



AUDIT PERIODS FEE AND PAYMENT INSTRUCTIONS

1. PURPOSE AND SCOPE

This instruction aims to determine the number of man / day required for audits according to audit types and organizational structure and covers the procedures and principles for certification, recertification, surveillance, follow-up and scope extension audits. This instruction is based on IAF MD 5: 2019.

2. DEFINITIONS

2. 1. Definitions related to audit periods

This instruction uses the terms and definitions in IAF MD 5:2019 for determining audit periods.

2.1. Audit time

The time needed to carry out full and effective audits of the customer management system for which a time plan is needed. **2.1.2.**

Product certification audit period

The part of the above audit time spent performing audit activities from the opening meeting to the closing meeting (inclusive) Audit activities normally cover the following:

- * To organize the opening meeting,
- * Review documents while performing the audit,
- * To communicate during the audit,
- * Assigning roles and responsibilities to guides and observers,
- * Collect and verify information,
- * Creating audit findings,
- * To prepare audit results,
- * To organize the closing meeting.

2.1.3. Audit day

For all inspections, the working time of inspectors for 1 day is 8 hours. When meals and rest, breaks, travel time, etc. are subtracted from these 8 hours, at least 6.5 hours of effective inspection should be carried out.

2.1.4. Effective number of employees

The number of effective employees consists of all personnel (permanent, temporary, part-time) included in the scope of certification, including those working in shifts. If included in the scope of the certificate, non-permanent (e.g. contractors/subcontractors performing work or work-related activities that are under the control or influence of the organization) and part-time employees who may have an impact on the organization's MS performance should be included as effective employees.

2 2. Definitions related to remuneration

2. 2. 1. Application fee: Fee for receiving and checking the application and annexed documents and opening a file. Charged for the first application and document renewal, non-refundable.

2. 2. 2. Annual document usage fee: The fee to be paid to the company at the end of the continuation of the validity of the issuance of the certificate or reissuance of the certificate according to the decision of the certification committee. If the certificate is suspended, this fee does not accrue during the suspension period.



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2. 2. 3. Audit fee: The cost calculated by multiplying the determined inspection period by the man/day fee.

2. 2. 4. Certification audit fee: The total cost of the application, annual document use and audit fees.

3. RESPONSIBLES

The product certification manager is responsible for calculating the audit time in accordance with this instruction.

4. APPLICATION

4.1 The following criteria are taken as basis in the calculation of the audit time;

* The starting point for determining the time spent on D Module Inspection is the effective number of employees. The times specified in Table 1 indicate the audit time for the first certification audit.

* The B module audit is performed in the office; the D module audit is performed in the office + field and the F module audit is performed in the office + laboratory. Audit time includes planning, reporting, document review, client communication and other desk activities.

* If the tests and experiments for B Module inspection will be carried out in the customer laboratory, the inspection/ audit can be carried out at the company address in the field.

* D module field inspection is not less than 80% of the inspection time. Travel time and meal breaks are not included in the field inspection time.

* The duration of the desk audit, which includes activities such as planning, reporting, document review, communication with the client, is specified in the audit report and auditor assignment form.

* Auditor x number of days cannot reduce the daily audit time (hours) by extending it. A plan is prepared for each auditor to audit at least 8 / maximum 10 hours per day.

* After calculations, decimal numbers are rounded to the nearest half or whole number. (Ex: 5.3 days should be considered as 5.5; 5.2 days should be considered as 5 days).

* When calculating the effective number of employees, employee groups such as part-time employees, shift workers, staff working in administrative work, staff working in repetitive work, and a large number of unskilled personnel are taken into account.

* Working hours are also taken into account when calculating part-time employees. For example, 30 part-time staff working 4 hours a day is equal to 15 full-time staff.

* A large number of employees working in repetitive jobs (e.g., cleaning, security, transportation workers, sales staff, call center employees, etc.) can be grouped and the effective number of employees can be reduced. The effective number of employees is calculated by taking the number of employees working in repetitive jobs between 5% and 10%. The complexity of the work is taken into account when selecting the percentage to be taken for repetitive work.

* In the D module 1st stage audit, the 1st stage audit period is limited so that the audit does not fall within the scope of consultancy. 1st stage audits are planned not to exceed 30% of the total audit period.

* Since not all items of the standard will be considered in branch addition or address change audits; the surveillance audit can be calculated as the number of days and a discount of up to 50% can be made.

4. 2. Determining Audit Timing under the TS EN ISO / IEC 17065;

4. 2. 1. Time to be spent on the audit,

* Size of organizations,

* Type and scope of audit,

* Settlement characteristics,

* The complexity of the organizational structure,

* Depends on whether the findings of the audit are problematic for Quality Management System product quality.

The time to be spent for the audit is based on IAF MD 5:2015 Table 1.



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Table:1 ISO 9001:2015 Instructions for Determining Audit Time for Initial Certification Audits

Effective Number of Employees	Audit Time Stage 1 + Stage 2 (days)	Effective Number of Employees	Audit Time Stage 1 + Stage 2 (days)
1 - 5	1,5	626 – 875	12
6 – 10	2	876 - 1175	13
11 – 15	2,5	1176 – 1550	14
16 – 25	3	1551 – 2025	15
26 – 45	4	2026 – 2675	16
46 – 65	5	2676 – 3450	17
66 – 85	6	3451 – 4350	18
86 – 125	7	4351 – 5450	19
126 – 175	8	5451 – 6800	20
176 – 275	9	6801 – 8500	21
276 – 425	10	8501 – 10700	22
426 – 625	11	> 10700	23,....

4.2.2. Factors that may require additional or less audit time are summarized below.

Number	Increase criteria	Increase rate
1	Work takes place in more than one building or location, with complex logistics needs. Ex: Supervision of a different design center	%10
2	Situations where employees must speak more than one language (interpreters) or situations that prevent more than one auditor from working independently of each other	%10
3	Too large field for the number of employees (e.g. Forest)	%20
4	For Module B; product features are too many and complex Having a wide range of products and sub-modules	%10
	For Module D; If the findings of the QMS audit pose a problem in terms of product quality + Technical file review + Inspection tests and + Surveillance and control of production	%30
	For Module F; Excess number of samples and reporting **	%10
5	The system contains very complex processes or a large number of unique activities	%10
6	The necessity to make multiple project/site/temporary site visits to verify the scope of the organization	%20
7	Existence of outsourced functions or processes	%10
8	High risk activities (See risk chart)	%10

** Shown in Table 1 (Attached)

Number	Reduction criteria	Reduction rate
1	The workplace is too small for the number of employees (e.g. office campus only)	%20
2	Maturity of the management system	%20
3	If there is preliminary information about the organization (pre-certified according to another standard, etc.)	%30
4	Customer's audit knowledge (already certified under another third party program)	%30

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5	Advanced automation	%20
6	The presence of staff working outside the office (sales team, drivers, service personnel, etc.) and the possibility of auditing the compliance of their activities with the management system through records	%20
7	<p>Low risk processes (See risk chart) Examples of low risks</p> <ul style="list-style-type: none"> • Similar or repeated processes (service only) • Execution of identical activities at low complexity across all shifts • A large part of the staff performs the same activities 	%30

* The periods indicated in the schedule are the total periods for initial certification.

* Even if the factors that reduce audit time come together, audit time is not reduced by more than 30% in total by the effect of these activities.

* Surveillance audit period is 1/3 of the time allocated for certification audit. For the certificate renewal audit, 2/3 of the time allocated for the certification audit is allocated.

* If there are changes in the audited company compared to previous years, the audit period can be increased by taking into account the nature of these changes. This situation is evaluated by the certification manager.

4.3 QMS risk categories as criteria for increasing or decreasing audit time

Risk	Description	Sample Sectors
High	Sectors where failure to deliver the product or service causes economic catastrophe or creates vital risk	Food Medicine Aviation Shipbuilding Carrier girders or structures Complex construction activities Electric and Gas equipment Medical and Health Services Fishing Nuclear fuel Chemicals, Chemical Products
Medium	Sectors where failure to deliver the product or service could result in injury or illness	Non-bearing components and structures Simple construction activities Basic metals and fabricated products Non-metallic products Furniture Optical equipment Entertainment and personal services
Low	Sectors where failure to deliver the product or service is very unlikely to cause injury or illness	Textiles and clothing Pulp, paper and paper products Publishing Office services Education Retail Hotels and restaurants



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4.4. FEE AND PAYMENT

- 4.4.1.** Services not included in the offer and surveillance audits to be carried out for the situations described below arising from nonconformities detected in the product are subject to additional fees. These fees are determined by the General Manager according to the situation to be audited.
- a- Partial or total repetition of the audit program due to non-fulfillment of the initial certification requirements.
 - b- Additional activities required for suspension, withdrawal and/or reuse of the certificate.
 - c- Re-audit resulting from changes in the product.
 - d- Expenses for visits agreed in advance but canceled with short notice.
- 4.4.2.** If the conformity assessment is based on more than one standard and/or the number of products is more than one, the fees for certification, surveillance and recertification shall be determined by the General Manager according to the number of additional standards and/or products.
- 4.4.3.** If an error occurs due to its decisions, Sastek does not charge a fee for any further action to rectify this error.
- 4.4.4.** Examination and test fees for the product and the supply of standards belong to the customer.
- 4.4.5.** Fees do not include the cost of boarding and lodging for the audit team and, if any, officials from abroad. These fees are covered by the client.
- 4.4.6.** The determined fees are valid for one month from the proposal date. Even if the contract is signed; if the audit cannot be scheduled within one month following the signature date, the offer fee will be updated by Sastek.
- 4.4.7.** The amendment to be made in this instruction shall be published on Sastek's web page based on the date of change in practice, without prejudice to the rights acquired before the amendment, and shall be announced to the certified customers on the same web page.
- 4.4.8.** At least 70% of the initial certification and audit fees shall be paid after the offer is signed and turned into a contract, the remaining 30% shall be paid before the delivery of the document, and the surveillance audit fee shall be paid 15 (fifteen) days before the audit date.
- 4.4.9.** In the event that the payments undertaken with the contract are not paid on time and in full, Sastek may unilaterally terminate the contract without the need for notice and action. Sastek may request compensation for the profit deprived and all kinds of material and moral damages incurred due to the termination of the contract.
- 4.4.10.** Customers who benefit from the conformity assessment service carried out by Sastek and who have signed a contract for this purpose are deemed to have agreed to comply with the provisions of this instruction. In case of dispute, the courts of ANKARA, Republic of Turkey are authorized.
- 4.4.11.** All audit and certification fees are updated in January of each year.