



4C CODE OF CONDUCT

Version 4.0



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Version 4.0

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Abbreviations

BP	Business Partner
BPM	Business Partner Map
FB	Final Buyer
FPIC	Free, Prior and Informed Consent
GAP	Good Agricultural Practices
GMO	Genetically Modified Organisms
IB	Intermediary Buyer
IPM	Integrated Pest Management
ME	Managing Entity
SH	Smallholder

Introduction

The Common Code for the Coffee Community (hereafter called “4C”) is an independent, stakeholder-driven, internationally recognized sustainability standard for the entire coffee sector, aiming at anchoring sustainability in coffee supply chains. Independent third-party audits ensure compliance with sustainability criteria for coffee production and processing from the economic, social, and environmental dimensions to establish credible and traceable sustainable coffee supply chains.

*Sustainable
coffee supply*

4C’s sustainability principles and criteria are set out in the 4C Code of Conduct, which was developed in a comprehensive and transparent multi-stakeholder process. The focus of the 4C Code of Conduct is sustainable production of coffee green bean and its post-harvest activities. Certified subjects are "4C Units", which are green coffee bean producing groups that consist of a Managing Entity (ME) and its Business Partners (BPs). The ME administrates the 4C Unit, is responsible for the implementation of the 4C requirements within the 4C Unit and is the holder of the 4C certificate. The BPs are coffee producers and service providers, such as wet and dry mills, local traders, and/or warehouses. Apart from certification for 4C Units, 4C offers a chain of custody certification, which can be applied by Intermediary Buyers (IBs) and Final Buyers (FBs) outside the 4C Unit. Other than for MEs of a 4C Unit, IBs and FBs are not obliged to be 4C certified in order to handle coffee as 4C certified. Nevertheless, a mandatory reporting of 4C certified coffee volumes handled is required from all IBs and FBs buying and selling coffee as 4C certified. The reporting requirements are explained in detail in the 4C System Regulations, published on the 4C website. 4C requirements to be complied with by IBs and FBs that want to receive a 4C certification are explicitly mentioned within the principles of the 4C Code of Conduct in chapters 4 to 6.

Scope

In line with the recommendations of the ISEAL Alliance for credible sustainability standard systems, the 4C Code of Conduct is reviewed, and revised if necessary, at an interval of five years in a multi-stakeholder process. The 4C Code of Conduct’s history is provided in table 1 below:

*Revision of 4C
Code*

Version	Effective date as of	Details of change
v3.0 (2020)	July 2020	<p>The revision process was based on the compilation of recommendations and feedback from 4C users and other stakeholders registered in the last years and finalized after the consideration of the feedback received during the public consultation phase in June 2020.</p> <p>The structure and content have been revised, merging principles, and dividing those into criteria and check-points. The traffic light system has been transformed into a mandatory continuous improvement scheme, requiring the implementation of improvement measures throughout a period of six years, to be verified by the auditor during three different levels of compliance.</p>

v2.3 (2018)	November 2018	No content change to the previous version, only the renaming of: <ul style="list-style-type: none"> • Coffee Assurance Services GmbH & Co. KG. to 4C Services GmbH • Verification Companies to Certification Bodies • 4C Lead Verifiers to 4C Auditors • 4C License to 4C Certificate 4C Services GmbH will be managing and operating the 4C Certification System to validate compliance against the 4C Code of Conduct.
v2.2 (2017)	August 2017	No technical changes. Correction of the reference to principle 2.9 in principle 2.7 (changed to 2.8). Correction of the name of principle 3.9 from Hazardous Waste to Waste. Inclusion of the 9 CAS numbers for mineral oils in the red pesticide list.
v2.1 (2016)	July 2015	No content change, only small updates to adjust to the new organizational reorganization. The Global Coffee Platform will define and maintain the Baseline Common Code, which is the reference for the verifiable 4C Code of Conduct operated by Coffee Assurance Services.
v2.0 (2014)	July 2015	The revision process was started with a needs assessment in 2013, and the final revised Code was formally approved by the Council of the 4C Association in 2014. Changes in the structure: inclusion in one document of the indicators of the Unacceptable Practices, the Pesticide List, glossary, and other requirements for 4C Units. Focus on coffee farming as a business: adding a new principle on productivity/profitability, starting with the economic dimension, and grouping principles when applicable to small farmers. Pesticide list: more focused on coffee production and better aligned with the lists of other voluntary standards.
v1.3 (2009)	July 2010	The 4C Code of Conduct was adapted for its implementation and verification. Changes included: wording updates, modification of some principles, and the addition of a new category. Generic indicators were also introduced.
v1.0 (2004)	2007	The Common Code for the Coffee Community (4C) was launched in September 2004 as a result of a collaborative project initiated as a public-private partnership by the German Ministry for Economic Cooperation and Development (BMZ) and the German Coffee Association (DKV). Over 18 months, more than 70 representatives from coffee producers, trade and industry, non-governmental organizations, and unions developed together with the first version of the Code of Conduct. The 4C Association, the multi-stakeholder membership platform which owns and operates the 4C Code, was legally registered in December 2006 and started its operations as of 2007. After the foundation of the 4C Association and the finalization of the verification system and the definition of the Verification Regulations, the Code underwent two minor updates (v1.1, and v1.2).

Table 1: 4C Code of Conduct history

History of 4C

Until April 2016, the 4C standard was owned and operationalized by the 4C Association. In April 2016, the 4C Association split up into the Global Coffee Platform (GCP) and Coffee Assurance Services GmbH & Co. KG (CAS), which took over the responsibility of operationalizing the 4C certification system. In September 2018, CAS has been renamed to 4C Services GmbH (4C). 4C remains an active member of GCP and is part of its technical committee.

Scope

This document describes the 4C sustainability principles and respective criteria. 4C Units, Intermediary Buyers (IBs) and Final Buyers (FBs) need to comply with in order to become 4C certified. In addition to complying with the 4C Code of Conduct requirements, the certified party needs to comply with the 4C requirements laid down in the 4C System documents in order to sell coffee as 4C certified.

Purpose of the document

Table 2 provides an overview of the normative 4C System documents as well as further 4C templates, checklists, and tools based on the requirements defined in the 4C System documents, and that are provided by 4C to facilitate the 4C application and certification process.

Overview 4C documents

4C System documents (normative)
<p>4C Code of Conduct</p> <p>4C principles and criteria for the production, processing, and trading of green coffee beans</p>
<p>4C System Regulations</p> <p>Relevant aspects and requirements of the 4C System, including general rules according to which the 4C System is governed, its internal structure, and the requirements for 4C certification which need to be applied by all participants of the 4C System. Furthermore, requirements regarding the trading of 4C certified coffee and the 4C communication guidelines are described</p>
<p>4C Certification Body Regulations</p> <p>Requirements for CBs to become a CB cooperating with 4C, requirements and necessary qualifications for 4C auditors as well as duties of CBs cooperating with 4C to perform 4C audits and certification</p>
4C templates, checklists, and tools based on the 4C System documents
<p>4C Audit Checklist</p> <p>Audit checklist to be used during 4C audits</p>
<p>Business Partner Map (BPM)</p> <p>Tool for Managing Entities (MEs) to collect the basic required data of its Business Partners (BPs)</p>
<p>Improvement Plan (IP)</p> <p>Plan that includes improvement actions detected during an audit of a 4C Unit</p>
4C contractual documents
<p>Terms of Use for Managing Entities (ToU ME)</p>

Contractual document between 4C and MEs
Terms of Use for Certification Bodies (ToU CB)
Contractual document between 4C and CBs
Terms of Use for Intermediary Buyers (ToU IB)
Contractual document between 4C and Intermediary Buyers
Service Agreement with Final Buyers
Contractual document between 4C and Final Buyers

Table 2: Overview 4C System documents, templates, and checklists

The latest versions of all 4C documents are available on the 4C website and must be applied. They all can be identified by a unique document number, version number and date. For documents translated into languages other than English, the English language version remains the definitive version and 4C accepts no responsibility for any discrepancies between translated versions and the original English document.

*Latest version on
4C website*

Principles and Criteria of the 4C Code of Conduct

The 4C Code of Conduct comprises twelve principles across the economic, social, and environmental dimensions. These principles are based on good agricultural and management practices as well as international conventions and recognized guidelines accepted in the coffee sector and are further divided into several criteria. An overview of the 4C principles and criteria is provided in table 3 below.

*Economic,
Social,
Environmental
Dimension*

*Principles and
criteria*

Economic Dimension	
Principle 1.1 – Business Management	
Criterion 1.1.1	An Internal Management System is implemented
Criterion 1.1.2	Engagement in any form of bribery, fraud, corruption and/or extortion does not exist
Criterion 1.1.3	All applicable regional and national laws are complied with
Criterion 1.1.4	Subcontractors do comply with 4C requirements
Criterion 1.1.5	Good practices to ensure profitability and long-term productivity are in place
Principle 1.2 – Capacity and Skill Development	
Criterion 1.2.1	Business Partners and workers within the 4C Unit have access to training to improve their skills and capacities according to identified needs
Principle 1.3 – Access to Services and Market Information	
Criterion 1.3.1	BP Producers have access to adequate independent technical assistance and information on good agricultural practices (GAP)
Criterion 1.3.2	Transparent pricing mechanisms reflect coffee quality and sustainable production practices
Principle 1.4 – Traceability	
Criterion 1.4.1	Standard operational procedures for traceability are available and operational
Social Dimension:	
Principle 2.1 – Human and Labour Rights	
Criterion 2.1.1	Practices of forced eviction do not exist
Criterion 2.1.2	Forced and bonded labour do not exist
Criterion 2.1.3	Child labour does not exist

Criterion 2.1.4	Freedom of association and collective action are secured
Criterion 2.1.5	Regular consultations between employers and authorized workers' representatives concerning the working conditions take place
Criterion 2.1.6	Discrimination does not exist
Criterion 2.1.7	Physical, sexual, psychological, or verbal harassment or abuse does not exist
Criterion 2.1.8	Complaint handling mechanisms are in place
Criterion 2.1.9	Procedures to act against cases of discrimination and harassment are in place
Criterion 2.1.10	Fair labour contracts are in place and adhered to
Criterion 2.1.11	At least the minimum wage is paid to all workers in a timely manner
Criterion 2.1.12	All workers do receive the same benefits (e.g. housing, food, transport, hygiene)
Criterion 2.1.13	Fair working conditions with regard to working hours are in place
Criterion 2.1.14	Impact of operations for surrounding communities is assessed
Principle 2.2 – Working Conditions	
Criterion 2.2.1	Adequate housing is provided to permanent and/or temporary workers if needed
Criterion 2.2.2	Sanitation facilities and equipment (or similar) is available to all workers
Criterion 2.2.3	All workers and Business Partners are provided with potable water
Criterion 2.2.4	A health and safety program is in place
Criterion 2.2.5	All workers and Business Partners are provided with suitable protective clothing and equipment according to legal requirements
Criterion 2.2.6	Hazardous work is not executed by impaired workers
Criterion 2.2.7	Food security for Business Partners and all workers is ensured
Environmental Dimension:	
Principle 3.1 – Protection of Biodiversity and High Carbon Stock Areas	
Criterion 3.1.1	Primary forests and protected areas are protected

Criterion 3.1.2	Areas of high biodiversity, natural vegetation, fauna, soil and water sources, and sensitive areas are conserved and/or restored
Criterion 3.1.3	Genetically modified organisms (GMO) and varieties are not used
Criterion 3.1.4	Climate change mitigation and adaptation measures are identified and implemented
Principle 3.2 – Use of Pesticides and Other Hazardous Chemicals	
Criterion 3.2.1	Prohibited pesticides are not used
Criterion 3.2.2	The use of pesticides is diminished
Criterion 3.2.3	Best practices in pesticide/chemical application are applied
Principle 3.3 – Soil Conservation and Fertility	
Criterion 3.3.1	Soil conservation practices are in place
Criterion 3.3.2	Soil fertility is maintained and improved
Principle 3.4 – Water Conservation	
Criterion 3.4.1	Water sources are conserved
Criterion 3.4.2	Existing water use rights are respected
Criterion 3.4.3	Water use efficiency is improved
Criterion 3.4.4	Best practices in wastewater management are applied
Principle 3.5 – Waste Management	
Criterion 3.5.1	Safe waste management is in place
Principle 3.6 – Energy Consumption	
Criterion 3.6.1	General energy consumption is reduced, and the use of renewable energy sources is increased

Table 3: Overview of 4C principles and criteria

Each criterion entails specific check-points to be checked during the audit in order to verify the compliance with the respective criteria. As 4C pursues an inclusive approach, intended to also enable smallholder coffee producers to enter certification to achieve real impact on the ground, the 4C System's main pillar is the continuous improvement process. The continuous improvement process allows for a smooth entry into certification, followed by advanced, more demanding check-points to be implemented throughout six years and whose compliance is checked during three different levels of compliance:

- Compliance level 1: Requirements to be complied with during initial certification audit

Continuous improvement

Compliance levels

- Compliance level 2: Requirements to be complied with during the first recertification audit after three years in addition to the level 1 check-points
- Compliance level 3+: Requirements to be complied with during the second recertification audit after six years and onwards in addition to the level 1 and 2 check-points

Chapters 4, 5, and 6 provide a detailed overview of which check-points need to be complied with at which compliance level (1, 2, 3+). Check-points marked as “continuous” do not have a predefined starting date and deadline until when they must be fully complied with, but should preferably be worked on a continuous basis.

*Compliance level
“continuous”*



Several check-points are not applicable for smallholders (SH), mainly those concerning the working conditions of employed workers. This is due to the fact that 4C defines a smallholder as a BP Producer whose workforce consists primarily of family and/or household labour or workforce exchange with other members of the community and whose

Smallholders

coffee farm is normally not larger than five hectares. “Primarily” in this context means that the contracted workforce should not be more than or replace the family workforce. The contracted workforce should only complement the family workforce to a small extent and not replace it. Exemptions to this definition are only allowed for countries or regions where an official definition of the term “smallholder” is available for coffee growers or similar crops to coffee. Prior to applying for this exemption 4C must be contacted and asked for approval. Despite the fact that several check-points are not applicable for smallholders, auditors are obliged to always keep their eyes open for infringements of any kind of violation of major 4C requirements and to report those to 4C.

For the chain of custody certification of Intermediary and Final Buyers, no different compliance levels exist. All requirements must be complied with from the beginning of certification.

*Chain of custody
certification*

1 - Economic Dimension

Principle 1.1: Business Management

Criteria: 1.1.1	
An Internal Management System is implemented	
Check-point relevant for: Managing Entities, BP Producers, BP Service Providers, Intermediary and Final Buyers (if certification is desired)	Level
<ul style="list-style-type: none"> A management system is implemented, demonstrating a commitment to compliance with 4C requirements, including the appointment of a responsible person for the implementation (not applicable for smallholders) 	 1
Check-point relevant for: Managing Entities, Intermediary and Final Buyers (if certification is desired)	Level
<ul style="list-style-type: none"> Members of staff responsible for 4C implementation and maintenance are competent and sufficiently trained 	1
Check-points relevant for: Managing Entities	Level
<ul style="list-style-type: none"> A consistent and up-to-date Business Partner Map (BPM) is available, including all relevant information as indicated in the BPM template 	1
<ul style="list-style-type: none"> Geo-coordinates are available for 100% of the BP Producers 	1
<ul style="list-style-type: none"> National identification numbers (IDs) are available for 100% of the BP Producers 	1
<ul style="list-style-type: none"> All BPs have been informed about the 4C requirements and are aware of their obligation to comply with these requirements 	1
<ul style="list-style-type: none"> A written agreement from all BPs on the commitment to and compliance with the 4C requirements is available 	1
<ul style="list-style-type: none"> An internal risk and needs assessment with regard to the 4C requirements has been conducted 	1
<ul style="list-style-type: none"> A detailed improvement and training plan based on the internal assessment and external audit (if applicable) is available and updated on a regular basis 	1

*Bribery, fraud,
corruption,
extortion*

Criteria: 1.1.2

Engagement in any form of bribery, fraud, corruption and/or extortion does not exist

Check-point relevant for: Managing Entities, BP Producers, BP Service Providers, Intermediary and Final Buyers (if certification is desired)

Level

- There is no engagement in immoral transactions, such as bribery, corruption, fraud and/or extortion

1

Check-point relevant for: Managing Entities, BP Services Providers, Intermediary and Final Buyers (if certification is desired)

Level

- Fair and transparent contracts between buyers and sellers of 4C certified coffee are in place

1

Criteria: 1.1.3

All applicable regional and national laws and regulations are complied with

*Laws and
regulations*

Check-point relevant for: Managing Entities, BP Producers, BP Service Providers, Intermediary and Final Buyers (if certification is desired)

Level

- There is no indication of any violation against regional and national laws and regulations connected to 4C requirements

1

Criteria: 1.1.4

Subcontractors do comply with 4C requirements

Subcontractors

Check-point relevant for: Managing Entities, BP Producers, BP Service Providers, Intermediary and Final Buyers (if certification is desired)

Level

- There is an assurance that subcontractors fully comply with the 4C requirements

2

*Profitability and productivity***Criteria: 1.1.5****Good practices to ensure profitability and long-term productivity are in place****Check-point relevant for:** Managing Entities, BP Service Providers, Intermediary Buyers (if certification is desired)**Level**

- A systematic and documented quality assessment of the coffee cherries, parchment, and green coffee bean is in place and reported to the BPs in a transparent way

3+

Check-points relevant for: BP Producers**Level**

- The BP Producer has records related to costs and income of its coffee operations
- Records of production, including year planted, variety, inputs, and yields are available
- BP Producer knows of measures that do have an impact on profitability and productivity to achieve a scale of production that is economically viable and the strategy to achieve this (only applicable for smallholders)

2

2

3+

Principle 1.2: Capacity and Skill Development**Criteria: 1.2.1****Business Partners and workers within the 4C Unit have access to training to improve their skills and capacities according to identified needs***Skill and capacity building***Check-point relevant for:** Managing Entities**Level**

- Appropriate measures (e.g. trainings) have been undertaken to address the risks and needs identified during the internal assessments

2

Check-points relevant for: BP Producers, BP Service Providers**Level**

- A training policy and documented training plan (and material) to train the workers of the BP on issues



2

necessary to comply with the 4C requirements, is available (not applicable for smallholders)

- Training must have been provided to all relevant workers of the BP on an equal basis on a risk-based approach regarding 4C requirements offered for free during working hours (not applicable for smallholders)



2

Principle 1.3: Access to Services and Market Information

Criteria: 1.3.1

Business Partner Producers have access to adequate independent technical assistance and information on good agricultural practices (GAP)

Access to services and information

Check-point relevant for: Managing Entities

Level

- The ME provides or facilitates access to adequate independent technical assistance and information on e.g. soil conservation and fertility, IPM, innovations, credit, planting material/seedlings to BP Producers, where the need was identified

Continuous

Criteria: 1.3.2

Transparent pricing mechanisms reflect coffee quality and sustainable production practices

Pricing mechanisms

Check-point relevant for: Managing Entities

Level

- Transparent pricing mechanisms are made available to BPs or made public through signs or other mechanisms and are regularly updated, if BPs do not have access to such kind of information

Continuous

Principle 1.4: Traceability

Traceability
procedures

Criteria: 1.4.1	
Standard operational procedures for traceability are available and operational	
Check-points relevant for: Managing Entities, BP Producers, BP Service Providers	Level
<ul style="list-style-type: none"> • A clear procedure on the management of traceability is available and implemented 	1
<ul style="list-style-type: none"> • 4C certified coffee is kept physically segregated from non-4C certified coffee 	1
<ul style="list-style-type: none"> • BPs selling and/or supplying 4C certified coffee to BP Service Providers and/or ME are listed in the BPM of the 4C Unit 	1
<ul style="list-style-type: none"> • A report/reports are available on 4C certified coffee volumes purchased, received, sold, and stored and volumes are consistent with the amounts stated on contracts, invoices, delivery documents, commercial reporting in the 4C portal, etc. Reports must include information on the date of coffee purchase, receipt or sale and the name and address of the seller and recipient 	1
<ul style="list-style-type: none"> • No “multiple claiming” of certified coffee occurs, e.g. selling/delivering one batch of certified coffee multiple times 	1
<ul style="list-style-type: none"> • The volume of 4C certified coffee supplied/sold by the BP and ME is equal or less than the amount of 4C certified coffee produced/bought and stored of its respective supplier (taking into account the respective conversion factor if applicable) 	1
Check-point relevant for: Managing Entities	Level
<ul style="list-style-type: none"> • Sales of 4C certified coffee are covered by the validity period of the 4C Unit’s certificate at the date of transfer of ownership (invoice data) 	1
<ul style="list-style-type: none"> • The volume of 4C certified coffee supplied by each BP Producer to the ME is plausible 	1
Check-points relevant for: BP Producers	Level
<ul style="list-style-type: none"> • Records of 4C certified coffee produced on the field(s)/plot(s) which are registered in the BPM of the 4C 	2



Unit are available at BP Producers (not applicable for smallholders)

- The volume of 4C certified coffee sold by the BP Producer is consistent with the size of the field(s)/plot(s) which are registered in the BPM of the 4C Unit

1

Check-points relevant for: Intermediary and Final Buyers (if certification is desired) – All check-points relevant from 1st level onwards

- A clear procedure on the management of traceability of 4C certified coffee is available and implemented
- Coffee is only handled as 4C certified that was bought from a ME of 4C certified 4C Unit or a 4C certified Intermediary Buyer operating outside a 4C Unit
- The seller of 4C certified coffee had possession of a valid 4C certificate on the date of ownership transfer of 4C certified coffee to the Intermediary Buyer/Final Buyer
- 4C certified coffee is kept physically segregated from non-4C certified coffee
- A report/reports are available on 4C certified coffee volumes purchased, received, sold, delivered, and stored and volumes are consistent with the amounts stated on delivery notes, contracts, invoices, etc.
- No "multiple claiming" of certified coffee occurs, e.g. selling/delivering one batch of certified coffee multiple times
- All delivery documents and invoices for outgoing 4C certified coffee include the 4C certificate number of the 4C Unit from which the 4C certified coffee has initially been purchased from and the 4C certificate number of the Intermediary Buyer selling the coffee as 4C certified
- Sales of 4C certified coffee are covered by the validity period of the Intermediary Buyer's certificate at the date of transfer of ownership (invoice date)

2 - Social Dimension

Principle 2.1: Human and Labour Rights

Criteria: 2.1.1

Practices of forced eviction do not exist

Forced eviction

Check-points relevant for: BP Producers

Level

- There is no indication of forced evictions against persons, families and/or groups from their homes and communities without mutually agreed compensation since 2006
- New land acquisitions have been carried out with free, prior, and informed consent (FPIC) of affected people
- BP Producers do have a legal land title and/or government permits for the land they are cultivating

1

1

1

Criteria: 2.1.2

Forced and bonded labour do not exist

Forced and bonded labour

Check-points relevant for: BP Producers, BP Service Providers

Level

- There is the absence of any form of forced and bonded labour (no sanctions, penalties, and coercion to compel workers to work)
- The BP is not involved in trafficking in persons, for example for labour recruitment
- Disciplinary measures are in line with national laws and internationally recognized human rights (arbitrary penalties in case of e.g. sickness or pregnancy are forbidden)

1

1

1

*Child labour***Criteria: 2.1.3****Child labour does not exist**

Check-points relevant for: BP Producers, BP Service Providers

Level

- | | |
|--|--|
| • Children under the age of 15 (or legal school age) are not part of the regular workforce | 1 |
| • Children under the age of 15 (or legal school age) do attend school | 1 |
| • Children under the age of 18 do not perform hazardous/harmful work | 1 |
| • Facilities to take care of children during the working hours of their parents are available (not applicable for smallholders) |  Continuous |
| • Transportation is available for the BP's and its worker's children to go to school with, if required (not applicable for smallholders) |  Continuous |

Criteria: 2.1.4**Freedom of association and collective action are secured**

Check-point relevant for: BP Producers, BP Service Providers

Level

- | | |
|---|---|
| • All workers are free to establish and join labour organizations of their own choice and to organize themselves to perform collective bargaining (not applicable for smallholders) |  1 |
|---|---|

Freedom of association

*Worker consultation***Criteria: 2.1.5****Regular consultations between employers and authorized workers' representatives concerning the working conditions take place**

Check-points relevant for: BP Producers, BP Service Providers

Level

- | | | |
|---|---|---|
| <ul style="list-style-type: none"> Annual discussions with permanent workers on topics related to working conditions, remuneration, dispute resolution, internal relations and matters of mutual concern take place and are documented (not applicable for smallholders) |  | 2 |
| <ul style="list-style-type: none"> Collective agreements with workers are communicated and applied to all workers (not applicable for smallholders) |  | 3 |

Criteria: 2.1.6**Discrimination does not exist**

Check-points relevant for: BP Producers, BP Service Providers

Level

- | | | |
|---|---|---|
| <ul style="list-style-type: none"> An assessment has been conducted to identify if there exists any potentially vulnerable group to discrimination among the BP's workers (not applicable for smallholders) |  | 1 |
| <ul style="list-style-type: none"> The BP ensures that equal rights to its workers are secured with respect to age, gender, national origin, religion, race/colour, physical conditions, and political views | | 1 |
| <ul style="list-style-type: none"> There is evidence that actions to remove possible obstacles that foster discrimination are being developed (not applicable for smallholders) |  | 1 |

*Discrimination***Criteria: 2.1.7****Physical, sexual, psychological, or verbal harassment or abuse does not exist**

Check-points relevant for: BP Producers, BP Service Providers

Level

- | | | |
|--|--|---|
| <ul style="list-style-type: none"> A policy to respect and protect human rights is in place | | 1 |
|--|--|---|

Harassment and abuse

- No form of physical, sexual, psychological, or verbal harassment or abuse exists among the workers and in the relation between BPs and its workers

1

Criteria: 2.1.8

Complaint handling mechanisms are in place

Complaint handling

Check-point relevant for: BP Producers, BP Service Providers

Level

- Complaint handling mechanisms such as anonymous grievance mechanisms are in place of which the BP's workers are aware of (not applicable for smallholders)



2

Criteria: 2.1.9

Procedures to act against cases of discrimination and harassment are in place

Procedures against discrimination

Check-points relevant for: BP Producers, BP Service Providers

Level

- Proper feedback has been provided to BP's workers in case discrimination or abusive behaviour was reported and concrete measures to prevent or solve it have been implemented (not applicable for smallholders)
- Policies to promote gender equality among the BP's workers are in place (not applicable for smallholders)



3+



3+

Criteria: 2.1.10

Fair labour contracts are in place and adhered to

Labour contracts

Check-points relevant for: BP Producers, BP Service Providers

Level

- Labour contracts are available and adhered to
- Employment conditions of BP's workers comply with legal regulations and/or collective bargaining agreements

2

2

Wages

Criteria: 2.1.11

At least the minimum wage is paid to all workers in a timely manner

Check-points relevant for: BP Producers, BP Service Providers

Level

- | | | |
|---|---|------------|
| <ul style="list-style-type: none"> Wages for all workers are in compliance with at least the national minimum wages or sector agreements (whichever is higher) (not applicable for smallholders) |  | 1 |
| <ul style="list-style-type: none"> Remuneration for all workers is in compliance with the living wage (not applicable for smallholders) |  | Continuous |
| <ul style="list-style-type: none"> Wages are paid in time (not applicable for smallholders) |  | 1 |
| <ul style="list-style-type: none"> Wages paid are documented by payment records or pay slips and a copy is provided to the workers (not applicable for smallholders) |  | 1 |

Criteria: 2.1.12

All workers do receive the same benefits (e.g. housing, food, transport, hygiene)

Check-point relevant for: BP Producers, BP Service Providers

Level

- | | | |
|--|---|---|
| <ul style="list-style-type: none"> Temporary and permanent workers receive the same benefits (beyond wages) (not applicable for smallholders) |  | 2 |
|--|---|---|

Benefits

Criteria: 2.1.13

Fair working conditions with regard to working hours are in place

Check-points relevant for: BP Producers, BP Service Providers

Level

- | | | |
|---|---|---|
| <ul style="list-style-type: none"> Working time for all workers does not exceed 48 hours weekly or fewer if provided by national law (not applicable for smallholders) |  | 2 |
|---|---|---|

Working hours

- | | | |
|--|---|---|
| <ul style="list-style-type: none"> Overtime is voluntary and fully remunerated for workers, not exceeding twelve hours per week (not applicable for smallholders) |  | 2 |
| <ul style="list-style-type: none"> Workers do have at least one day off for every six days worked and continuous working days never exceed 21 days (not applicable for smallholders) |  | 2 |
| <ul style="list-style-type: none"> Workers are entitled to maternity/paternity leave and other benefits in accordance with national law (not applicable for smallholders) |  | 2 |
| <ul style="list-style-type: none"> Workers who take maternity/paternity leave are entitled to return to their employment at the same terms and conditions of prior employment (not applicable for smallholders) |  | 2 |

Criteria: 2.1.14

Impact of operations for surrounding communities is assessed

Check-points relevant for: BP Producers, BP Service Providers

Level

- | | | |
|--|---|------------|
| <ul style="list-style-type: none"> Negative impacts from the BPs operations on neighbouring communities are assessed and identified (not applicable for smallholders) |  | 3+ |
| <ul style="list-style-type: none"> BPs address identified negative impacts (not applicable for smallholders) |  | 3+ |
| <ul style="list-style-type: none"> BPs support economic development by providing opportunities for local employment and provision of services (not applicable for smallholders) |  | Continuous |

Impact on communities

Principle 2.2: Working Conditions

Criteria: 2.2.1

Adequate housing is provided to permanent and/or temporary workers if needed

Housing

Check-point relevant for: BP Producers, BP Service Providers

Level

- Adequate housing is provided to all permanent and temporary workers if needed (not applicable for smallholders)



1

Criteria: 2.2.2

Sanitation facilities and equipment (or similar) is available to all workers

Sanitation

Check-point relevant for: BP Producers, BP Service Providers

Level

- Clean and adequate food storage areas, designated rest areas, protection during rainfall, toilets, and handwashing facilities are available on site and accessible to all workers (not applicable for smallholders)



1

Criteria: 2.2.3

All workers and Business Partners are provided with potable water

Potable water

Check-point relevant for: BP Producers, BP Service Providers

Level

- Potable water is available to the BPs and all of its workers (including subcontracted workers) in sufficient quantity

1

Health and safety

Criteria: 2.2.4**A health and safety program is in place**

Check-points relevant for: BP Producers, BP Service Providers

Level

- | | |
|---|--|
| • A risk assessment has been conducted to identify major health and safety risks at the workplace | 1 |
| • A health and safety program is implemented based on the risk assessment (not applicable for smallholders) | 2 |
| • Workers are aware of and trained according to health and safety risks and measures (not applicable for smallholders) | 2  |
| • Safe procedures to handle pesticides and hazardous chemicals are in place | 2 |
| • Clear and permanent warning signs are placed at potential risk areas (not applicable for smallholders) | 3+  |
| • All accidents are documented, appropriate medical treatment is provided, and actions are taken to prevent similar accidents in the future (not applicable for smallholders) | 3+  |
| • Health insurance fees and/or treatment costs linked to work-related injuries or illnesses are covered by the BP (not applicable for smallholders) | 3+  |
| • Nursing women have access to nursing rooms/specific nursing places and adequate breaks during working hours (not applicable for smallholders) | 3+  |

Criteria: 2.2.5**All workers and Business Partners are provided with suitable protective clothing and equipment according to legal requirements**

Check-points relevant for: BP Producers, BP Service Providers

Level

- | | |
|---|---|
| • The BP and all of its workers are trained on and equipped with suitable protective clothing and equipment in accordance with legal requirements | 1 |
|---|---|

Protective clothing

- | | |
|--|---|
| • Protective equipment is in a good state and regularly cleaned | 1 |
| • Facilities to deal with accidents and accidental contaminations caused by the operator are available and sufficiently equipped | 1 |

Criteria: 2.2.6

Hazardous work is not executed by impaired workers

Hazardous work

Check-point relevant for: BP Producers, BP Service Providers

Level

- | | |
|---|---|
| • Impaired workers are not involved in hazardous work (not applicable for smallholders) | 1 |
|---|---|

Criteria: 2.2.7

Food security for Business Partners and all workers is ensured

Food security

Check-point relevant for: BP Producers, BP Service Providers

Level

- | | |
|--|--|
| • Workers have access to healthy, quality, and affordable diet (food security) (not applicable for smallholders) |  3+ |
|--|--|

Check-point relevant for: BP Producers

Level

- | | |
|---|----|
| • The BP Producer diversifies his farming and/or commercial activities in order to expand sources of income and/or improve food security (only applicable for smallholders) | 3+ |
|---|----|

3 - Environmental Dimension

Principle 3.1: Protection of Biodiversity and High Carbon Stock Areas

Criteria: 3.1.1

Primary forests and protected areas are protected

*Primary forests
and protected
areas*

Check-point relevant for: Managing Entities	Level
<ul style="list-style-type: none"> A map of the 4C Unit's land use, protected areas, watersheds, and water sources is available 	1
<ul style="list-style-type: none"> If BP Producers of a 4C Unit are located in or close to a protected area, the ME must be informed about the management plan of the protected area and must know the regulations regarding land use 	2
Check-point relevant for: BP Producers	Level
<ul style="list-style-type: none"> There is no cutting, destruction or conversion of primary forests and protected areas into coffee plantations since 2006 	1

Criteria: 3.1.2

Areas of high biodiversity, natural vegetation, fauna, soil and water sources, and sensitive areas are conserved and/or restored

*Biodiversity
conservation*

Check-point relevant for: Managing Entities	Level
<ul style="list-style-type: none"> The ME has developed an action plan on a landscape level (area where its BPs are located) to protect and restore areas of high biodiversity, natural vegetation, fauna, soil and water sources, and sensitive areas 	2
<ul style="list-style-type: none"> Actions from the action plan on protection and restoration of areas of high biodiversity, natural vegetation, fauna, soil and water sources, and sensitive areas are implemented on a landscape level 	3+
<ul style="list-style-type: none"> The ME is in dialogue with other stakeholders to coordinate conservation efforts of high biodiversity areas, natural vegetation, fauna, soil and water sources and sensitive areas on 	3+

a landscape approach which are known or considered to be in critical stage within the 4C Unit

Check-points relevant for: BP Producers	Level
<ul style="list-style-type: none"> • No hunting or trapping of protected species takes place 	1
<ul style="list-style-type: none"> • An action plan to protect and restore areas of high biodiversity, natural vegetation, fauna, soil and water sources, and sensitive areas exists 	2
<ul style="list-style-type: none"> • Actions from the action plan on protection and restoration of areas of high biodiversity, natural vegetation, fauna, soil and water sources, and sensitive areas are implemented 	3+

Criteria: 3.1.3

Genetically modified organisms (GMO) and varieties are not used

GMO

Check-point relevant for: BP Producers	Level
<ul style="list-style-type: none"> • There is no use of GMO in coffee cultivation 	1

Criteria: 3.1.4

Climate change mitigation and adaptation measures are identified and implemented

Climate change

Check-point relevant for: BP Producers	Level
<ul style="list-style-type: none"> • Risks of climate change on coffee production have been identified and measures to adapt to and mitigate such risks are implemented 	Continuous

Principle 3.2: Use of Pesticides and Other Hazardous Chemicals

Criteria: 3.2.1

Prohibited pesticides are not used

Prohibited pesticides

Check-points relevant for: BP Producers	Level
<ul style="list-style-type: none"> Pesticides listed in the 4C List of Unacceptable Pesticides are not used for coffee production 	1
<ul style="list-style-type: none"> The use of pesticides for coffee production is limited to officially registered products in the country 	1
<ul style="list-style-type: none"> Pesticides listed in the 4C Red Pesticide List are not used for coffee production 	2

Criteria: 3.2.2

The use of pesticides is diminished

Use of pesticides

Check-point relevant for: Managing Entities	Level
<ul style="list-style-type: none"> An aggregated survey of the use/application of pesticides for coffee production is available for the entire group of smallholders 	1

Check-points relevant for: BP Producers	Level
<ul style="list-style-type: none"> Pesticides from the 4C Yellow Pesticide List are avoided for coffee production 	3+
<ul style="list-style-type: none"> Pesticide application for coffee production (type, quantity, field/plot) is documented 	1
<ul style="list-style-type: none"> Integrated pest management (IPM) is implemented, minimizing the application of pesticides in general 	2
<ul style="list-style-type: none"> A plan to renew coffee varieties with more resistant coffee varieties is available and implemented 	3+
<ul style="list-style-type: none"> A systematic quality assessment with transparent parameters is in place, documenting the quality of the IPM system and/or the correct application of pesticides 	3+
<ul style="list-style-type: none"> Legal burning restrictions for pest control have been followed 	3+

Chemical application

Criteria: 3.2.3	
Best practices in pesticide/chemical application are applied	
Check-point relevant for: BP Producers, BP Service Providers	Level
<ul style="list-style-type: none"> Pesticides/chemicals are applied, handled, stored, and disposed in an appropriate way, including empty containers 	2
Check-point relevant for: BP Producers	Level
<ul style="list-style-type: none"> Equipment for pesticide application is regulated before its use 	2

Principle 3.3: Soil Conservation and Fertility*Soil conservation*

Criteria: 3.3.1	
Soil conservation practices are in place	
Check-points relevant for: BP Producers	Level
<ul style="list-style-type: none"> A soil conservation plan based on a risk assessment is available, including measures with regard to tillage, riparian and/or protective vegetation, soil cover, drainage to prevent erosion, etc. 	1
<ul style="list-style-type: none"> The soil conservation plan has been implemented 	2
<ul style="list-style-type: none"> Measures to continuously assess and improve soil conservation are undertaken, based on expert recommendation 	3+

Soil fertility

Criteria: 3.3.2	
Soil fertility is maintained and improved	
Check-points relevant for: Managing Entities	Level
<ul style="list-style-type: none"> Regular soil analyses are conducted on a sample basis for BP Producers with the same production method and same soil type 	2
<ul style="list-style-type: none"> Based on the soil analyses, the ME provides (or facilitates access to) technical assistance or recommendations from 	2

research institutions regarding nutritional requirements to the BP Producers that are adopting similar farming practices and are located in the same soil type

Check-points relevant for: BP Producers	Level
<ul style="list-style-type: none"> • A soil fertility plan including management and good practices to reduce soil acidity and compaction based on field assessment is available and implemented 	2
<ul style="list-style-type: none"> • Fertilizers are applied according to nutritional requirements 	2
<ul style="list-style-type: none"> • Soil organic carbon is maintained or increased through returning organic waste material to the plantation or via implementing specific cultivation measures 	3+

Principle 3.4: Water Conservation

Criteria: 3.4.1

Water sources are conserved

Water sources

Check-points relevant for: BP Producers, BP Service Providers	Level
<ul style="list-style-type: none"> • A water conservation plan is available to protect water sources through e.g. prevention of run-off of chemicals, mineral and organic substances and untreated water and the setup of buffer zones 	2
<ul style="list-style-type: none"> • The water conservation plan is implemented 	3+
<ul style="list-style-type: none"> • Storage and washing areas for fertilizers, pesticides, batteries, diesel, other fuel or oil tanks or any waste that could contaminate water source are safely constructed, environmentally safe and kept according to local law 	3+
<ul style="list-style-type: none"> • Water sources have been identified, conserved, assessed against their availability for local communities and recuperated if necessary (not applicable for smallholders) 	 Continuous
Check-point relevant for: BP Producers	Level
<ul style="list-style-type: none"> • Natural vegetation areas around springs and natural watercourses are maintained or re-established 	3+

Criteria: 3.4.2**Existing water use rights are respected***Water use rights*

Check-points relevant for: BP Producers, BP Service Providers

Level

- Water use is in compliance with applicable regulations and local legislations and does respect existing water use rights (both formal and customary) 2
- In case of disputes related to water, the BP engages with affected stakeholders to resolve it 3+

Criteria: 3.4.3**Water use efficiency is improved***Water use efficiency*

Check-points relevant for: BP Producers, BP Service Providers

Level

- Overuse of water in critical catchment areas is avoided 2
- Water use is documented (not applicable for smallholders)  2
- Measures to improve the water use efficiency have been implemented 3+

Criteria: 3.4.4**Best practices in wastewater management are applied***Wastewater*

Check-point relevant for: BP Producers, BP Service Providers

Level

- Wastewater is not discharged directly into water courses 2

Principle 3.5: Waste Management

Waste

Criteria: 3.5.1 Safe waste management is in place	
Check-points relevant for: BP Producers, BP Service Providers	Level
<ul style="list-style-type: none"> A waste management plan is available, which corresponds with the size of the BP's operation, including measures to reduce, reuse and recycle waste, to ensure its safe disposal and to avoid landfill or burning 	2
<ul style="list-style-type: none"> The waste management plan is implemented 	3+
<ul style="list-style-type: none"> Hazardous wastes are safely disposed of in order to prevent contamination of water, soil and air resources as well as harm to human beings and animals 	1

Principle 3.6: Energy Consumption

Energy

Criteria: 3.6.1 General energy consumption is reduced, and the use of renewable energy sources is increased	
Check-points relevant for: BP Service Providers	Level
<ul style="list-style-type: none"> Records on energy used for the processing and/or storing of coffee are available 	2
<ul style="list-style-type: none"> Availability, accessibility, and affordability of renewable energy sources are identified 	3+
<ul style="list-style-type: none"> Efforts have been made to reduce the use of energy in general, reduce the use of non-renewable energy in particular and increase the number of renewable energy sources used 	Continuous