

The 4C Code of Conduct

version approved in May 2009
Incl. Generic Indicators approved in February 2010

© 2009 4C Association. All rights reserved.

No part of this work covered by the copyright may be reproduced or copied in any form or by any means (graphic, electronic or mechanical, including photocopying, recording, recording taping, or information retrieval systems) without the written permission of the copyright owner. The 4C Code of Conduct is subject to regular evaluation and revision according to needs. Only the latest version can be considered as the valid document. Legally valid documents are available through the 4C Secretariat of the 4C Association. The 4C Association accepts no responsibility or liability whatsoever without prior consent. The 4C Association reserves the right to undertake relevant steps to protect its copyright in case of breach, misuse, inappropriate use or infringement of this copyright.

For documents translated into languages other than English, the English language version remains the definitive version and 4C Association accepts no liability for any discrepancies between translated versions.

4C Secretariat | Adenauerallee 108 | 53113 Bonn | Germany

PHONE +49 (0)228 850 50 0 | **FAX** +49 (0)228 850 50 20 | **EMAIL** info@4c-coffeeassociation.org | **WEB** www.4c-coffeeassociation.org

The 4C Association is registered with the Register of Commerce in Geneva, CH-660-2928006-4, c/o CR Gestion & Fiduciaire SA, Route des Jeunes 9, 1227 Carouge-Geneva, Switzerland

Introduction

Within the 4C Association, producers, trade and industry and civil society from around the world work together for more sustainability in the entire coffee sector. This global community has joined forces to continuously improve the social, environmental and economic conditions for the people making their living from coffee.

Main pillars of 4C are a code of conduct, rules of participation for trade and industry, support mechanisms for coffee farmers, a verification system and the participatory governance structure.

The 4C Code of Conduct, being the 10 Unacceptable Practices and the 4C Code Matrix, shall foster sustainability in the “mainstream” green coffee chain and increase the quantities of coffee meeting basic sustainability criteria. The scope of the 4C Code of Conduct covers the three dimensions of sustainability, based on the United Nations Millennium Development Goals:

- **Society:** Decent working and living conditions for farmers and their families as well as employees.
- **Environment:** Protection of primary forest and conservation of natural resources such as water, soil, biodiversity and energy.
- **Economy:** Economic viability is the basis for social welfare and sustainability. This includes reasonable earnings for all actors in the coffee chain, free market access and sustainable livelihoods.

10 Unacceptable Practices

The 4C Code of Conduct excludes the worst forms of social, environmental and economic practices in the production, post-harvest processing and trading of green coffee. Those practices are called “unacceptables”. Definitions are primarily based on the UN Human Rights Declaration as well as existing UN and ILO conventions and standards and, usually, national legislation. The exclusion of unacceptable practices must be documented in the self-assessment report.

It is understood that actors of the coffee chain cannot participate in the 4C System if they practise any of the unacceptable practices. This preliminary condition of participation is already a strong indication of commitment to sustainability.

- (1) **Worst forms of child labour** (referring to ILO Convention 182)
- (2) **Bonded and forced labour** (referring to ILO Conventions 29 and 105)
- (3) **Trafficking of persons** (UN Convention against Transnational Organized Crime, Protocols on Trafficking and Smuggling, adopted 2000, effective December 2003)
- (4) Prohibiting membership of or representation by a trade union (referring to ILO Convention 87 and 98)
- (5) **Forced eviction without adequate compensation** (International Covenant on Economic, Social and Cultural Rights, Art. 11; General Comment no.7 on the rights to adequate housing (E/C.12/1997/4); Commission on Human Rights Resolution 1993/77 on Forced Eviction; Sub-Commission on the Protection and Promotion of Human Rights Resolution 1998/9 on Forced Evictions)
- (6) Failure to provide adequate housing where required by workers (referring to ILO Convention 110 on Plantations)

- (7) **Failure to provide potable water to all workers** (referring to the United Nations' Report of the World Summit on Sustainable Development, Johannesburg 2002)
- (8) **Cutting of primary forest or destruction of other forms of natural resources** that are designated as protected areas by national and/or international legislation
- (9) Use of pesticides banned under the Stockholm Convention on Persistent Organic Pollutants (POPs) and listed in the Rotterdam Convention on Prior Informed Consent (PIC)
- (10) **Immoral transactions in business relations according to international covenants, national law and practices** (referring to OECD Guidelines for Multinational Enterprises and the UN Convention on Contracts for the International Sale of Goods)

The 4C Code Matrix

The 4C Code Matrix, presented below for the three dimensions of sustainability, consists of **28 principles** and, for each, three criteria: green, yellow and red.

The concept of sustainability is specified in categories, principles and criteria. Categories refer to the main aspects of the production, post-harvest processing and trading of green coffee. Principles are positive statements indicating the desired performance for each of the practices listed. To assess the performance of a 4C Unit, criteria specify the compliance with the requirements of these principles.

The purpose of the Generic Indicators is to provide clear and consistent guidance for both, 4C Units as well as for 4C Verifiers, to perform their tasks which are the Code implementation and self-assessment and 4C Verification respectively. They are measurable states which allow the assessment of whether or not criteria are met.

The traffic light system

This is shown in a "traffic light system", illustrating the concept of continuous improvement:

- Red** indicates that the current practice must be discontinued
- Yellow** indicates a practice that needs to be further improved within a transitional period
- Green** reflects a desirable practice

The process of continuous improvement provides the basis both for strengthened cooperation along the supply chain and for competition based on the new understanding of quality. In this inclusive system of the 4C Association, unsustainable practices as formulated in the red criteria are acceptable if there is at least the same number of green criteria in the same dimension. This situation indicates the status of "**average yellow**", which allows the 4C Members to market their coffee as 4C Compliant Coffee.

Social Dimension			Criteria			Level of Monitoring
Category	No.	Principle	Green	Yellow	Red	
Freedom of association	1	Workers and producers have the right to found, to belong to and to be represented by an independent organisation of their choice.	Resources, information and institutional structures are available to improve representation of workers and farmers by their organisation	Right to found, belong to and to be represented by an independent organisation of free choice is accepted and easy access to it exists	Organisations exist but are not accepted as valid counterparts / interlocutors.	Managing Entity and Business Partners
			Indicators			
			Workers and producers declare that they are free to form and join independent organizations for the purpose of protecting their interests (such as trade unions, federations, associations, farmer groups, labour organizations). and Representatives of independent organizations are guaranteed access to the information and resources, necessary to carry out their functions.	A process has been started to enable workers, producers and representatives of independent organizations to freely join independent organizations for the purpose of protecting their interests. and Representatives of independent organizations have access to the information and resources, necessary to carry out their functions.	Organisations exist, but no indications of any process or programme to enable workers and producers to freely join independent organisations are evident. and Representatives of independent organizations have no guaranteed access to the information and resources necessary to carry out their functions.	

			and No cases of discrimination, adverse action against or exclusion of members of independent organizations by Managing Entity, employer or other workers.	and No cases of discrimination, adverse action against or exclusion of members of independent organizations by Managing Entity or, employers or other workers.	and Cases of discrimination or adverse actions against members of independent organizations (other than trade unions) still occur.	
Freedom of bargaining	2	Workers have the right to bargain collectively	Collective bargaining results are applied to all workers.	Trade Unions and / or worker's organisations can bargain collectively. Bargaining results are applied to some workers.	The right to and the outcomes of collective bargaining are ignored.	Managing Entity and Business Partners
			Indicators			
			Regular consultations between employers and authorised worker's representatives concerning working conditions, remuneration, dispute resolution, internal relations and matters of mutual concern relating to all workers are taking place. and Results of collective bargaining are applied to all workers.	Consultations between employers and authorised worker's representatives are taking place. and Results of collective bargaining are partially applied.	Consultations are not accepted by employer. or Results of collective bargaining are being ignored.	

Discrimination	3	Equal rights with respect to gender, maternity, religion, ethnicity, physical conditions and political views are secured.	Positive action programmes to secure equal rights are implemented.	Awareness to secure equal rights is raised and concrete steps to develop positive action programmes are evident.	No positive action to either raise awareness of or secure equal rights is evident.	Managing Entity and Business Partners
			Indicators			
			<p>Policy and procedures for equal rights with respect to gender, maternity, religion, ethnicity, physical conditions and political views incl. grievance mechanisms exist.</p> <p>and</p> <p>The policy and procedures are implemented.</p> <p>and</p> <p>There is no evidence that equal rights are violated or that harassment or abusive treatment occurs.</p>	<p>Policy and procedures incl. grievance mechanisms for equal rights are being developed.</p> <p>and</p> <p>Incidents of discrimination, harassment or abusive treatment may have occurred, but are being addressed.</p>	<p>No policy or procedures for equal rights exist.</p> <p>and</p> <p>Incidents of discrimination, harassment or abusive treatment have occurred.</p>	

Right to childhood and education	4	Children have the right to childhood and education.	Children's rights to childhood and education are implemented.	Deliberate efforts to remove children from work and get them into education are evident.	There are no measures to encourage the education of children.	Managing Entity and Business Partners
			Indicators			
			<p>All children of legal school age are attending school.</p> <p>and</p> <p>Efforts by the Managing Entity led to an improvement of the educational situation.</p>	<p>Some of the children of legal school age are not attending school.</p> <p>and</p> <p>Child labour is only accepted as part of light family work and outside school hours.</p> <p>and</p> <p>The Managing Entity is undertaking measures to improve the educational situation.</p>	<p>The majority of the children of legal school age are not attending school.</p> <p>and</p> <p>No awareness on educational needs of children within the 4C Unit is evident.</p> <p>and</p> <p>No efforts to facilitate access to education are evident.</p>	
Working Conditions	5a	Workers receive a labour contract.	All workers receive written labour contracts. Contractual agreements are adhered to.	Informal but transparent contractual agreements are used and implemented.	Contractual agreements with workers are not implemented or adhered to.	Managing Entity and Business Partners
			Indicators			

			<p>Written and registered labour contracts and agreements for all workers are available.</p> <p>and</p> <p>All workers have a copy of their labour contracts.</p> <p>and</p> <p>No complaints from workers or from their legal representatives or organizations that the contractual agreements are not adhered to.</p>	<p>At least verbal contractual agreements for all workers exist.</p> <p>and</p> <p>No complaints from workers or from their legal representatives or organizations that the contractual agreements are not implemented.</p>	<p>There are complaints from workers or from their legal representatives or organizations that contractual agreements are not respected.</p>	
	5b	Working hours comply with national laws / international conventions and/or collective bargaining and overtime work is remunerated.	Working hours comply with national laws / international conventions and/or collective bargaining and overtime is fully remunerated.	Working hours comply with national laws/international conventions and working hours are recorded individually.	Working hours do not comply with national laws / international conventions and overtime is not remunerated.	Managing Entity and Business Partners
			Indicators			
			<p>The working time of all workers and employees does not exceed eight hours daily and 48 hours weekly or fewer if provided by national law</p> <p>and</p>	<p>Working hours of workers and employees are limited to 48 per week or fewer if provided by national law.</p> <p>and</p>	<p>Working hours of workers and employees exceed 48 hours per week or provision of national law.</p> <p>and</p>	

			<p>Overtime is voluntary, infrequent, fully remunerated according to national law and paid in due time.</p> <p>and</p> <p>Workers enjoy in a period of seven days a period of rest of at least 24 consecutive hours.</p> <p>and</p> <p>Documentation of working hours and voluntary overtime for individual workers is available.</p>	<p>Overtime is not paid according to national law.</p> <p>and</p> <p>Working hours of workers are registered.</p>	<p>Workers declare that overtime is not paid for, irregular and / or not voluntary.</p> <p>and</p> <p>Working hours are not registered.</p>	
	5c	Wages comply with national laws or sector agreements.	Wages are above existing national minimum wages or sector agreements, whichever is higher.	Wages comply with existing national minimum wages or sector agreements.	Wages are below existing national minimum wages or sector agreements.	Managing Entity and Business Partners
			Indicators			
			<p>Wages of all workers and employees are above existing national minimum wages or sector agreements, whichever is higher.</p> <p>and</p> <p>Payment records or payslips for all workers and employees are</p>	<p>Minimum wages or sector agreements, whichever is higher, are paid.</p>	<p>Wages paid are below national minimum or sector agreements.</p>	

			available.			
	5d	Employer assures proper occupational health and safety conditions for workers.	A health and safety programme is fully implemented and a monitoring system is in place.	A health and safety programme exists, but monitoring and implementation are not fully evident.	No health and safety programme exists. Unhealthy and dangerous working conditions are evident.	Managing Entity and Business Partners
			Indicators			
			<p>Risk Assessment is carried out incl. identification and evaluation of hazards.</p> <p>and</p> <p>A health and safety programme, incl. responsibilities and monitoring is implemented.</p> <p>and</p> <p>Workers are well informed and trained on health and safety issues (incl. an emergency kit and (a) persons trained in first aid).</p> <p>and</p> <p>Appropriate equipment and gear are available, well maintained, and clean.</p>	<p>A health and safety programme is documented.</p> <p>and</p> <p>Procedures and equipment to ensure healthy and safety practices are known but not always available or used.</p> <p>and</p> <p>Monitoring is not systematically implemented.</p>	<p>There is no evidence of protection measures or awareness of health and safety risks among staff and workers.</p>	

			<p>and Safe facilities are available.</p> <p>and Workers are fully aware of and sufficiently protected against dangerous machinery, unhealthy working situations, chemicals and other risks.</p>			
	5e	Seasonal and piece rate workers are equitably treated.	Seasonal and piece rate workers are equitably treated.	Seasonal and piece rate workers receive minimum wage but get no other benefit.	Seasonal and piece rate workers do not get the equivalent of minimum wages in normal working hours and have no access to other benefits.	Managing Entity and Business Partners
			Indicators			
			<p>Piece rate payment systems are monitored to ensure that the total salary paid is at least equivalent to national or sector minimum wages (whichever is higher) and proportional to wages paid to other workers.</p> <p>and Seasonal and piece rate workers receive the same benefits as</p>	<p>Piece rate payment systems are monitored to ensure that the total salary paid is equivalent to national or sector minimum wages (whichever is higher).</p> <p>and Seasonal and piece rate workers do not receive other</p>	<p>Piece rate payment systems are lower than national or sector minimum wages.</p> <p>and Seasonal and piece rate workers do not receive</p>	

			other workers. and Records/documentation are available.	benefits.	other benefits. and Records/documentation are not available.	
Capacity and skill development	6	Business Partners and workers within the 4C Unit receive trainings to improve their skills and capacities.	All Business Partners and workers within the 4C Unit are given access to relevant training and skill development in order to apply good agricultural and management practices.	Business Partners and workers within the 4C Unit have access to training in relevant technical skills.	Business Partners and workers within the 4C Unit do not have access to any training to improve their skills.	Managing Entity and Business Partners
			Indicators			
			A training policy and implementation plan have been developed covering Good Agricultural Practices, Good Management Practices, and quality aspects. and Training activities are available to all workers on an equal basis, and offered for free during working hours. Training activities are available to all Business Partners.	Training policy and plan regarding relevant technical skills are documented, but not fully implemented. and Training activities are not available to all workers and Business Partners.	No training policy is in place. and No training activities are evident.	

			<p>and</p> <p>Women and men have the same opportunities to participate.</p> <p>and</p> <p>Documentation of training programmes for all workers and Business Partners is available.</p>		<p>and</p> <p>No documentation is available.</p>	
Living Conditions and education	7	4C Units work towards improving living conditions and support the basic education of Business Partners and workers.	Improvement of defined living conditions and basic education for <i>all</i> Business Partners and workers are supported.	Improvement of defined living conditions and basic education for Business Partners and workers are partially supported.	Improvement of defined living conditions and basic education for Business Partners and workers are not supported.	Managing Entity and Business Partners
			Indicators			

			<p>An assessment of existing living conditions and basic education needs has been done.</p> <p>and</p> <p>An improvement plan has been defined (respecting national law, if applicable) and is being implemented.</p> <p>and</p> <p>Documentation is available.</p>	<p>An assessment of existing living conditions and basic education has been done.</p> <p>and</p> <p>An improvement plan is being defined and/or partially implemented.</p>	<p>No services are available.</p>	
--	--	--	---	--	-----------------------------------	--

Environmental Dimension			Criteria			Level of Monitoring
Category	No.	Principle	Green	Yellow	Red	
Conservation of Biodiversity	1	Conservation of biodiversity, including protected or endangered native flora and fauna is supported.	A program of conserving and enhancing wildlife and native flora is developed and implemented.	No exploitation of endangered and protected species and native flora is practised. A programme to protect and enhance biodiversity is being developed.	Exploitation of native flora and fauna is partly practised.	Managing Entity and Business Partners
			Indicators			

Environmental Dimension			Criteria			Level of Monitoring
Category	No.	Principle	Green	Yellow	Red	
			<p>Each individual farm has a map indicating land use.</p> <p>and</p> <p>A general map of the Unit's land use exists.</p> <p>and</p> <p>A conservation programme of natural vegetation and fauna and protection of sensitive areas (slopes, river banks, wetlands) exists and meets at least national law.</p>	<p>Maps are being developed.</p> <p>and</p> <p>No hunting of endangered wildlife species and extraction of protected plants are practiced.</p> <p>and</p> <p>A conservation programme of natural vegetation and fauna and protection of sensitive areas (slopes, river banks, wetlands) is being developed.</p>	<p>No awareness within the 4C Unit of the importance of biodiversity and respective national legislation.</p> <p>and</p> <p>No measures to protect or enhance native plants and fauna are taken.</p> <p>and</p> <p>Hunting of endangered wildlife species and extraction of protected plants are evident.</p>	
Use and handling of chemicals	2a	Use of pesticides is minimised.	Biological, cultural and physical control methods are integrated with decision on pesticide use based on systematic monitoring of pests, diseases and weeds.	Steps are taken to monitor pest, disease and weed levels, and at least one method to reduce use of pesticides is implemented. Less hazardous	There is no system in place to minimise the use of pesticides. Use of most hazardous pesticides according to WHO Ia + Ib and 4C Red List is	Managing Entity and Business Partners

Environmental Dimension			Criteria			Level of Monitoring
Category	No.	Principle	Green	Yellow	Red	
			Only pesticides with the lowest hazard ranking are used.	pesticides according to WHO II and 4C Yellow List are used.	practised.	
			Indicators			
			<p>An integrated pest management system is documented and being implemented.</p> <p>and</p> <p>Pesticides in the 4C Red and Yellow Lists are not used.</p> <p>and</p> <p>Records of types and rates of pesticides used are kept.</p> <p>and</p> <p>Training is given to farm workers on IPM, and a manual is available.</p>	<p>An integrated pest management system is being developed.</p> <p>and</p> <p>Most hazardous pesticides according to 4C Red List are not used.</p> <p>and</p> <p>Records are incomplete.</p>	<p>There is no (integrated) pest management system.</p> <p>and</p> <p>Most hazardous pesticides according to 4C Red List is still in use.</p> <p>and</p> <p>No records are kept.</p>	
	2b	Harmful effects of pesticides and other	Pesticides and other chemicals are stored,	A plan for handling pesticides and other	Pesticides and other chemicals are stored,	Managing Entity and

Environmental Dimension			Criteria			Level of Monitoring
Category	No.	Principle	Green	Yellow	Red	
		chemicals used on human health and the environment are minimised.	applied and disposed of in the least hazardous manner for human health and the environment.	chemicals referring to application, storage and disposal is formulated. Steps are taken to avoid the most hazardous application, storage and disposal practices.	applied and disposed of in a hazardous manner for human health and the environment.	Business Partners
			Indicators			
			<p>A plan for applying, storing and disposing pesticides and other chemicals is available.</p> <p>and</p> <p>All pesticides and other chemicals are safely applied, stored and disposed of by trained and protected personnel, according to national and/or local legislation and manufacturers' instructions.</p> <p>and</p> <p>Records are kept: of the names</p>	<p>A plan for applying, storing and disposing pesticides and other chemicals is available.</p> <p>and</p> <p>Personnel is being trained on safe handling (including application, storage and disposal of) pesticides and other chemicals as required by national and/ or local legislation and manufacturers' instructions.</p> <p>and</p> <p>Some records are kept.</p>	<p>No measures are taken to apply, store and dispose of pesticides safely according to national and/or local legislation and manufacturers' instructions.</p>	

Environmental Dimension			Criteria			Level of Monitoring
Category	No.	Principle	Green	Yellow	Red	
			of personnel handling pesticides, control and use of the safety equipment, request of pesticides from storage.			
Soil Conservation	3	Soil conservation practices are in place.	Soil is protected from erosion and overuse by adequate soil conservation measures.	Soil conservation measures have been started. Results of soil conservation are not yet visible.	Observable, continuous, severe degradation of soil resources by erosion due to a lack of soil conservation measures and protected soil surface.	Managing Entity and Business Partners
			Indicators			
			A soil conservation plan exists and is implemented, incl. measures to protect soil from erosion with vegetation and/or plant residues and other soil conservation techniques. and There are no signs of erosion.	Some measures are taken to protect soil from erosion with vegetation and/or plant residues and other soil conservation techniques. and There are some signs of erosion.	No measures are taken to protect soil from erosion. and An observable, continuous, severe degradation of soil resources by erosion is	

Environmental Dimension			Criteria			Level of Monitoring
Category	No.	Principle	Green	Yellow	Red	
					visible.	
Soil Fertility and nutrient management	4a	Fertilisers are used appropriately.	Application of fertilisers is in accordance with the needs of the crop based on soil/ plant analyses.	A monitoring system for soil / plant is in development although application of fertilisers is not yet based on actual needs of soil / plant.	Excessive use of mineral fertilisers is evident.	Managing Entity and Business Partners
			Indicators			
			Soil/plant analysis is done and documented. and The use of fertilisers is according to soil/plant analysis and expected yield. and Fertilisation is documented.	The fertilisation plan according to soil and plant needs is being defined.	There is evidence that fertilisers used are 50% above required amount.	
	4b	Organic matter management is in place.	Organic matter is reused and recycled and partially replacing	Organic matter is reused and recycled.	Wasteful and improper disposal of organic matter.	Managing Entity and Business

Environmental Dimension			Criteria			Level of Monitoring
Category	No.	Principle	Green	Yellow	Red	
			mineral fertiliser.			Partners
			Indicators			
			Organic fertilisers are used. and Organic waste materials are recycled and considered as a nutrient supply. and Soil organic matter content is maintained.	Some organic fertilisers are used. and Some organic waste materials are recycled. and Soil organic matter content is not fully maintained.	Organic fertilizers are not used. and Organic waste materials are not recycled. and Soil organic matter content is not maintained.	
Water	5a	Water resources are conserved.	All necessary steps are taken to conserve water resources.	Water conservation practices are implemented.	Wasteful use, overuse and pollution of water sources.	Managing Entity and Business Partners
			Indicators			
			A water management plan based on principles of water use efficiency is documented and implemented (incl.	A water management plan is developed (including irrigation and wet processing).	No water management plan is developed.	

Environmental Dimension			Criteria			Level of Monitoring
Category	No.	Principle	Green	Yellow	Red	
			irrigation and wet processing). and Surface and underground water sources have been identified and are conserved. and Water for coffee processing and irrigation is used efficiently.	and Surface and underground water sources have been identified and some measures to conserve water sources are implemented. and Some measures to reduce water use are implemented.	and Surface and underground water sources are not conserved. and No evidence of awareness of efficient water use.	
	5b	Wastewater management is in place.	Wastewater is treated and discharged load of contaminants is minimised.	Wastewater is treated.	Untreated wastewater is discharged to the nature.	Managing Entity and Business Partners
			Indicators			
			Waste water treatment system for wet processing and sewage is in place. and All Business Partners dealing	Waste water treatment system for wet processing and sewage is in place. and There is evidence of awareness	No development of any waste water treatment system is evident. and There is no evidence of	

Environmental Dimension			Criteria			Level of Monitoring
Category	No.	Principle	Green	Yellow	Red	
			<p>with waste water are aware of importance of its treatment.</p> <p>and</p> <p>Treated waste water complies with parameters specified in national/local legislation before being discharged.</p>	<p>of the importance of waste water treatment among some of the Business Partners dealing with waste water.</p> <p>and</p> <p>Treated waste water does not yet comply with all parameters specified in national/local legislation before being discharged.</p>	<p>awareness of importance of waste water treatment among Business Partners dealing with waste water.</p>	
Waste	6	Safe waste management is in place.	Waste generation is minimised, reuse and recycling is maximised. Safe disposal of waste is ensured.	Safe disposal of hazardous waste is practised.	Hazardous waste is disposed of unsafely.	Managing Entity and Business Partners
			Indicators			
			<p>Different types of waste generated within the 4C Unit are identified.</p> <p>and</p> <p>Reuse, recycling and safe disposal is in place and</p>	<p>Hazardous wastes are identified.</p> <p>and</p> <p>Hazardous wastes are safely disposed of in order to</p>	<p>Hazardous wastes are disposed of without consideration of possible contamination of the environment.</p>	

Environmental Dimension			Criteria			Level of Monitoring
Category	No.	Principle	Green	Yellow	Red	
			according to the different types of waste.	prevent contamination of water and soil resources as well as harm to human being and animals.		
Energy	7a	Preferential use of renewable energy.	The use of renewable energy sources is maximised and evident.	Options for use of renewable energy are assessed, and implementation is planned.	Energy is used regardless to its renewability.	Managing Entity, mills
			Indicators			
			Potential renewable energy sources of the 4C Unit are identified. and Renewable energy sources are used if/when available and Reduction of the use of fossil energy sources is evident.	Potential renewable energy sources of the 4C Unit have been identified and their use is being evaluated. or Some renewable energy sources are used if/when available.	Only non- renewable energy sources are used.	

Environmental Dimension			Criteria			Level of Monitoring
Category	No.	Principle	Green	Yellow	Red	
	7b	Saving Energy	Energy use is monitored and evaluated regularly. Minimisation of energy use is evident.	Use of energy is regularly evaluated and first steps towards energy efficiency and alternative options are implemented.	Wasteful use of energy as input for coffee production or processing is evident	Managing Entity and Business Partners
			Indicators			
			Energy use is quantified and documented. and Reduction of energy use and improvement of energy efficiency is evident.	Energy use is quantified. and Few measures are taken to reduce energy use and improve energy efficiency.	No measures are taken to reduce energy use and improve energy efficiency.	

Economic Dimension			Criteria			Level of Monitoring
Category	No.	Principle	Green	Yellow	Red	
Market information	1	Market information is accessible within the 4C Unit.	Coffee quality requirements and market prices are up-to-date, passed on and accessible within the 4C Unit.	Coffee quality requirements and market prices are accessible within the 4C Unit.	Market information is not passed along the chain. Coffee quality requirements and market prices are not accessible within the 4C Unit.	Managing Entity and Business Partners
			Indicators			
			Farm gate prices connected to local market price and differentiated for quality, are passed on regularly (at least once a week) to Business Partners by the Managing Entity (e.g. by radio, blackboard, sms or other media).	Farm gate prices connected to local market price and differentiated for quality, are updated regularly by the Managing Entity and made accessible to Business Partners.	Business Partners have no access to organised information about coffee prices and quality requirements.	
Market access	2	4C Unit improves the ability of producers to gain adequate market access, including market information, financial credit, supply of inputs,	Producers are offered adequate market access within the 4C Unit.	Producers can gain market access on demand within the 4C Unit.	Producers do not have adequate market access within the 4C Unit.	Managing Entity and Business Partners

Economic Dimension			Criteria			Level of Monitoring
Category	No.	Principle	Green	Yellow	Red	
		etc.				
			Indicators			
			<p>An assessment of the types of services needed by the producers is done.</p> <p>and</p> <p>The Managing Entity provides access to services at market rates such as fertilizers, pesticides, equipment, credit, planting material/seedlings and technical assistance.</p> <p>and</p> <p>The Managing Entity actively communicates about these services.</p>	<p>The Managing Entity provides access only to some of the services.</p> <p>and</p> <p>The Managing Entity does not actively communicate about these services yet.</p>	<p>There is no access to and information about any services provided by the Managing Entity.</p>	
Quality	3	Coffee quality is monitored within the 4C Unit.	Systematic monitoring of quality enables meeting market requirements or national/international export standards.	A plan to monitor coffee quality is in place. First steps are taken to monitor coffee quality against market requirements or	Coffee quality is not monitored against any standards or requirement within the 4C Unit.	Managing Entity and Business Partners

Economic Dimension			Criteria			Level of Monitoring
Category	No.	Principle	Green	Yellow	Red	
				national/international export standards.		
			Indicators			
			<p>Systematic quality assessment from farm up to the Managing entity level is in place.</p> <p>and</p> <p>Green coffee quality is assessed according to moisture content and physical defects at the time of delivery.</p> <p>Similar control is in place for delivery of cherries or parchment.</p>	<p>A plan for quality control from farm up to the Managing Entity level is established.</p> <p>and</p> <p>Quality parameters have been defined and control is partially implemented.</p>	<p>There is no control of quality taking place.</p>	
Record keeping	4	Record keeping used to monitor production efficiency leads to improved farm performance.	Systematised record keeping of production activities by all producers, according to their respective level of education, is evident. The farm's performance is being improved.	First steps are taken to keep records of some production activities, according to the producer's level of education.	No records of any production activities are evident.	Managing Entity and producers within the 4C Unit

Economic Dimension			Criteria			Level of Monitoring
Category	No.	Principle	Green	Yellow	Red	
			Indicators			
			<p>All producers have records of technical and financial aspects covering yields, use of inputs and prices paid and received.</p> <p>and</p> <p>Records show improvement of farm's efficiency over time.</p> <p>and</p> <p>Templates for record keeping are provided to producers by the Managing Entity.</p>	<p>Some producers have records of technical and financial aspects covering yields, use of inputs and prices paid and received.</p> <p>and</p> <p>Templates for record keeping exist and are being provided to producers by the Managing Entity.</p>	<p>There is no record keeping in place at all.</p>	
Commerce	5	Transparent pricing mechanisms are available to reflect coffee quality and sustainable production practices.	Transparent pricing mechanisms reflecting quality of coffee and sustainable production practices are established and operational.	Transparent pricing mechanisms reflecting coffee quality is evident and being improved.	No pricing mechanism with regard to quality is evident.	Managing Entity and Business Partners
			Indicators			
			Producers are aware of pricing	Producers are aware of pricing	There is no proof that	

Economic Dimension			Criteria			Level of Monitoring
Category	No.	Principle	Green	Yellow	Red	
			<p>mechanisms according to the coffee quality attributes and the 4C sustainability practices.</p> <p>and</p> <p>Respective documentation is available and demonstrates the functionality of the pricing mechanisms.</p>	<p>mechanisms according to the coffee quality attributes</p> <p>and</p> <p>The pricing mechanisms are being analyzed in order to identify corrective actions.</p>	<p>coffee is paid according to coffee quality attributes.</p>	
Traceability	6	Mechanisms for internal (within the 4C Unit) traceability are in place.	<p>Within the 4C Unit coffee is clearly identified, segregated, stored and protected from being mixed with other sources. Written documents are available and operational.</p>	<p>Coffee is traceable within the 4C Unit.</p>	<p>Coffee is not traceable within the 4C Unit.</p>	Managing Entity and Business Partners
			Indicators			
			<p>4C Compliant Coffee is clearly identified, segregated, stored and protected from being mixed with other sources.</p> <p>and</p> <p>Written documents are available</p>	<p>4C Compliant Coffee is clearly identified and segregated.</p>	<p>Coffee from different origins is mixed without any possibility to keep track of 4C Compliant Coffee.</p>	

Economic Dimension			Criteria			Level of Monitoring
Category	No.	Principle	Green	Yellow	Red	
			and operational.			