

**Patent Examination Board
Self-Assessment Report**



Patent Examination Board

Self-assessment report

April 2016

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Patent Examination Board Self-Assessment Report

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Patent Examination Board Self-Assessment Report

Foreword

The Patent Examination Board (PEB) has now been operating for two full years and this is our second annual report.

Two themes underpinned the first year of our operation: first, the need for greater transparency and second to ensure that the needs of candidates were our primary concern.

These themes have continued to be central to our work. All PEB policies and procedures are fully operational, clearly documented and available on our website. In addition to being more transparent than in the past, they comply with best practice in the world of examinations. These are reviewed and revised as necessary on an annual basis.

We have established good channels of communication with representatives of the CIPA Informals who bring to our attention issues of concern to PEB candidates. We strive to meet the needs of candidates, whilst at the same time maintaining the integrity of the examinations. For example, we are providing a detailed breakdown of marks on sample examination scripts from 2015 and examiners' reports provide useful information which candidates tell us they value. We are currently considering ways in which the PEB might provide additional support to candidates, but there are complex issues about conflicts of interest that an examination board needs to assure itself about before committing to particular support mechanisms.

External review and validation of the PEB has been a new and extremely important aspect of our work this year. The Quality Assurance Agency (QAA) for Higher Education completed a [review](#) in June 2015. Whilst pleased with QAA's commendations of good practice in key areas of the qualifying examinations and their quality assurance, we are not complacent, and recognise that further improvements need to be made and have developed an [Action Plan](#) to take forward the recommendations. In particular, during 2016 we will be undertaking important reviews of the rationale and structure of the Foundation Certificate examinations and we will be working alongside IPReg on research into the historically low pass rates in FD4 (P6).

The qualifying examinations represent the PEB's core activity. However, during 2015 we have also developed and successfully implemented the examinations for the Intellectual Property Certificates in Litigation (IPLC) and the Introductory Certificate in Patent Administration (ICPA). The Governance Board is indebted to the work (much of it behind the scenes) of all the PEB examiners and of the CIPA staff seconded to work on PEB qualifications – without them, the achievements detailed in this report would have been impossible.



Robert Taylor, Chair of the PEB Governance Board (GB)

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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 data by which to monitor improvements in subsequent years.

This is the first PEB self-assessment report that provides comparison data by which to measure trends and the effect of improvements.

Introduction

The report covers the period January 2015 to March 2016. Future reports will cover the period April to March. This change is to accommodate the reporting on the Introductory Patent Administrator's Course examinations (see below). During this period the PEB GB continued with its policy of quality and service improvements. The PEB also adopted, in addition to the Qualifying examinations, the delivery of the examinations related to the CIPA Litigation Skills Course (LSC) which is IPReg regulated and the CIPA Introductory Patent Administrator's Course (IPAC). This report relates to all these examinations for the period.

The objectives in 2015 were to:

- provide further improved transparency for candidates;
- provide further support for candidates;
- embed and build on quality processes introduced in 2014;
- safely deliver the IPLC examinations
- effect a seamless transition from the previous regime to the PEB for the ICPA examinations;
- act on recommendations in the June 2015 QAA report relating to the qualifying examinations;
- ensure candidates could have confidence in the examinations offered by the PEB.

The PEB GB approach to quality is to:

- follow 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 met formally as follows:

March 2015;

June 2015;

September 2015;

December 2015; and

March 2016.

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It held a teleconference in October 2015 to discuss urgent matters relating to correspondence with IPReg about the QAA Report and the IPReg Foundation Review.

All the meetings were quorate. The standard agenda (published in the [PEB's 2014 Self-Assessment Report](#)) was used at all formal meetings with other items being added as required, and in accordance with the GB approval and reporting schedule (Appendix 1).

The GB re-elected Hilary Maxwell-Hyslop to serve on the board as a lay member for a further three years, and approved Dr Robert Taylor to serve as chair for a second year. Debbie Slater was selected and appointed as the second Patent Attorney member of the GB to replace the outgoing Tony Luckhurst whose period of office ended in this period. There were no other changes.

Terms of Reference (ToR)

The ToR were agreed by the GB in September 2014. They were designed to be read and used alongside the PEB Constitution.

The QAA independent review of the PEB recommended that:

as part of its Self-Assessment for 2015, PEB should explicitly consider the progress which it has made on each of its Terms of Reference and the continued relevance of these.

Appendix 2 provides progress made against the ToR as of April 2016. Each item is thought to be of continuing relevance unless a comment is made about possible alternative future actions.

Financial matters

The PEB held an operating surplus of £31,648 at accounting year end March 2015. It budgeted for and expects to return an operating loss for the financial year 2015 – 2016 as it made provision for the production of bank papers for the qualifying examinations.

The PEB has developed and adopted in agreement with IPReg a Minimum Reserve Policy (Appendix 3) and a Budgetary Policy (Appendix 4).

The 2016 – 2017 forecast budgets can be found at Appendix 5.

Reporting and approvals

Appendix 1 presents the PEB GB reporting and approval schedule. Since the 2014 report this schedule no longer has the interim reports submitted to IPReg during the PEB's first year of operation, and 'Procedures' has been added to the approvals schedule.

In addition to approving [policies](#) to accommodate the IPLC and ICPA, the PEB GB has amended three policies (Appeals, Malpractice and Exemptions) for all 2016 examinations, and developed and published the Missed Examination Policy.

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Complaints report

The complaints report is submitted to the GB in March of each year. Complaints are handled in accordance with working instructions which mirror the published PEB Customer Feedback Policy.

Compared to 2014 there were fewer complaints, the majority from students of the IPAC.

In 2014 there were 21 complaints from teachers, examiners and students. They fell into two categories - administration (18 complaints) and change (three complaints). In this reporting period there were eight complaints; five from students related to the ICPA examination in London, and two related to the qualifying examinations. Please see Appendix 6 for the 2015 – 2016 Complaints log.

Enquiries about Results (EAR) received and processed with outcomes

Appendix 7 compares the numbers of EaRs received to date in 2015 – 2016 with those received in 2014 – 2015. The numbers of EaRs lodged remained steady, and as the total entry size has gone up they represent a smaller percentage of the entry. To date one Enquiry about Results enquiry at Stage 2 has resulted in a change to the mark awarded from a pass to a fail.

Status of PEB working instructions

The PEB administration has completed 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. These are reviewed and are amended at least annually or as required. Some will be rewritten shortly as the PEB will adopt the new CIPA database for the enrolment of students in 2015 – 2016.

Issues arising from Examiners' reports

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 2016, and appropriate action is being taken where necessary and agreed.

Reasonable adjustments granted

Candidates apply for reasonable adjustments on the examination application form. A report comparing adjustments requested and granted in 2014 with those in 2015 can be found at Appendix 9. As a percentage of the entry the numbers for qualifying examinations remain steady (3 – 4%) and for ICPA and IPLC this data is presented as benchmark data for future iterations. There were no requests for reasonable adjustments for the IPLC examinations. The PEB is currently exploring the presentation of its written examination papers to make them more accessible.

Special Consideration requests made

A report comparing special consideration requests received by examination and considered at awarding meetings can be found at Appendix 10. There was an increase in requests from qualifying examination students principally in relation to outside noise at one venue. As a result the venue checklist has been amended to research about the possibility of one-off events or festivals being staged outside the venue at the examination time. All special consideration requests were reported at the relevant awarding meeting. The results of candidates who had lodged a special consideration were considered statistically against the cohort as a whole. No adjustments were made.

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Quality Assurance of the setting process

The quality assurance process for the setting question papers, described in the [2014 version](#) of this report, was adopted for the examination papers written in 2015. A schedule of a typical question paper production process, adopted for all question paper setting, can be found in Appendix 11.

Quality Assurance of the marking process

All examiners were required to attend a standardisation meeting at which the marking of common scripts was intended to be reviewed and the mark scheme was scrutinised and amended. Not all the Final Diploma Examination standardisation meetings achieved the aim of full standardisation at the meeting, as not all the mark schemes were at the required level of detail. This was addressed during the meeting so all examiners left with detailed knowledge of the mark scheme. As before, new examiners had to submit a mid-marking sample of their marking to their supervisor.

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

IPLC and ICPA examination scripts are marked in one day at a marking meeting. This has proved effective in terms of efficiency, setting the standard, and permits close monitoring and clerical checking of marking. It has also facilitated a short period of time (approx. one month) from the examination day to results issue date.

Awarding meetings, following a set agenda, were held for all examinations. At each meeting rank order, conflict of interest, special consideration, malpractice and any issues from invigilator reports were considered. Statistical analysis of various kinds are also used at these meetings before deciding on the final marks to be awarded.

Number of administrative appeals lodged and outcomes

One administrative appeal was lodged against a decision not to allow a candidate to sit an examination at a time after the published time. The board upheld its original decision. The PEB has for 2016 examinations published a [Missed Examinations Policy](#).

Results and pass rates

Results were issued on the published dates. The qualifying examination pass rates generally fell within previous boundaries as displayed in Appendix 12, although some annual changes were noted. The pass rates for IPLC were close to 100%, and the ICPA data is provided as a benchmark. The ICPA pass rate is in line with the pass rate from the previous CIPA Patent Administration Course. The results data are reviewed after each examinations series to determine whether there are any assessment issues that need to be taken into account for the next series.

Incidents

There were three minor incidents (three also in 2014) reported to the PEB GB for this reporting period. None required remedial action, as the decision was that none of the incidents resulted in a compromise of the assessment materials. See Appendix 13 for the incidents reported in this reporting period.

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Risk Register

The PEB risk register is updated and reviewed at least quarterly. Its status as of 7 March 2016 is shown in Appendix 14. Two issues under close scrutiny during the year have been migration by CIPA to a new database and a new website, and the potential impact of IPReg policies to the financial viability of the PEB.

Issues arising from invigilator reports

Invigilators were trained and issued with instructions. All examinations were fully staffed, and invigilators were required to submit a report on each examination within twenty four hours of the examination. Matters arising were compiled and reported to the awarding meetings, where, if required, actions were taken.

Quality and status of examiners

The 2015 examinations were fully resourced from the examiner perspective. There were two new Principal Examiners appointed to the Foundation Certificate, and some new marking examiners to the Final Diploma. The unexplained absence of a Principal Examiner during the marking period was addressed quickly, and that vacancy has now been permanently filled.

IPLC and ICPA examiners were successfully recruited and trained.

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. Where appropriate feedback was given to the examiner.

Exemptions granted

There was one exemption granted for FC2 English Law on the basis of a recognised Law Degree.

Examination Entries

There was a rise 2015 entry data increase of 35% in entries for Foundation Certificate and a 1.5% decrease in Final Diploma entries.

The detail can be found at Appendix 15.

The IPLC and ICPA data is provided as benchmark data for future years.

Third party suppliers

The hoped for benefits of a new supplier of print and distribution have been realised, and the PEB expects to continue to work with them in 2016 and 2017. The benefits were felt by candidates, invigilators, examiners and PEB administration. The new technical drawing supplier was less successful but we have given feedback, and the PEB will continue to work with them in 2016.

Surveys

PEB GB again surveyed students after the 2015 examinations. A summary analysis and the full report is published [here](#).

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As in 2014, the 2015 all the qualifying examination examiners have been surveyed as to their views of the quality assurance of marking, including standardisation and supervision, awarding and the trial use of the competence descriptor. The results of this survey will be shared with all examiners, and used by the PEB GB and the Examinations Committees to further refine these processes.

Syllabus review

There were no significant changes to the qualifying examinations syllabuses. The LSC and IPAC syllabuses were new in 2015.

Summary

The PEB has continued to update and refine its policies and procedures to ensure it accommodates any new qualifications and reflects best practice in the field of examinations and qualifications.

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.

It has considered and is acting upon the recommendations in the QAA Report in agreement with IPReg. Many of the actions following the recommendations have been completed, but there is important work relating to a review of the rationale and structure of the Foundation examinations and a review of performance in FD4 (P6) to be completed during 2016.

On results days, in addition to the candidates' unmarked answer scripts, the examiners' reports, the mark schemes being published on the PEB website, the PEB have, in response to candidate requests also shown the breakdown of marks awarded for each answer script published. It is also seeking ways of further improving feedback to candidates, perhaps through an examiner commentary on a marked script.

The PEB has trialled the use of 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. This topic will form the subject of further discussion with examiners, and where appropriate with IPReg.

Survey evidence suggests that quality of delivery of the qualifying examinations has been maintained and in some areas improved. Further improvements will be introduced in 2016 as required.

Implementation of the new IPLC and IPCA qualifications has been successful and benchmark data collected against which future delivery can be monitored.

Good working relationships with key stakeholders, including candidates, CIPA and IPReg have been established and continue to improve. Further work will be carried out in 2016 to develop more effective relationships with employers. The PEB endorses the CIPA IP Inclusive initiative, and will continue to ensure that the qualifications it offers take full account of the needs of all candidates.

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2014 was a year of transition from the JEB to the PEB. 2015 has been a year largely of consolidation for the qualifying examinations and the development and implementation of new IPLC and IPCA qualifications. 2016 will be largely a year of consolidation for the new qualifications and important reviews of key features of the qualifying examinations.

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Appendices

Appendix 1 PEB GB Approval and Reporting Schedule

Reporting		
No	Report type	Date due
1	Self-Assessment report (annual)	March
2	Confirmation of QA processes of marking followed, with exception reporting and issues highlighted	Before results issue
3	Confirmation setting examiners in place and trained	March/April (depends on result issue date)
4	Confirmation marking examiners in place and trained	July/Aug
5	Issues arising from invigilator reports	December
6	Question paper production process (third party supplier)	December
7	Examiner's comments	March
Approval		
No	Report type	Date due
1	Budget	December
2	Examiners	
	Examiner roles and responsibilities	December
	Examiner selection criteria and allocation size	December
	Examiner instructions, induction and training schedule	December
	Examiner report formats	December
	Examiner appraisal criteria	December
3	Quality assurance of assessment	
	Question paper quality assurance/setting model	December
	Quality of marking model	September
	Syllabus review	As required

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	Question paper production process with third party	December
	Review of level descriptors for finals and standard setting for foundation papers	December
4	Policies and Regulations	
	Examination Regulations	September
	All PEB policies and procedures	September
5	Communications	
	Approve the annual Publication of Information Schedule for the forthcoming cycle (format and indicative content)	December

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Appendix 2 Progress against the Terms of Reference April 2016

	Strategic leadership	
1.	Ensure that the Patent Examination Board (PEB) operates within the parameters of its Constitution	All PEB operations have operated within the parameters of the Constitution, and reference to the Constitution has been made whenever necessary. As policies and procedures have been developed, the relevance of the current Constitution has been reviewed. Proposed changes to the Constitution, to provide greater clarity or to reflect emerging practice have been developed over the past two years and will be agreed at the June 2016 GB meeting. All recommended changes will be submitted to IPReg for approval following the June 2016 GB meeting.
2.	Ensure that all Regulatory Requirements are met	All Regulatory requirements have been met and clarifications of requirements sought from IPReg when necessary (for example regarding exemptions). PEB has contributed to the review of IPReg's regulatory requirements and suggested improvements, particularly in terms of the benefits of more clearly signaling the differences in the requirements that apply to course and examination providers (HE institutions) and examination-only providers (PEB).
3.	Approve and contribute to the development of the strategic direction of the PEB	Strategic developments approved include the development of a new Litigation Skills qualification and a Certificate in Patent Administration. Work on the development of a three-year business plan commenced early in 2016 and will conclude in September 2016 – this will more clearly signal the longer-term strategic direction of the PEB.
	Monitoring Effective and Efficient Delivery of Strategy	
4.	Ensure that the Business Plan provides sufficient resources to deliver the agreed strategy and monitor their effective deployment	Currently, there is no explicit business plan. Annual budgets have been developed, which cover all PEB activities and resources deployed to ensure that all activities can be completed on an annual cycle. A three-year business plan and budget will be developed for approval in September 2016.

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5.	Ensure that there is sufficient competent staff available to deliver forward plans and that succession plans or appropriate contingencies are in place	There have been sufficient competent staff available and contingencies (such as employment of temporary staff) have been used when necessary. Succession planning for replacement and/or re-appointment of GB members is in place and successfully implemented (one re-appointment and one replacement). More attention needs to be given to succession plans and contingencies for CIPA seconded staff.
	Quality Assurance and Risk Management	
6.	Ensure the effectiveness of PEB as an examining body by:	
6.1	monitoring the quality assurance and co-ordination of the development of PEB qualifications, including the development of assessment materials, and their operation;	This has been the key role of the GB and all new developments (eg Litigation Skills Qualification and Certificate in Patent Administration) and revisions to policies and procedures (eg appeals policy) and the frameworks for the development of assessment materials have been monitored and approved by the GB.
6.2	monitoring the impact of the equal opportunities policy in relation to PEB qualifications;	Data on candidates' characteristics have been collected annually to determine whether or not any candidates have been inadvertently disadvantaged by assessment materials – there is no evidence to date to suggest this has occurred. Examiners have been provided with explicit guidance on minimising any unintentional bias in examination materials. Further methods of supporting candidates with particular physical disabilities will be considered at the June 2016 GB meeting.
6.3	advising on the formulation and implementation of policy proposals for the development of the PEB assessment systems for qualifications and their operation;	See 6.1 above. Merge with 6.1 in future.
6.4	assuring the quality of all processes and procedures used for the development	PEB GB members have attended all examiners meetings to monitor compliance with policies and procedures and to bring any deficiencies to the

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		and delivery of PEB qualifications;	attention of the GB for further discussion and action as required.
	6.5	receiving reports and recommendations on examination performance and related issues and advising on further actions to be taken;	Detailed statistics on examination performance, candidate surveys and examiners' reports have been received by the PEB GB on a regular basis and actions agreed as required.
	6.6	receiving reports and recommendations on the performance of examiners and advising on further actions to be taken;	Reports on both Chief Examiners' performance have been prepared by GB members attending relevant meetings and were considered by the GB. Incidents of failure to comply with requirements by all examiners (and requiring the attention of the GB) have been considered as required and a full report will be brought to the GB in June 2016. Continue, but consider if full delegation to Executive is more appropriate in the future.
	6.7	overseeing a programme of succession planning for examiners to ensure continuity of provision of a high quality team;	The GB has not been involved in a programme of succession planning for examiners. Consider full delegation to the Executive in future.
	6.8	monitoring accounts and budgets with reference to PEB income and expenditure to ensure that sufficient resources are available to deliver high quality assessments;	Accounts have been reviewed quarterly at each GB meeting, although improvements are currently being sought in terms of the clarity of the accounts and the availability of full monthly accounts.
	6.9	operating a risk management process to identify and respond to significant and material risks to PEB.	A risk and incidents register has been reviewed quarterly by the GB and improvements to the format agreed. All risks have been identified and mitigated appropriately.
		Stakeholder engagement	
7.		Ensure a specific focus on the experience of examination candidates throughout all activities	Annual candidate surveys have continued and increasingly strong links with the CIPA Informals established. Candidates have been consulted on, for examination, proposed changes to examination dates and publication of results. Further approaches

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		to supporting candidates will be considered by the GB in June 2016.
8.	Approve and monitor the policies for appeals from candidates	The appeals policy has been approved, monitored and subsequent changes considered and approved.
9.	Engage transparently with all key stakeholders	Effective engagement has continued with candidates, CIPA and IPReg. Further work is needed to establish effective engagement with employers.
10.	Ensure effective consultation with relevant stakeholders on any significant changes to policies, procedures and products	Effective consultation with candidates (eg on changes to examination dates, the publication of results and support for candidates), with IPReg (eg on the PEB constitution, and the QAA action plan, including reviews of Foundation qualifying examinations and FD4, formerly P6) and with CIPA (eg on the Certificate in Patent Administration and the use of post-nominals in qualifying examinations) have taken place.
11.	Ensure that all PEB reports and publications are clear, concise and accurate	Considerable attention has been given to the production of clear, concise and accurate reports, and no significant deficiencies have been brought to the PEB's attention.

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Appendix 3 PEB Minimum Reserve Policy

PEB Minimum (Budgetary) Reserve Policy

December 2015

Purpose of the Minimum Reserve

A Reserve will be established by the PEB to ensure the financial independence of the PEB and continuity of funding. Any one of a number of events, such as those listed below, could impact substantially on the profitability of the PEB in any one year. It is important that the PEB avoid any sudden, large increases in examination fees that could penalise candidates in the short term. Thus the PEB will accumulate a reserve over an extended period of time.

Events covered by the Reserve

1. Unexpected reductions in candidate numbers.
2. Security breaches requiring additional set(s) of examination papers to be written.
3. Non-routine requirement for additional/replacement examiners.
4. Cancellation of examinations (for example due to adverse weather, transport problems).
5. Exceptional CIPA staff absences requiring additional paid 'cover' (for example costs of temporary staff/consultants at critical periods during the examination cycle).
6. Failure of any third-party supplier (for example failure of third party responsible for examination venue provision).
7. Unscheduled syllabus review/development.
8. Unscheduled assessment development.
9. Unscheduled research/monitoring/evaluation.
10. Legal challenges to the PEB not covered by CIPA's Professional Indemnity Insurance.

Size of the Reserve

A Minimum Reserve Budget of £132,000 will be established. This is equivalent to 50% of the PEB annual operating costs (based on 2016-17 costs).

The annual operating surplus will be achieved through a combination of reductions in operating costs where possible and increases in examination fees where necessary. Increases in examination fees will be kept to a necessary minimum, without creating unacceptable compromises in examination quality.

Timescale for establishment of the Reserve

PEB will aim to achieve an annual operating surplus of 10% of revenue income and will not, as a matter of principle, normally seek to cross subsidise one examination set with another, in accordance with its approved (June 2015) Budgetary Policy.

This surplus will be accumulated over a minimum period of five years.

The Reserve will be monitored annually, and adjustments to the required annual operating surplus calculated.

Once the Minimum Reserve has been reached, any additional surplus funds will be used to stabilise annual increases in examination fees, reduce examination fees or invest in quality.

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Appendix 4 PEB Budgetary Policy

1. Introduction and background

The PEB Constitution states:

‘Financial Administration

1. The PEB shall be responsible for its financial affairs and operate in a manner that is fully independent from the fiscal management of CIPA, save that financial transactions shall be managed and reported through CIPA’s accounting systems.
2. The PEB shall be financially self-supporting and shall accumulate an appropriate reserve for contingencies such as appeals, legal challenges and excessive fluctuations in the demand for examinations. Any additional funds shall be used to reduce examination fees or to invest in the quality of PEB’s processes. The income of the PEB shall consist solely of such fees and payments as the PEB requires in order undertake its activities as an examining body.’

2. PEB budgetary policies

The PEB will:

1. Aim to generate in any one financial year an operating surplus of 10% of revenue across each set of its examinations¹.
2. Accumulate a reserve of no more than £150k.
3. Will not, as a matter of principle, normally seek to cross subsidise one examination set with another².

¹ E.g. the Qualifying Examinations as whole will be forecast to generate a 10% operating surplus.

² E.g. any operating surplus from the IPLC examinations will not normally be used to subsidise the costs of delivering the Qualifying Examinations.

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Appendix 5 PEB 2016 – 2017 Forecast Budget Summary (April 2016 to March 2017)

PEB Qualifying Examinations Forecast Operating Budget	
	Forecast 2016
Entries and Price	
Number of foundation entries	225
Charge per foundation paper	200
Number of final entries	620
Charge per final paper	300
No of Singapore entries	40
Singapore premium	120
Forecast Income	
Foundation Examinations	45000
Final Examinations	186000
Singapore premium	4800
Exemptions Fee	200
Exam cancellation fees	200
EARs	3500
Forecast Total	239700
Forecast Expenditure	
Examiner Fees	112,000
Examiner Expenses	10000
GB Fees	20,000
GB Expenses	10000
Exam Logistics	20000
Invigilation	3,500
Invigilation expenses	1,500
Printing	200
Courier	1000
Exam Venues	25000
R and D	5,000
Bank Charges	200
Staff admin	10000
Staff management	6000
On costs @25%	4000
Misc.	2000
Irrecoverable VAT	2000
Forecast Total	232,400
Balance	7,300

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PEB Intellectual Property Litigation Certificate Forecast Operating Budget	
	Forecast 2016
Entries and Price	
Number of IPLC candidates	60
Charge per entry	400
Income	24000
Forecast Expenditure	
Examiner Fees	5600
Examiner Expenses	750
GB Fees	600
GB Expenses	250
Exam Logistics	0
Invigilation	0
Invigilation expenses	100
Printing	500
Courier	100
Exam Venue	2000
Bank Charges	50
Staff costs (CIPA) admin	5000
CIPA management	3000
On costs @25%	2000
Misc.	2000
Irrecoverable VAT	100
Total Expenditure	22050
Balance	1950

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PEB ICPA Forecast Operating Budget	
	Forecast
Entries and Price	
ICPA entries	100
Charge per assessment	250
Income	25000
Examiner Fees	8,800
Examiner Expenses	1000
GB Fees	770
GB Expenses	250
Exam Logistics	2100
Invigilation	300
Courier	100
Exam venues PAC	3000
Bank Charges	50
Staff costs admin	5000
Staff costs management	0
On costs @25%	1250
Misc.	2000
Irrecoverable VAT	100
Total Expenditure	24,720
Balance	280

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Appendix 6 Complaints log

Status	Student Year	Entered for	Date received	Date acknowledged	Complaint category	2nd response date met (if required)
Student	2014	D&C	16.04.15	17.04.15	Examination results	24.06.15
Mentor	2015	D&C	26.10.15	27.10.15	Examination	11.02.16
Students	2015	Qualifying examinations	26.10.15	27.10.15	Noise at venue	23.02.16
ICPA student	2015	ICPA	01.02.16	01.01.16	Various	n/a
ICPA student	2015	ICPA	01.02.16	04.02.16	Various	n/a
ICPA student	2015	ICPA	03.02.16	04.02.16	Various	n/a
ICPA student	2015	ICPA	01.02.16	04.02.16	Examination	n/a
ICPA student	2015	ICPA	01.02.16	04.02.16	Various	n/a

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Appendix 7 Enquires about results 2014 – 2015

		2014	2015
QE	Stage 1	11	11
	Stage 2	8	7
	Stage 3	1	0
IPLC	Stage 1	n/a	1
	Stage 2	n/a	1
	Stage 3	n/a	0
ICPA	Stage 1	n/a	0
	Stage 2	n/a	0
	Stage 3	n/a	0

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Appendix 8 Status of the PEB Working Instructions

Log WIs (PEB) 2015				
	Working Instructions	Status	Revision Date	Next revision date
1	Enrolling students	Complete	Dec-15	Dec-16
2	Reasonable Adjustments candidates and special consideration	Complete	Dec-15	Dec-16
3	Exemption requests	Complete	Dec-15	Dec-16
4	Results (inc. issuing and deadlines)	Complete	Dec-15	Dec-16
5	EAR (inc. communications)	Complete	Dec-15	Dec-16
6	Establishing exam period and candidate entry window	Complete	Dec-15	Dec-16
7	Exam venues and furniture	Complete	Dec-15	Dec-16
8	Invigilation process	Complete	Dec-15	Dec-16
9	QP production process	Complete	Dec-15	Dec-16
10	Printing Processes (inc. return of scripts)	Complete	Dec-15	Dec-16
11	Script allocation	Complete	Dec-15	Dec-16
12	PEB Payments and receipts	Complete	Dec-15	Dec-16
13	Examiners reports & sample scripts for the website	Complete	Dec-15	Dec-16
14	Invoices and refunds	Complete	Dec-15	Dec-16
15	Complaints handling	Complete	Dec-15	Dec-16
16	Servicing the Governance Board	Complete	Dec-15	Dec-16
17	Maintaining PEB website	Complete	Dec-15	Dec-16
18	Emailing PEB examiners & Board members	Complete	Dec-15	Dec-16
19	Prize Giving	Complete	Dec-15	Dec-16
20	Reporting to the Governance Board	Complete	Dec-15	Dec-16
21	Communications	Complete	Dec-15	Dec-16
22	Examiner recruitment	Complete	Dec-15	Dec-16
23	Testers	Complete	Dec-15	Dec-16
24	Handling confidential documentation	Complete	Dec-15	Dec-16
25	Standardisation and awarding process	Complete	Dec-15	Dec-16
26	EQEs	Complete	Jan-16	Jan-17

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Appendix 9 Reasonable adjustments

Examination	Adjustment granted	2014 QE	2015 QE	2016 IPAC
		Number of requests	Number of requests	Number of requests
FC2 (LAW)	Extra time	1	1	
FC4 (D&C)	Extra time	1	1	
FC1 (P1)	Extra time	1	1	
FC3 (P5)	Extra time	1	1	
FC5 (P7)	Extra time	1	1	
FD1 (P2)	Extra time	4	5	
FD1 (P2)	Word processor	2	1	
FD1 (P2)	Coloured lenses/overlay/paper	1	1	
FD1 (P2)	Modified Print	0	1	
FD1 (P2)	Supervised Rest Breaks	0	2	
FD1 (P2)	Examination in separate room	0	1	
FD1 (P2)	Other	0	1	
FD2 (P3)	Extra time	1	1	
FD2 (P3)	Supervised Rest Breaks	0	1	
FD2 (P3)	Word processor	0	2	
FD3 (P4)	Extra Time	0	1	
FD3 (P4)	Supervised Rest Breaks	0	1	
FD3 (P4)	Coloured lenses/overlay/paper	0	1	
FD3 (P4)	Modified Print	0	1	
FD3 (P4)	Other	0	1	
FD3 (P4)	Word processor	0	2	
FD4 (P6)	Extra time	6	5	
FD4 (P6)	Word processor	2	3	
FD4 (P6)	Coloured lenses/overlay/paper	1	0	
ICPA	Extra time	-	-	1
Total number of requests		23	36	1
Total number of candidates making the requests		9	13	1
Percentage of total examination entries		3%	4%	1%

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Appendix 10 Special considerations

Examination	Nature of request for special consideration	2014	2015		Other
		Death or illness of family member	Death or illness of family member	Noise	
2014					
P2	Death of close family member	1			
P6	Death of close family member	1			
P6	Death of close family member	1			
2015					
FD1					
FD3	Only part of reasonable adjustment provided. Also affected by noise levels at venue			1	1
FD1	Only part of reasonable adjustment provided. Also affected by noise levels at venue			1	1
FD2	Noise levels at venue unacceptable			1	
FD3	Noise levels at venue unacceptable			1	
FD1	Noise levels at venue unacceptable			1	
FD1	Noise levels at venue unacceptable			1	
FD2	Noise levels at venue unacceptable			1	
FD3	Noise levels at venue unacceptable			1	
FD4	Noise levels at venue unacceptable			1	
FD1	Noise levels at venue unacceptable			1	
FD4	Noise levels at venue unacceptable			1	
FD1	Noise levels at venue unacceptable			1	
FD1	Noise levels at venue unacceptable			1	
FD6	Noise levels at venue unacceptable			1	
FD1	Noise levels at venue unacceptable			1	
FC4	Noise levels at venue unacceptable			1	
FC5	Noise levels at venue unacceptable			1	
FD1	Noise levels at venue unacceptable			1	
FC3	Noise levels at venue unacceptable			1	
FC4	Noise levels at venue unacceptable			1	
FD1	Noise levels at venue unacceptable			1	
FD2	Noise levels at venue unacceptable			1	
FD3	Noise levels at venue unacceptable			1	
FC3	Noise levels at venue unacceptable			1	
FD3	Illness during the examination				1

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FC1	Noise levels at venue unacceptable			1	
FC2	Noise levels at venue unacceptable			1	
FC3	Noise levels at venue unacceptable			1	
FC4	Noise levels at venue unacceptable			1	
FC5	Noise levels at venue unacceptable			1	
FC1	Noise levels at venue unacceptable			1	
FC2	Noise levels at venue unacceptable			1	
FC5	Noise levels at venue unacceptable			1	
FD1	Serious illness of family member		1		
FD4	Serious illness of family member		1		
FD1	Noise levels at venue unacceptable. Also illness during examination. Death of close family member		1	1	1
FD4	Noise levels at venue unacceptable. Also illness during examination. Death of close family member		1	1	1
FC5	Noise levels at venue unacceptable			1	
FD4	Noise levels at venue unacceptable			1	
FD4	Noise levels at venue unacceptable			1	
FD3	Noise levels at venue unacceptable			1	
FD1	Noise levels at venue unacceptable			1	
FD2	Noise levels at venue unacceptable			1	
FC4	Noise levels at venue unacceptable			1	
FD4	Noise levels at venue unacceptable			1	
FC4	Noise levels at venue unacceptable			1	
FC1	Noise levels at venue unacceptable			1	
FC2	Noise levels at venue unacceptable			1	
FC3	Noise levels at venue unacceptable			1	
	Totals	3	4	46	5

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Appendix 11 Quality assurance of the setting process

Stage	Notes	Week commencing																							
		11/04/2016	18/04/2016	25/04/2016	02/05/2016	09/05/2016	16/05/2016	23/05/2016	30/05/2016	06/06/2016	13/06/2016	20/06/2016	27/06/2016	04/07/2016	11/07/2016	18/07/2016	25/07/2016	01/08/2016	08/08/2016	15/08/2016	22/08/2016	29/08/2016	05/09/2016	12/09/2016	
1	Drafting QP*																								
2	Submission of first draft of QPs																								
3	Testing period Tester comments to be fed through as ready																								
4	QPEC 1 ** All examiners (and tester) to attend: FC1 and FC4																								
5	QPEC 2** All examiners (and tester) to attend: FC2, FC3 and FC5																								
6	Redrafting/amends papers																								
7	Submission of Final drafts																								
8	Sign off process (CE/PE)																								
9	Proof reader																								
10	Proof reader amends made and approved by PE																								
11	Pass for print draft signed off by PE and CE																								
12	QP to printer and test proofing																								
	Examiners Committee meeting dates																								
	*QP refers to Question Paper, Mark Scheme and Assessment Grid																								
	** all meeting dates to be selected by examiners within the window using a doodle poll																								

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Appendix 12 Results and pass rates

Qualifying Examinations

Year		2015	2014	2013	2012	2011	2010	2009	2008	2007	2006	2005	
Foundation Certificate	FC1 (P1)	90.91	90.32	94.44	73.53	89.47	89.47	82.76	100.0	84.00	89.29	84.00	
	FC2 (Law)	95.45	91.89	85.71	88.24	90.00	68.00	61.70	61.54	69.44	71.11	65.22	
	FC3 (P5)	94.00	83.78	82.86	78.13	85.71	75.00	93.10	93.75	80.65	86.67	86.67	
	FC4 (D&C)	76.00	69.23	75.68	81.82	65.63	70.27	64.86	47.27	68.33	69.09	84.21	
	FC5 (P7)	94.76	94.70	88.89	96.15	86.21	83.33						
Final Diploma	FD1 (P2)	57.79	67.79	54.65	48.85	52.17	54.17	50.62	66.51	59.72	51.53	51.08	
	FD2 (P3)	44.86	50.89	58.88	53.54	51.30	45.35	60.33	55.56	44.14	50.36	51.77	
	FD3 (P4)	60.78	60.19	68.63	62.50	57.28	55.81	65.35	39.34	57.01	44.78	50.34	
	FD4 (P6)	38.81	41.62	43.61	36.45	42.92	54.21	39.17	40.87	55.69	46.40	44.40	

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Year		2015	Year	2016
IPLC Written Module	July	95.83%	ICPA	89.29%
	December	100.00%		
IPLC Oral Module	July	100.00%		
	December	100.00%		

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Appendix 13 Incidents

No	Narrative	Reported	When	Decision	Actions taken/planned
1	Assistant to the CE for LSC received copy of timetable for the oral examinations including candidate names and candidate numbers.	To PEB by CE	11.06.15	No compromise	1. PEB contacted CE's assistant to confirm information had not been read and had now been destroyed. 2. PEB to send information/files separately to meeting invitations (CE has requested his assistant be sent all diary dates/meeting invitations to manage his calendar) to ensure confidentiality.
2	London venue for qualifying examinations advised week before the examinations that they could not accommodate the number of candidates we had advised for the examination.	To PEB Admin by venue	05.10.2015	Resolved	Venue admitted liability, arranged alternate venue (still at original venue, just across the road and so different address details to what had been advised to candidates) and desk hire at no additional charge to PEB. Also providing full signage and staff to direct candidates. PEB admin contacted all candidates and invigilators to advise the change of venue, and updated the PEB website to confirm this also.
3	Two boxes of scripts returned to CIPA by two different examiners not found	By PEB to PEB GB March	23.03.2016	See actions taken/planned	Checked with examiners, DHL and internal staff. Not found. Improve 'checking in' process and instructions to examiners about use of waybills on multiple packages.

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Appendix 14 Risk Register

PEB RISK REGISTER						
No		Likelihood	Impact	Mitigation	Mitigated Likelihood score	Mitigated Impact score
Question papers issues						
1	QP writing deadlines missed by examiners	LOW	MED	Criteria-based examiner selection. Examiner performance review. Hierarchy of examiners to line manage. Progress chasing by PEB Administration Agree and publish setting schedule with and to examiners	LOW	LOW
2	Inability to recruit high quality paper setters	LOW	LOW	Development of new networks. Good development and training. Annual review of remuneration Adopted item setting for LSC and PAC	LOW	LOW
3	Inadequate support/training of examiners	LOW	LOW	Review training feedback. Review examiner performance to inform training. Additional resource/personnel to commission bespoke training.	LOW	LOW
4	Undetected errors in QPs	LOW	MED	Expert/external proof reading. Continually review setting process Proof reader brief introduced Implemented tester regime in 2015	LOW	LOW
5	Reliance on sole supplier for QP production	LOW	MED	Alternative sourced (SCD)	LOW	MED
6	Quality assurance of technical drawings from new supplier	MED	MED	Discuss requirements in advance with samples from previous examination papers. Contingency time to redraft if not suitable. Feedback to be given.	MED	MED
7	Security of QPs (soft copy)	LOW	LOW	Confidentiality clauses/contractor contracts. Examiner instructions Contingency time/funds to re-draft. Bank examination papers created	LOW	LOW
8	Security of QPs (hard copy) prior to the examination date	LOW	LOW	Confidentiality clauses/contractor contracts. Examiner instructions Contingency time/funds to re-draft. Bank examination papers created.	LOW	LOW
9	Eligibility/exemption fraud by candidates	LOW	LOW	Request copies of documentation - PEB letter and photographic identification	LOW	LOW
10	Security of materials at venue	MED	MED	Ensure close cooperation and appropriate contracting with venues	MED	LOW
11	Security of answer scripts	MED	HIGH	Ensure all clear about transit arrangements (courier) New supplier scans all answer scripts - only potential loss is in transit from venue	LOW	LOW
Marking issues						
12	Conflicts of interest (declared or undeclared)	LOW	LOW	Develop form and ensure all returned and conflicts monitored	LOW	LOW
13	Failure to meet marking deadlines	MED	MED	Discuss and agreed with GB and examiners marking schedules for examiners LSC and PAC use marking day model	LOW	LOW
14	Unexpected loss of marking capacity	LOW	LOW	Reallocate scripts to other markers.	LOW	LOW
15	Poor quality of marking	LOW	LOW	Quality assurance process from examiner selection to results issue in place	LOW	LOW
Misc						
16	Examination Venue defaults on contract at late notice	LOW	LOW		LOW	LOW
17	Errors in published data	LOW	LOW	Test run and double check	LOW	LOW
18	Examination were to be cancelled	LOW	HIGH	Policy and Practice on what to do in such an event to be written	LOW	HIGH
19	Legal challenge	LOW	MED	Monitor Ensure policies and practice follow industry best practice Maintain and demonstrate transparency of policy and procedure	LOW	MED
Strategic issues						
20	Insufficient candidate numbers	LOW	HIGH	Monitor	LOW	HIGH
21	Regulator policies	HIGH	HIGH	Monitor	HIGH	HIGH
22	Operational relationships with CIPA	MED	MED	Maintain effective operational communications with CIPA	MED	MED
23	Low professions confidence in PEB	LOW	HIGH	Clear communications including publishing SaR and other reports e.g. QAA	MED	MED
24	Capability/capacity of the PEB GB	LOW	MED	Monitor and appraise. Design succession planning.	LOW	LOW
25	CIPA has introduced a new database and a new website	HIGH	HIGH	Running out all 2015 examinations on old database. Working with external PM to set up 2016 examinations on new database	MED	MED
26	Litigation Skills and PAC Examinations impinge on CIPA administration time to the detriment of the Qualifying Examinations	MED	MED	Only one iteration of LSC in 2016	LOW	LOW
Risks register maintained by PEB management on an at least quarterly basis						
Register reported and considered by PEB GB quarterly						
	Updated November 11th 2015					
	Updated March 9th 2015					
	Updated June 1st 2015					
	Updated August 24th 2015					
	Updated November 24th 2015					
	Updated March 7th 2016					

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Appendix 15 Examination entries

Qualifying examinations registrations												
Year	FC1	FC2	FC3	FC4	FC5	FD1	FD2	FD3	FD4	Total Foundation	Total Finals	Overall total
2015	59	49	55	56	42	172	111	108	230	261	621	882
2014	35	40	39	39	38	183	113	105	224	191	625	816
2013	36	35	35	37	36	172	107	102	227	179	608	787
IPLC examination registrations												
2015	59											
ICPA examination registrations												
2016	140											