



# PROCEDURE FOR HANDLING OF APPEALS

**NATIONAL ACCREDITATION BOARD FOR HOSPITALS  
& HEALTHCARE PROVIDERS (NABH)**

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## 1.0. Definitions

For the purposes of this document, defined terms in ISO/IEC 17011 shall be used as well as the terms defined hereafter:

- 1.1 Appeal: A formal written request by a healthcare organization about the process of accreditation/ certification.
- 1.2 Appellant: an HCO which has undergone any stage of the process of accreditation/ certification.
- 1.3 Hearing: The process where the Appeal Committee hears oral arguments on an appeal presented by an appellant.
- 1.4 Health Care Organization (HCO): Any entity providing health care services for which an accreditation/ certification program is available with NABH and organization has an established relationship with NABH.

## 2.0. Objective

The document describes the procedures for dealing with appeals from Health Care Organization (HCO) about the process of accreditation/ certification.

## 3.0 Scope

The procedure described in this document shall be followed in NABH for dealing with different types of appeals by HCO. Appeal can be made by HCO only against deviation in the processes of accreditation/ certification leading to adverse decision.

## 4.0 Responsibility

Responsibility for handling of appeals rests with the Appeals Officer of the Board. However, the CEO is responsible for monitoring of appeals process.



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## 5.0 Procedure for Handling of Appeals

### 5.1 Terms of Reference of Appeals Committee:

- Appeals committee shall deal with only the deviation in assessment process and not with specific non-conformities.
- Recommending suggestions and actions on appeals to the chairman of the NABH Board.
- The tenure of the committee shall be for a period of two years from the date of constitution of the committee or as decided by the board.
- Absence in 3 meetings in a year or the absence of positive contributions in meeting will lead to discontinuation from the committee.
- Participation as member of committee should be kept confidential and should not be used as a qualification or an award. It should not be used in personal seal, signature or stamp.

### 5.2 Structure of the Committee:

**5.2.1 Appeal Committee:** A panel composed of a minimum of 3 individuals, and a maximum of 5 individuals, independent of the NABH and knowledgeable in matters of accreditation, appointed by the Chair of the Board in consultation with the Chief Executive Officer (CEO) to deal with appeal(s) for a defined tenure as prescribed by the Board. This panel may be augmented by additional subject matter experts as invitee as deemed appropriate, by the CEO, NABH and Chairman, Appeals Committee.

#### 5.2.2 Function of the Committee

The Appeals Committee will consider appeals against deviations with respect to the process of accreditation made by the NABH and will deal with them appropriately to recommend decisions to resolve/ close the appeals.

#### 5.2.3 Membership

Appeals Committee members, including the Chair, must wholly satisfy these criteria.

- a) They must not have participated in or influenced the original Accreditation Committee that took the decision now subject to appeal.
- b) They must be free from any conflict of interest concerning the appellant or matter under appeal.
- c) They must be conversant with the Accreditation Process and NABH functioning.

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- d) Before progressing to consider any application for appeals, all members of the Committee must satisfy the above criteria and sign a disclaimer to officially record that they have no conflict(s) of interest with regard to the matters at hand. In the event of not being sure of conflict, such member may reclude himself / herself from consideration of the particular appeal. Should they be unable to do so, a substitute member(s) with no such conflict(s) of interest will be appointed.
  - e) The panel shall have the necessary competence available to hear the subject of the appeal.
  - f) The appeals panel may co-opt expertise if the need arises. A co-opted person will not have right to vote but will have the prerogative of recording his/ her opinion in light off the reason for invite.
  - g) Decisions are made on a majority voting basis. In case of a tied result, the Chairman in view of his dual voting power, will cast his vote so that committee may arrive at a final decision on deviation.
  - h) In absence of the Chairman due to any reason, the Co Chairman chairs the meeting.
  - i) The appeals committee will give its recommendation to the Chairman of Board through CEO-NABH.

### **5.3 Receipt of Appeals**

- a) The appeal process is an independent review and evaluation of deviations that affect the accreditation status of Health Care Organization.
- b) The appeals are addressed to the Chairman NABH.
- c) Appeals shall be submitted to NABH in writing within 15 working days of the NABH decision against which the appeals is made.
- d) Appeals request should be sent in the prescribed format (as given in the annexure attached) along with the relevant supporting evidence. The supporting evidence shall be in a separate sealed envelope in a tamperproof manner.
- e) Appeals Officer shall review the appeal and the application for compliance with the requirements of the appeals process.
- f) When a decision on suspension has been made against an HCO for which an appeal is made, the decision shall be put on hold till the Appeal process is completed and a final decision is rendered.



- g) Appeals officer shall acknowledge the receipt of appeal from the HCO. A record pertaining to all appeals including important details like date of receipt, name and address of the HCO, details of appeals and outcome of appeals shall be maintained in the 'Appeals File'.

#### **5.4 Deliberations of Appeals Committee and Recommendations**

- a) Appeals Committee may meet as and when needed.
- b) After examination of the appeal, the Committee shall seek clarification/ documents from all appropriate sources.
- c) Appeals Committee may recommend a hearing with the appellant, if required.
- d) Any delay or lapse in submission of clarification or relevant documents or hearing process by the appellant, the responsibility/onus of delay will be considered on the appellant.
- e) The detailed report by the Committee shall be submitted to the Chairman of NABH Board for his decision.
- f) The appeal should be disposed off within 8 weeks from the date of receipt.

#### **5.5 Decision on Appeals**

- a) Chairman NABH shall take a decision based on the recommendations submitted by the Appeals Committee.
- b) The decision of the Chairman NABH shall be final and HCO shall be informed accordingly.

#### **6.0 Records**

Appeals officer shall maintain Appeals file.

The file shall have the following:

- a) Unique registration number given to each appeal.
- b) Date of receipt of appeal.
- c) Name & address of the appellant.
- d) Date of acknowledging of the appeal.
- e) Details of action/ investigation.



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- f) Date of closure
  - g) Reasons and date of rejection of appeal, if rejected.
  - h) All correspondence with respect to each appeal, investigation reports and decisions filed in order.



Annexure:

## Format for making an Appeal

<b>Name and address of the Appellant Organization</b>	
<b>Reference ID Assigned by NABH</b>	
<b>Contact Details of the representative of the Appellant Organization</b>  (Name, Designation, Address, E-mail id, Mobile Number, etc.)	
<b>Subject of Appeal</b>  (Deviation from the Process of NABH against which appeal is made)	
<b>Summary of Appeal</b>	
<b>Details of Supporting Evidence attached (These should be in a separate tamperproof envelop)</b>	
<b>Signature of Representative from appellant</b>	
<b>Date of appeal</b>	

For NABH Office Use:

<b>Comments of Appeals Officer of NABH</b>	<b>Accepted/ Rejected</b>
<b>Reasons for Rejection:</b>	