



**4C System Update 6  
01 July 2020**

**Roll Out of the New 4C System Documents: Finalized and Available Online**

Dear all,

after several months of collecting and compiling all our experiences made within the last years and the valuable feedback received from our stakeholders to revise the 4C System requirements and documents, we would like to let you know that **the new 4C System documents are now finalized**. They comprise:

- **4C CODE OF CONDUCT V.4.0**

4C has revised the 4C Code of Conduct, based on the feedback and information received from our stakeholders during previous stakeholder meetings, discussions, emails, as well as the online public consultation process.

The content of the revised 4C Code of Conduct is also reflected in the new 4C audit checklist v.4.0 which has to be applied for all upcoming certification audits and addendum audits. For upcoming surveillance audits (formerly known as follow-up audits), where the certification audit was still based on the previous 4C audit checklist v3.0.3, the 4C audit checklist v3.0.3 may still be applied.

- **4C SYSTEM REGULATIONS V.4.0**

This document describes all relevant aspects and requirements of the 4C System, including general principles according to which the 4C System is governed, its internal structure, the 4C certification requirements to be applied by all users of the 4C System, among them 4C Units and cooperating CBs. Furthermore, the requirements and procedures connected to the trading of 4C certified coffee are covered. This document replaces the former 4C Regulations, including 4C Verification Regulations V.2.2, 4C Commercial Guidelines V.2.3 and 4C Communication Guidelines V.2.2.

- **4C CERTIFICATION BODY REGULATIONS V.4.0**

This document lays down the requirements for Certification Bodies (CBs) to become a cooperating CB of 4C, and the duties of CBs to perform certification services according to the 4C requirements. It also lays down the requirements and necessary qualifications for the staff of the CB to be appointed to perform specific tasks relating to 4C certification services. This document replaces the requirements described in the former 4C Verification Regulations V.2.2.



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We strongly encourage all 4C System users to study the above-listed documents in detail, as they include important changes with regard to the 4C certification process, audit requirements, and responsibilities of Managing Entities and Certification Bodies. **Please find these documents on the [4C website](#).**

**Important note:** 4C offers **introductory online seminars** to provide an opportunity for you to learn more about the main changes in the 4C System and ask questions. To register, please follow this [link](#).

We also highly recommend participation in the **4C Online Trainings 2020** which will give you a deeper understanding and confidence with the application and implementation of the new 4C requirements and enable a smooth transition to a modified certification process. To register, please follow this [link](#).

#### **Transition rules with regard to the new 4C System requirements:**

1. The new 4C System requirements are **effective from the 1st of July 2020** onwards.
2. Due to the introduction of the new 4C audit checklist v.4.0, 4C Units are to **conduct their certification audit according to compliance level 1**, disregarding how many certification audits a particular 4C Unit has undergone in the past. All 4C Units that have already applied for a certification audit, surveillance audit, or addendum audit in the 4C portal prior to the 1st of July 2020 are allowed to still use the audit checklist v3.0.3 if desired.
3. **Non-conformities with major check-points are accepted for a period of twelve months**, until the 30th of June 2021, but must be included in the Improvement Plan (IP) and checked during the Annual Updates. This **does not apply to any non-conformities with major check-points that refer to the previous Unacceptable Practices (UAPs)**.
4. All new **4C certificates are to be issued by the Certification Body**, which is in charge of conducting the audit, and no longer by 4C. This applies to all new certificates issued after upcoming certification audits and addendum audits.
5. Annual Updates (AUs) for 4C certificates that were still issued by 4C are to be evaluated and approved by 4C. **Annual Updates for all new 4C certificates issued by the Certification Bodies will also be evaluated and approved by the Certification Bodies.**





6. From 1st of July 2020 onwards, **follow-up audits** (now changed to the term “surveillance audits”) **or extensions of a certificate to align the audit date with the harvest season are no longer allowed.** The requirement to conduct the certification audit during harvest season remains, but the audit has to be conducted **in the harvest season closest to the expiration date of the certificate, prior to its expiration.** A transition period from this rule applies only for those 4C Units, whose certificate expires soon, and no harvest season is coming up prior to its expiration. In these exceptional cases, the option for a surveillance audit (formerly known as follow-up) or extension remains.

If you have any questions, please do not hesitate to contact us: via **email**, our contact form on the **webpage**, or during the **online seminars and trainings**.

Best regards,

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