

1 PURPOSE AND SCOPE

- 1.1 This document outlines the Assurance Services International GmbH (ASI) fee schedule for its Assurance Services.

2 CHANGE HISTORY

Version number	Date of approval	Description of changes
1.0	11/09/2015	First publication of joint fee schedules for all ASI Accreditation Programs. This document supersedes as of 1st of March 2016 all previous program specific fee schedules. Annual accreditation fees and daily rates have been aligned for all programs.
2.0	15/08/2016	Addition of SBP scopes. Extension of reduced daily rate for GSTC pilot.
3.0	05/04/2017	Extension and modification of daily rate and other charges for GSTC pilot. Elimination of the "Destinations" scope.
4.0	30/06/2017	Introduction of new Annual Service Fee Model for MSC.
4.1	18/03/2018	Formatting changes; no content changes.
4.2	17/01/2019	Logo and name updated; no content changes.
5.0	30/09/2019	Major review: introduction of Annual Service Fee (ASF) for ASI Assurance and Accreditation services applicable for accredited CABs with a certificate size above a defined threshold.
5.1	01/12/2020	Minor review: Clarification of clause 6.3 if SOs cannot provide information on 10 of January. Addition of clauses 7.11 to clarify the use of the ASF & oversight levels and 7.12 to explain how payments should be made in case of voluntary or enforced Withdrawals. Addition of clause 8.2.4 for applicant Training Providers (TPs). Addition of definition and section 9 to cover the ASI Two-Tier Assurance Program and the fee adjustments within (<u>only applicable to CABs with Head Office in Germany</u>). Addition of words "for ASI Assessments" in title from section 10. Removal of section 11 (scope overview) as this is included in the application form.
6.0	30/09/2022	Increase of daily rate from 950€ to 1.050€ and therefore a proportional increase in the ASF and all other fees by about 10,5%. Clarification that MSC discount will be phased out until the end of 2024. Adjustment of the order of subsections and simplification of Annual Service Fee (ASF) description.

3 EFFECTIVE DATE

- 3.1 This Fee Schedule becomes effective on **01 January 2023**.

4 TERMS AND DEFINITIONS

- 4.1 All terms and definitions, where not listed below, are provided in the ASI Glossary ([ASI-PRO-20-100](#)).

- 4.1.1 **Annual Service Fee (ASF):** ASI fees covering all costs for ASI Assurance and Accreditation Services, applicable to Conformity Assessment Bodies (CABs) that fulfil certain conditions in terms of certificate portfolio size. The ASF applies only after a CAB is accredited/ approved by ASI. The ASI ASF is detailed in [section 7](#).
- 4.1.2 **Regular Service Fees (RSF):** ASI fees for ASI Assurance and Accreditation Services, which are based on the ASI daily rate and include an annual Accreditation/ approval fee and actual expenses. The RSF are applicable for applicant CABs, training providers, scope extension requests and for CABs that do not qualify for the Annual Service Fee (ASF) due to their certificate portfolio size. The ASI RSF are detailed in [section 8](#).

5 ASSOCIATED DOCUMENTATION

4.1	Procedures, Guidelines	ASI-INF-20-100-ASI Glossary ASI-PRO-20-101-Accreditation Procedure ASI-PRO-20-104-Complaints Procedure ASI-PRO-20-126- ASI Two-Tier Assurance Program ASI-TPL-20-102-Accreditation Application Form ASI-TPL-20-216-Scope Extension & Reduction Application Form
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6 GENERAL

For ASI Assurance and Accreditation services the CAB shall pay fees as set out below.

6.1 Annual Service Fee (ASF)

- 6.1.1 The ASF, as detailed in [section 7](#), shall be applicable for all ASI accredited/ approved CABs if **at least one** of the following conditions is fulfilled:
- 6.1.1.1 The CAB has more than 50 Supply Chain Certificates (scope as defined in ASI Application Form) for one or more ASI program(s).
 - 6.1.1.2 The CAB has more than 15 Production Certificates (scope as defined in ASI Application Form) for one or more ASI program(s).
- 6.1.2 If a CAB is accredited/ approved for multiple programs and fulfils one of the above conditions in one program, the ASF shall still be applicable for all other programs, regardless of the number of certificates.

6.2 Regular Service Fees (RSF)

- 6.2.1 The RSF, as detailed in [section 8](#), shall be applicable for applicant CABs, CAB scope extensions requests, Training Providers and CABs that do not fulfil the conditions for the ASF as set out in 7.1.1.

- 6.3 The number of CABs certificates and the assignment of the respective fee model (i.e. under 7.1 or 7.2) is based on the CAB's Accreditation/Approval status and the total number of CAB certificates, as recorded in the Scheme Owner's (SO) certificate database on 10 January of the respective year. If the SO cannot provide the information on this date (e.g. falls on a weekend or for any other reason), the next possible date shall be used by ASI.

7 ANNUAL SERVICE FEE (ASF)

- 7.1 The ASF covers all regular ASI Assurance services needed to ensure the necessary oversight and integrity intervention activities by ASI for all Voluntary Sustainability Standards (VSS) to which ASI provides assurance services, which includes different assurance approaches, such as assessments, integrity investigations, transaction verification and others as designed by ASI.
- 7.2 In the case of performance issues, ASI reserves the right to add extra assurance activities, such as oversight or integrity intervention activities, which are not covered by the ASF. ASI shall inform the CAB in advance of these measures.
- 7.3 CABs in the ASF model can reduce their overall ASF costs through good performance. ASI reserves the right to modify and adjust the total ASF based on the CAB Performance Review, as communicated with each CAB individually.
- 7.4 The ASF is calculated based on the number of scopes for which the CAB is accredited/ approved (the annual base fee) and sum of fixed amount for each certificate within the CAB portfolio.
- 7.5 The annual base fee is 8.850€ for the first scope. There is no extra fee for subscopes.
- 7.6 The fee for each additional scope for which the CAB is accredited/ approved is 4.425€.
- 7.7 For the first MSC scope, there is a discount of 2.000€. This discount is gradually phased out by the end of 2024.
- 7.7.1 In 2024, the MSC discount will be 1.000€
- 7.7.2 As of 2025, there will be no MSC discount.
- 7.8 The CAB shall be charged a fixed amount for each certificate in their portfolio based on the scope and the total amount of certificates. The certificates shall be counted separately for each Program. Examples of the calculations are given in [Annex 1](#).
- 7.8.1 Supply Chain certificates
- 7.8.1.1 For the first 100 certificates the fee is 112€ per certificate
- 7.8.1.2 For the 101st to 500th certificates the fee is reduced to 41€ per certificate
- 7.8.1.3 For the 501st or greater certificates the fee is reduced to 35,50€ per certificate
- 7.8.2 Production Certificates
(Including applicant certificate holders for the MSC Fisheries and ASC programs)
- 7.8.2.1 For the first 250 certificates the rate is 481€ per certificate
- 7.8.2.2 For the 251st or greater certificates the fee is reduced to 326€ per certificate
- 7.9 The ASF is invoiced in January and payable in one lump sum within 30 days, or, as agreed with the CAB, in quarterly payments due on the 15 February, 15 May, 15 August and 15 November. In the case that a quarterly payment is delayed, the full remaining amount becomes due with immediate effect.

- 7.10 The ASF shall be used by ASI as needed to ensure the necessary oversight level, including using different means of evaluation, investigation and verification as designed by ASI. Therefore, ASI reserves rights to adjust its surveillance program as presented to CABs for a particular year.
- 7.11 In case of premature termination of the Assurance Service Agreement (ASA) due to either a voluntary or an enforced withdrawal of ASI Accreditation/approval, ASI shall issue a credit note for each quarter that has not commenced.

8 REGULAR SERVICE FEES (RSF)

- 8.1 ASI reserves the right to request that the fees during the application phase shall be paid in advance by an applicant CAB before ASI commences any Accreditation/ approval activities. The paid fees are consolidated after the completion of the services and invoiced or reimbursed accordingly. CABs interested in applying can visit the ASI website.

8.2 Application Fee

- 8.2.1 The non-refundable application fee for a CAB's first ASI program and scope is 3.500€.
- 8.2.2 The fee for each subsequent program or scope applied for is 1.250€.
- 8.2.3 ASI reserves the right to charge for further investigations/due diligence reviews if additional business risks are identified at the application stage. Budgets for these additional investigations will be sent in advance to the CAB.
- 8.2.4 The non-refundable application fee to become an FSC Training Provider is 500€ for non-accredited entities.

8.3 Annual Accreditation/ Approval Fee

- 8.3.1 ASI Annual Accreditation/ Approval Fee for the first program or scope is 3.300€ payable on the 15 February each year.
- 8.3.2 For each subsequent program or scope accredited/ approved for, or holding applicant status for, the CAB shall be charged 1.100€.
- 8.3.3 The Annual Accreditation/ Approval Fee will not be invoiced to applicants within the first calendar year of application.

8.4 Daily Rate and Conditions

- 8.4.1 The ASI standard daily rate is 1.050€.
- 8.4.2 The standard daily rate applies for any work including, but not restricted to, assessments, follow-up of nonconformities, complaint investigation, transfer of Accreditation/ approval and/or review of organisational changes.
- 8.4.3 If the onsite assessment activity exceeds 12 hours, ASI shall invoice the CAB for 1.5 days.
- 8.4.4 The minimum time unit which can be invoiced is 0.5 days. The minimum onsite audit duration is 1 day.

8.5 Travel Time and Expenses

- 8.5.1 Travel time is charged at half the ASI standard daily rate (525€) and applies to total travel duration in excess of 4 hours roundtrip from starting location to the site. Idle time

may be included under travel time. Expenses (travel, hotel, food etc.) shall be charged to the CAB based on actual costs incurred.

8.5.2 ASI's Finance Department shall issue the invoices related to travel and other related expenses to the CAB upon receipt of the expenses from the ASI assessor.

8.6 Decision Fee

8.6.1 The fee for decisions to grant, extend, re-accredit, reduce, suspend or terminate Accreditation/ approval of a CAB or to take any disciplinary measures is 3.500€.

8.6.2 If more than one decision process occurs at the same time (allowing ASI to make one submission), the fee for each additional decision is reduced to 1.500€.

8.7 Nonconformity (NC) Follow Up & Complaints Handling

8.7.1 As part of the assessment process, ASI shall review the CAB's response to the NCs raised during any ASI assessment. This review shall be charged to the CAB based on the actual time invested by the ASI assessor(s).

8.7.2 ASI reserves the right to conduct on-site verification assessments to review the status of open NCs. The CAB shall cover all costs related to this verification.

8.7.3 Complaint investigations related to ASI processes shall be charged using the standard daily rate. For further information, please refer to the ASI Complaints Procedure ([ASI-PRO-20-104](#)).

8.7.4 Opportunities for Improvement (OFI) will not be evaluated unless the CAB specifically requests it, which implies additional charges.

8.8 Extended Assessment Team

8.8.1 ASI reserves the right to contract technical experts, translators or other experts as required to supplement the Assessment Team. The CAB shall be invoiced for the direct costs incurred by these parties with a 20% administrative fee.

9 ASI TWO-TIER ASSURANCE PROGRAM

9.1 Accreditation assessments conducted by a participating AB under Tier One of the ASI Two-Tier Assurance Program will be invoiced directly by the AB to the CAB, including the costs of the ASI Assessors participating in the assessment.

9.2 For CABs under the ASF, ASI shall issue a credit note to the CAB for the work done and expenses incurred by ASI Assessors during the AB assessment under Tier One. The credited amount will be deducted from the ASF payment to ASI.

Note: For CABs under the RSF, there is no need to issue a credit note as ASI invoices actual assessments costs.

10 CONDITIONS

10.1 ASI reserves the right to adjust the ASI Fee Schedule and shall provide CABs with formal notification three (3) months in advance of any changes to the published ASI Fee Schedule. Reasons for a change can be, but are not limited to, inflation adjustments to account for an increase in travel and overall service costs. ASI NA will adjust the fees every three years or less, based among others on the relevant inflation datasets as provided by the World Bank.

- 10.2 Should a CAB cancel or reschedule an assessment within 14 calendar days prior to the mutually agreed date, the CAB shall be:
- 10.2.1 Invoiced for the total number of preparation and on-site days scheduled by the ASI assessor at half the standard daily rate.
 - 10.2.2 Invoiced for any non-refundable or actual travel and accommodation expenses incurred by ASI prior to the cancellation.
- 10.3 ASI reserves the right to cancel or reschedule any scheduled assessment activity in necessary circumstances. In this case, ASI will be responsible for its own costs associated with the cancellation. ASI does not accept any liability for any cost incurred by the CAB in relation to the cancellation or rescheduling of an assessment by ASI.
- 10.4 Fees outlined in the ASI Fee Schedule do not include Value Added Tax (VAT) or any other duties or taxes. Any VAT or other duties or taxes payable with respect to such sums shall be payable in addition to such sums.
- 10.5 Payment of any invoice is due within 30 days of the issue date. A monthly 1% interest charge will be included for each delayed month, backdating to the initial invoice date. This 1% interest will continue to accumulate until the invoice is paid in full.
- 10.6 If a payment has not been received within 10 days of the original due date, a notification will be sent to the CAB informing them that they are on financial probation. A CAB on financial probation may not:
- 10.6.1 apply for or continue with a scope accreditation/ approval extension,
 - 10.6.2 continue with the accreditation/ approval application process,
 - 10.6.3 receive an ASI certificate for initial accreditation/ approval, or
 - 10.6.4 apply for additional ASI programs.
- 10.7 While on financial probation, a CAB can continue to operate ASI accredited/ approved programs, however, ASI can directly suspend a CAB's accreditation/ approval, if an invoice and the related interest accumulated remains unpaid for 120 calendar days after the invoice date, as described in both the ASI Accreditation Procedure ([ASI-PRO-20-101](#)) and the ASI Approval Procedure ([ASI-PRO-20-258](#))

ANNEX 1

Example of the Annual Service Fee (ASF)

Example CAB A

CAB A has 3 scopes FSC CoC, RSPO SCCS and RSPO P&C

Scopes	Fee	Calculation
<u>FSC COC</u>	8.850 €	
550 Cert.	29.375 €	= (100*112€)+(400*41€)+(50*35,50€)
<u>RSPO SCCS</u>	4.425 €	
175 Cert.	14.275 €	= (100*112€)+(75*41€)
<u>RSPO P&C</u>	4.425 €	
13 Cert.	6.253 €	= (13*481€)
67.603,00 €		

Example CAB B

CAB B has 4 scopes:

MSC CoC, MSC Fisheries, FSC CoC and ASC Farm.

(An MSC specific discount would apply until end of 2024.)

Scopes	Fee	Calculation
<u>MSC COC</u>	8.850 €	
80 Cert.	8.960 €	= (80*112€)
<u>MSC Fisheries</u>	4.425 €	
10 Cert.	4.810 €	= (10*481€)
<u>FSC COC</u>	4.425 €	
1.000 Cert.	45.350 €	= (100*112€)+(400*41€)+(700*35,50€)
<u>ASC Farm</u>	4.425 €	
14 Cert.	6.734 €	= (14*481€)
87.979,00 €		

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