



GLOBAL LABORATORIES ACCREDITATION BOARD

APPEALS AND DISPUTE PROCEDURE

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1. Scope

1.1. This procedure outlines the processes to be followed to address an appeal by a CAB against an accreditation decision by GLAB.

2. General

2.1. An appeal may only be made by a CAB against an GLABs accreditation decision.

2.2. An appeal is restricted to:

2.2.1. Refusal by GLAB to accept an application;

2.2.2. Refusal to proceed with an assessment;

2.3. A decision by GLAB to:

2.3.1. reduce the scope of accreditation;

2.3.2. withhold accreditation;

2.3.3. suspend or withdraw accreditation;

2.3.4. not to extend the scope of accreditation;

2.4. uphold a nonconformity, which has been disputed by a CAB.

2.5. The grounds for an appeal are limited to:

2.5.1. objective evidence that GLAB has not followed its own procedures or

2.5.2. objective evidence that GLAB has incorrectly interpreted accreditation and/or certification requirements

2.6. Three levels of appeal resolution are available: a) direct dialogue, b) internal investigation and c) investigation by an external, independent Appeals Panel (hereinafter AP).

2.7. Direct dialogue and internal investigation may be used if supported by both parties. However, these may be escalated to the AP if requested by one of the parties in case of disagreement with the achieved resolution.

2.8. Prior to starting an internal or AP investigation, GLAB shall offer direct dialogue to resolve the accreditation decision under appeal without entering a formal investigation process. If feasible to do so, a resolution will be offered to the Appellant. This may be:

2.8.1. retraction of a finding;



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2.8.2. downgrading of a finding;

2.8.3. modification or reversal of a decision.

2.9. If this is not feasible, options for formal investigation will be discussed with the Appellant.

2.10. Note: A summary of each appeal resolved via direct dialogue will be recorded by GLAB.

2.11. Prior to involving the AP, GLAB shall offer to conduct an internal investigation using internal investigators. If agreed by the Appellant, one or more internal investigators, who are free of conflict of interests (COI) and were not party to the decision/s under appeal, shall be assigned.

2.12. Appeal decisions shall be one of the following:

2.12.1. Reject the appeal and maintain the GLAB decision.

2.12.2. Uphold the appeal and overturn the GLAB decision. In this case the investigators or AP shall recommend a new course of action.

2.12.3. AP decisions are the last level of resolution and are binding for all parties. They cannot be subject to further appeal.

3. General Conditions of Appeal

3.1. The validity of the GLAB accreditation decision under appeal shall not be suspended by the appeals process.

3.2. In the case of an appeal against a NC, deadlines for the NC shall be extended following the conclusion of the investigation, to ensure that a minimum of 2 months remains for the appellant to address the NC.

3.3. The scope of the appeal shall be confined to the instance/s and particulars specified by the Appellant within its submission.

3.4. Evidence that was not available to GLAB when the accreditation decision was made shall not be accepted or used to inform the appeal under consideration, except data or information that informs or supports evidence already presented when the appeal was accepted.



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- 3.5. Appeals must be evaluated strictly against the requirements applicable to the subject matter under appeal defined within the grounds for appeal. Internal investigators or the AP shall not expand the evaluation beyond these grounds at any time.
- 3.6. Information used in the evaluation of the appeal shall be treated as confidential and will not be shared with any party other than the Appellant, appointed investigators and GLAB
- 3.7. If, at any point during the appeals process, the CAB submits responses in the CAB portal to any of the NCs under appeal e.g. root cause analysis (RCA), corrective actions (CA) and/or corrections, the NC will be considered as no longer disputed by the CAB, and the appeal shall be withdrawn.
- 3.8. If the CAB's accreditation certificate expires during an appeals process, the certificate shall be extended until the re-accreditation process is finalized

4. Appeals Submission

- 4.1. Appeals shall be submitted to GLAB within 30 days of notification of the accreditation decision or after receipt of the final assessment report for any assessment
- 4.2. To be accepted and classified as an appeal, the submission shall: be in writing to dispute@glab.com. The Appellant shall use the GLAB Appeal Submission Form which can be downloaded from the website
 - 4.2.1. be submitted in English and signed by an authorized representative of the CAB
 - 4.2.2. provide a description of the appeal
 - 4.2.3. specify the grounds on which the appeal is made (as per section 5.3 above)
 - 4.2.4. be accompanied by relevant objective evidence
 - 4.2.5. indicate steps that were taken to resolve the issue prior to lodging the appeal, if any
- 4.3. By submitting an appeal, the Appellant agrees to pay the costs of the appeal process if the appeal is rejected, and agrees to adhere to all terms and provisions of this procedure.
- 4.4. In the case that an appeal is raised against nonconformities (NCs), GLAB reserves the right to deny acceptance of the appeal if the Appellant fails to document that reasonable



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steps were taken by the CAB to resolve any dissatisfaction when the NC was initially presented (i.e. at the closing meeting, in the summary of findings (hereinafter SOF)).

- 4.5. Upon receipt of an appeal GLAB shall acknowledge within 10 working days and confirm to the Appellant the acceptance or rejection of the appeal submission.

5. Appeals Process

- 5.1. The CAB shall be informed of the proposed investigators and shall be requested to confirm in writing its agreement with the individuals proposed. In the case of a potential or existing COI, a
- 5.2. CAB may object the proposed investigators by presenting objective evidence.
- 5.3. GLAB shall evaluate any objection and evidence provided by the CAB and if deemed appropriate, nominate alternative candidates.
- 5.4. It is expected that any appeal formally accepted for investigation should be resolved within 90 days of the appointment of the investigators. In the event of a delay, the Appellant shall be informed by the GLAB staff about the delay and its corresponding reasons.
- 5.5. Investigators shall examine, at a minimum:
 - 5.5.1. the CAB's appeal submission and evidence presented;
 - 5.5.2. recent assessment report/s of the CAB, if relevant;
 - 5.5.3. relevant standards or other normative documents
- 5.6. The investigators shall bear in mind the grounds for appeal at all times.
- 5.7. The grounds shall be that GLAB has not followed its own procedures, the investigators shall limit the investigation to whether GLABs procedures have been followed.
- 5.8. The grounds shall be that GLAB has incorrectly interpreted a requirement of its own procedures, GLABs Accreditation Committee (AC) may be requested to provide a binding interpretation.
- 5.9. The grounds shall be that GLAB has incorrectly interpreted a requirement of a CAB, the CAB may be requested to provide a binding interpretation.



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- 5.10. Reasonable efforts shall be made by the investigators to ensure that all parties are given equal opportunity to present their case and evidence.
- 5.11. The investigators may choose to contact other interested parties or stakeholders directly related to the appeal to seek additional information.
- 5.12. Internal and AP investigations shall conclude the investigation with a written report that will be shared with the Appellant. The report remains the property of GLAB and copies distributed to the Appellant shall be for their reference only. Appeals reports will not be published in the public domain. However, the final appeal decision will be published on the website.

6. Review Of Appeals By The Appeals Panel

- 6.1. AP members shall be independent, impartial and must sign a confidentiality agreement and COI declaration prior to their confirmation as AP members.
- 6.2. One AP member shall be appointed to act as chair for each investigation.
- 6.3. The AP for each appeal is selected from the AP's roster of experts. The AP shall consist of a minimum of two (2) members if the appeal is against one or more minor NCs, and of three (3) members if the appeal is against two or more major NCs or against a decision to suspend or withdraw accreditation.
- 6.4. The AP chair shall determine the most appropriate method to review the appeal. It may be conducted through document review, conference call, email, meeting or by any combination thereof.
- 6.5. If required, the AP may request one or more technical expert/s for any given appeal, to serve as advisor/s to assist with the AP's deliberations.
- 6.6. The Appeals Secretary shall be responsible for sourcing and confirming the technical expert/s to be used.
- 6.7. The review of the appeal and decision shall be made within 60 days of the formation of the AP.
- 6.8. Decision-making shall be achieved through consensus. Where this is not possible, the appeal decision shall be made by a majority vote or by the AP Chair.



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- 6.9. The AP shall present its findings and conclusion in a written report, including a determination of distribution of costs, within 10 days of the decision.
- 6.10. The draft report shall be submitted for review to both GLAB and the Appellant for five working days for comments if any.
- 6.11. Note: If the parties do not reply within this timeframe, it shall be considered that there are no comments to the draft.
- 6.12. Following GLAB and Appellant's review, the AP shall have an additional five working days to address any comments received and produce a final Appeal Report.
- 6.13. For internal investigations, GLAB shall charge fee for per investigator.
- 6.14. For AP investigations, GLAB shall charge fee per AP member.
- 6.15. The invoice shall cover all costs incurred by the AP including daily rates, travel and accommodation costs and other disbursements.
- 6.16. In the case that an appeal is upheld, there will be no costs for the Appellant.
- 6.17. Investigators may decide that the cost of evaluating the appeal shall be shared equally between GLAB and the CAB.