

# Diploma Programme: Assessment appeals procedure

For use from September 2016



# Diploma Programme

## Diploma Programme: Assessment appeals procedure

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# Introduction

This document describes the procedure for submitting an appeal to the IB to re-evaluate a decision affecting a candidate for the Diploma Programme.

1. The *General Regulations: Diploma Programme* for candidates and their legal guardians/representatives (hereinafter the “general regulations”) describes the areas of decision-making against which the IB Organization (hereinafter the “IB”) accepts appeals.
2. This document sets out a separate section to explain the procedures for each type of appeal and provides additional information for IB World Schools, candidates and their legal guardians/representatives.
3. Appeals are possible against:
  - a. results—when a school has reason to believe that a candidate's result(s) are inaccurate after all appropriate enquiry upon results procedures have been completed
  - b. a decision upholding academic misconduct, but not the penalties imposed for misconduct
  - c. a decision in respect of adverse circumstances
  - d. a decision in respect of inclusive assessment arrangements after all appropriate procedures have been completed
  - e. an administrative decision not covered by one or more of the foregoing circumstances that affects the results of one or more candidates.
4. Permission to appeal will be granted where:
  - a. the procedures defined in the general regulations, and which led to the decision being appealed, were not followed
  - b. the candidate found in breach of the general regulations is able to present new evidence.
5. The appeals process is divided into two stages. Each stage will usually require the payment of a fee. The fee will be refunded if the decision being appealed changes.
6. A stage 1 appeal can only be requested by the head of school or by the Diploma Programme coordinator from the school at which the candidate (known as the appellant) was registered. This appeal stage consists in a review of the case by senior assessment officers of the IB.
7. A stage 2 appeal can be requested directly by a candidate and/or his or her legal guardian/representative in addition to the head of school and Diploma Programme coordinator if the outcome of a stage 1 appeal is not satisfactory. This stage of appeal grants the candidate a formal hearing by a constituted panel with one member independent from the IB.
8. A request for appeal at either stage must be submitted with a completed appeal request form that can be obtained from the IB via the IB Answers service.
9. For any queries, the IB should be contacted at [appeals@ibo.org](mailto:appeals@ibo.org).

The information in this document is presented in order by the type of the appeal. This allows the user to refer directly to the relevant section. As all appeal types follow a similar process, the sections may have similar content.

# Appeals against the outcomes of enquiries upon results

An appeal does not include a re-mark, re-moderation or any form of report on the assessment or moderation of candidates' work. A request for appeal against a candidate's grade will only be considered if the school presents new evidence demonstrating that standard procedures in deriving the grade may not have been correctly followed by the IB.

## Stage 1 appeal

To be considered, a stage 1 appeal:

- can only be requested by the head of school or by the Diploma Programme coordinator
- can only be requested if the school has exhausted all appropriate avenues through the IB's Enquiry upon Results (EuR) process
- must be received by the IB within one month from the date when the decision being appealed was communicated to the school (either initial response or outcome from EuR)
- must contain a full description of the ground for the appeal including an account of how the general regulations and/or the procedures defined in the handbook may not have been correctly applied by the IB
- cannot challenge the professional judgment of the Principal Examiner (PE) or his or her interpretation of his or her markscheme, which has been consistently applied to all candidates
- must be submitted with the *Request for an appeal* form (AP-01).

## What happens during the appeals procedure stage 1?

- Using the available information, the head of Diploma Programme assessment or other IB senior assessment officers will determine if there are grounds for the appeal.
- If the case is not eligible, the head of school will be notified (with summary reasons). No further recourse is available to the school.
- If the case is eligible, it will be presented to IB senior assessment officers who have previously not been involved in the decision.
- The decision of this stage 1 appeal will be rendered within two months from the date the request for an appeal is received.

## Stage 2 appeal

To be considered, a stage 2 appeal:

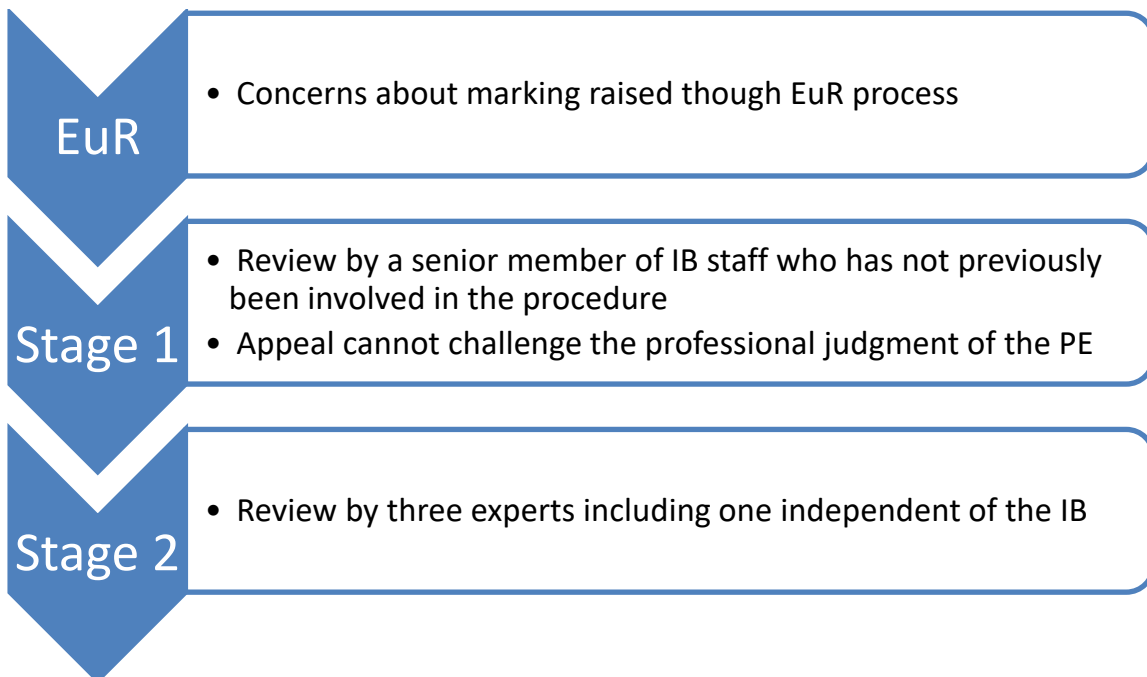
- can be requested only if the outcome of a stage 1 appeal is not satisfactory
- can be requested directly by the candidate and/or his or her legal guardian/representative in addition to the head of school

- must be received by the IB within one month from the date when the stage 1 decision being appealed was communicated to the school
- must be submitted with the *Request for an appeal* form (AP-01).

## What happens during the appeals procedure stage 2?

- A stage 2 appeal grants the candidate a hearing with a panel constituted of:
  - one member independent from the IB (who is appointed by the IB and will not have been an IB coordinator, teacher or examiner, or an employee of the IB at any time during the past five years)
  - the chief assessment officer or other member of IB Senior Leadership Team
  - the chair of the Examining Board<sup>1</sup> or other chief examiner.

Prior knowledge of the case under appeal by the chair or vice-chair of the Examining Board will not exclude that person from the panel.
- The appeals panel makes its decisions based on a majority vote of its members.
- The appeals panel has the power to maintain or change the previous decision in the event that it believes that the general regulations and/or procedures were not respected.
- The appeals panel does not hold the power to render any other form of decision.
- The decision of the stage 2 appeals panel will be officially communicated to the candidate and/or his or her legal guardian/representative within one month of the hearing. A copy of the decision will be communicated to the head of school.
- All decisions rendered by the stage 2 appeals panel are final and no requests for further review or alternative resolution requests will be accepted by the IB.



<sup>1</sup> Diploma Programme or Career-related Programme only.

# Appeals against the outcomes of academic misconduct

Permission to appeal will only be granted where the candidate was found in breach of the general regulations and new evidence has been brought to the attention of the IB. Appeals are only granted in relation to the decision on academic misconduct; no appeals against the level of penalty applied are permitted.

## Stage 1 appeal

To be considered, a stage 1 appeal:

- can only be requested by the head of school or by the Diploma Programme coordinator
- must be received by the IB by 15 September/15 March (close of the examination session)
- must contain a full description of the ground for the appeal
- must outline the new evidence on which the appeal is based
- must be submitted with the *Request for an appeal* form (AP-01).

### What happens during the appeals procedure stage 1?

- A stage 1 appeal is a review of the case by IB senior assessment officers.
- Using the available information, it will be determined if there are grounds for the appeal.
- If the case is not eligible, the head of school will be notified (with summary reasons). No further recourse is available to the school.
- If the case is eligible, it will be presented to IB senior assessment officers who have previously not been involved in the decision.
- The decision of this stage 1 appeal will be rendered within two months from the date the request for an appeal is received.

## Stage 2 appeal

To be considered, a stage 2 appeal:

- can be requested only if the outcome of a stage 1 appeal is not satisfactory
- can be requested directly by the candidate and/or his or her legal guardian/representative in addition to the head of school
- must be received by the IB within one month from the date when the stage 1 decision being appealed was communicated to the school
- must include an account of how the general regulations and/or the procedures defined in the handbook may not have been correctly applied by the IB
- must be submitted with the *Request for an appeal* form (AP-01).

## What happens during the appeals procedure stage 2?

- A stage 2 appeal grants the candidate a hearing with a panel constituted of:
  - one member independent from the IB (who is appointed by the IB and will not have been an IB coordinator, teacher or examiner, or an employee of the IB at any time during the past five years)
  - the chief assessment officer or other member of the IB Senior Leadership Team
  - the chair of the Examining Board<sup>2</sup> or other chief examiner.

Prior knowledge of the case under appeal by the chair or vice-chair of the Examining Board will not exclude that person from the panel.
- The appeals panel makes its decisions based on a majority vote of its members.
- The appeals panel has the power to maintain or change the previous decision in the event that it believes that the general regulations and/or procedures were not respected.
- The appeals panel does not hold the power to render any other form of decision.
- The decision of the stage 2 appeals panel will be officially communicated to the candidate and/or his or her legal guardian/representative within one month of the hearing. A copy of the decision will be communicated to the head of school.
- All decisions rendered by the stage 2 appeals panel are final and no requests for further review or alternative resolution requests will be accepted by the IB.

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<sup>2</sup> Diploma Programme or Career-related Programme only.

# Appeals against a decision in respect of adverse circumstances

An appeal cannot be submitted to request adverse mitigations for a candidate after the issue of results. All requests must have arrived at the IB Global Centre, Cardiff within 10 days of the candidate's final examination.

## Stage 1 appeal

To be considered, a stage 1 appeal:

- can only be requested by the head of school or by the Diploma Programme coordinator
- must be received by the IB by 15 September/15 March (close of the examination session)
- must contain a full description of the ground for the appeal
- must outline any new evidence on which the appeal is based
- must be submitted with the *Request for an appeal* form (AP-01).

### What happens during the appeals procedure stage 1?

- Using the available information, IB senior assessment officers will determine if there are grounds for the appeal.
- If the case is not eligible, the head of school will be notified (with summary reasons). No further recourse is available to the school.
- If the case is eligible, it will be presented to IB senior assessment officers who have not been involved in the decision previously.
- The decision of this stage 1 appeal will be rendered within two months from the date the request for an appeal is received.

## Stage 2 appeal

To be considered, a stage 2 appeal:

- can be requested only if the outcome of a stage 1 appeal is not satisfactory
- can be requested directly by the candidate and/or his or her legal guardian/representative in addition to the head of school
- must be received by the IB within one month from the date when the stage 1 decision being appealed was communicated to the school
- must include an account of how the general regulations and/or the procedures defined in the handbook may not have been correctly applied by the IB
- must be submitted with the *Request for an appeal* form (AP-01).

### What happens during the appeals procedure stage 2?

- A stage 2 appeal grants the candidate a hearing with a panel constituted of:

- one member independent from the IB (who is appointed by the IB and will not have been an IB coordinator, teacher or examiner, or an employee of the IB at any time during the past five years)
- the chief assessment officer or other member of the IB Senior Leadership Team
- the chair of the Examining Board<sup>3</sup> or other chief examiner.

Prior knowledge of the case under appeal by the chair or vice-chair of the Examining Board will not exclude that person from the panel.

- The appeals panel makes its decisions based on a majority vote of its members.
- The appeals panel has the power to maintain or change the previous decision in the event that it believes that the general regulations and/or procedures were not respected.
- The appeals panel does not hold the power to render any other form of decision.
- The decision of the stage 2 appeals panel will be officially communicated to the candidate and/or his or her legal guardian/representative within one month of the hearing. A copy of the decision will be communicated to the head of school.
- All decisions rendered by the stage 2 appeals panel are final and no requests for further review or alternative resolution requests will be accepted by the IB.

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<sup>3</sup> Diploma Programme or Career-related Programme only.

## Appeals relating to inclusive assessment arrangements

Inclusive assessment arrangements are authorized for candidates with access requirements before the assessment. All appeals relating to inclusive assessment arrangements for a candidate must necessarily be made **before** the registered examination session (and before the first registered session for anticipated candidates).

### Pre-appeal

- Before undertaking an appeal relating to an authorization or communication regarding a request for inclusive assessment arrangements, it is mandatory to follow the re-evaluation process.
- Re-evaluations should be requested by the Diploma Programme coordinator within one month of receiving the original authorization or communication from the IB.
- Requests for re-evaluations must be received by the IB by 15 January for the May examination session and 15 July for the November examination session.
- Requests for re-evaluations are to be made via the online “Request for inclusive assessment arrangements” on IBIS. This would be a continuation of communication attached to the original request.
- Fresh educational evidence or psychological/medical documentation may be required during the re-evaluation.
- In some cases, further evidence may be requested by the IB in order to process the re-evaluation.
- Re-evaluations are processed by the IB staff who authorized the arrangements.
- With the majority of requests, all resolutions would be made during the re-evaluation process without recourse to appeal.

### Stage 1 appeal

To be considered, a stage 1 appeal:

- can only be requested by the head of school or by the Diploma Programme coordinator
- can only be requested if the school has exhausted all appropriate avenues through the IB’s re-evaluation process
- must be received by the IB by 15 February for the May examination session and 15 August for the November examination session
- cannot include any fresh evidence or documentation that was not used for the re-evaluation
- must contain a full description of the ground for the appeal including an account of how the general regulations and/or the procedures defined in the handbook and *Candidates with assessment access requirements* may not have been correctly applied by the IB
- must be submitted with the *Request for an appeal* form (AP-01).

## What happens during the appeals procedure stage 1?

- The case will be presented to an IB employee with professional qualifications in inclusive education and/or relevant experience to judge the appeal and who has previously not been involved in the decision.
- The decision of this stage 1 appeal will be rendered within one month from the date the request for an appeal is received.

## Stage 2 appeal

To be considered, a stage 2 appeal:

- can be requested only if the outcome of a stage 1 appeal is not satisfactory
- can be requested directly by the candidate and/or his or her legal guardian/representative in addition to the head of school
- must be received by the IB within one month from the date when the stage 1 decision being appealed was communicated to the school and at least one month before the start of the examination session
- cannot include any fresh evidence or documentation that was not used for the re-evaluation
- must be submitted with the *Request for an appeal* form (AP-01).

## What happens during the appeals procedure stage 2?

- A stage 2 appeal grants the candidate a hearing with a panel constituted of:
  - one member independent from the IB (who is appointed by the IB and will not have been an IB coordinator, teacher or examiner, or an employee of the IB at any time during the past five years)
  - the chief assessment officer or other member of the IB Senior Leadership Team
  - the chair of the Examining Board<sup>4</sup> or other chief examiner.

Prior knowledge of the case under appeal by the chair or vice-chair of the Examining Board will not exclude that person from the panel.
- The decision of the stage 2 appeals panel will be officially communicated to the candidate and/or his or her legal guardian/representative within two weeks of the hearing. A copy of the decision will be communicated to the head of school.
- All decisions rendered by the stage 2 appeals panel are final and no requests for further review or alternative resolution requests will be accepted by the IB.

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<sup>4</sup> Diploma Programme or Career-related Programme only.

## Review of other administrative decisions

Administrative decisions cover any other decisions made by the IB not covered by the previous four categories. Review of other administrative decisions only relates to decisions made by the assessment division and chief assessment officer or the Final Award Committee, not decisions taken by other officers of the IB Senior Leadership Team or by IB World Schools.

### Stage 1 appeal

To be considered, a stage 1 appeal:

- can only be requested by the head of school or by the Diploma Programme coordinator
- can only be requested if the school has previously brought the matter to the attention of the IB and has received a decision
- must be received by the IB by 15 September/15 March (close of the examination session)
- must contain a full description of the ground for the appeal including an account of how the general regulations and/or the procedures defined in the handbook may not have been correctly applied by the IB
- cannot challenge the published general regulations but may challenge their interpretation or consistency of application
- must be submitted with the *Request for an appeal* form (AP-01).

### What happens during the appeals procedure stage 1?

- Using the available information, IB senior assessment officers will determine if there are grounds for the appeal.
- If the case is not eligible, the head of school will be notified (with summary reasons). No further recourse is available to the school.
- If the case is eligible, it will be presented to IB senior assessment officers who have previously not been involved in the decision.
- The decision of this stage 1 appeal will be rendered within two months from the date the request for an appeal is received.

### Stage 2 appeal

To be considered, a stage 2 appeal:

- can be requested only if the outcome of a stage 1 appeal is not satisfactory
- can be requested directly by the candidate and/or his or her legal guardian/representative in addition to the head of school
- must be received by the IB within one month from the date when the stage 1 decision being appealed was communicated to the school
- must be submitted with the *Request for an appeal* form (AP-01).

## What happens during the appeals procedure stage 2?

- A stage 2 appeal grants the candidate a hearing with a panel constituted of:
  - one member independent from the IB (who is appointed by the IB and will not have been an IB coordinator, teacher or examiner, or an employee of the IB at any time during the past five years)
  - the chief assessment officer or other member of the IB Senior Leadership Team
  - the chair of the Examining Board<sup>5</sup> or other chief examiner.

Prior knowledge of the case under appeal by the chair or vice-chair of the Examining Board will not exclude that person from the panel.
- The appeals panel makes its decisions based on a majority vote of its members.
- The appeals panel has the power to maintain or change the previous decision in the event that it believes that the general regulations and/or procedures were not respected.
- The appeals panel does not hold the power to render any other form of decision.
- The decision of the stage 2 appeals panel will be officially communicated to the candidate and/or his or her legal guardian/representative within one month of the meeting. A copy of the decision will be communicated to the head of school.
- All decisions rendered by the stage 2 appeals panel are final and no requests for further review or alternative resolution requests will be accepted by the IB.

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<sup>5</sup> Diploma Programme or Career-related Programme only.

## Appendix—Identifying independent members

All four routes involve the use of a member of the appeals committee who is independent of the IB. This annex provides transparency on how these members are selected.

### Who is eligible to act as an independent member?

- Each year the IB will identify two individuals who have been deemed as appropriate to take this role and who have received the necessary training.
  - Individuals will be asked to be available for a two-year period.
- An individual will not be eligible if he or she has been employed by an IB World School, acted as an IB examiner or advisor, or been an employee of the IB at any time during the past five years.
- Individuals will have an understanding of education but not necessarily knowledge specific to assessment or the appeal topic. In looking to recruit individuals to act as independent members, the IB will consider:<sup>6</sup>
  - university admissions officers
  - UCAS or similar organizations (senior managers)
  - other awarding organizations (senior managers)
  - education agencies (excluding government organizations)
  - process evaluation/recognition, for example ISO standards
  - any other reasonable organization or individual.
- For reasons of practicality, the IB will take into account proximity to the IB Global Centre, Cardiff when recruiting independent members.

### Selection of an independent member

- The IB will select the independent member for any particular appeal based solely on availability and maintaining parity of workload between the two members.

### Training provided to an independent member

- It is appropriate for the IB to provide training to the independent member to ensure he or she understands his or her roles and responsibilities, is familiar with the appeals process and also understands IB processes in order to put the appeal into the appropriate context.
- Individuals will be expected to attend training for one day a year, which will cover the following areas only.
  - Aims and mission of the IB and the international context of the organization
  - Role and responsibility of the independent member of the appeals panel

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<sup>6</sup> No two individuals will be drawn from the same organization.

- Regulations around appeals, including what is and is not eligible for an appeal
- IB assessment principles and processes, including marking procedures, academic honesty expectations, reasonable adjustments and special considerations