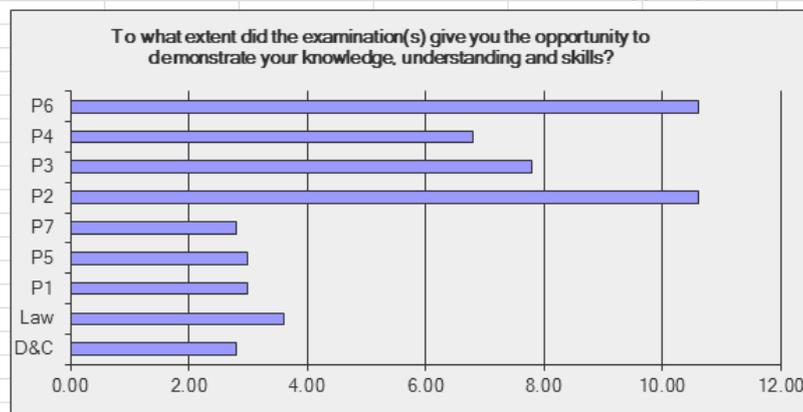


## Question 7

### PEB Examinations 2014 Student survey

To what extent did the examination(s) give you the opportunity to demonstrate your knowledge, understanding and skills?

Answer Options	Very poorly	Poorly	Satisfactory	Well	Very well	Did not sit paper	Rating Average	Response Count
D&C	0	3	6	5	0	33	2.80	47
Law	0	0	8	7	3	32	3.60	50
P1	0	2	5	2	6	34	3.00	49
P5	2	4	6	3	0	33	3.00	48
P7	0	6	5	3	0	33	2.80	47
P2	0	6	19	22	6	20	10.60	73
P3	1	5	11	19	3	19	7.80	58
P4	4	6	8	13	3	22	6.80	56
P6	6	9	14	17	7	19	10.60	72
<i>answered question</i>								<b>101</b>
<i>skipped question</i>								<b>3</b>



## Question 8

### PEB Examinations 2014 Student survey

Do you have any other comments regarding the PEB examinations?

Answer Options	Response Count
	55
<i>answered question</i>	<b>55</b>
<i>skipped question</i>	<b>49</b>

No. of responses	Response type	Specific paper?
14	Venue	
10	Administration	
10	Examination paper - Foundation	5 - D&C; 2 - P1; 2 - P5; 5 - P7
25	Examination paper - Finals	7 - P2; 2 - P3; 5 - P4; 7 - P6
1	Answered question with "No"	

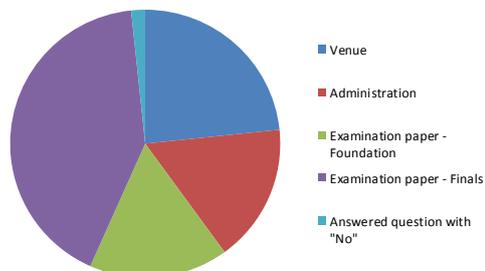
Venue		Action taken
2	Noise levels	Noted for 2015 examination preparation
2	Issue with having multiple venues	Noted for 2015 examination preparation
6	Positive regarding new venue	

Administration		Action taken
2	Positive regarding administration	
2	Issue with use of CIPA membership number as candidate registration number	Proposal for alternatives presented to GB
4	Issue with confirmation of registration process	Noted for 2015 examination preparation
2	Issue with invigilators at examination venue	Noted for 2015 examination preparation

Examination paper - Foundation		Action taken
5	Syllabus coverage	Sent to PE and CE; Noted for Syllabus review meeting
3	Length of time available to answer questions	Sent to PE and CE; Noted for possible use of scrutineer
1	Request for examiner's comments to provide complete answers to the examination questions	Sent to PE and CE; Noted for template for examiner's reports

Examination paper - Finals		Action taken
11	Length of time available to answer questions	Sent to PE and CE; Noted for possible use of scrutineer
4	Syllabus coverage	Sent to PE and CE; Noted for Syllabus review meeting
5	Request for examiner's comments to include worked answers/marks awarded for sample pass scripts	Sent to PE and CE; Noted for template for examiner's reports

No. of responses & response type

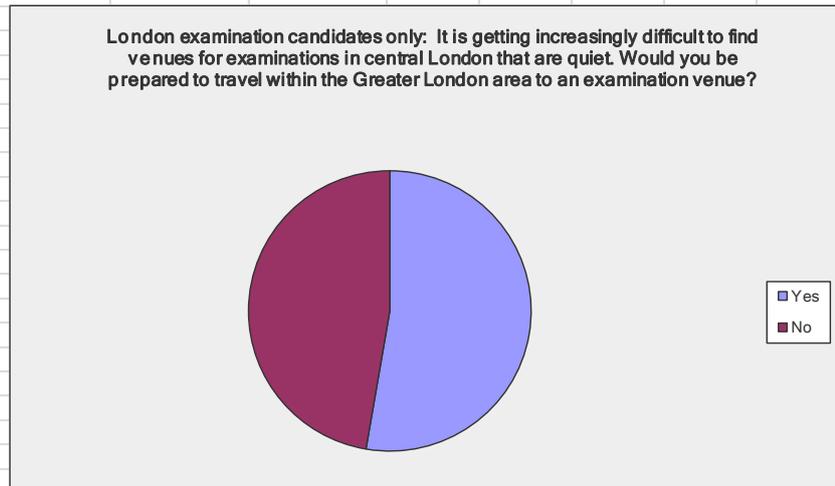


### Question 9

#### PEB Examinations 2014 Student survey

London examination candidates only: It is getting increasingly difficult to find venues for examinations in central London that are quiet. Would you be prepared to travel within the Greater London area to an examination venue?

Answer Options	Response Percent	Response Count
Yes	52.7%	29
No	47.3%	26
<b>answered question</b>		<b>55</b>
<b>skipped question</b>		<b>49</b>

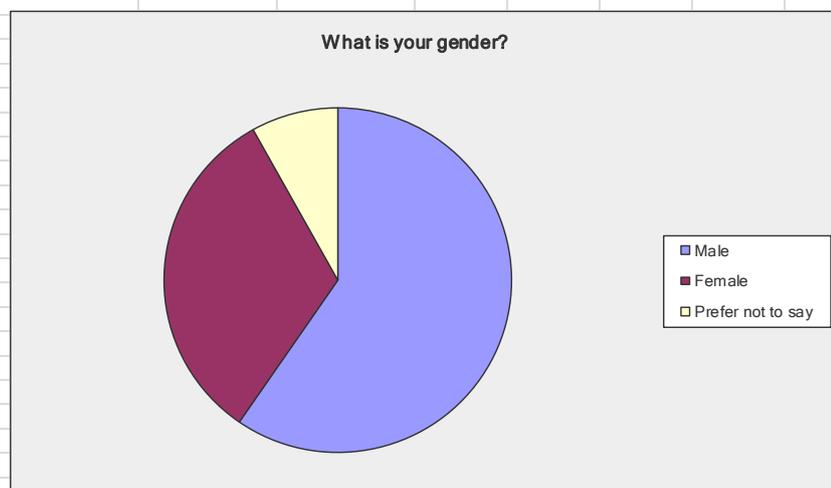


### Question 10

#### PEB Examinations 2014 Student survey

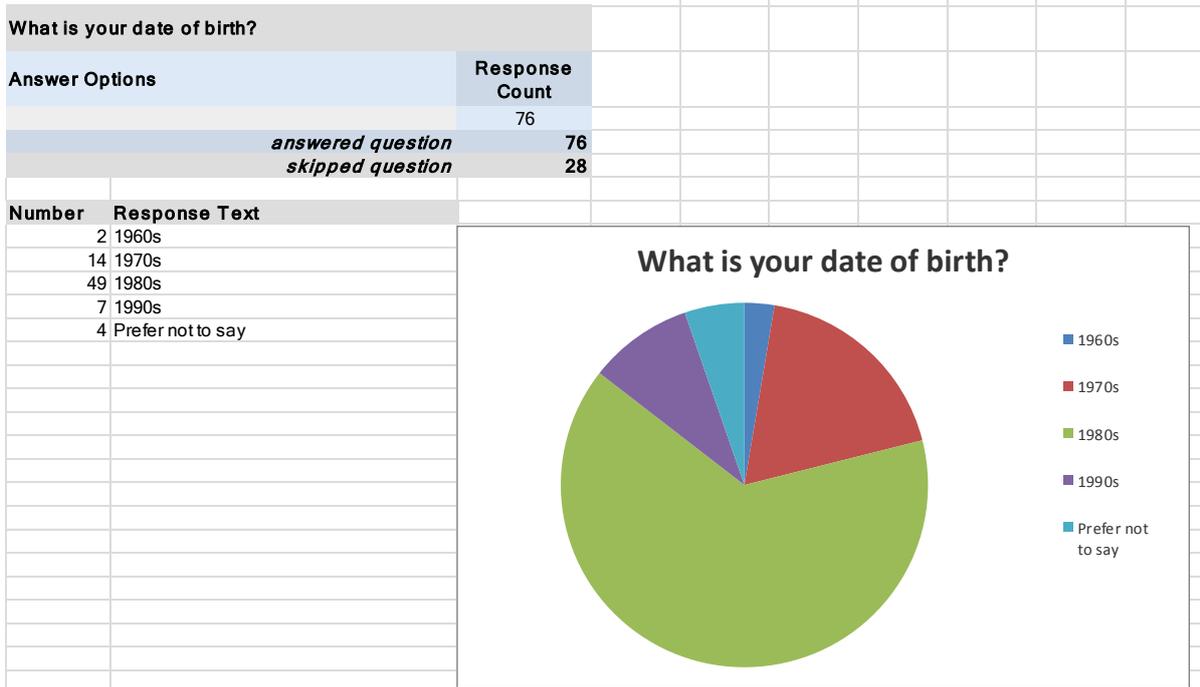
What is your gender?

Answer Options	Response Percent	Response Count
Male	59.6%	59
Female	32.3%	32
Prefer not to say	8.1%	8
<b>answered question</b>		<b>99</b>
<b>skipped question</b>		<b>5</b>



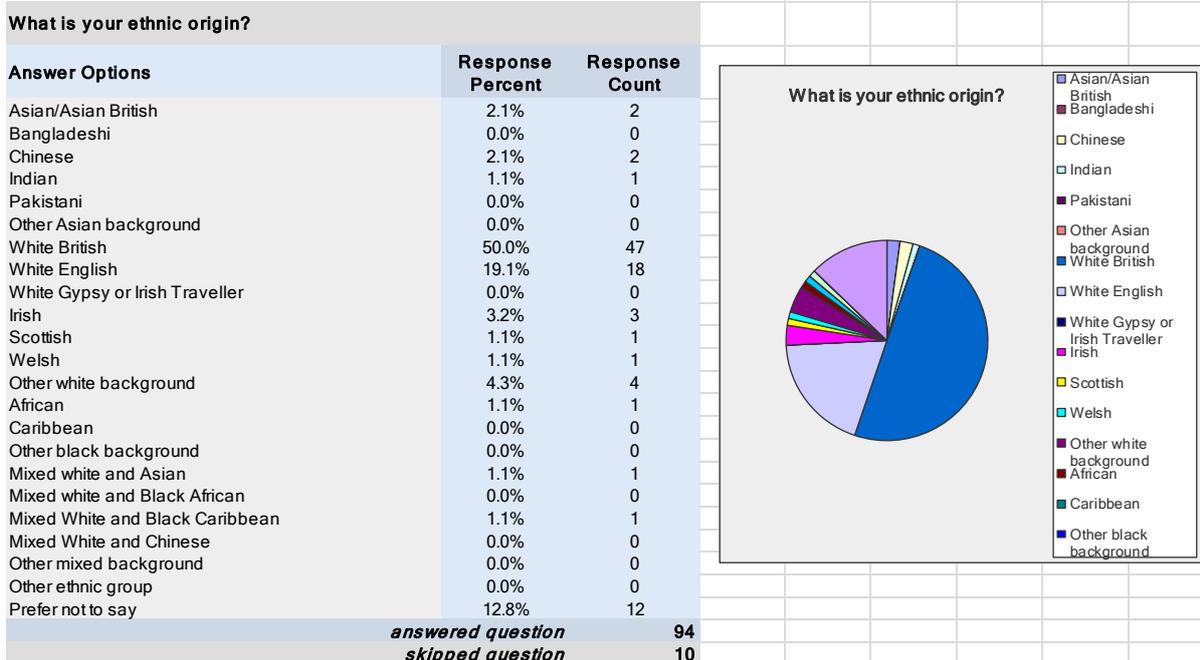
### Question 11

#### PEB Examinations 2014 Student survey



### Question 12

#### PEB Examinations 2014 Student survey

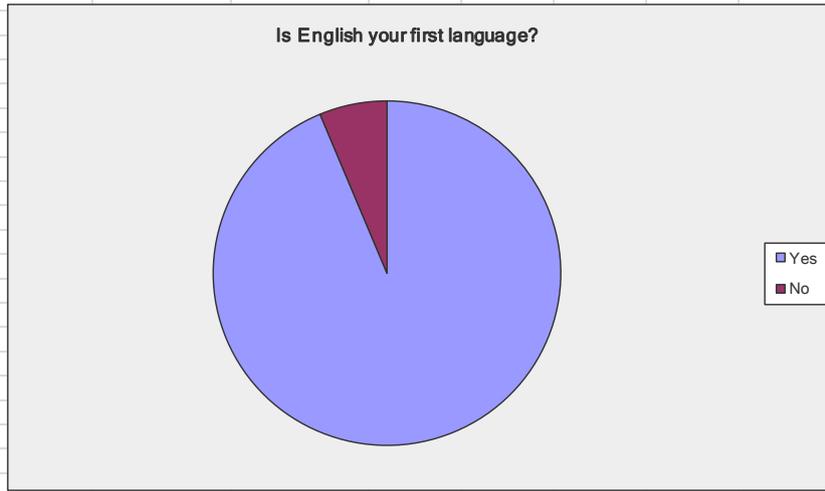


### Question 13

#### PEB Examinations 2014 Student survey

Is English your first language?

Answer Options	Response Percent	Response Count
Yes	93.8%	90
No	6.3%	6
<b>answered question</b>		<b>96</b>
<b>skipped question</b>		<b>8</b>



Question 14

PEB Examinations 2014 Student survey

If English is not your first language, please state your first language.	
Answer Options	Response Count
	5
<i>answered question</i>	<b>5</b>
<i>skipped question</i>	<b>99</b>
Number	Response Text
1	Spanish
2	Cantonese
3	French and Spanish
4	Russian
5	Hindi

Question 15

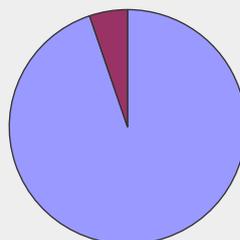
PEB Examinations 2014 Student survey

The Equality Act 2010 defines a disabled person as someone who has a physical or mental impairment which has a substantial and long-term

Answer Options	Response Percent	Response Count
No	94.8%	92
Prefer not to say	5.2%	5
Yes (please specify)		2
<i>answered question</i>		<b>97</b>
<i>skipped question</i>		<b>7</b>

Number	Yes (please specify)
1	dyslexia/dyspaxia
2	Deaf

The Equality Act 2010 defines a disabled person as someone who has a physical or mental impairment which has a substantial and long-term adverse effect on their ability to carry out normal day-to-day activities. Do you consider yourself to be disabled?



■ No  
■ Prefer not to say