4C System Update 4

10 March 2020

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1. Important notification on exceptions due to Corona virus

Due to the outbreak of the Corona virus, now meeting the criteria of a Public Health Emergency of International Concern (PHEIC) according to the World Health Organization (WHO), 4C has decided to allow recertification audits to be conducted on a desk basis. Precondition for conducting these desk audits on an exceptional basis is that the Certification Body (CB) can evaluate compliance with 4C requirements remotely and that at a later stage the on-site audit is conducted. This exception applies until further notice by 4C and only for recertification audits in regions with demonstrated security risk, which can be verified through public sources such as official travel warnings. The replacement of an on-site audit with a desk-audit must be highlighted in the comment box during the application process in the 4C portal. In addition, justifying documents must be provided to 4C via email.

Managing Entities (MEs) are obliged to provide their CB with all evidence required to confirm compliance with 4C requirements via a desk audit. 4C will monitor the further development of the outbreak. As soon as travel restrictions are lifted and the situation allows to conduct on-site audits again, CBs are obliged to additionally conduct the respective on-site audits within the next upcoming harvest season. All relevant documentation including the Business Partner Map (BPM), audit report and Improvement Plan (IP) must be completed and submitted to the CB and uploaded into the 4C portal. In conjunction with the audit documents, the CB should require a follow up audit during the upcoming harvest season as part of its certification decision.

2. 4C includes glyphosate on the 4C Yellow Pesticide List

4C has included glyphosate (CAS No. 1071-83-6) on the 4C Yellow Pesticide List. From now on, producers of 4C certified coffee are required to minimize the use of glyphosate and, if possible, phase out its use completely.

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3. 4C Classified Chemicals tool

An important aim of sustainability certification for farms and plantations is the monitoring of chemicals used and excluding those from production processes that have been identified as hazardous. Within 4C there are three lists of pesticides (listed as technical names of active ingredients): 4C List of Unacceptable Pesticides, 4C Red Pesticide List and the 4C Yellow Pesticide List.

4C has developed an easy-to-use "Classified Chemicals" tool that should help auditors, Managing Entities (MEs) and coffee farmers to verify and comply with the 4C requirements on the use of pesticides. By entering the CAS number of the respective active ingredient and the country of cultivation, it identifies which chemicals are prohibited or need to be phased out according to the 4C pesticide lists and which ones are banned or not approved in the country of application.

The use of chemicals listed in the 4C List of Unacceptable Pesticides is prohibited. The use of chemicals listed in the 4C Red Pesticide List must be phased out after a period of three years after initial certification. The use of chemicals listed in the 4C Yellow Pesticide List must be minimized and, if possible, phased out by replacing them with Integrated Pest Management (IPM) techniques.

The "Classified Chemicals" tool can be found on the 4C portal.

4. Use of the new BPM functions in the 4C portal

Certification Bodies (CBs) and Managing Entities (MEs) must make use of the new functions related to the Business Partner Map (BPM) in the 4C portal. An automatized pre-check of the BPM facilitates and shortens the BPM approval process, avoiding lengthy email exchanges with request for corrections.

The automatic pre-check of the BPM in the 4C portal works as follows, and can be repeated as many times as necessary:

After uploading the Excel sheet here, our system extracts all information and transfers it to our database. This allows for a far more robust and complex analysis, which exceeds the limited functionality of previous BPM versions while also reducing manual work.

Results are presented in different categories: clear errors (e.g. non-unique national IDs) or non-compliances with requirements (e.g. missing geo-coordinates for BP Service Providers) are highlighted as such.

Some tests serve mainly the purpose of verifying the reliability of the data collection and may help catching simple typing errors (e.g. comparing national IDs against country specific formats).

Additional highlights of the 4C portal features are:

- Automatic calculation of the turnover rate to see whether an addendum audit is required or not
- Automatic comparison of BP Producers with the Brazilian Transparency List of Contemporary Slave Labour
- Automatic check of BPs unique national IDs and availability of geo-coordinates
- Automatic generation of a map of the whole 4C Unit, allowing the MEs and CBs to identify the BP Producer clusters, center point and radius of each cluster, for the risk assessment procedure as explained in detail in the previous System Update from 9 January 2020
- Automatic generation of the physical and commercial flow charts within the 4C Unit, as per information supplied in the BPM

All results from these automatic functionalities must be checked for consistency by MEs, and, if needed, be corrected before presenting their BPMs to CBs or to 4C. This also applies to CBs before the upload on the 4C portal of a BPM as the annex to an audit report.

You can learn more details through our demo video and the example BPM available on our website.

5. **4C impact survey for Certification Bodies and Managing Entities**

4C is currently working on its first Impact Report, and in order to include voices and impressions at first hand, we kindly ask for the support of all Certification Bodies (CBs) and Managing Entities (MEs) to participate in a quick online survey to share their experience on the impact of 4C. The survey is anonymous and takes a maximum of five minutes of your time.

The survey for MEs can be found here.

The survey for CBs can be found here.

We would be very pleased about a large number of participants in the survey, as it is of great importance to us to learn about the impacts our 4C System users have experienced.

Your participation would be highly appreciated, and we thank you very much in advance for your support!

Best regards,

Your 4C Team