

Accreditation fees and assessment mandays

KAB-A-05

1. Scope of application

This document specifies guidance in the operation of accreditation scheme which Korea Accreditation Board(hereafter referred to as “KAB”) and accredited CBs(hereafter referred to as “CBs”) shall follow. Particular, the intent of this document is to provide guidance on accreditation fees and assessment mandays, and this document applies to all accredited CBs impartially, together with the KAB accreditation criteria. The applied scope of this document is as follows..

Applies to	
<input type="radio"/>	Management System CB
<input type="radio"/>	Personnel Certification CB

2. KAB Advisory

2.1 CB shall pay the annual maintenance fee and assessment fee within a due date for obtaining and maintaining accreditation.

(1) “Accreditation Fees” is the “Accreditation assessment fee and accreditation fee”.

(2) The due date is as follows:

- Annual maintenance fee : Every April 30 regardless of accreditation date(In case of initial accreditation, the due date is April 30 of the following year.
- Application fee: The time of submitting an application form (The application fee is not required in case of surveillance and re-accreditation)
- Accreditation assessment fee (including assessment fee, supplementary expenses for assessment and administrative fee): it applies to initial accreditation, surveillance, re-accreditation and scope extension of accreditation assessment identically.
 - Initial accreditation assessment fee: By the date of recommendation of accreditation of the applicant to ARP following completion of accreditation assessment.
 - Surveillance fee: By the due date indicated in the KAB invoice following completion of surveillance.
 - Follow-up assessments: By the due date indicated in the KAB invoice following completion of follow-up assessments

Accreditation fees and assessment mandays

KAB-A-05

- Initial and Re-newel Registration fee: By the date of public notification and issuance of accreditation certificate following the approval of ARP.
 - Other fees: The due date of other fees defined at Annex 1 and Annex 2 is subject to the request by KAB.
- (3) Estimation criteria of “annual maintenance fee” of Management system CB.
- Initial accreditation: The bigger one may be choosed between 2.0% of Annual Income from the accreditation date to 31 December of the year)and the lowest maintenance fee counted by allocation of dates from the date of initial accreditation to 31 Decemeber sameyear.
 - From the following years: 2.0% of Annual Income of the year from 1 January to 31 December(but, if counted annual maintenance fee is under 5,000,000 won, annual maintenance fee may be 5,000,000 won.).
 - In case of multi-accreditation used other accreditation body’s mark in addition to KAB’s, the total income covers relevant income for each accredited certification activity.
 - The date of issuing the invoice to its client is regarded as the first date of making income. The following may be excluded from the income.
 - ① the income from training, publication and advertising.
 - ② the fee of transportation, accommodation and other expense related to transfer paid by their clients.
 - ③ the cost spent for manufacturing name boards supplied to their clients.
 - a amount receiable shall not be excluded in the total income of certification activity.
- (4) The CB shall submit the report of business results and total income of the year including the copy of the financial statement (draft is available) and the declaration of VAT to the Chairman of KAB by the date of 31 March of the year. If the CB wishes to exclude some items of ①,②,③ of 2.1.3 from its income, it shall submit to KAB the details of each item and evidence additionally.

- The business result of the year YYYY

Accreditation field	ISO 9000 etc.		
	Initial audit	Surveillance	Renewal audit
Division			
Number of audit	XXX	XXX	XXX
Audit man-days	XXX M/D	XXX M/D	XXX M/D

Accreditation fees and assessment mandays

KAB-A-05

□ The total income of the year YYYY

Accreditation fields (ISO 9000 etc)	Income (Won)	Evidence (e.g. assisting Ledger)
Income of certification (Income of application fee, preliminary visit fee, preliminary audit fee, audit fee, follow-up audit fee, reporting fee, registration fee etc)		
① the income from training, publication and advertising		
② the fee of transportation, accommodation and other expense related to transfer paid by their clients		
③ the cost spent for manufacturing name board supplied to their clients		
Total Income		

2.2 If CB cannot pay the annual maintenance fee within the due date, CB shall submit the reason and the scheduled payment date to the Chairman of KAB before the due date.

2.3 If CB doesn't pay accreditation fee in the due period or requests grace of payment, the Chairman of KAB may take one of the following actions after reviewing the reason and the grace period.

- ① Stop the accreditation process which is under way.
- ② Accepting the grace period
- ③ Actions subject to KAB Accreditation Advisory - Request for Corrective Action, Suspension or Withdrawal of Accreditation (KAB-A-07)

2.4 The President of KAB can charge arrears for delayed payment. The estimation method of arrears rate is as follows;

① The estimation method

- Rate of overdue: 7.0% per year
- Calculation of the delayed days(counted by allocation of dates)
 - Annual maintenance fee: Total days from May 1 to the date of payment in each fiscal year
 - Surveillance and other fee: Total days from the next day of due date to the date of payment
- Estimating method

Accreditation fees and assessment mandays

KAB-A-05

- annual maintenance : $\text{paid money} \times \text{rate of arrears} \times \text{number of delayed days}/365(D)$
- surveillance and other fee : $\text{paid money} \times \text{rate of arrears} \times \text{number of delayed days}/365(D)$

2.5 If CB cannot pay the annual maintenance fee and/or surveillance fee by the due date after receiving an invoice from KAB, it shall request grace of payment to the Chairman of KAB providing the reason and the scheduled payment date in written.

2.6 After reviewing the request for grace of payment, the Chairman of KAB shall inform the CB of whether it will accept the grace of payment and the final date of grace period in written. CB shall pay the fee and the arrears estimated by the clause 2.5 by the end of grace period. If CB can't pay the fee, it shall cease to use accreditation mark on the new certificates/certificate of attendance until the fee is paid completely. And also the name of the CB will be deleted temporarily from the list of accredited CBs on the KAB homepage, other relevant information and documents. The Chairman of KAB shall make publicly available of the decision on prohibition of use of accreditation mark on the KAB homepage, but the reason of prohibition is not included in the public announcement.

[Annex 1]

Assessment Mandays and Accreditation Fee Schedule (For management system CBs)

1. Accreditation assessment fee and fee structure

1.1 Initial Accreditation Assessment

- (1) Application fee for each Management System(The application fee is not required in case of surveillance and re-accreditation)
 - 3,000,000 Won (excluding 10% VAT)
 - This provision is for training body, Translation is left out.
 - This provision is for training body, Translation is left out..
- (2) Assessment fee: Won 800,000 (1 Man-day) (excluding 10% VAT)
- (3) Supplementary expenses for assessment (transportation, accommodation and other expense related to transfer): subject to the regulation of the KAB for business traveling
- (4) Administrative fee: 10 % of total assessment fee (excluding 10% VAT)

1.2 Extension of Scope of Accreditation

- (1) Application fee: Won 700,000 for each scope (excluding 10% VAT)
 - ※ The application fee is not requested when a CB applies for scope extension to three digit codes that have been excluded under the accredited two digit scope in the *Annex 1 of QMS CB Accreditation Criteria*
- (2) Assessment fee: Won 800,000 (Man-day) (excluding 10% VAT)
- (3) Supplementary expenses for assessment (transportation, accommodation and other expense related to transfer) : adhere to the regulation of the KAB for business traveling
- (4) Administrative fee: 10 % of total assessment fee (excluding 10% VAT)

1.3 Registration and Maintenance

- (1) Registration fee for initial/re-accreditation: Won 4,000,000 for each Management System (excluding 10% VAT)
 - ※ When re-accreditation of a sector-scheme such as TL 9000 and etc is carried out within 3 years for the adjustment with that of ISO 9001, the fee for the sector-scheme will be calculated based on the period (month) of being accredited.
(Example) When TL 9000 re-accreditation is performed in 18 months after initial accreditation the fee is: Won 4,000,000 x 18/36months + 10% VAT
 - ※ This provision is for training body. Translation is left out
- (2) Annual Maintenance Fee of CBs: 2.0% of Annual Income (Minimum fee: Won 5,000,000)

1.4 Method of Payment

- (1) Application fee must be fully paid at the time of submitting an application form.
- (2) All fees for accreditation, re-accreditation, surveillance and scope extension, supplementary expenses and administrative expenses must be paid in total sum to the demand of KAB.
- (3) All fees must be transferred through bank or paid directly to the KAB, in cash or check, with the sender or the sending body clearly stated.

Accreditation fees and assessment mandays

KAB-A-05

2. Assessment Mandays

2.1 QMS CB

2.1.1 Initial Accreditation Assessment

	Document review (MD)	Office assessment (MD)	Witness assessment	Basis for estimation of mandays for Office assessment
0 to ISO 9001	1	9	Determine assessment mandays based on Clause 4.6 of Guide on Application for Accreditation(KAB-G-01)	-
0 to ISO 9001 + 1 sector-scheme	1.5	12		ISO 9001 assessment mandays (9MD) + sector scheme assessment mandays (3MD)
0 to ISO 9001 + 2 or more sector-schemes	2	9 + (Add 2 MD per each sector scheme)		ISO 9001 assessment mandays (9MD) + 2MD per each sector scheme
ISO 9001 to 1 sector scheme	0.5	3		sector scheme assessment mandays (3MD)
ISO 9001 to 2 or more sector schemes	1	Add 2 MD per each sector scheme		Add 2MD per each sector scheme

<Note> QMS: ISO 9001 + Sector schemes (TL 9000)

2.1.2 Extension of scopes

	Document review (MD)	Office assessment (MD)	Witness assessment	Basis for estimation of mandays for Office assessment
Assessment for scope extension in ISO 9000	-	1~3	Minimum 1 See [Note 2]	See [Note 1]

<Note 1>

- 1MD: When CB applies for extension of three digit scopes that have been excluded under the accredited two digit scope in the *Annex 1 of QMS CB Accreditation Criteria(KAB-R-01)* or for only one scope of accreditation.

Accreditation fees and assessment mandays

KAB-A-05

- 1.5MD: Number of applied scopes is 2 to 4
- 2MD: Number of applied scopes is 5 or more.

<Note 2> In principle, witness assessment shall be done of the CB's audit team conducting an audit of an organization. Assessment team shall be composed by the team leader taking account of the CB's audit plan, in a way to achieve the objectives of witnessing. Witness assessment fee shall be charged 1MD for 5 or more hours a day, and 0.5MD for less than 5 hours, on the basis of the CB's audit plan.

2.1.3 Surveillance and Re-accreditation assessment

[] : Re-accreditation assessment

No. of Certificates	Number of Accredited Scopes							
	less than 5		5 ~ 15		16 ~ 25		More than 25	
	Office (MD)	Witness (No.of times)	Office (MD)	Witness (No.of times)	Office	Witness (No.of times)	Office	Witness (No.of times)
less than 100	3[6]	1 or more	3[6]	1 or more	3[6]	1 or more	3[6]	1 or more
101 ~ 250	3[6]	1 or more	3[6]	1 or more	4[7]	1 or more	4[7]	1 or more
251 ~ 500	4[7]	1 or more	4[7]	1 or more	4[7]	1 or more	4[7]	1 or more
501 ~ 1000	4[7]	1 or more	4[7]	1 or more	5[8]	2 or more	5[8]	2 or more
1001 ~ 150	4[7]	1 or more	5[8]	2 or more	5[8]	2 or more	6[9]	2 or more
1501 ~ 250	5[8]	2 or more	5[8]	2 or more	6[9]	3 or more	6[9]	2 or more
2501 ~	5[8]	2 or more	6[9]	3 or more	6[9]	3 or more	7[9]	3 or more

<Note 1>

The above Table applies to the annual surveillance assessment and re-accreditation assessment conducted at three-year interval. For the surveillance conducted at six months after initial accreditation, 2MD shall be spent for the office assessment and at least one witnessing shall be performed.

<Note 2>

For office assessment of sector schemes, 1MD shall be added for the above manday(s). At least one witnessing assessment shall be conducted of 6 monthly surveillance of sector schemes. Witness assessment of annual surveillance and periodic re-accreditation assessment shall be performed as follows:

Accreditation fees and assessment mandays

KAB-A-05

No. of certificates issued in the previous year	1 ~ 30	31 ~ 100	101 ~ 250	251 ~
Witnessing (No of times)	1	2	3	4

2.2 EMS CB

2.2.1 Initial accreditation assessment

	Document review (MD)	Office assessment (MD)	Witness assessment	Basis for estimation of man- days for Office assessment
EMS Initial accreditation	1	9	Minimum 1	-

2.2.2 Extension of Scope

	Document review (MD)	Office assessment (MD)	Witness assessment	Basis for estimation of man- days for Office assessment
EMS Scope extension	-	1 ~ 3	Min 1 See [Note 2]	See [Note 1]

* Refer to Note 1 & 2, 2.1.2

2.2.3 Surveillance and Re-accreditation

[] : Re-accreditation assessment

No. of certificates issued in the previous year	Office assessment(MD)	Witness assessment (No. of times)
Less than 75	3[6]	1
76 ~ 150	4[6]	1
151 ~ 300	4[7]	1

Accreditation fees and assessment mandays

KAB-A-05

301~	5[8]	1
------	------	---

* Refer to Note 1 of 2.1.3

2.3 OHSMS CB

2.3.1 Initial Accreditation Assessment

	Document review (MD)	Office assessment (MD)	Witness assessment	Basis for estimation of mandays for Office assessment
OHSMS Initial accreditation	1	9	Min 1	-

2.3.2 Extension of scope

	Document review (MD)	Office assessment (MD)	Witness assessment	Basis for estimation of mandays for Office assessment
OHSMS Scope extension	-	1~3	Min 1 See [Note 2]	-

2.3.3 Surveillance and Re-accreditation

[] : Re-accreditation assessment

No. of certificates issued in the previous year	Office assessment(MD)	Witness assessment (No. of times)
Less than 75	3[5]	1
76~150	4[6]	1
151~300	4[7]	1
301~	5[8]	1

Accreditation fees and assessment mandays

KAB-A-05

2.4 FSMS CB

2.4.1 Initial Accreditation Assessment

	<u>Application review</u>	<u>Document review (MD)</u>	<u>Office assessment (MD)</u>	<u>Witness assessment</u>	<u>Basis for estimation of man-days for Office assessment</u>
FSMS Initial accreditation	<u>1</u>	<u>2</u>	<u>4</u>	<u>Min 1</u>	-

2.4.2 Extension of scope

	<u>Application review</u>	<u>Document review (MD)</u>	<u>Office assessment (MD)</u>	<u>Witness assessment</u>	<u>Basis for estimation of man-days for Office assessment</u>
OHSMS Scope extension	<u>0.5~1</u>	-	<u>1~3</u>	<u>Min 1</u> <u>See [Note 2]</u>	-

2.4.3 Surveillance and Re-accreditation

[] : Re-accreditation assessment

<u>No. of certificates issued in the previous year</u>	<u>Office assessment(MD)</u>	<u>Witness assessment (No. of times)</u>
<u>Less than 75</u>	<u>3[5]</u>	<u>1</u>
<u>76~150</u>	<u>4[6]</u>	<u>1</u>
<u>151~300</u>	<u>4[7]</u>	<u>1</u>
<u>301~</u>	<u>5[8]</u>	<u>1</u>

* Refer to Note 1 of 2.1.3

Accreditation fees and assessment mandays

KAB-A-05

2.5 ISMS CB

2.3.1 Initial Accreditation Assessment

	<u>Document review (MD)</u>	<u>Office assessment (MD)</u>	<u>Witness assessment</u>	<u>Basis for estimation of man-days for Office assessment</u>
<u>ISMS Initial accreditation</u>	<u>1</u>	<u>9</u>	<u>Min 1</u>	<u>=</u>

2.5.2 Surveillance and Re-accreditation

[] : Re-accreditation assessment

<u>No. of certificates issued in the previous year</u>	<u>Office assessment(MD)</u>	<u>Witness assessment (No. of times)</u>
<u>Less than 75</u>	<u>3[5]</u>	<u>1</u>
<u>76 ~ 150</u>	<u>4[6]</u>	<u>1</u>
<u>151 ~ 300</u>	<u>4[7]</u>	<u>1</u>
<u>301 ~</u>	<u>5[8]</u>	<u>1</u>

* Refer to Note 1 of 2.1.3

2.6 Adjustment of assessment man-days

2.6.1 Reduction of Assessment man-days

When an accredited CB has maintained systematic and stable management system, and continued to comply with accreditation criteria and procedures, KAB may reduce the assessment man-days as follows:

- (1) when a CB accredited of one or more management system(s) is seeking for accreditation in a new field, maximum 30% of office assessment mandays may be reduced.
- (2) when a CB accredited of 2 or more management system is seeking for

Accreditation fees and assessment mandays

KAB-A-05

surveillance or re-accreditation assessment of each management system, maximum 30% of document review and office assessment mandays may be reduced.

2.6.2 Addition of Assessment man-days

Followings are additive factors on KAB's assessment man-days.

- (1) CB's branch or local office(s) are located in overseas or other provinces. (For multi sites, 2.9 shall be applied.)
- (2) Interpreter is required or documents and records are written in foreign language.
- (3) Documents and records are maintained in a format of electronic media, not hardcopy.
- (4) Operating processes of CB are complicated (auditor training and registration, unique attributes of CB, etc)
- (5) Other reasons having an influence on effective maintenance of management system including frequent change of organizational structure, staff, etc.

2.7 Combined Assessment

2.7.1 Combined assessment may be performed, taking account of the effectiveness of the assessment of each management system, and a minimum assessment mandays for combined office assessment shall be required as follows:

- minimum 5MD for combined assessment of two management systems
- minimum 6MD for combined assessment of three management systems

2.7.2 Conditions for combined assessment

- 1) Quality system of each management system shall have been combined.
- 2) Based on the Accreditation criteria, CB shall have established the procedure for combined certification audit including:
 - ① Auditor time for certification audit
 - ② Audit team composition
 - ③ Procedure for certification audit
 - ④ Procedure for reporting the audit results
 - ⑤ Other procedures as necessary

2.7.3 Assessment man-days for combined assessment

Accreditation fees and assessment mandays

KAB-A-05

	Document review (MD)	Office assessment (MD)	Witness assessment	
			No. of Witnessing	Remarks
Surveillance	-	①70% of total amount of time required for office assessment of each management system ② Add 1 MD per each sector scheme to MD of ①	Determine assessment mandays based on witnessing criteria of each management system	①Witnessing of each management system ②KAB assessment team: 2 or more assessors required
Re-accreditation assessment	2 or more See [Note 1]			

<Note 1> Combined document review for 2 management systems: 2MD
 Combined document review for 3 management systems: 3MD
 Document review for sector schemes: 0.5MD per each scheme

2.8 Joint assessment is subject to the agreement with relevant organization(s).

2.9 Assessment man-days for Follow-up assessment

2.9.1 Follow-up assessment to verify results of corrective actions

- (1) Follow-up assessment at the KAB office: Fee is not charged
- (2) Follow-up assessment at the CB office: Normally 0.5 to 1 MD but to be decided by the team leader taking account of the significance of nonconformities
- (3) Follow-up assessment at the certified organization: Subject to the audit plan of CB

2.9.2 Special follow-up assessment

- (1) Follow-up assessment due to the changes in the CB
 - Review on documents: Fee is not charged
 - Initial visit: 0.5MD
 - Additional review: 1 ~ 2 MD (to be decided through the initial visit)
- (2) Follow-up assessment by decision of the ARP
 - Office follow-up assessment: 1 ~ 2 MD
 - Witness assessment: Minimum one time but subject to the audit plan of CB

2.10 Multi site Assessment

Accreditation fees and assessment mandays

KAB-A-05

If a Certification Body having an identified central function at which certain activities are planned, controlled or managed and a network of local offices or branches (sites) at which such activities which can be acknowledged as multi site are fully or partially carried out.

KAB may assess this certification body according to criteria of Multi site Assessment

2.10.1 Condition of Multi Site

- (1) Such a Certification body need not be a unique legal entity, but all sites shall have a legal or contractual link with the central office of the organization and be subject to continuous surveillance by the central office
- (2) Internal Audit and Management Review shall be taken by Central Office.
- (3) Central Office shall demonstrate that all sites keep the Certification System established by Central Office

2.10.2 Criteria for selecting samples

- (1) Results of internal audits or previous certification assessments,
- (2) Records of complaints and other relevant aspects of corrective and preventive action,
- (3) Significant variations in the size of the sites,
- (4) Modifications since the last certification assessment,
- (5) Geographical dispersion.

2.10.3 Sampling

- (1) Initial audit: \sqrt{x} the size of the sample should be the square root of the number of remote sites: ($y=$), rounded to the upper whole number.
- (2) Surveillance visit: \sqrt{x} the size of the annual sample should be the square root of the number of remote sites with 0.6 as a coefficient ($y=0.6$),rounded to the upper whole number.
- (3) Reassessment: \sqrt{x} the size of the sample should be the same as for an initial audit. Nevertheless, where the quality management system has proved to be effective over a period of three years, the size of the sample could be reduced by a factor 0.8, i.e.: ($y=0.8$),rounded to the upper whole number.

2.10.4 Method of Accreditation Assessment and Conditions for Accreditation

- (1) The central office shall be assessed during every accreditation assessment
- (2) If any site has a nonconformity, Accreditation shall be denied to the whole network pending satisfactory corrective action. It shall not be admissible that, in order to

Accreditation fees and assessment mandays

KAB-A-05

overcome the obstacle raised by the existence of a nonconformity at a single site, the organization seeks to exclude from the scope the "problematic" site during the accreditation process.

- (3) The Accrediation will be withdrawn in its entirety, if the central office or any of the sites does not/do not fulfill the necessary criteria for the maintaining of the Accreditation
- (4) The list of sites shall be kept updated by the certification body. To this effect, the certification body shall inform KAB of any changes on the sites. Failure to provide such information will be considered by the certification body as a misuse of the certificate.
- (5) Reductions can be applied to take into account the clauses that are not relevant to the local sites and are only examined at the central office. No reduction is permitted for the central office.

[Annex 2]

Assessment Mandays and Accreditation Fee Schedule (For PCB) : Translation is left out.

Additional Clause

1. This document will be effective from 19 May 2008.