



CAB Oversight and Performance Evaluation Framework

Quality, Impartiality & Transparency

BIOCARBON CERT[®]

VERSION 2.0 | JANUARY 13, 2026

© 2026 BioCarbon Cert®. All rights reserved.

This document forms part of the governance and oversight framework adopted by BioCarbon Cert and is made publicly available for purposes of transparency, accountability, and quality assurance.

This document does not constitute a contractual instrument and does not create rights or obligations beyond those expressly established in applicable contracts, standards, or program documents administered by BioCarbon Cert.

No part of this document may be modified, misrepresented, or used in a misleading manner, and any use shall include proper attribution to BioCarbon Cert.

BIOCARBON CERT. CAB Oversight and Performance Evaluation Framework. Quality, Impartiality & Transparency. Version 2.0., January 13, 2026. 32 p. <http://www.biocarbonstandard.com>

Table of contents

1	Introduction	5
2	Objectives	6
3	Principles governing CAB evaluation	6
4	Approval requirements for CABs	8
4.1	<i>General requirements</i>	8
4.2	<i>Accreditation requirements</i>	9
4.3	<i>Professional liability insurance</i>	9
4.4	<i>Responsibility and allocation of obligations</i>	10
5	Approval and periodic review of CABs	11
5.1	<i>Approval process</i>	11
5.2	<i>Duration and review of approval</i>	12
5.3	<i>Ongoing supervision and performance review</i>	12
6	Performance evaluation criteria	13
6.1	<i>Scope and validity of accreditation</i>	13
6.2	<i>Technical competence and professional rigor</i>	14
6.3	<i>Application of applicable standards and program requirements</i>	14
6.4	<i>Independence, impartiality, and integrity</i>	15
6.5	<i>Quality of deliverables and timeliness</i>	15
6.6	<i>Management of non-conformities and corrective actions</i>	16
6.7	<i>Cooperation and procedural engagement</i>	16
6.8	<i>Performance trends and escalation</i>	17
6.9	<i>Assurance level and materiality</i>	17
6.10	<i>Continuous professional development</i>	17
7	Performance evaluation methodology	18
7.1	<i>Sources of information</i>	18
7.2	<i>Document review</i>	19

7.3	<i>Observation of conformity assessment activities</i>	19
7.4	<i>Interviews and engagement with CAB personnel</i>	19
7.5	<i>Management of findings and feedback</i>	20
7.6	<i>Follow-up and performance tracking</i>	20
7.7	<i>Relationship with approval, suspension, and revocation</i>	21
8	Non-conformities	21
8.1	<i>Classification of non-conformities</i>	21
8.2	<i>Identification and documentation</i>	22
8.3	<i>Corrective actions</i>	23
8.4	<i>Recurrence and escalation</i>	23
8.5	<i>Relationship with performance evaluation and enforcement</i>	24
8.6	<i>Timelines for critical non-conformities</i>	24
9	Suspension, restriction and revocation of approval	24
9.1	<i>Grounds for restriction, suspension, or revocation</i>	24
9.2	<i>Restriction of approval</i>	25
9.3	<i>Suspension of approval</i>	26
9.4	<i>Revocation of approval</i>	26
9.5	<i>Procedural safeguards and communication</i>	26
9.6	<i>Effect of restriction, suspension, or revocation</i>	27
9.7	<i>Immediate precautionary suspension</i>	27
10	Results of performance evaluation and follow-up	27
10.1	<i>Performance evaluation outcomes</i>	28
10.2	<i>Communication of results</i>	29
10.3	<i>Follow-up and monitoring</i>	29
10.4	<i>Continuous oversight and cumulative assessment</i>	29
10.5	<i>Relationship with approval status and enforcement</i>	30
11	Final provisions	30

1 Introduction

Conformity Assessment Bodies (CABs) play a fundamental role in ensuring the credibility, integrity, and robustness of activities certified under the BioCarbon Programs. Through the independent performance of conformity assessment functions in accordance with the applicable rules of each BioCarbon Program, CABs provide assurance that projects, initiatives, and credited outcomes comply with the relevant technical, procedural, and governance requirements.

Independent third-party oversight constitutes a core element of the BioCarbon governance framework. Accordingly, BioCarbon requires that all conformity assessment activities conducted under the BioCarbon Programs be performed by CABs that demonstrate sustained technical competence, impartiality, procedural consistency, and ethical conduct, and whose performance is subject to ongoing supervision.

This Performance Evaluation Manual establishes the principles, criteria, and procedures for the approval, supervision, and performance evaluation of CABs operating under the BioCarbon Programs. It defines a common framework through which BioCarbon assesses not only compliance with applicable requirements, but also the quality, consistency, reliability, and integrity of conformity assessment services delivered by CABs over time.

For the purposes of this Manual, the term “BioCarbon Programs” refers collectively to all certification, crediting, or standard-setting programs administered by BioCarbon, including the BioCarbon Standard (GHG Program), the Biodiversity BioCarbon Standard, the BioCarbon Water Standard, and any future programs established by BioCarbon.

For the purposes of this Manual, “BioCarbon” refers to BioCarbon Cert, the entity responsible for the administration, governance, and oversight of the BioCarbon Programs.

This Manual derives its authority from the governance framework established by BioCarbon and forms an integral part of the oversight and enforcement mechanisms applicable to all BioCarbon Programs. It shall be interpreted in conjunction with the applicable standards, methodologies, validation and verification manuals, standard operating procedures, and other normative documents of each BioCarbon Program. In the event of any inconsistency, the provisions of the applicable BioCarbon Program shall prevail.

This Manual supports a risk-based and performance-oriented approach to the oversight of CABs. It enables BioCarbon to identify patterns of performance, address deficiencies in a proportionate and timely manner, and apply corrective, preventive, or enforcement measures where necessary to safeguard the integrity of the BioCarbon Programs.

2 Objectives

The objectives of this Performance Evaluation Manual are to:

- (a) Establish a consistent, objective, and enforceable framework for evaluating the performance of CABs operating under the BioCarbon Programs, ensuring the credibility and integrity of conformity assessment activities;
- (b) Ensure that conformity assessment services are conducted in accordance with the applicable standards, methodologies, and procedural requirements of each BioCarbon Program, including those related to accreditation, auditor competence, assurance levels, materiality thresholds, and evidence-based reporting;
- (c) Uphold principles of independence, impartiality, transparency, and ethical conduct in third-party conformity assessment activities across all BioCarbon Programs, ensuring that CABs operate free from conflicts of interest and under robust governance and integrity controls;
- (d) Strengthen BioCarbon's oversight and quality assurance system by establishing structured procedures for the approval, periodic review, supervision, suspension, and revocation of CABs based on both compliance outcomes and sustained performance over time;
- (e) Support the consistent and credible certification, issuance, or recognition of credits, units, or outcomes under the BioCarbon Programs by ensuring that all assessed activities are subject to rigorous, independent, traceable, and risk-appropriate conformity assessment processes;
- (f) Promote continuous improvement among CABs through structured feedback, systematic monitoring of performance trends, effective non-conformity management, and the application of proportionate corrective and preventive actions in response to identified deficiencies.

3 Principles governing CAB evaluation

The performance evaluation of Conformity Assessment Bodies (CABs) operating under the BioCarbon Programs shall be guided by the following overarching principles:

Independence

CABs shall operate without bias or conflict of interest. CABs and their personnel shall be structurally and functionally independent from project proponents, initiative developers,

account holders, or any other parties that may exert undue influence over conformity assessment outcomes.

Impartiality

Performance evaluations shall be conducted objectively, consistently, and without preferential treatment, applying uniform criteria to all CABs operating under the BioCarbon Programs.

Integrity

CABs shall demonstrate ethical conduct, full compliance with applicable Program requirements, and truthful, complete, and accurate reporting of all findings, conclusions, and professional judgments.

Transparency

Evaluation processes, findings, and decisions shall be clearly documented, traceable, and retained within the BioCarbon governance system to ensure accountability, auditability, and effective oversight.

Evidence-Based Decision Making

All conclusions and performance determinations shall be based on verifiable, sufficient, and appropriate evidence obtained through documented and reproducible assessment procedures.

Technical Competence

CABs and their personnel shall demonstrate up-to-date technical expertise, sectoral experience, and methodological knowledge aligned with the scope and nature of the conformity assessment activities undertaken under each applicable BioCarbon Program.

Proportionality and Risk-Based Oversight

Performance evaluation, corrective measures, and enforcement actions shall be proportionate to the nature, severity, and recurrence of identified deficiencies and shall be informed by an assessment of the risks posed to program integrity and credibility.

Due Process

CABs shall be subject to clear procedures for notification of findings, the opportunity to respond, defined timelines for corrective action, and reasoned, documented decisions by

BioCarbon, ensuring fairness, consistency, and legal robustness in oversight actions.

Continuous Improvement

Performance evaluations shall contribute to a structured system of learning and improvement. Repeated or systemic non-conformities shall trigger escalating responses, while sustained high performance shall support continued approval and confidence in CAB services across the BioCarbon Programs.

4 Approval requirements for CABs

4.1 General requirements

To be approved to operate under the BioCarbon Programs, Conformity Assessment Bodies (CABs) shall meet and maintain, on an ongoing basis, the following minimum requirements:

- (a) Be a legally constituted entity, or a defined and legally accountable part of such an entity, capable of assuming full legal responsibility for all conformity assessment activities performed under the applicable BioCarbon Program;
- (b) Demonstrate organizational capacity, governance arrangements, and internal controls sufficient to ensure the consistent, impartial, and technically sound performance of conformity assessment activities;
- (c) Maintain an adequate number of qualified personnel with demonstrable technical competence and sectoral experience aligned with the scope of activities performed under each applicable BioCarbon Program;
- (d) Establish and maintain documented internal procedures governing conformity assessment activities, including the allocation of responsibilities, internal review and quality control processes, management of conflicts of interest, and handling of complaints and appeals;
- (e) Comply at all times with BioCarbon's Code of Ethics, Anti-Corruption Policies, and any other integrity, transparency, or conduct-related policies published on the official BioCarbon website;
- (f) Comply with any financial responsibility, insurance, or equivalent risk coverage requirements established by the applicable BioCarbon Program as a condition of approval;

- (g) Comply with all applicable legal, regulatory, and contractual obligations relevant to the activities performed under the BioCarbon Programs.

Failure to meet or maintain any of the above requirements may constitute grounds for non-conformity, suspension, or revocation of approval, in accordance with this Manual.

4.2 Accreditation requirements

CABs approved to operate under the BioCarbon Programs shall hold and maintain valid accreditation in accordance with the applicable international standards governing conformity assessment.

- (a) CABs shall hold an active accreditation under ISO/IEC 17029, issued by an accreditation body that is a signatory to the International Accreditation Forum (IAF) Multilateral Recognition Arrangement (MLA), and any additional program-specific accreditation requirements established by the applicable BioCarbon Program;
- (b) For the BioCarbon Standard (GHG Program), such program-specific accreditation requirements include accreditation under ISO 14065;
- (c) The scope of accreditation shall explicitly cover the types of conformity assessment activities and sectors for which the CAB seeks approval under the applicable BioCarbon Program;
- (d) CABs shall maintain accreditation continuously throughout the approval period. Any suspension, restriction, lapse, or withdrawal of accreditation shall be communicated to BioCarbon without delay;
- (e) Loss, suspension, or material limitation of accreditation may result in the immediate suspension or revocation of the CAB's approval under the BioCarbon Programs, subject to the procedures set out in this Manual.

Accreditation status and scope form a core element of the performance evaluation and ongoing supervision of CABs.

4.3 Professional liability insurance

Approved CABs shall maintain, at all times, active and valid professional liability insurance in accordance with the requirements established by the applicable BioCarbon Program, sufficient to adequately cover risks, liabilities, errors, omissions, and misconduct arising from conformity assessment activities performed under the BioCarbon Programs.

The minimum coverage amount and specific conditions of such insurance shall be defined by each applicable BioCarbon Program, taking into account the nature, scope, complexity, and potential risk exposure associated with the conformity assessment activities performed.

Where professional liability insurance is required by a BioCarbon Program, the following minimum conditions shall apply:

- (a) The insurance policy shall provide coverage at or above the minimum amount specified by the applicable BioCarbon Program;
- (b) The policyholder and insured party shall be the CAB;
- (c) The insurance shall cover liabilities arising from errors, omissions, negligence, or misconduct in the performance of conformity assessment activities;
- (d) Insurance costs shall be borne exclusively by the CAB and shall not be transferred to project proponents, initiative developers, or other parties;
- (e) The insurance policy shall remain valid and in force for the full duration of the CAB's approval.

Failure to maintain required insurance coverage in accordance with the applicable BioCarbon Program constitutes grounds for suspension or revocation of approval.

4.4 Responsibility and allocation of obligations

The responsibility for selecting and contracting a Conformity Assessment Body (CAB) rests exclusively with the Project Holder or other applicable program participant, as defined under the relevant BioCarbon Program.

Project Holders shall ensure, prior to engaging a CAB and throughout the duration of the conformity assessment process, that the selected CAB is duly approved by BioCarbon for the applicable BioCarbon Program and scope of activities, and that such approval, accreditation, and any other applicable requirements remain valid and in force.

The approval of a CAB by BioCarbon constitutes a condition for eligibility to perform conformity assessment activities under the BioCarbon Programs and does not constitute an endorsement, validation, or guarantee of any specific conformity assessment activity, outcome, or report.

CABs assume full and exclusive responsibility for the planning, execution, quality, professional judgment, conclusions, and reports issued in the course of conformity

assessment activities performed under the BioCarbon Programs.

BioCarbon does not participate in, direct, supervise, or control the conformity assessment activities performed by CABs and shall not be held responsible for errors, omissions, negligence, professional misconduct, or any other liabilities arising from such activities.

Nothing in this Manual shall be interpreted as creating a contractual relationship between BioCarbon and a CAB in relation to specific conformity assessment engagements, nor as limiting the professional, technical, or legal responsibility of CABs toward Project Holders or third parties.

Nothing in this Manual shall be construed as creating any obligation for BioCarbon to assume, share, or compensate for liabilities arising from conformity assessment activities performed by CABs.

5 Approval and periodic review of CABs

5.1 Approval process

CABs seeking approval to operate under the BioCarbon Programs shall submit an application package containing all documentation required by BioCarbon to assess eligibility, organizational capacity, technical competence, integrity, and alignment with applicable program requirements.

The approval process shall include, at a minimum:

- (a) Review of the CAB's legal status, governance structure, and organizational arrangements;
- (b) Verification of valid accreditation and scope, as required by the applicable BioCarbon Program;
- (c) Assessment of the CAB's technical competence, sectoral experience, and internal quality control systems;
- (d) Review of documented procedures governing conformity assessment activities, including independence, conflict of interest management, complaints and appeals, and internal review processes;
- (e) Due diligence checks in accordance with BioCarbon's Code of Ethics, Anti-Corruption Policies, and other integrity-related policies;
- (f) Review of one or more conformity assessment reports prepared in accordance with

the applicable Validation and Verification Manual.

The approval of a CAB by BioCarbon confirms that the CAB meets the eligibility and oversight requirements established under the applicable BioCarbon Program. Such approval does not constitute an endorsement, validation, or guarantee of any specific conformity assessment activity, outcome, or report, nor does it limit or replace the CAB's exclusive responsibility for its conformity assessment work.

Approval decisions shall be documented and formally communicated to the applicant CAB. Approval may be granted, granted subject to conditions, or denied, based on the outcome of the assessment.

5.2 Duration and review of approval

Approval of a CAB under the BioCarbon Programs shall be formalized through a written agreement and shall be granted for a defined period, subject to continued compliance with the requirements of this Manual and the applicable BioCarbon Program.

Approval is conditional upon sustained performance and continuous compliance and does not confer any permanent or unconditional right to perform conformity assessment activities under the BioCarbon Programs.

During the approval period, BioCarbon reserves the right to:

- (a) Conduct scheduled or unscheduled reviews of CAB performance;
- (b) Request information, documentation, or clarification relevant to the CAB's conformity assessment activities;
- (c) Initiate targeted reviews or evaluations in response to identified risks, complaints, or indications of underperformance;
- (d) Suspend or revoke approval in accordance with this Manual.

Any decision to continue, restrict, suspend, or revoke approval shall be based on documented findings and shall be communicated to the CAB in accordance with the procedures set out in this Manual.

5.3 Ongoing supervision and performance review

BioCarbon shall implement an ongoing supervision framework to monitor and evaluate the performance of approved CABs over time.

Ongoing supervision may include:

- (a) Periodic review of conformity assessment reports and related documentation;
- (b) Evaluation of the consistency, quality, completeness, and timeliness of deliverables;
- (c) Assessment of the CAB's application of the applicable Validation and Verification Manual and other relevant BioCarbon policies and procedures;
- (d) Monitoring of non-conformities, corrective actions, and performance trends;
- (e) Observation of conformity assessment activities conducted on-site or remotely, where warranted based on risk.

Ongoing supervision and performance review are intended to support oversight, quality assurance, and continuous improvement. They do not imply participation by BioCarbon in the planning, execution, or professional judgment of conformity assessment activities, nor do they transfer or share responsibility for such activities.

Performance evaluation shall consider both isolated findings and patterns of recurrent or systemic deficiencies. Where such patterns are identified, BioCarbon may apply escalated oversight measures, corrective requirements, or enforcement actions in accordance with this Manual.

6 Performance evaluation criteria

BioCarbon shall evaluate the performance of approved Conformity Assessment Bodies (CABs) on a continuous and cumulative basis. Performance evaluation shall assess not only formal compliance with applicable requirements, but also the quality, consistency, reliability, and professional rigor demonstrated by CABs in the execution of conformity assessment activities over time.

Performance evaluation criteria are designed to identify both isolated deficiencies and patterns of recurrent or systemic underperformance that may pose risks to program integrity, credibility, or confidence in conformity assessment outcomes.

6.1 Scope and validity of accreditation

CABs shall maintain valid accreditation with an appropriate scope covering the conformity assessment activities performed under the applicable BioCarbon Program.

Performance evaluation shall consider:

- (a) Continuous compliance with accreditation requirements;
- (b) Alignment between the scope of accreditation and the activities undertaken by the CAB;
- (c) Timely notification to BioCarbon of any changes, restrictions, suspension, or withdrawal of accreditation;
- (d) Evidence that accreditation scope is consistently respected in practice.

Any deviation between accreditation scope and performed activities may constitute a material performance deficiency.

6.2 Technical competence and professional rigor

CABs shall demonstrate sustained technical competence and professional rigor in the planning, execution, and reporting of conformity assessment activities.

Performance evaluation shall consider, inter alia:

- (a) The adequacy of audit planning, including risk identification, sampling approaches, and allocation of competent personnel;
- (b) The technical quality, completeness, and internal consistency of conformity assessment reports;
- (c) The soundness of professional judgment applied in assessing evidence and drawing conclusions;
- (d) The appropriate identification, classification, and treatment of findings and non-conformities;
- (e) The ability of the CAB to identify material issues and address them with sufficient depth and rigor.

Repeated deficiencies in technical analysis, superficial assessments, or unsupported conclusions may indicate systemic underperformance.

6.3 Application of applicable standards and program requirements

CABs shall apply all applicable standards, methodologies, manuals, and procedural requirements established under the relevant BioCarbon Program in a consistent and accurate manner.

Performance evaluation shall assess:

- (a) Correct and consistent application of the applicable Validation and Verification Manual;
- (b) Alignment between reported findings and the applicable methodological and procedural requirements;
- (c) Adequacy of documentation supporting conformity assessment conclusions;
- (d) Absence of unjustified deviations from established requirements.

Failure to apply applicable requirements in a consistent and disciplined manner may constitute a significant performance deficiency.

6.4 Independence, impartiality, and integrity

CABs shall demonstrate sustained independence, impartiality, and integrity in the conduct of conformity assessment activities.

Performance evaluation shall consider:

- (a) Effective identification, disclosure, and management of conflicts of interest;
- (b) Independence of audit teams from Project Holders and other interested parties;
- (c) Adherence to BioCarbon's Code of Ethics and Anti-Corruption Policies;
- (d) Absence of behavior that may undermine confidence in the objectivity or credibility of conformity assessment outcomes.

Any breach of independence, impartiality, or integrity shall be treated as a serious performance deficiency.

6.5 Quality of deliverables and timeliness

CABs shall deliver conformity assessment reports and related documentation that meet BioCarbon's requirements for quality, clarity, completeness, and timeliness.

Performance evaluation shall consider:

- (a) The overall quality and clarity of reports submitted;
- (b) The frequency of material deficiencies identified during review;

- (c) The need for repeated revisions or corrective actions to achieve acceptable quality;
- (d) Timely submission of reports, responses to findings, and corrective actions.

Persistent delays, repeated quality deficiencies, or reliance on multiple review cycles to achieve acceptable outcomes may indicate poor performance.

6.6 Management of non-conformities and corrective actions

CABs shall demonstrate effective management of non-conformities, including timely and adequate corrective actions.

Performance evaluation shall assess:

- (a) Proper classification and documentation of non-conformities;
- (b) Timeliness and completeness of corrective action responses;
- (c) Effectiveness of corrective actions in preventing recurrence;
- (d) Evidence of learning and improvement following identified deficiencies.

Recurrent non-conformities or ineffective corrective actions may indicate systemic performance issues and shall be subject to escalated oversight.

6.7 Cooperation and procedural engagement

CABs shall cooperate with BioCarbon in the context of approval, supervision, and performance evaluation activities.

- (a) Performance evaluation shall consider:
- (b) Responsiveness to information requests and review comments;
- (c) Transparency in communications related to conformity assessment activities;
- (d) Compliance with procedural timelines and administrative requirements;
- (e) Professional conduct in interactions with BioCarbon and other program participants.

Lack of cooperation or repeated procedural non-compliance may negatively affect performance evaluation outcomes.

6.8 Performance trends and escalation

Performance evaluation shall consider both isolated findings and performance trends observed over time.

Where patterns of recurrent deficiencies, declining performance, or systemic weaknesses are identified, BioCarbon may apply escalated oversight measures, including:

- (a) Increased scrutiny or targeted reviews;
- (b) Mandatory corrective actions or capacity-building measures;
- (c) Restrictions on scope of approval;
- (d) Suspension or revocation of approval, in accordance with this Manual.

Escalation decisions shall be based on documented evidence and shall reflect the severity, frequency, and impact of identified performance deficiencies.

6.9 Assurance level and materiality

Conformity assessment activities performed by approved CABs shall be conducted at the assurance level and in accordance with the materiality thresholds established by the applicable BioCarbon Program and the corresponding Validation and Verification Manual.

For each validation or verification engagement, CABs shall explicitly document the applicable assurance level, the materiality threshold applied, and the manner in which materiality considerations were addressed in the planning, execution, and conclusions of the conformity assessment.

Failure to clearly identify, apply, or substantiate the required assurance level or materiality threshold, or to support conclusions with reference to such parameters, may constitute a major or critical non-conformity, depending on the nature and impact of the deficiency.

6.10 Continuous professional development

CABs shall maintain and demonstrate ongoing professional development of personnel involved in conformity assessment activities.

Performance evaluation shall consider evidence of structured and continuous training in applicable methodologies, program requirements, and professional practices relevant to the scope of activities performed.

Lack of evidence of adequate ongoing training may negatively affect performance evaluation outcomes and constitute a performance deficiency.

7 Performance evaluation methodology

BioCarbon shall implement a structured and documented methodology to evaluate the performance of approved Conformity Assessment Bodies (CABs). The performance evaluation methodology is designed to support effective oversight, ensure consistency in supervisory practices, and enable timely identification of performance deficiencies, risks, and improvement opportunities.

Performance evaluation shall be conducted independently from specific conformity assessment engagements and shall not interfere with, direct, or substitute the professional judgment exercised by CABs in individual assessments.

7.1 Sources of information

Performance evaluation shall be based on a combination of quantitative and qualitative information obtained through documented and verifiable sources.

Such sources may include, inter alia:

- (a) Conformity assessment reports and related documentation submitted by CABs;
- (b) Outcomes of technical reviews conducted by BioCarbon;
- (c) Records of non-conformities, clarifications, and corrective actions;
- (d) Information derived from approval, supervision, and periodic review activities;
- (e) Complaints, grievances, or substantiated concerns received in relation to CAB performance;
- (f) Information related to accreditation status, scope, or findings issued by accreditation bodies;
- (g) Communications and procedural interactions between BioCarbon and CABs.

All information used for performance evaluation shall be retained in accordance with BioCarbon's record-keeping and governance requirements.

7.2 Document review

BioCarbon may conduct reviews of conformity assessment reports and related documentation for the purpose of evaluating CAB performance.

Document review shall focus on:

- (a) Technical quality, internal consistency, and completeness of reports;
- (b) Alignment with applicable standards, methodologies, and procedural requirements;
- (c) Adequacy of evidence supporting findings and conclusions;
- (d) Appropriate identification and treatment of non-conformities;
- (e) Professional rigor demonstrated in the application of judgment.

Document review conducted under this Section is performed for performance evaluation and oversight purposes and does not constitute a re-performance of conformity assessment activities.

7.3 Observation of conformity assessment activities

BioCarbon may observe conformity assessment activities conducted by CABs, either remotely or on-site, where such observation is warranted based on identified risks, performance concerns, or supervisory needs.

Observation activities shall be limited to assessing the CAB's adherence to applicable procedures, standards, and professional practices and shall not involve directing, influencing, or participating in the conduct of conformity assessment activities.

Observations may be used as input for performance evaluation and shall be documented in accordance with BioCarbon's procedures.

7.4 Interviews and engagement with CAB personnel

BioCarbon may engage with CAB personnel, including technical staff and management, as part of performance evaluation activities.

Such engagement may include interviews or meetings aimed at:

- (a) Clarifying procedures, methodologies, or approaches applied by the CAB;

- (b) Assessing understanding of applicable requirements and policies;
- (c) Discussing identified performance issues or improvement opportunities.

Engagement with CAB personnel shall not interfere with the independence or professional judgment of the CAB.

7.5 Management of findings and feedback

Performance evaluation may result in the identification of findings related to CAB performance.

Findings may include:

- (a) Observations related to quality, consistency, or procedural compliance;
- (b) Identification of performance deficiencies requiring corrective action;
- (c) Recognition of good practices or sustained high performance.

BioCarbon shall communicate performance-related findings to the CAB in a documented manner and may request corrective actions or clarifications, as appropriate.

Performance-related feedback is intended to support oversight and continuous improvement and does not replace or limit the CAB's responsibility for its conformity assessment activities.

7.6 Follow-up and performance tracking

BioCarbon shall track the implementation and effectiveness of corrective actions related to performance evaluation findings.

Follow-up activities may include:

- (a) Review of corrective action responses submitted by the CAB;
- (b) Assessment of evidence demonstrating implementation and effectiveness;
- (c) Consideration of whether identified issues recur over time.

Failure to adequately address performance-related findings or repeated recurrence of similar issues may result in escalated oversight or enforcement actions in accordance with this Manual.

7.7 Relationship with approval, suspension, and revocation

Performance evaluation outcomes shall inform decisions related to the continuation, restriction, suspension, or revocation of CAB approval.

Such decisions shall be based on documented evidence and shall consider:

- (a) The severity and frequency of identified performance deficiencies;
- (b) The effectiveness of corrective actions implemented;
- (c) The potential impact of performance issues on program integrity and confidence in conformity assessment outcomes.

Performance evaluation does not limit BioCarbon's authority to take immediate action where serious risks or integrity concerns are identified, in accordance with this Manual.

8 Non-conformities

BioCarbon shall identify, classify, and manage non-conformities related to the performance of approved Conformity Assessment Bodies (CABs) in a consistent, transparent, and documented manner.

Non-conformities represent failures to meet the requirements established under the applicable BioCarbon Program, this Manual, the relevant Validation and Verification Manual, or other applicable BioCarbon policies and procedures. The identification of non-conformities forms a core component of the performance evaluation and oversight framework.

8.1 Classification of non-conformities

Non-conformities identified in relation to CAB performance shall be classified according to their nature, severity, and potential impact on the integrity and credibility of conformity assessment activities.

The following categories shall apply:

Minor non-conformity

A minor non-conformity is an isolated or low-impact deficiency that does not materially affect the credibility of conformity assessment outcomes.

Minor non-conformities may include, inter alia:

- (a) Limited documentation gaps that do not affect conclusions;
- (b) Isolated procedural deviations with no material impact;
- (c) Minor delays or administrative issues that are promptly corrected.

Major non-conformity

A major non-conformity is a deficiency that affects, or has the potential to affect, the quality, reliability, or credibility of conformity assessment outcomes.

Major non-conformities may include, inter alia:

- (a) Inadequate application of applicable standards, methodologies, or procedural requirements;
- (b) Insufficient or inappropriate evidence supporting conclusions;
- (c) Recurrent deficiencies previously identified as minor non-conformities;
- (d) Failure to implement effective corrective actions within established timelines.

Critical non-conformity

A critical non-conformity is a serious or systemic failure that compromises the integrity, independence, or professional rigor of conformity assessment activities.

Critical non-conformities may include, inter alia:

- (a) Breaches of independence, impartiality, or conflict of interest requirements;
- (b) Serious ethical violations or misconduct;
- (c) Systemic technical failures or repeated major non-conformities indicating persistent underperformance;
- (d) Submission of materially misleading, false, or unsupported conclusions;
- (e) Failure to disclose information that materially affects conformity assessment outcomes.

8.2 Identification and documentation

All non-conformities shall be documented in a clear, objective, and traceable manner.

Documentation of non-conformities shall include:

- (a) A description of the identified deficiency;
- (b) Reference to the applicable requirement(s) not met;
- (c) Classification of the non-conformity;
- (d) Supporting evidence;
- (e) Required corrective actions and applicable timelines.

Documentation shall be retained as part of BioCarbon's oversight records and may be used for cumulative performance evaluation.

8.3 Corrective actions

CABs shall be responsible for proposing and implementing corrective actions in response to identified non-conformities.

Corrective actions shall:

- (a) Address the root cause of the non-conformity;
- (b) Be proportionate to the severity of the deficiency;
- (c) Be implemented within the timelines specified by BioCarbon;
- (d) Be supported by objective evidence demonstrating effective implementation.

The responsibility for the adequacy and effectiveness of corrective actions rests exclusively with the CAB.

8.4 Recurrence and escalation

BioCarbon shall consider the recurrence of similar non-conformities, or the accumulation of multiple non-conformities over time, as indicators of systemic performance issues.

Recurrent non-conformities, ineffective corrective actions, or escalation from minor to major non-conformities may result in increased supervisory measures, additional reviews, or enforcement actions.

Repeated major non-conformities or any critical non-conformity may trigger immediate escalation, including restrictions on approval, suspension, or revocation, in accordance

with this Manual.

8.5 Relationship with performance evaluation and enforcement

Non-conformities shall be evaluated in the context of overall CAB performance and shall inform decisions related to approval status, scope restrictions, suspension, or revocation.

The identification or management of non-conformities does not limit the CAB's responsibility for its conformity assessment activities, nor does it transfer any responsibility to BioCarbon.

BioCarbon's oversight and management of non-conformities shall not be interpreted as participation in, endorsement of, or assumption of responsibility for conformity assessment activities performed by CABs.

8.6 Timelines for critical non-conformities

Critical non-conformities shall require immediate attention by the affected CAB.

Unless otherwise determined by BioCarbon based on the circumstances of the case, corrective actions addressing critical non-conformities shall be submitted within a maximum timeframe defined by BioCarbon and may be subject to accelerated review.

Failure to respond adequately or within the established timeframe may result in immediate escalation, including suspension or revocation of approval, in accordance with this Manual.

9 Suspension, restriction and revocation of approval

BioCarbon may impose restrictions, suspension, or revocation of approval on a Conformity Assessment Body (CAB) where performance deficiencies, integrity concerns, or non-compliance with applicable requirements pose risks to the credibility, integrity, or proper functioning of the BioCarbon Programs.

Decisions under this Section shall be proportionate, evidence-based, and documented, and shall take into account the nature, severity, recurrence, and impact of identified deficiencies.

9.1 Grounds for restriction, suspension, or revocation

BioCarbon may restrict, suspend, or revoke the approval of a CAB on one or more of the following grounds:

- (a) Repeated or systemic performance deficiencies identified through performance evaluation activities;
- (b) Failure to adequately address non-conformities or implement effective corrective actions within established timelines;
- (c) Any critical non-conformity, including breaches of independence, impartiality, integrity, or ethical conduct;
- (d) Loss, suspension, restriction, or material limitation of required accreditation;
- (e) Failure to maintain required professional liability insurance or other risk coverage established by the applicable BioCarbon Program;
- (f) Submission of materially misleading, false, or unsupported conclusions in conformity assessment reports;
- (g) Serious procedural non-compliance or lack of cooperation that undermines effective oversight;
- (h) Any other circumstance demonstrating that continued approval would pose a risk to program integrity or confidence in conformity assessment outcomes.

The existence of one or more grounds does not require BioCarbon to exhaust lesser measures prior to taking action where immediate risks are identified.

9.2 Restriction of approval

BioCarbon may impose restrictions on a CAB's approval where deficiencies are limited in scope or impact but require corrective measures.

Restrictions may include, inter alia:

- (a) Limitation of approval to specific activities, sectors, or scopes;
- (b) Increased review or supervision requirements;
- (c) Temporary conditions imposed on the conduct of conformity assessment activities.

Restrictions shall remain in effect until BioCarbon determines that identified deficiencies have been adequately addressed.

9.3 Suspension of approval

BioCarbon may suspend the approval of a CAB where deficiencies are serious, unresolved, or indicate heightened risk to program integrity.

Suspension may be imposed:

- (a) As a temporary measure pending corrective action;
- (b) Where repeated non-conformities demonstrate persistent underperformance;
- (c) Where integrity, independence, or ethical concerns arise;
- (d) Where accreditation or insurance requirements are no longer met.

During a period of suspension, the CAB shall not initiate or continue conformity assessment activities under the BioCarbon Programs, except where BioCarbon determines that limited actions are necessary to ensure an orderly transition or closure of ongoing activities.

9.4 Revocation of approval

BioCarbon may revoke the approval of a CAB where deficiencies are severe, systemic, or incompatible with continued participation in the BioCarbon Programs.

Grounds for revocation may include, inter alia:

- (a) Persistent or repeated critical non-conformities;
- (b) Failure to restore compliance following suspension;
- (c) Evidence of serious professional misconduct or ethical violations;
- (d) Sustained inability or unwillingness to meet performance requirements.

Revocation constitutes the permanent withdrawal of approval to operate under the BioCarbon Programs, subject to any reapplication conditions established by BioCarbon.

9.5 Procedural safeguards and communication

Decisions to restrict, suspend, or revoke approval shall be communicated to the affected CAB in a documented manner.

Such communication shall include:

- (a) The grounds for the decision;

- (b) Reference to applicable findings or non-conformities;
- (c) The effective date and scope of the measure;
- (d) Any conditions for corrective action or potential reinstatement, where applicable.

BioCarbon may communicate relevant decisions to Project Holders, accreditation bodies, or other relevant parties where necessary to protect program integrity.

Nothing in this Section shall be interpreted as creating a right to continued approval or limiting BioCarbon's authority to take timely action to address risks.

9.6 Effect of restriction, suspension, or revocation

Restriction, suspension, or revocation of approval does not relieve a CAB of responsibility for conformity assessment activities already performed.

Such measures do not transfer or assume responsibility for conformity assessment activities to BioCarbon.

Project Holders remain responsible for engaging approved CABs and for taking appropriate action where approval status changes affect ongoing or planned conformity assessment activities.

9.7 Immediate precautionary suspension

Notwithstanding other provisions of this Manual, BioCarbon may impose an immediate precautionary suspension of a CAB's approval where there are reasonable grounds to believe that the CAB's continued operation poses a serious risk to program integrity, independence, or credibility.

Grounds for immediate precautionary suspension may include, inter alia, critical non-conformities, breaches of independence or integrity, substantiated allegations of professional misconduct, or systemic failures affecting the reliability of conformity assessment outcomes.

Immediate precautionary suspension may be applied without prior exhaustion of corrective measures and shall remain in effect pending further assessment and determination in accordance with this Manual.

10 Results of performance evaluation and follow-up

BioCarbon shall determine the results of performance evaluation based on documented

evidence obtained through the application of the performance evaluation criteria and methodology set out in this Manual.

Performance evaluation results shall reflect the overall performance of a Conformity Assessment Body (CAB) over time and shall take into account both isolated findings and cumulative performance trends.

10.1 Performance evaluation outcomes

Based on the results of performance evaluation activities, BioCarbon shall assign one of the following performance outcomes to an approved CAB:

Satisfactory performance

A CAB demonstrates consistent compliance with applicable requirements and sustained professional rigor in the conduct of conformity assessment activities.

Minor non-conformities, where identified, are isolated, promptly addressed, and effectively corrected.

Satisfactory performance supports the continuation of approval without additional restrictions.

Performance requiring improvement

A CAB demonstrates deficiencies that do not, individually or immediately, compromise program integrity but indicate the need for corrective actions or enhanced oversight.

Such deficiencies may include recurrent minor non-conformities, isolated major non-conformities, or patterns of declining quality or timeliness.

Performance requiring improvement may result in additional oversight measures, targeted reviews, or specific corrective action requirements.

Unsatisfactory performance

A CAB demonstrates serious, recurrent, or systemic deficiencies that compromise, or pose a material risk to, the integrity, credibility, or reliability of conformity assessment activities.

Unsatisfactory performance may result from repeated major non-conformities, any critical non-conformity, ineffective corrective actions, or persistent failure to meet performance expectations.

Unsatisfactory performance may trigger restriction, suspension, or revocation of approval

in accordance with this Manual.

10.2 Communication of results

BioCarbon shall communicate performance evaluation results to the affected CAB in a documented manner.

Communication of results shall include:

- (a) The assigned performance outcome;
- (b) A summary of key findings and observations;
- (c) Any required corrective actions or follow-up measures;
- (d) Applicable timelines for response or implementation.

Communication of performance evaluation results does not constitute an endorsement of any conformity assessment activity or outcome and does not transfer responsibility to BioCarbon.

10.3 Follow-up and monitoring

BioCarbon shall monitor the implementation and effectiveness of follow-up actions associated with performance evaluation results.

Follow-up activities may include:

- (a) Review of corrective action responses submitted by the CAB;
- (b) Verification of evidence demonstrating implementation and effectiveness;
- (c) Additional reviews or supervisory measures where warranted.

Failure to implement effective follow-up actions within established timelines may result in escalation in accordance with this Manual.

10.4 Continuous oversight and cumulative assessment

Performance evaluation is a continuous process. BioCarbon shall consider cumulative performance information over time when determining follow-up actions, approval status, or enforcement measures.

Sustained satisfactory performance may support continued approval and reduced

supervisory intensity.

Persistent deficiencies or deterioration in performance shall be treated as indicators of increased risk and may lead to escalated oversight or enforcement actions.

10.5 Relationship with approval status and enforcement

Performance evaluation results shall directly inform decisions related to the continuation, restriction, suspension, or revocation of CAB approval.

Nothing in this Section shall be interpreted as limiting BioCarbon's authority to take timely action where serious risks or integrity concerns are identified, nor as transferring responsibility for conformity assessment activities to BioCarbon.

Performance evaluation results do not relieve CABs of responsibility for conformity assessment activities already performed or ongoing at the time of evaluation.

11 Final provisions

This Performance Evaluation Manual establishes a comprehensive and enforceable framework for the approval, supervision, and performance evaluation of Conformity Assessment Bodies (CABs) operating under the BioCarbon Programs.

The provisions of this Manual are intended to ensure that conformity assessment activities are conducted with a high level of professional rigor, integrity, accountability, and consistency, and that deficiencies in performance are identified, addressed, and, where necessary, subject to proportionate and timely consequences.

The approval, supervision, and performance evaluation of CABs under this Manual do not diminish or replace the full and exclusive responsibility of CABs for the conformity assessment activities they perform, nor do they transfer any technical, professional, or legal responsibility to BioCarbon.

Compliance with this Manual constitutes a mandatory condition for the approval and continued participation of CABs in the BioCarbon Programs. Failure to comply with its provisions may result in restriction, suspension, or revocation of approval, in accordance with the procedures set out herein.

This Manual enters into force on the date of its adoption by BioCarbon and shall remain in effect until amended, replaced, or withdrawn by BioCarbon.

This version of the Manual applies to all performance evaluation activities initiated on or

after its date of entry into force. Performance evaluation activities initiated prior to that date shall continue to be governed by the version in force at the time of their initiation, unless otherwise determined by BioCarbon.

This Manual shall be applied in conjunction with the applicable standards, methodologies, validation, verification, auditing manuals, policies, and other normative documents of each BioCarbon Program.

BioCarbon reserves the right to update or revise this Manual as necessary to maintain the integrity, credibility, and effective governance of the BioCarbon Programs.

History of document

Type of document. Governance Framework.

Version	Date	Nature of the document
1.0	June 13, 2025	Initial version
2.0	January 13, 2026	Consolidated and enhanced version reflecting a strengthened performance evaluation, oversight, and accountability framework for Conformity Assessment Bodies across the BioCarbon Programs.