

P46C- PROCEDURE FOR OCs WITHIN THE SCOPE OF CCC+



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Objective

Establish a set of steps and responsibilities for Certification Bodies (CBs) that conduct independent audits (third-party verification) of carbon credit projects, ensuring compliance with the CCC+ scheme requirements, the integrity of the verified data, and the credibility of the credits issued.

Scope of Application

This procedure applies to all CBs recognized by CERTIS within the scope of the CCC+ framework, which intend to carry out third-party verifications on certified projects or in the process of certification under the CCC+ scheme.

1. Procedure

1.1. Receiving certification requests

Upon receiving a certification request from a project sponsor, the CB must request completion of the CCC1-Certification Request form. Contact should be formalized via email.

Upon receipt of the certification application draft, CCC1, duly completed and signed by the person responsible or legal representative of the company making the certification application, the OC must verify whether the feasibility conditions are met, in light of the rules established in the CCC+ standard.

1.2. Application Analysis

The OC carries out the process instruction, filling in the field reserved for this purpose at the end of the draft “CCC1-Certification Request”, Application Analysis and Deliberation, analyzing and validating the application, in order to ensure that:

- The information about the organization and the production unit is sufficient to conduct the certification process;
- Any known differences of understanding between the organization and the OC are resolved, including agreement on the benchmark;
- The intended scope of certification is defined;
- The authenticity of the applicant's identity is verified by presenting official documents and consulting reliable systems.
- Candidates from high-risk jurisdictions or those subject to international sanctions are excluded.

To analyze the request, a member of the Decision Committee will evaluate the certification request and its attachments, deliberating on one of the following situations:

- **APPROVAL:** if the opinion is favorable, the process moves on to the identity verification and contract formalization stage;
- **REJECTION:** if the opinion is unfavorable, the OC formally communicates the rejection to the applicant, presenting the appropriate grounds.

After approval:

- The OC sends the project promoter a Commercial Proposal, CCC2, detailing the total estimated timeframe for carrying out the audits and the costs involved in the certification process;
- The project promoter formalizes the award via email, confirming their intention to obtain CCC+ certification;
- The OC forwards the Contract, CCC3, for signature by the parties. For project promoters of the Partnership type, the contract must bear the respective official stamp; the signed contract must be returned to the OC, accompanied by the company's permanent certificate, for documentary validation;
- In cases of project promoters with multiple locations (multi-site), the OC must ensure that the contract legally covers all locations covered by the certification;

- The contract must establish the company's commitment to maintain the initial stock of the baseline in effect at the start of the project for a minimum period of 30 years, ensuring the right to the value corresponding to the initial stock for the eventual commercialization of the baseline credits;
- The contract must include the company's formal authorization to publicly disclose institutional data, geographic location and project description on the CERTIS website, as well as the disclosure of the values of the credits made available for sale on the voluntary carbon market.

The Technical Committee for Safeguarding Impartiality is an independent body of the Control Body, established in compliance with the accreditation standards applicable to CERTIS, and is formed to ensure the impartiality, independence, effectiveness, and impartiality of its members. These requirements are essential for the dignification and enhancement of the control of rules, standards, and/or regulations, and the respective CCC+ certification.

1.3. Registration and Public Consultation

The OC must request the following documents from the project promoter:

- draft CCC10-Project design;
- geographic location of the project in KML format.

These documents must be uploaded to the CERTIS registration platform, using the credentials provided in accordance with point 1.4. of this procedure.

A unique identifier will be assigned to the project defined in procedure P46, for example CERTIS.CCC+.0012025, whose status in the registry will be “UNDER PUBLIC CONSULTATION”.

The CB shall request from the project promoter a list of interested parties who will be notified by the CB about planned and ongoing activities.

1.3.1. Public consultation closing process

After the end of the public consultation period for the registered project documents, the following steps are described:

- **Closing of the Public Consultation Period-** The public consultation period, lasting at least 30 days, will be formally closed on the CERTIS electronic platform. The consultation deadline may be exceptionally extended in justified cases. In all circumstances, the deadline must be clearly identified.
- **Analysis of Comments Received-** The OC collects and evaluates all manifestations, opinions and observations sent by interested parties through the channels made available (general OC email and/or geral@certis.pt), with the aim of identifying relevant points that may impact the project, including social, environmental and technical aspects.
- **Internal Decision-** Based on the comments received, the CB will determine whether additional measures are necessary, which may include:
 - Request for additional clarifications or changes to the project promoter;
 - Request for additional technical reviews by the OC;
 - Implementation of corrective actions prior to final project approval.

If not required, the project promoter is informed about the results of the public consultation, the decisions taken and the next steps in the certification process.

- **Transition to the Certification Period-** If no additional measures are necessary, the project moves to “CERTIFICATION PERIOD”.

1.4. Access to the CERTIS Platform

Access to CERTIS's CCC+ digital platform will be granted individually and securely, for project registration and management. CERTIS is responsible for managing, maintaining, and updating the platform, and implementing access and security controls.

Recognized CBs are responsible for managing the registration and uploading their project sponsors' documentation to the CERTIS website. They must maintain the confidentiality of their credentials

(login and password) and adopt best information security practices. In the event of loss or suspected compromise of credentials, the CB must immediately notify CERTIS so that procedures can be taken to block, recover, or renew them.

- **Access Credentials**

Each OC will receive individual credentials consisting of a login and password to access the management platform. Approved accounts can begin using all available features depending on their user type.

- **Process for obtaining access**

- Complete the online New Account Request form.
- Agree to the Terms of Use.
- After submitting the form, the Account Manager will receive an email notification for account activation.
- Activation must occur prior to notifying the CERTIS Administrator about the pending account.
- An email notification will be sent to the Account Manager confirming account approval.
- After approval, the OC will be able to use the platform according to their access level.

- **Training and support**

Specific training will be provided to OC employees and staff to ensure compliance with information security policies and operational procedures.

- **Financial aspects**

Approved accounts will be invoiced for the creation fee upon approval. After the invoice is created, CERTIS will send the Account Manager an email notification with the invoice and payment details. Failure to pay will result in account deactivation.

1.5. Audits

The OC must monitor project performance throughout the credit lifecycle. To monitor projects, an annual on-site audit must be conducted. Audits, monitoring, and reports can be uploaded to the platform if necessary. During these monitoring sessions, nonconformities may arise and should be addressed jointly with project managers, the OC, and CERTIS.

1.5.1. Types of audit

Concession/Renewal Audit and Monitoring

During the validity period of the certificate of conformity, the CB must conduct annual audits (not exceeding 12 months from the last audit) of the granting and monitoring of the CCC+ standard requirements, to verify that the conditions that gave rise to certification are maintained. The audit dates must be set by the CB, and postponements after the dates have been agreed with the entity are not permitted except in duly justified cases.

The planned time for a surveillance audit should be reviewed at least at each surveillance and recertification audit to take into account organizational changes, system maturity, and other factors. If there is a change in scope, the project design must be revised, and the baseline must be re-verified.

Audit combined with other certifications

If the audit is combined with another certification, the number of auditor days for preparation and follow-up may be reduced by up to 20% (provided that the other certification is related to forest management, e.g. FSC, PEFC).

Extraordinary Audits

The CB may initiate extraordinary audits whenever there is a need to verify the handling of a complaint and/or appeal (disagreement with the CB's decision), based on the activity/products covered by the certification scope. This type of audit may also occur whenever there is a change in the production unit and/or significant changes in the production units that impact the certification scope, or changes in key personnel within the organization that impact certification activities.

The costs of extraordinary audits must be borne in full by the project promoter, in accordance with the current OC price list.

In cases where an extraordinary audit is applicable, it is necessary to comply with the points of this procedure, namely 3.8.4- Conducting an Audit; 3.13- Review and 3.14 Making a Certification Decision.

Extension Audits

Extension audits are called extension audits whenever there are significant changes to the unit's identification (name, tax identification number, contact person, etc.) or its characteristics, including significant changes to areas, animal numbers, or certification scope. When these changes are communicated to the CB, it is responsible for assessing and deliberating whether an extension audit is necessary to issue the certificate of compliance.

1.5.2. Base Scenario

The baseline scenario allows you to evaluate the project's progress and the additional features created.

- **Calculation Methodology**

- Uses comparable quantification approaches for emissions or removals, covering both baseline and mitigation activities;
- Considers the calculation of the biomass of plant species using satellite technology;
- It is based on values obtained from soil analyses performed in the project's inception year. If no analysis is performed, the organic matter value and content considered will be zero.

- **Calculation of GHG Reductions**

- Greenhouse Gas (GHG) reductions are calculated by periodically comparing the baseline with project performance over a given period (in the case of the CCC+ Program, this period is one year).
- Reductions are considered positive when the project results in lower emissions into the atmosphere over that period, compared to what would have occurred in the absence of the project activity.

1.5.3. Duration

To determine the duration of the audit, the following indicators must be considered:

- CCC+ Reference Requirements;
- Dimension and complexity of the project promoter organization's operations, geographical and natural conditions;
- Subcontracted activities included in the scope;
- The results of any previous audits;
- Diversity of the production unit;
- Quality/confidence level of the internal monitoring program.

Subsequently, the audit will be divided into two phases, namely:

- **1st phase:** documentary audit and satellite readings that occur throughout the calendar year;
- **2nd phase:** on-site audit with field verification and analysis of some documents.

1.5.4. Audit Preparation

The CB must perform the following planning activities before conducting the audit:

- Designate competent resources to carry out activities;
- Determine verification activities based on understanding of the project;
- Confirm with the project promoter the timing and preparations for access;
- Determine the evidence collection activities necessary to complement the verification, in accordance with the requirements and in accordance with the results;
- Prepare an evidence collection plan and any measures the Organization has implemented to control sources of potential errors, omissions and distortions;
- Carry out a strategic analysis to understand the nature and complexity of the project;
- Assess the risk of non-compliance with specific requirements;

Determine the audit team, and after this appointment, notify the Organization by email. The following information should be provided:

- Objectives and scope of the project;
- Identification of the audit team and their roles and responsibilities within the team;
- Term and duration of the audit;
- Requirements specified.

If there are no disagreements, based on the Department's instructions, the Auditor(s) will prepare the Audit to effectively meet its objectives. The Auditor(s) must prepare the respective Audit Plan, draft CCC4, and submit it at least 5 days before the audit start date.

In the event of disagreement among the auditors within the organization, the Department will again resort to the auditors' pool.

In order to improve the preparation of the audit, the OC should ask the project promoter 15 days in advance to complete the CCC5 - Activity Record template, to later send to the audit team.

The CCC5 draft must be sent in 2 stages:

1st - 15 days before the audit: which must contain all the information/record of activities carried out in the project, from January 1st of the current calendar year until 15 days before the audit;

2nd- From the previous date until December 31st of the current calendar year, with the remaining information/records.

1.5.5. Audit performance

Upon arrival at the project, the auditor(s) identify themselves and request the project sponsor's presence to oversee the audit. In their absence, a substitute is appointed who automatically becomes responsible for overseeing the audit.

The auditor(s) clarify(s) the project promoter on the CB's method of action, both at the level of assessment and certification procedures, and must carry out certification execution activities in accordance with the audit plan.

The audit plan shall be revised as necessary, and any revisions to the audit plan shall be internally documented, including the reasons, and communicated to the Organization and the CB.

Whenever, during the audit, the project promoter has any doubts about the process in question, these will be promptly clarified by the OC auditor.

All information provided by the project promoter is, whenever possible, documented and attached to the audit report, if it brings added value to the audit result.

The auditor(s) must obtain objective evidence on original data/information, which guarantees its traceability through data/information management processes, any subsequent analyses and calculations; identify inaccuracies and consider their materiality and assess compliance with the specified requirements, taking into account the CCC+ program.

During the audit, the auditor completes the audit report, draft CCC6, which contains the audit conclusions. The Attendance List, draft CCC6A, must also be attached. Each report must be identified as follows:

- Name of the project organization and its promoter;
- Report Reference, which must be done as follows, project promoter number followed by sequential number: e.g.: 0072023/02 (0072023 project promoter number and 02 report number);
- Audit date;
- Number of audit days;
- Date of the last version of the report and version of the same e.g.: Report Date: 1/1/2024.
Report Version: 01.

The findings to be recorded in the report may be the following:

- Major non-conformities (NCM);
- Minor nonconformities (NCm);
- Observations (OBS);
- Compliance (C).

If nonconformities are identified, the Audit Team records them in the CCC6 report. This report includes information, opportunities for improvement, and minor and major nonconformities.

The audit team sends reports to the CB within a maximum of 5 days after the audit. To ensure the protection of confidential project information, all CBs must ensure that all data collected and analyzed is treated with due confidentiality.

Subsequently, the reports are sent by the OC to the organization, after validation carried out by the OC, within a maximum period of 5 days.

In the event of non-conformities, the organization has a defined deadline of:

- 3 months to present the Corrective Action Plan (PAC), after sending the report;
- 6 months to resolve Major NCs and
- 12 months to resolve minor NCs or until the next audit.

The numbering of findings is sequential, that is, the order includes major nonconformities, minor nonconformities, and observations, followed by the audit year. Example: NCm001/2025; OBS002/2025; NCM003/2025.

If the project promoter is unable to address the non-conformities, the process is terminated by sending an email informing that due to failure to address the non-conformities in a timely manner, the certification process is not completed.

Evidence must be sent by email to the OC within the defined deadlines.

Important notes for carrying out the audit:

a) Points to be addressed at the opening meeting:

1. Presentations and confirmation of roles;
2. Confirmation of CCC4 - Audit Plan, including; schedule, objectives and scope (standards used, products, sites, etc.);
3. Methods and procedures used to conduct the audit, including sampling process;
4. Define formal communication channels between the audit team and the auditee (additional evidence may be provided by email during the audit or in very specific cases after the audit, etc.);
5. Confirmation of resources/facilities required by the audit team;
6. Remember the auditors' obligation of confidentiality;
7. Conduct interviews with other employees without the presence of management;
8. Confirmation of relevant safety, emergency and occupational protection procedures for the audit team;
9. Method of reporting audit results: - (NCM 6 months, NCm – 12 months; PAC 3 months);
10. Follow-up of relevant issues/findings (NC and OBS) identified during previous audits;

11. Conditions under which the audit may be terminated (Auditor unable to perform the audit function; lack of cooperation, health and safety concerns, etc.);
12. Complaints/Appeals System regarding the conduct or conclusions of an Audit;
13. Organizational questions.

b) Points to be addressed at the closing meeting:

1. I would like to thank everyone for their cooperation and the cordial way in which the audit was carried out and how it contributed to its success;
2. Audit review and notice that the audit evidence was based on the sampling process;
3. Discussion on its classification, normative reference, closing deadline and consequences of non-compliance with closing deadlines;
4. The final version of the report belongs to the audit team and may be changed by the certification body, if justified following its validation;
5. Record in the report any divergent opinions that could not be resolved;
6. Complaints/appeals system regarding the conduct or conclusions of the audit and/or the behavior of any member of the audit team, if justified.

The report must have written confirmation of the scope, the scope must be at least identified with the following: area, main activities, main animal and plant species and if there is subcontracting), and also the geographic coordinates for better identification of the project (for this coordinate, by default, the Monte/office/main house within the project area will be considered; if this has not been built, one of the project's input coordinates should be considered).

1.6. Scope Changes

Whenever there is a change in scope, particularly before the concession audit, a new CCC1 draft certification request must be sent to the project promoter using the same process number but adding the proposal version number, for example, OC.CCC+.XXXXXXX – 2nd version. If the change in scope involves changes to the audit dates, an addendum to the initial contract must also be sent, mentioning the change in scope.

1.7. Non-conformities

If anomalies or irregularities that result in non-conformities are detected during the process, the OC must request additional clarification from the project promoter.

If the issues are not resolved and the risk persists, the CB must inform CERTIS and a decision may be made to withdraw the project from the CCC+ program or block the registration.

If necessary, CERTIS can report suspicious situations to the competent authorities, ensuring compliance, such as with national legislation.

1.8. Calculation Step

The calculation stage corresponds to the process of entering all the necessary values into the calculation tool, which will determine the amount to be issued in the annual certificate.

This stage comprises two main components:

- **Data Collected and Verified in Audit:** Refers to the values collected and audited regarding all project inputs and outputs in the period from January 1st until the date of the audit in the corresponding year, ensuring the integrity and consistency of the data used.
- After the audit, the project promoter must send the remaining data from the audit date by December 31 of the corresponding year, ensuring the integrity and consistency of the data used.
- In addition to collecting project input and output data, the project developer must carry out soil analyses every 5 years, following the soil analysis procedure, P46A.

Additionally, the parameters in which there are data limitations used in the calculation tool, CCC18, are detailed in the procedure for using the calculation tool, P46B, which is updated periodically to reflect technical advances and changes in procedures.

Default values should be used to ensure margins of uncertainty and prudent estimates in the data.

The OC will be responsible for calculating the carbon balance. They must upload all values to the documentation associated with each project, including:

- Inputs;
- Output;
- Soil Analysis;
- Biomass Readings from Satellite Readings: Biomass values to be considered in the calculation tool, draft CCC18, provided to each OC by CERTIS. This standardization ensures that adjustments made to satellite images are consistent with the land uses presented, ensuring comparability and accuracy in biomass data. Instructions on how to complete the calculation tool are available in procedure P46B;
- Initial validation documents;
- Technical reports;
- Monitoring evidence;
- Audit reports.

Finally, all documentation must be uploaded to the platform in a complete, clear, and timely manner. The OC must ensure the integrity and authenticity of the submitted documents.

1.9. Revision

After submitting the documentation, the OC must send notification to CERTIS via email so that it can proceed to the certification review and decision-making phase.

The Review is carried out by an internal CERTIS employee, independent of all assessment activities and recorded in the draft Opinion of the Audit Team and the Reviewer and Record of Decision Making by the Decision Maker, CCC7, based on the Application Analysis, CCC1, project design, CCC10, audit reports, CCC6, annual report, CCC8B, responses to the findings/closure of NCs raised by the OC auditor and Calculation Tool, CCC18.

Following this process, the reviewer will review the Project documents and may request corrections or clarifications from the Project Proponent or the OC.

The review must be carried out, preferably, within a maximum of 30 days after the completion of the process by the OC and communication to CERTIS.

1.10. Certification Decision Making

The Decision is made by CERTIS, independently of the Review, and recorded in the draft Opinion of the Audit Team and the Reviewer and Record of Decision Making by the Decision Maker, CCC7, based on the Application Analysis, CCC1, project design, CCC10, audit reports, CCC6, annual report, CCC8B, responses to the findings/closure of NCs raised by the OC auditor and Calculation Tool, CCC18. The Decision Committee is composed of elements that are independent of the project in question.

The criteria for making certification decisions are as follows:

- Audit conclusions, supported by the audit report, for which there is sufficient evidence of compliance;
- Any Non-conformities closed by the implementation of appropriate Corrective Actions, proven by the presentation of evidence of implementation or by other appropriate means of verification and evaluation of their effectiveness;
- Conclusion of the analysis by the Decision Committee coinciding with the opinion of the Auditor and/or by an internal employee of the Certification Body (e.g. certification technician).

The decision may be certification or the need to carry out an extraordinary audit before granting certification, aiming to verify the implementation of corrective actions.

In the event of a non-certification decision, CERTIS will provide reasons for its decision and notify the CB of the decision to refuse certification and the reasons for that decision. The CB must notify the project sponsor, and if the organization expresses interest in continuing with the certification process, the CB must propose an extraordinary audit, to be conducted within a maximum period of one month, if feasible for the project sponsor.

The extraordinary audit should preferably be conducted by the same auditor appointed for the previous audit and focus exclusively on evaluating the proposed corrective actions; it is not

necessarily an audit of the entire organization. The auditor must prepare a new report, similar to the previous audit, and subsequent decision-making will be supported by all existing records.

1.11. Certificate issuance and certificate reporting

After a favorable certification decision is made, CERTIS issues the certificate with the corresponding carbon credits and certificate report. The certificate and report will be uploaded, and the carbon credits will be recorded on the CERTIS website, ensuring traceability and transparency throughout the process.

Information regarding issued credits (quantity, date of issue, validity, etc.) will be available in the system for consultation.

Certificates and reports with annual results will be issued after one year of monitoring, and subsequent certificates and reports always require annual monitoring.

The certificate is issued at the end of each annual audit cycle. Regardless of the annual value and resulting balance, a certificate is issued.

No certificate is issued if:

- The minimum necessary audits have not taken place;
- The project promoter does not provide all the documentation and evidence requested by the OC;
- Failure to comply with all the rules established in the CCC+ Reference.

1st Year Certificate of Compliance

The first-year certificate of conformity, CCC8, is valid for 12 months after the certification decision and will preferably be issued within 7 days of the decision. The certificate should only be issued concurrently with the certification decision, upon fulfillment of the certification requirements, and after the contract is signed.

The Certificate of Conformity, issued on behalf of the Project, must contain the following elements:

- Name and address of the OC;
- Name and address of the organization;

- Project name;
- Organization's NIF;
- Date of Issue;
- Certificate validity;
- Certificate number, described as follows: CERTIS, Organization Contract number. (Example: CERTIS.CCC+.001/2023); the distinction between certificates is made with the date of issue.
- The scope of certification with respect to the project, name, location, area;
- Annual balance sheet, which presents the initial stock at the beginning of the calendar year, the final stock of the calendar year and the balance sheet taking into account all the outputs and inputs of the production unit;
- Types of carbon credits and their coding.

The certificate of conformity must be signed by the Certification Department or have a defined authorization.

The certificate shall only be issued simultaneously with the certification decision, taking into account compliance with the certification requirements, or at a date subsequent to the certification decision.

Certificate of Conformity for subsequent years

The certificate of conformity for the following years, CCC8A, is valid for 12 months after the certification decision and will preferably be issued within 7 days of the decision.

The Certificate of Conformity, issued on behalf of the Project, must contain the following elements:

- Name and address of the OC;
- Name and address of the organization;
- Project Name;
- Organization's NIF;
- Date of Issue;
- Certificate validity;
- Certificate number, described as follows: CERTIS, Organization Contract number. (Example: CERTIS.CCC+.001/2023); the distinction between certificates is made with the date of issue.
- The scope of certification with respect to the production unit, name, location, area;

- Annual balance sheet of the production unit, which presents the initial stock at the beginning of the calendar year, the final stock of the calendar year and the balance sheet taking into account all the outputs and inputs of the production unit;
- Accumulated balance of certification, which shows the initial stock of the first year of certificate issuance, the accumulated value throughout the certification and the accumulated balance since the beginning of the certification;
- Types of carbon credits and their coding.

The certificate of conformity must be signed by the Certification Department or have a defined authorization.

The certificate shall only be issued simultaneously with the certification decision, taking into account compliance with the certification requirements, or at a date subsequent to the certification decision.

Certificate report

The Certificate Report, CCC8B, is valid for 12 months after the certification decision and will preferably be issued within 7 days after the decision, together with the Certificate of Conformity.

The Certificate Report, issued on behalf of the Project, must contain the following elements:

- Name of Organization;
- Project Name;
- Year;
- Summary;
- Scope;
- Audit Report Findings;
- Biomass Estimation;
- Credit Composition
- Credits generated in the year;
- Coding of the total credits generated.

The certificate report shall only be issued simultaneously with the certificate and the certification decision, taking into account compliance with the certification requirements, or at a date subsequent to the certification decision.

1.12. Factors discovered after certificate issuance

If new information or facts are discovered after the date of issue that may affect the credibility of the project, CERTIS is responsible for:

- Communicate the situation to the project promoter as soon as possible;
- Take appropriate action, such as discussing the situation with the project sponsor and considering whether the project should be revised or cancelled.

If a review is necessary, a new certificate will be issued specifying the reasons for the review, which may lead to the repetition of relevant steps in the certification process.

CERTIS may also communicate to interested parties the fact that the original certificate has been compromised due to new information or facts.

1.13. Cancellation, redaction, suspension or withdrawal/termination of certification

During the audit or following a complaint that has led to an extraordinary audit, sanctions may need to be applied if serious non-compliance is found. Suspension or cancellation are considered as applicable sanctions. Decisions to apply sanctions must always be made by the decision-making committee and recorded in the draft "Opinion of the Audit Team and the Reviewer and Record of Decision-Making by the Decision-Maker" (CCC7), following considerations/opinions by the review manager.

The certification contract may be terminated or suspended for a certain period upon request from the project promoter (Cancellation and/or Suspension). Requests must be communicated to the CB by registered letter with acknowledgment of receipt (or equivalent means) at least 60 days before the effective date of the termination or suspension. At the end of the suspension/interruption period, a new audit may be required, depending on the duration of the suspension and the reasons for it.

If the OC is the one carrying out the termination, a registered letter with acknowledgment of receipt or equivalent method must be sent. If there are debts and the person is unwilling to pay or has been contacted several times without receiving a response, the legal process must be followed, including, if necessary, referring the case to court.

1.14. Transfer of OCs

If a project promoter is being supported by one of the recognized CBs for CCC+ and wishes to become certified by another recognized CB, the transfer must be made as follows:

- The project promoter contacts the OC and requests a Service Proposal;
- The OC sends the CCC1 and requests a set of documentation to confirm the type of certification and make a proposal;
- The OC sends CCC2 – CCC+ Proposal;
 - The project promoter does not award the proposal – The process does not move forward;
 - The project sponsor accepts/awards the proposal and notifies the former OC of the intention to transfer the proposal by sending an email. The following responses may be received:
 - The Old OC does not accept the transfer, but must give a reason why he made this decision;
 - The Old OC accepts the transfer.
- The project promoter must send an email to the former OC, requesting that the following documentation be sent to the current OC:
 - Certificate in force;
 - Reports of previous audits up to the date of transfer;
 - Action plan derived from each report, status of all non-conformities pending closure (if applicable), as well as any other relevant documentation available regarding the certification process;
 - Audit plans and relevant consideration to establish the audit plan and program.

- The OC confirms the documentation;
- If the documentation is in compliance, the normal contracting process continues.
- If the project sponsor has pending nonconformities, these should be closed, whenever possible, before the transfer. If this is not possible, the NCs should be closed upon acceptance of the transfer by the certification body.
- If no other outstanding issues or potential issues are identified, certification can be issued after the normal decision-making process. The certification cycle continues based on the previous certification.
- If after the review doubts persist regarding the previous certification, the CB must, depending on the extent of the doubt, carry out an extraordinary audit focused on the problem areas identified.

The decision as to the action required will depend on the nature and extent of any problem encountered and must be explained to the project sponsor and the justification for this decision must be documented and filed in the project sponsor's file records.

Email type

"Dear Sirs,

We hereby see:

- *request the termination of the contract of our organization XXXXXXXXXXXX, with taxpayer YYYYYYYYYY and certificate code ZZZZZZZZ.*
- ***authorize the transfer process***for CERTIS-Control and Certification, Lda;
- ***confirmation regarding absence of obstacle technical or financial***that prevent the transfer.

The OC will contact the Organization as soon as possible to schedule the transfer.

We would also appreciate if you could send them to the emailsxxx, the following documents relating to the current certification cycle:

- *Certificate in force;*
- *Audit reports up to the date of transfer;*
- *Action plan derived from each report, status of all non-conformities pending closure (if applicable), as well as any other relevant documentation available regarding the certification process;*
- *Audit plans and relevant consideration for establishing the audit plan and program."*