



4C System Update – 01 April 2019

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1. 4C system updates

In the event of adjustments or changes to the 4C System requirements, 4C communicates the adjustments to all Managing Entities (MEs) of 4C units and all Certification Bodies (CBs) cooperating with 4C via system updates (formerly known as 4C info mails).

It is the responsibility of the ME and CB to take the system updates into account and inform all relevant members of staff and Business Partners (BPs) about such updates. An archive of all system updates will be published on the 4C website.

2. New 4C procedure: Which cycle to use for the recertification audit?

Having received the feedback from many MEs of 4C units and CBs that the new audit procedure of 4C poses a challenge to the certification of existing 4C units, we would herewith like to announce that 4C units are allowed to restart their certification at the 1st cycle in order to provide sufficient time to implement measures to be able to comply with the 2nd cycle after three years. This also implies that the level of the Internal Management System (IMS) is allowed to restart at level "basic". 4C units that have already undergone a recertification cycle under the new 4C procedure are allowed to adjust their Improvement Plan according to the 1st cycle and can continue at 2nd cycle at their next audit.

A transition period until December 2019 allows 4C units to have a certificate issued despite the fact of non-compliances being present during the audit (excluded from this exception are Unacceptable Practices, where no non-compliances will be accepted). A prerequisite is to include these non-compliances within the Improvement Plan in order to ensure that these non-compliances are excluded by the time of recertification since progress regarding the corresponding actions are reported during the annual updates.

3. In case of new BPs joining a 4C unit or a break between two certification cycles, which cycle should be used for recertification?



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Once having conducted an audit according to cycle 1 of the new audit report, no matter how many new BP Producers join a 4C unit at a later certification cycle, the audit would have to be conducted according to the cycle the 4C unit would be in. It is not allowed to go back to 1st cycle as 4C does not certify individual producers but a whole 4C unit. Hence the cycles of the 4C unit would have to be continued, despite the fact that many new BP Producers might have joined the 4C unit. The same logic applies in case there might be a break between two certification cycles in the future.

Example A:

A 4C unit reaches cycle 2 and is now applying for recertification. Out of a total of 500 BP Producers, 300 of the producers are new to the 4C unit and have not been part of the certification before. Despite the fact that many new producers now join the 4C unit, the recertification audit would have to be conducted according to cycle 2.

Example B:

The certificate of a 4C unit which is in cycle 1 expires in 2022. In 2024, after a break of two years, the 4C unit decides to restart certification under 4C and does apply for a certification audit. In this case, the audit would have to be conducted according to cycle 2 and cannot be considered as a cycle 1 audit.

4. Revision of 4C audit report

After having received valuable feedback from various MEs of 4C units and CBs on the current 4C audit report, we will undergo a revision and provide a draft version to comment on as soon as possible. Until then, the current 4C audit report (v3.0.3) has to be adhered to.

5. Multiple producers cultivating and selling coffee from the same plot: How to register this in the BPM

We would like to clarify that 4C considers as BP Producers such companies or persons that grow and sell 4C compliant coffee and which are responsible for the management and cultivation of a certain plot of land and which are responsible for the implementation of and compliance with the 4C Code of Conduct. Please note that this is not necessarily the legal owner of a certain plot.

With regard to the Business Partner Map (BPM) each BP Producer has to be listed with each of its plots cultivated, meaning that if a BP Producer does cultivate coffee at three different plots, three different lines in the BPM would have to be filled out for this single BP Producer.

In case a plot of land is cultivated by several BP Producers which are all issuing invoices in their own name for coffee produced on a specified amount of hectares of this plot, each of these producers must be listed individually in the BPM (person's name and ID) indicating the amount of hectares under their responsibility in the column "coffee production area" and the "farm name" of the plot (incl. geo-coordinates).

Example:



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A plot of six hectares is cultivated by three producers equally. Each one of them is managing two hectares of this plot and is selling the coffee in its own name. In this case there would be three BP Producers listed in the BPM, each one indicating the same “farm name”, the same geo-coordinates but instead of noting down 6ha in the column “coffee production area” (total area of the plot), the actual area would have to be noted, which in this case would be 2ha.

6. Availability of geo-coordinates of BPs in the BPM

The provision of geo-coordinates of BPs in the BPM is a mandatory requirement under 4C Certification System. For BP Service Providers such as warehouses, collectors or mills, the geo-coordinates must be available at the time of application for any type of 4C audit, whereas for BP Producers there is the possibility to gradually update this information. The action for collection of geo-coordinates must be included in the Improvement Plan (IP) to be successively collected within one year. **After one year, 100% of all the geo-coordinates of the BP Producers must be included in the BPM.** During any type of 4C audit, the auditor is responsible to check the accuracy of the geo-coordinates of the BPs of the sample visited. In case the geo-coordinates of the audited BP Producers have not yet been included in the BPM prior to the audit, they have to be collected and included during the audit.

7. Obligation to participate in a 4C training

We would like to inform you that **4C auditors and 4C evaluators are required to attend a formal 4C training until the end of December 2019** to keep their approval status. For auditors and evaluators that are not yet approved by 4C but would like to become an approved 4C auditor or approved 4C evaluator, **the participation in a formal 4C training is a prerequisite for approval.** Please click [here](#) for an overview on upcoming 4C trainings and registration.

Managing Entities of 4C units are not required to participate in a 4C training, though we highly recommend the participation to become familiar with updates in the 4C System requirements and its implementation.

