

4C CODE OF CONDUCT

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VERSION 2.0

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INTRODUCTION TO THE 4C CODE OF CONDUCT

The 4C Association is the leading multi-stakeholder sustainable coffee platform working towards the improvement of the economic, social and environmental conditions of coffee production and processing to build a thriving, sustainable sector for generations to come.

In order to achieve its mission, the 4C Association has three functions:

- It sets, maintains and operates the 4C Code of Conduct, an entry-level standard that defines a global common baseline and starts all coffee supply chain actors on the path to the sustainable production, processing, and trade of coffee.
- It actively promotes and partners with other sustainability standards and initiatives in the market to increase the supply and demand of verified and certified coffee.
- It offers an open and dynamic platform that invites members and partners from both public and private sectors to effectively work together non-competitively on overarching, critical issues that threaten the sustainability of the coffee sector.

The ultimate objective of the 4C Association is that, over time, all coffee producers around the world, and therefore all coffee production, will achieve a baseline level of social, environmental and economic sustainability. To achieve this fundamental change, all stakeholders in the coffee sector need to get involved and work closely together. The 4C Association enables them to join forces and build long term relationships by providing tools and mechanisms such as the Code of Conduct and the Rules of Participation.

Scope

The 4C Code of Conduct applies to any type of producing entity (4C Units) based in any coffee producing country that wish to produce and sell coffee as 4C Compliant. The term 4C Unit is very inclusive and covers any type of production facility and/or process: it can be a group of small-scale farmers, a cooperative or a farmers' association, a collecting station, a mill, a local trader, an export organisation, or even a roaster (as long as it is based in a country where coffee is produced). There are only three prerequisites to qualify as a 4C Unit:

- Become a member of the 4C Association or belong to an existing 4C Member;
- Be able to supply a minimum of one container of green coffee (20 tons);
- Have a person or a group of people who can ensure the implementation of the 4C Code of Conduct. The 4C system calls this a Managing Entity.

Verification of adherence to the principles of the Code of Conduct must be carried out by an auditing company, which is approved by the 4C Association. A list of approved 4C verifiers can be found on the 4C website.

The Code of Conduct and its Principles

The entry-level approach of the Code of Conduct enables coffee producers around the globe to embark on their sustainability journey. The inclusive nature of the Code aims to reach out to producers who are currently not participating in the market for sustainable coffee and bring them into compliance with a basic level of sustainability. The intention is to gradually raise the social, economic and environmental conditions of coffee production and processing worldwide.

In order to achieve this, the Code of Conduct comprises:

- 27 principles across 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;
- 10 Unacceptable Practices which have to be excluded before applying for 4C Verification.

Regarding the 3 dimensions of sustainability, the Code encompasses the following principles:

- 8 Economic principles, thereof:
 - 3 principles on coffee farming as a business (1.1 – 1.3);
 - 5 principles on the support to farmers by the Managing Entity of a 4C Unit (1.4 – 1.8).
- 9 Social Principles, thereof:
 - 2 principles applicable to all farmers and other business partners (2.1 - 2.2);
 - 7 principles applicable to workers (2.3 - 2.9).
- 10 environmental principles comprising:
 - 6 principles applicable to natural resources (3.1, 3.4, 3.6 - 3.9)
 - 3 principles applicable to agrochemicals (3.2, 3.3, 3.5)
 - 1 principle applicable to energy (3.10).

In order to receive a 4C License (which confirms compliance with the Code of Conduct and enables holders to sell 4C Compliant Coffee), a 4C Unit must have eradicated the 10 Unacceptable Practices among all business partners within the Unit, achieve an average yellow performance in each dimension and pass an independent verification audit. Average yellow refers to the situation where any principle rated red in one dimension must be balanced by an equivalent number of principles rated green in that same dimension. This is considered average yellow and is allowed during the first three years before the first re-verification takes place.

In addition to complying with the Code of Conduct, the 4C Units need to adhere to requirements relating to the organisation and management of the Unit in order to sell coffee as 4C Compliant. These requirements are summarized in Annex 3 of this document and described in detail in the Verification Regulations.

How to use the Code of Conduct

4C Units must comply with the 27 principles of the Code of Conduct. Each of the principles in the Code is presented with the following information (see graph with example below):

- number of the principle;
- its name or category;
- to whom it applies within the 4C Unit;
- a short description of the principle.

Three columns from left to right describe the green, yellow and red criteria. To better understand the expectation of a principle, start by reading the green criteria and its principles and then move to the yellow and finally to the red one. When indicators are linked via an AND, it means that two (or more) indicators need to be observed or met in order to comply with that principle. When two or more indicators are linked by an OR, it suffices that one indicator is observed in order to assess compliance or non-compliance of the principle (see example below).

Example: Principle 2.4. Right to collective bargaining (Social dimension)

Principle	Category:	Applies to:
2.4	Right to collective bargaining	Managing Entity and Business Partners with permanently hired workers
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.
INDICATORS		
Regular consultations between employers and authorised workers' 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 workers' 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.
AND: In this case, both indicators must be met to confirm compliance.		OR: In this case, any of the indicators is sufficient to confirm compliance.

References

The 4C Association follows a number of internationally recognized standards and conventions, in particular those of the International Labour Organization (ILO). The revision of the Code of Conduct follows the 4C Standard Setting Procedure (version 1.1 June 2011) and complies with the ISEAL Code of Good Practice for Setting Social and Environmental Standards (version 5.0 June 2010).

Implementation

The 4C Association offers guiding documents which contain further information related to the Code of Conduct, its implementation and verification. These documents can be found on the 4C Association website: <http://www.4c-coffeeassociation.org/resources?category=4c-code-and-verification>

4C Units will only be audited against the requirements of the 4C Code of Conduct and those requirements in the Verification Regulations which are applicable to the 4C Units. The Managing Entity is responsible for the implementation of the Code of Conduct.

Version validity

The revised version v2.0 of the 4C Code of Conduct is valid from July 1st 2015 onwards. The previous version v1.3 will remain valid in parallel until 30th June 2016.. For 4C Units starting their verification on or after July 1st 2016 version 2.0 will be mandatory with all applicable requirements.

Document history

Version	Effective date as of	Details of change
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 Co-operation 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 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).
v1.3 (2009)	July 2010	The Code 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.
v2.0 (2014)	1st of 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 December 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.

Next revision of the Code of Conduct

The Standard-Setting procedure of the 4C Association defines the process and procedure for regular revision of the Code to ensure it is relevant and up-to-date. The period between reviews should not exceed five years, which is also in line with the recommendations and requirements of the [ISEAL Alliance](#) for credible standard systems, of which the 4C Association is a full member. The 4C Secretariat will notify all members, partners and relevant stakeholders well in advance of the next scheduled review.

For more information contact info@4c-coffeeassociation.org

ECONOMIC DIMENSION

COFFEE FARMING AS A BUSINESS

Principle	Category:	Applies to:
1.1	Profitability and long term productivity	Business Partners which grow coffee
Actions to maintain or increase profitability and long term productivity at farm level are promoted and starting to be implemented.		

Producers are implementing practices that will lead to maintained or increased profitability and long term productivity of their farms,	There is awareness on practices that have the potential to maintain or increase profitability and long term productivity	There is no awareness on practices that have the potential to maintain or increase profitability and long term productivity
INDICATORS		
Producers are implementing practices that can lead to maintained or increased profitability and long term productivity such as good agricultural practices, post-harvest and handling practices, and good management practices. Implementation of good practices are evident on the farm.	Producers are aware of practices that can be implemented at farm level and that can lead to maintained or increased profitability and long term productivity and implementation of good practices has started.	Producers are not aware of practices that have the potential to increase productivity.

Principle	Category:	Applies to:
1.2	Capacity and skill development	Managing Entity and Business Partners
Business Partners and workers within the 4C Unit have access to trainings to improve their skills and capacities according to identified needs.		

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, according to identified needs.	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.
INDICATORS		
A training policy and implementation plan based on identified needs, 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. AND Women and men have the same opportunities to participate. AND Documentation of training programmes for all workers and Business Partners is available.	Training policy and plan regarding relevant technical skills are documented, and starting to be implemented. AND Training activities have started and are available to some workers and Business Partners.	No training policy is in place. AND No training activities are evident. AND No documentation is available.

Principle	Category:	Applies to:
1.3	Record keeping	Managing Entity and Business Partners that grow coffee
Record keeping to monitor profitability is promoted. .		

Record keeping of main coffee costs and income by producers is evident.

Steps are taken to ensure that main coffee costs and coffee income are kept.

No records of any costs and incomes are evident.

INDICATORS

Producers have records of main coffee costs and income

AND

Managing Entity provides training to producers to understand use of records on costs and income

AND

Managing Entity makes analysis of costs and income at farm level and uses this information to train producers.

Producers have records of main coffee costs and income.

OR

In absence of records at small holder level, producer can explain main coffee costs and income verbally. Producers are being trained on how to keep records of main costs and income, and understand and agree to start recording.

There is no record keeping in place at all.

OR

Producers are not aware of their main costs (such as labour and/or inputs) and the price at which they have been selling their coffee.

ECONOMIC DIMENSION

SUPPORTING COFFEE FARMERS

Principle	Category:	Applies to:
1.4	Access to services	Managing Entity and Business Partners
Based on producer needs, the ME provides or facilitates the provision of services in order to produce coffee following sustainability practices.		

Producers have access to adequate services based on their needs.	Producers have access to services that partially address their main needs. .	Producers do not have access to any services and needs have not been identified.
INDICATORS		
An assessment of the types of services needed by the producers has been conducted. AND Business Partners have access to services at market rates such as supply of fertilizers, pesticides, equipment, credit, planting material/seedlings and technical assistance. AND The Managing Entity actively communicates about these services.	An assessment of the types of services needed by the producers is being conducted. AND Business Partners have access to only some of the services.	The Managing Entity has not identified the main needs of their Business Partners AND Business Partners do not have access to, or information about, any services available.

Principle	Category:	Applies to:
1.5	Market information and commerce	Managing Entity and Business Partners
Market information is accessible within the 4C Unit. Transparent pricing mechanisms reflect coffee quality and sustainable production practices.		

Coffee quality requirements and market prices are up-to-date, passed on and accessible within the 4C Unit. Price mechanisms reflect quality of coffee and sustainable production practices.

Coffee quality requirements and market prices are accessible within the 4C Unit. Price mechanisms reflect coffee quality

Coffee quality requirements and market information are not accessible within the 4C Unit. Price mechanisms do not reflect the quality of the coffee.

INDICATORS

Managing Entity regularly provides updated market information to business partners within the 4C Unit, in particular local prices differentiated by quality.

Producers are aware of price mechanisms according to the coffee quality attributes and sustainable production practices

AND

Price mechanisms reflect the coffee quality attributes and the 4C sustainability practices.

Managing Entity regularly provides updated market information to business partners within the 4C Unit, in particular local prices differentiated by quality.

AND

Producers are aware of price mechanisms according to the coffee quality attributes

AND

Price mechanisms reflect the coffee quality attributes

Business Partners have no access to information about coffee prices and quality requirements or information is not understandable to them.

AND

There is no proof that coffee price mechanisms reflect coffee quality attributes.

Principle	Category:	Applies to:
1.6	Quality	Managing Entity and Business Partners
Coffee quality is monitored within the 4C Unit.		

Systematic monitoring of quality enables meeting market requirements or national/international export standards.

First steps are taken to monitor coffee quality against market requirements or national/international export standards.

Coffee quality is not monitored against any standards or requirement within the 4C Unit.

INDICATORS

Systematic quality assessment from farm up to the Managing Entity level is in place.

AND

Quality assessment is made at each point of the chain

AND

Green coffee quality is assessed according to moisture content and physical defects at the time of delivery.

Similar control is in place for delivery of cherries or parchment.

AND

Proper storage conditions at farm level and along the supply chain exist within the 4C Unit.

Quality specifications have been defined and control is partially implemented. In the case of small farmers, they are aware of the quality parameters.

There is no control of quality taking place.

Principle	Category:	Applies to:
1.7	Business integrity (transparent business practices)	Managing Entity and Business Partners
Transparent business practices are promoted so that the market is not affected by any preferential treatment based on the offering and receiving of any personal or improper advantage in exchange for retaining business or other advantages.		

Transparent business practices are actively promoted.	There is awareness of the need to promote transparent business practices	No awareness of the need to promote transparent business practices.
INDICATORS		
At ME level a policy on transparent business practices exists and is implemented in order to create a barrier to corruption. Policy emphasises abstaining from offering or receiving personal or improper advantages or gifts in order to retain business or other advantages.	At ME level there is awareness of the need for a policy on transparent business practices that emphasises abstaining from offering or receiving personal or improper advantages or gifts in order to retain business or other advantages.	At ME level there is no policy on transparent business practices.

Principle	Category:	Applies to:
1.8	Traceability	Managing Entity and Business Partners
Mechanisms for traceability within the 4C Unit are in place.		

Within the 4C Unit, coffee is clearly identified, segregated, stored, and protected from being mixed with other sources. Written documents are available and operational.

Coffee is traceable within the 4C Unit.

There are no clear procedures to ensure coffee is traceable within the 4C Units.

INDICATORS

4C Compliant Coffee is clearly identified, segregated, stored and protected from being mixed with other sources.

AND

Standard Operational Procedure of traceability is available and operational.

AND

Written documents are available.

4C Compliant Coffee is clearly identified along the supply chain.

AND

Every supply chain actor within the 4C Unit knows who they buy their 4C Compliant Coffee from and who buys their 4C Compliant Coffee.

AND

Written documents at Managing Entity are available.

Coffee from different origins is likely to be mixed without possibility to keep track of 4C Compliant Coffee.

AND

There are no clear procedures in place to identify 4C Compliant Coffee.

SOCIAL DIMENSION

ALL BUSINESS PARTNERS

Principle	Category:	Applies to:
2.1	Discrimination (ILO Conventions 110, 111, 100)	Managing Entity and Business Partners and their permanently or temporarily hired workers
Equal rights are secured with respect to gender, maternity, religion, ethnicity, physical conditions and political views.		

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 or secure equal rights is evident.
INDICATORS		
Policy and procedures include grievance mechanisms to secure equal rights exist and are communicated within the 4C Unit. AND The policy and procedures are being implemented, i.e. potentially vulnerable groups are identified and efforts have been made in order to explain in further detail the procedures to them, in particular the grievance mechanisms. There is evidence that this and other actions to remove the obstacles that foster discrimination are being developed. AND There is no evidence that equal rights are violated or that harassment or abusive treatment occurs.	Policy and procedures to secure equal rights exist and are communicated within the 4C Unit. AND In case incidents of discrimination, harassment or abusive treatment have occurred, these are being addressed.	No policy or procedures for equal rights exist. AND Incidents of discrimination, harassment or abusive treatment have occurred.

Principle	Category:	Applies to:
2.2	Right to childhood and education	Managing Entity and Business Partners
Children have the right to childhood and education. ILO Convention 182, 138 1999.		

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.

INDICATORS

All children under the age of 15 (or of legal school age) are attending school.

AND

Children under the age of 15 (or legal school age) are not part of the regular work force.

AND

Child work is only accepted as part of light family work and outside school hours for children below 15 years old and they are not performing hazardous work.

AND

There are measures to improve the educational situation within the 4C Unit.

The majority of the children under the age of 15 (or of legal school age) are attending school.

AND

Children under the age of 15 are not part of the regular work force at the Managing Entity, buying and processing facilities or coffee estates. The Managing Entity has identified vulnerable regions or producers where child labour may be happening, encourages farmers to send children to school and raises awareness on young workers (below 18 and above legal school age) to not perform hazardous work.

AND

Child work is only accepted as part of light family work and outside school hours for children below 15 years old

The majority of the children under the age of 15 (or of legal school age) are not attending school

AND

Some of the children under the age of 15 are part of the regular work force

AND

No awareness on the educational needs of children within the 4C Unit is evident.

AND

No efforts to facilitate access to education are evident.

SOCIAL DIMENSION

WORKERS

Principle	Category:	Applies to:
2.3	Freedom of Association.	Managing Entity and Business Partners with Permanently hired workers. Business Partners who wish to join an organization
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.

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 and labour organizations for workers, and federations, associations, farmer groups for producers.).

AND

Representatives of independent organizations are 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.

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.

AND

No cases of discrimination, adverse action against or exclusion of members of independent organizations by Managing Entity, employer or other workers.

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

Cases of discrimination or adverse actions against members of independent organizations (other than trade unions) still occur.

Principle	Category:	Applies to:
2.4	Right to collective bargaining	Managing Entity and Business Partners with permanently hired workers
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.

INDICATORS

Regular consultations between employers and authorised workers' 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 workers' 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.

Principle	Category:	Applies to:
2.5	Working Conditions – Labour contract	Managing Entity and Business Partners with permanently or temporarily hired workers
Workers receive a labour contract and know their rights.		

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.
INDICATORS		
Written labour contracts for all workers are available. AND All workers have a copy of their labour contracts. AND Contractual agreements are adhered to.	At least verbal contractual agreements for all workers exist. Workers know their rights and duties. AND Contractual agreements are being implemented.	There are complaints from workers or from their legal representatives or organizations that contractual agreements are not respected.

Principle	Category:	Applies to:
2.6	Working Conditions – Working hours	Managing Entity and Business Partners with permanently or temporarily hired workers
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.
INDICATORS		
The working time of all workers and employees does not exceed 48 hours weekly or fewer if provided by national law. AND Overtime is voluntary, infrequent, and fully remunerated according to national law and paid in due time. Overtime is agreed with workers but it does not exceed 12 hours per week. Exception to this may only happen for a maximum 2 months during peak season. AND Documentation of working hours and voluntary overtime for individual workers is available.	Regular working hours of workers and employees are limited to 48 per week or fewer if provided by national law. For some specific jobs, e.g. watchmen, more than 48 hours per week may be acceptable if specifically allowed by national law. AND Overtime is paid according to national law. AND Working hours of permanent workers are recorded. AND Workers enjoy at least one free day following six consecutive days worked as well as public and annual holidays.	Regular working hours of workers and employees exceed 48 hours per week or provision of national or local law. AND Workers declare that overtime is not paid for, irregular and / or not voluntary. AND Working hours are not recorded.

Principle	Category:	Applies to:
2.7	Working Conditions – Wages	Managing Entities and Business Partners with permanently hired workers. For temporarily hired workers see 2.9
Wages comply with national laws or sector agreements.		

Living wages or wages above existing national minimum wages or sector agreements are paid.	Wages comply with existing national minimum wages or sector agreements.	Wages are below existing national minimum wages or sector agreements.
INDICATORS		
Living wages or wages of all workers and employees are above existing national minimum wages or sector agreements, whichever is higher AND Wages are paid in time/ as stated in the labour agreement AND Payment records or payslips for all workers and employees are available.	Minimum wages or sector agreements, whichever is higher, are paid.	Wages paid are below national minimum or sector agreements.

Principle	Category:	Applies to:
2.8	Working Conditions – Seasonal and piece rate workers	Managing Entity and Business Partners
Equitable treatment of seasonal and piece rate workers.		

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.

INDICATORS

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 for equivalent working time.

AND

Seasonal and piece rate workers receive the same benefits as other workers (e.g. housing, food, transport, hygiene).

AND

Records/documentation regarding working hours and wages are available.

Piece rate payments are monitored to ensure that daily earnings are at least equivalent to national or sector minimum wages (whichever is higher) for equivalent working time .

AND

Seasonal and piece rate workers do not receive other benefits (e.g. housing, food, transport, hygiene).

Piece rate payment systems are lower than national or sector minimum wages.

AND

Seasonal and piece rate workers do not receive other benefits.

Principle	Category:	Applies to :
2.9	Working Conditions – Occupational Health and Safety	Managing Entity and Business Partners with hired workers (temporary or permanent)
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, and a start has been made in its monitoring and implementation.	No health and safety programme exists. Unhealthy and dangerous working conditions are evident.
INDICATORS		
Risk Assessment is carried out including the identification and evaluation of hazards. AND A health and safety programme, including procedures, equipment, responsibilities and monitoring is implemented. AND Workers are well informed and trained on health and safety issues (incl. an emergency kit and (a) persons trained in first aid). AND Appropriate equipment and gear, including personal protection equipment are available, well maintained, and clean. AND Safe facilities are available. AND Hazardous wastes are safely collected and measures for safe disposal are taken. AND Workers are fully aware of, and sufficiently protected against, dangerous machinery, unhealthy working situations, chemicals and other risks.	A Risk Assessment is carried out including identification and prioritization. AND Procedures and equipment to minimize risks and ensure healthy and safe working conditions and practices (e.g. in relation to pesticides, machinery and heavy loads) are known but not always available or used. AND Workers are aware of safe practices AND Monitoring is being implemented. A health and safety programme is documented. Small farmers may not have a documented program but do know the main risks and implement measures to address them - including measures for personal protection.	There is no evidence of protection measures or awareness of health and safety risks among staff and workers. AND Unhealthy and dangerous working conditions are evident.

ENVIRONMENTAL DIMENSION

Principle	Category:	Applies to:
3.1	Conservation of Biodiversity	Managing Entity and Business Partners
Conservation of biodiversity, including protected or endangered native flora and fauna is supported.		

A program of conservation and enhancing wildlife and native flora is developed and implemented.	Conservation actions are being taken and awareness is being raised in relation to endangered and protected species and native flora	Exploitation of native flora and fauna is practiced.
INDICATORS		
Each individual farm has a map indicating land use. AND A general map of the Unit's land use exists. AND There are measures and actions in the conservation or restoration of natural vegetation and fauna and protection of sensitive areas (slopes, river banks, wetlands)	Maps are being developed. AND Managing Entity has identified the main sensitive areas within the 4C Unit AND No hunting or extraction of endangered species of animals and plants is practiced. In case small holders are hunting or collecting endangered species, there is evidence of activities to raise their awareness on conservation.	No awareness within the 4C Unit of the importance of biodiversity and lack of knowledge on endangered species of animals and plants in the region. AND No measures to protect or enhance native plants and fauna are taken. AND Hunting or extraction of endangered species of animals and plants is evident.

Principle	Category:	Applies to:
3.2	Use of pesticides	Managing Entity and Business Partners
Use of pesticides is minimised and integrated pest, weed and disease management is improved with time.		

Pest control methods integrate biological, cultural and physical approaches and decision on pesticide use is based on monitoring of pests, diseases and weeds.

Pesticides in the 4C Red List are not used and pesticides in the 4C Yellow List are not used or are minimized.

Steps are taken to monitor pest, disease and weed levels, and at least one method to reduce use of pesticides is implemented.

Pesticides in the 4C Red List are not used. Pesticides in the 4C Yellow List may be in use.

There is no system in place to minimise the use of pesticides.

Pesticides in the 4C Red List are being used.

INDICATORS

An integrated pest management (IPM) system is documented and being implemented.

AND

Pesticides in the 4C Red List are not used. Pesticides in 4C Yellow List are avoided if possible. Use of all pesticides is minimized as provided by evidence of records and IPM replacements.

AND

Records of types and rates of all pesticides used are kept.

AND

There is evidence that training on IPM is provided to farmers and workers and a manual is available.

An integrated pest management – IPM- system is being developed: farmers monitor their crop for pest, weeds and diseases and are aware of preventive measures and potential control techniques which are not chemical.

AND

Pesticides in the 4C Red List are not used.

AND

The Managing Entity has knowledge on the type of the pesticides used by its Business Partners.

AND

At farm level, records of types of pesticides used are incomplete, or in the case of small holders, no records are kept

There is no (integrated) pest management system. Farmers are not aware of preventive measures or of potential non-chemical controls.

AND

Pesticides in the 4C Red List are being used.

AND

The Managing Entity has limited knowledge of the pesticides used by its Business Partners

AND

No records are kept.

Principle	Category:	Applies to:
3.3	Handling of pesticides and other hazardous chemicals	Managing Entity and Business Partners

Pesticides and other hazardous chemicals are stored, applied and disposed of in the least hazardous manner for human health and the environment.

A plan for handling pesticides and other hazardous chemicals referring to application, storage and disposal is formulated. Steps are taken to avoid the most hazardous application, storage and disposal practices.

Pesticides and other hazardous chemicals are stored, applied and disposed of in a hazardous manner for human health and the environment.

INDICATORS

A plan for applying, storing and disposing pesticides and other hazardous chemicals is available.

AND

All pesticides and other hazardous chemicals are properly applied, stored and disposed of by trained personnel using personal protective equipment, according to national and/or local legislation, manufacturers' instructions and ILO recommendations.

AND

Personal protective equipment is controlled and ensured it is in good state for smallholders as well as larger farms.

A plan for applying, storing and disposing pesticides and other hazardous chemicals is available, including identification of critical points and measures to reduce risks.

AND

People handling pesticides and other hazardous chemicals are being trained on proper handling (including application, storage and disposal). The Managing Entity is aware of national and/ or local legislation, manufacturers' instructions and ILO recommendations. Workers handling pesticides, are given personal protection equipment. In the case of smallholders, hazard awareness is being raised and they implement measures for personal protection.

AND

Pesticides and fertilisers are properly stored away from reach of non-trained people and to avoid polluting the environment.

No measures are taken to apply, store and dispose of pesticides and other hazardous chemicals properly according to national and/or local legislation, and manufacturers' instructions and ILO recommendations.

AND

Farmers are unaware of the hazardous nature of the pesticides and chemicals they are using

Principle	Category:	Applies to:
3.4	Soil Conservation	Managing Entity and Business Partners who grow coffee
Soil conservation practices are in place.		

Soil is protected from erosion by adequate soil conservation measures.	Soil conservation measures have been started.	Practices that contribute to soil erosion are evident.
INDICATORS		
Soil conservation measures to protect soil from erosion are in place with vegetation and/or plant residues and/or minimum tillage and other soil conservation techniques. In case there are signs of erosion actions have been implemented to control erosion and restore the soil.	Some measures are taken to protect soil from erosion. In case there are signs of erosion, there is a plan to implement measures to control erosion and to restore the soil. At small holder level, plans can be verbally explained.	No measures are taken to protect soil from erosion, where applicable. AND Practices that contribute to soil erosion are evident.

Principle	Category:	Applies to:
3.5	Soil Fertility and nutrient management – Fertilisers	Managing Entity and Business Partners
Mineral and/or organic fertilisers are used in a balanced and appropriate way.		

Application of fertilisers is in accordance with the needs of the crop based on soil and or leaf analysis.

Application of fertilisers is based on a technical recommendation.

Excessive or no use of fertilisers is evident.

INDICATORS

Soil and/or leaf analysis is done and documented.

AND

The use of mineral and/or organic fertilisers is according to soil and or leaf analysis and expected yield.

AND

There is awareness within the 4C Unit of the need to reduce the use of acidifying Nitrogen fertilizers in order to avoid further soil acidification

AND

Fertilisation is documented.

There is some use of mineral and/or organic fertilisers

AND

Technical recommendations from a credible institution for balanced and appropriate application of fertilisers are available but not necessarily implemented

There is evidence of excessive or no use of fertilisers..

AND

Managing Entity is not aware on proper nutrition needs as on average for its supply chain.

Principle	Category:	Applies to:
3.6	Soil Fertility and nutrient management – Organic matter	Managing Entity and Business partners who are coffee processors or coffee growers
Maintenance of organic matter in the soil is promoted.		

Organic matter is reused and recycled and partially replaces mineral fertiliser.	Organic matter is reused and recycled.	Wasteful and improper disposal of organic matter.
INDICATORS		
Organic waste materials are recycled and considered as a nutrient supply and/or practices to increase fertility are in place, e.g. soil is covered with leaf litter or organic mulch, there are shade trees and /or boundary plants. AND Central coffee processors and service providers return or make available to coffee farmers the organic matter from coffee processing (processed waste), if economically feasible and considering plant health risks.	Some organic waste materials including coffee pulp and husk are recycled and/or practices to increase fertility are in place, e.g. soil is covered with leaf litter or organic mulch, there are shade trees and /or boundary plants. AND Central coffee processors and service providers start to implement efforts to return or make available to coffee farmers the organic matter from coffee processing, if economically feasible and considering plant health risks.	Organic waste materials are not recycled or reused as fertilizer.

Principle	Category:	Applies to:
3.7	Water – water sources	Managing Entity and Business Partners who are coffee processors and coffee growers
Water resources are conserved and used efficiently.		

Necessary steps are taken to conserve water resources.	Water conservation practices are implemented.	Overuse of water sources.
INDICATORS		
Water sources have been identified and are conserved by recycling, by using less amounts that might not endanger its sustainability. AND Managing Entity is in dialogue with other stakeholders to coordinate conservation efforts for those sources which are known or considered to be in critical stage or overused AND Water for coffee processing and irrigation is used efficiently. In the case of smallholders, there is evidence that the Managing Entity is facilitating trainings on more efficient use of water. At the processing level use of water is be measured and documented to show efficient use.	Water sources have been identified and some measures to conserve water sources are implemented. In the case of smallholders they are being trained in conservation of water sources AND Managing Entity is aware of sources which are known or considered to be in critical stage or overused. AND Some measures to reduce water use are implemented. In the case of smallholders, these are being trained in efficient irrigation and processing, if applicable. At central processing level use of water is being measured and efforts made to make efficient use.	Water sources are not conserved. AND No evidence of awareness of efficient water use.

Principle	Category:	Applies to:
3.8	Water – wastewater	Managing Entity and Business Partners who are coffee processors and coffee growers.
Wastewater management is in place.		

Wastewater is treated and the discharged load of contaminants is minimized.

Untreated wastewater is not directly discharged into water courses

Untreated wastewater is discharged directly into water courses.

INDICATORS

Wastewater from central processing facilities and from workers' housing sewage is not being discharged directly into water courses

AND

Wastewater treatment system for wet processing and sewage is in place.

AND

Treated wastewater complies with parameters specified in national/local legislation before being discharged and analysis results are available.

Central washing stations analyse treated wastewater once per harvesting season and this confirms to national legislations before being discharged and analysis results are available;

AND

All Business Partners dealing with wastewater are aware of importance of its treatment.

Wastewater from central processing facilities and from worker's housing sewage is not being discharged directly into water courses

AND

Actions exist to minimize wastewater pollution from wet processing and sewage.

AND

There is evidence of awareness of the importance of wastewater treatment among coffee producers dealing with wastewater from wet processing and with sewage.

Wastewater from wet processing and sewage is being discharged directly into water course

AND

No development of any wastewater treatment system is evident.

AND

There is no evidence of awareness of importance of wastewater treatment among Business Partners dealing with wastewater.

Principle	Category:	Applies to:
3.9	Hazardous waste	Managing Entity and Business Partners
Safe waste management is in place.		

Waste generation is minimized, reuse and recycling is maximized. Safe disposal of hazardous waste is ensured.	Safe disposal of hazardous waste is practiced. Steps are taken to improve waste management	Hazardous waste is disposed of unsafely. No management system is in place.
INDICATORS		
Different types of waste generated within the 4C Unit are identified. AND Reuse, recycling and safe disposal is in place and according to the different types of waste.	Hazardous wastes are identified. AND Hazardous wastes are safely disposed of in order to prevent contamination of water and soil resources as well as harm to human beings and animals. AND Steps are taken to minimise waste. AND Steps are taken to maximize re-use and recycling, including starting to separate wastes according to the different types.	Hazardous wastes are disposed of without consideration of possible contamination of the environment. AND There is no minimization, re-use and recycling of waste.

Principle	Category:	Applies to:
3.10	Energy.	Managing Entity and Business Partners who are central coffee processing facilities
Saving Energy and preferential use of renewable energy		

Energy use is monitored and evaluated regularly. Minimization of energy use is evident. The use of renewable energy sources is maximized.	Use of energy is regularly evaluated and first steps towards energy efficiency and alternative options are implemented. Options for use of renewable energy are assessed and implementation is planned if appropriate.	Wasteful use of energy as input for coffee processing is evident and renewable sources are not known.
INDICATORS		
Energy use in coffee processing is quantified and documented. AND Optimization or reduction of energy use and improvement of energy efficiency is evident. AND Renewable energy sources are used if available	Energy use in coffee processing is quantified. AND Some measures are taken to reduce energy use and improve energy efficiency. AND Potential renewable energy sources have been identified and their use is being evaluated or some renewable energy sources are used if available.	No measures are taken to reduce energy use and improve energy efficiency. AND Knowledge of the availability of potential renewable sources is lacking.

UNACCEPTABLE PRACTICES

Unacceptable Practice 1	Description of Status	Indicators
Worst forms of child labour (referring to ILO convention 182 on Worst Forms of Child Labour, 1999, and ILO Convention 184 on Safety and Health in Agriculture, 2001)	The worst forms of child labour are used and no measures are taken against it. Children below the age of 18 years do work which is likely to jeopardize their health, safety or morals. <i>Scope: worst forms of child labour within the 4C Unit</i>	There are practices similar to slavery, debt bondage, and forced labour of children working within the 4C Unit OR Children under the age of 18 perform work that is hazardous or harmful to their health and safety (i.e. dangerous equipment, machinery, heavy loads, hazardous substances, or work more hours than legally permitted, night work).

Unacceptable practice 2	Description of Status	Indicators
Forced and bonded labour (referring to ILO conventions 29 and 105) and Trafficking in persons (referring to UN Convention against transnational organized crime, protocol on trafficking and smuggling, effective December 2003)	There are cases of forced labour found. Trafficked persons live and/ or work and no measures are taken against it. <i>Scope: for forced labour or trafficking persons for any activities within the 4C Unit</i>	Workers are not allowed to leave their work places and/or living quarters provided by the employer. OR Workers are not allowed to leave employment after reasonable notice. OR Identity or travel documents, salary / money or other asset deposits of workers are retained by the employer. OR Repayment conditions for possible indebted workers to employer exceed debt cost for employer itself. OR Workers have to pay off recruiting or hiring fees to employer. OR In case purchasing schemes for food, accommodation and / or transport are managed by the employer, the costs exceed local market rates in order to maintain or increase the indebtedness of the workers. OR Employer uses trafficking of persons for recruitment of labour.

Unacceptable practice 3	Description of Status	Indicators
Prohibiting membership of or representation by a worker's organization or a trade union (referring to ILO Convention 87 and 98)	Membership of or representation by a worker's organization or trade union is prohibited. <i>Scope: trade unions only in the 4C Unit</i>	Representation of workers by a trade union is not possible, since trade unions are not recognised by the employer. OR Employer interferes into establishment, functioning and administration of trade unions. OR Employees, who are members of trade unions or participating in their activities, are discriminated against or adverse actions are taken against them. (i.e. no promotion, disciplinary actions, employee transfers, dismissal) OR Employment of workers is made conditional upon withdrawal of union membership. OR Trade union representatives have no access to workers and information in order to carry out their responsibilities.

Unacceptable practice 4	Description of Status	Indicators
Forced Eviction (Referring to Commission on Human Rights Resolution 2004/28 Prohibition of forced evictions;; Sub-Commission on the Protection and Promotion of Human Rights Resolution 1998/9 on Forced Evictions)	Forced evictions are/have taking place <i>Scope: land acquisition since 2006 for any activities related to coffee production and processing within the 4C Unit.</i>	There is evidence of forced eviction having taken place since 2006 in order to acquire the land where the coffee production and processing takes place. OR Land acquisition is carried out without prior and informed consent of affected people with legal land use right including those who claim traditional land use right, especially indigenous people. OR In case of legal forced evictions, negative effects of relocation are not mitigated. No agreed compensation (housing, land, money) is provided to all victims in case of eviction or relocation.

Unacceptable practice 5	Description of Status	Indicators
Failure to provide adequate housing (Referring to ILO convention 110 – Plantations convention)	Adequate housing is not provided. <i>Scope: farm or plantation or any other entity within the 4C Unit with at least 10 permanent workers</i>	Housing is needed by permanent and/or seasonal workers, but not provided by the employer. OR Where housing is provided by the employer, the following conditions are not met: • separate bed for each worker, • separate accommodation of the sexes for single workers, • drainage • sanitation • ventilation, • water supply for domestic use. OR The housing provided is not habitable: size according to the national regulations, if existing, appropriate construction materials, safe from hazards and pollution.

Unacceptable practice 6	Description of Status	Indicators
Failure to provide potable water to all workers Referring to the United Nations' Report of the World Summit on Sustainable Development, Johannesburg 2002	Workers do not have access to safe drinking water while at work <i>Scope: potable water (= water safe for drinking) provided by the employer for all workers</i>	There is evidence of dehydration during labour practices due to failure of providing sufficient amount of potable water to all workers. OR There is evidence of diseases caused by water consumption. OR There is visual evidence of contaminated water sources for consumption.

Unacceptable practice 7	Description of Status	Indicators
Cutting of primary forest or destruction of other forms of natural resources that are either designated by national and/ or international legislation	Primary forest cutting and the destruction of other natural resources within protected areas is practiced. <i>Scope: primary forest, protected areas and areas of high conservation value within the 4C Unit</i>	There is evidence of primary forest being cut down by any business partner of the 4C Unit since 2006. OR There is evidence of destruction of protected areas (designated by national and/or international legislation) by any business partner of the 4C Unit since 2006.

Unacceptable practice 8	Description of Status	Indicators
Use of Pesticides in the Unacceptable List of pesticides (see annex 1)) listed in Annex III of the Stockholm Convention on Persistent Organic Pollutants (POPs) and/or listed in the Annex III of the Rotterdam Convention on Prior Informed Consent (PIC) and/or listed under the Montreal Protocol of Ozone Depleting Substances	Unacceptable pesticides are still used. <i>Scope: Use of pesticides in the Unacceptable listed on the coffee plot and 4C compliant coffee.</i>	There is evidence of the application of banned pesticides on the coffee plot or 4C Compliant Coffee.

Unacceptable practice 9	Description of Status	Indicators
No use of genetically modified (transgenic) organisms (GMO), and varieties, by 4C Units	4C Units use genetically modified (transgenic) coffee seeds or seedlings. <i>Scope: coffee grown by business partners within the 4C Unit and coffee supply chain within the 4C Unit.</i>	There is evidence that genetically modified (transgenic) coffee trees or seedlings are being used OR The Managing Entity (ME) trades or is in contact with genetically modified (transgenic) coffee.

Unacceptable practice 10	Description of Status	Indicators
Immoral transactions in business relations according to international covenants, national law and practices (Referring to OECD Guidelines for Multinational Enterprises and UN	Basic business rules are not complied with. <i>Scope: Business relations within the 4C Unit</i>	There is evidence of fraud, corruption, bribery and/or extortion within the 4C Unit.

Convention on Contracts for the
International Sale of Goods)

ANNEX 1

4C PESTICIDE LISTS

Introduction

The 4C Association aims to foster safer work places and better living conditions. It therefore includes three lists of pesticides (listed as technical names of active ingredients) in its Code of Conduct. The revised lists follow the same structure as before - divided into Unacceptable Practices pesticides, Red List pesticides and Yellow List pesticides - but takes into account the following considerations:

- The ISEAL Alliance¹ now takes as its key technical and scientific references the Highly Hazardous Pesticide List by Pesticide Action Network (PAN) International (June 2014 version). As a member of ISEAL, the 4C Association also uses the PAN HHP List as the key reference for hazard criteria used in its pesticide lists.
- The 4C Entry-level Standard aims to be aligned with those of Fairtrade, the Sustainable Agriculture Network (Rainforest Alliance) and UTZ Certified. This meant revising its pesticide lists to make sure they are not more demanding than those of other standards.
- Making the pesticide lists more focused on pesticides which are currently used in coffee production. Within each list, pesticides which are coffee relevant² are identified and highlighted for action.

Selection criteria used for the 4C Pesticide Lists

The 4C Pesticide Lists are now based on two selection elements:

- Hazard criteria used in the PAN HHP List. These cover: acute toxicity for humans; chronic health hazards; environmental hazards; and pesticides in relevant international agreements on managing hazardous chemicals.
- Alignment criteria in relation to the status of pesticides on the lists of other relevant standards (RA SAN; Utz; FLO; and Starbucks CAFÉ Practices).

The following section summarises the criteria used in each of the 4C Pesticide Lists. Full details of the hazard criteria and the sources for the official classifications can be found in the PAN International HHP List³. Shorter explanatory notes on the hazard classifications used are given at the end of this Annex.

¹ For more info on ISEAL, see <http://www.isealalliance.org/>

² Coffee relevant pesticides refers to those which are in the revised Red or Yellow lists (or were in the former lists) and which have reported as in current use by some producers.

³ Downloadable via http://www.pan-germany.org/gbr/project_work/highly_hazardous_pesticides.html

Unacceptable Pesticides as described in Unacceptable Practice 8 of the 4C Code of Conduct. Active ingredients are listed under the following international agreements:

- Annex III of the Stockholm Convention on Persistent Organic Pollutants (POPs)
International agreement aimed at protecting human health and the environment from persistent organic pollutants.
- Annex III of Rotterdam Convention on Prior Informed Consent (PIC)
International agreement that aims to provide governments with information on active ingredients banned elsewhere for health or environmental protection reasons.
- Montreal Protocol on Ozone Depleting Substances
Global treaty designed to protect the ozone layer by phasing out the production of numerous substances that heavily contribute to ozone depletion. The only pesticide in the Protocol is the fumigant methyl bromide.

The use of any pesticide or Severely Hazardous Pesticide Formulation on any of these international agreements is an Unacceptable Practice for 4C Units and therefore prohibited within 4C Units in coffee farms and for 4C Compliant Coffee.

NOTE: The pesticide lists of international agreements continue to evolve. The Rotterdam and Stockholm Conventions may therefore add further pesticides to their lists in the future. To give 4C Units time to adapt, any newly listed pesticide under international agreements will be subject to a 3 year phase out period before being included (prohibited) in the 4C Unacceptable Practices list of pesticides.

Red List pesticides: Code requirements and actions to be promoted

The use of active ingredients listed in the 4C Red list qualifies for a red practice of principle 3.2 of the environmental dimension *Use of Pesticides*. Red practices have a phase out period of three years after the first verification. This means that 4C Units are expected to stop their use within 3 years at the latest, replacing them with safer IPM methods.

Criteria for the Red List:

HAZARD: Pesticides in any one of the 3 most acutely toxic classifications via ingestion, skin contact or inhalation, OR known to be carcinogenic (causing cancer)

AND

ALIGNMENT: Pesticides (with Red List hazard characteristics) which are prohibited⁴, or proposed to be prohibited in forthcoming revisions by two or more other standards

⁴ Prohibited by a standard, except for any permitted derogations. Restricted, monitored or watch lists are not considered as prohibitions. Sources for standards used were: SAN draft 2014, UTZ draft 2013, FLO version 2012, Café Practices 2011.

Yellow List pesticides: 4C Code requirements and actions to be promoted

As a better practice (green criteria), 4C Units are required to have minimised the use of Yellow List pesticides and, if possible, phased out their use completely by replacing them with Integrated Pest Management (IPM) alternative methods.

Criteria for the Yellow List:

ALIGNMENT: Pesticides with Red List hazard characteristics but excluded from the Red List because they are prohibited by only one or no other standard.

HAZARD: Pesticides with chronic hazards in the classifications of probable carcinogens, known endocrine disruptors, known reproductive toxins or known mutagens.

OR

HAZARD: Pesticides with one or more of the environmental hazards featured in the PAN HHP List (bioaccumulation, persistence, high toxicity to bees or aquatic organisms).

AND

ALIGNMENT: Pesticides with Yellow List hazard characteristics which are prohibited, restricted, monitored or on the proposed watch-list of one of the other standards or which meet the hazard criteria for the restricted, monitored or watch-lists of other standards

The lists were the result of consensus at the 4C Association's Technical Committee based on evaluation of the feedback received from members and external stakeholders during two rounds of consultation between 2013 and 2014.

For further information, please contact the 4C Secretariat: info@4c-coffeeassociation.org.

UNACCEPTABLE PRACTICES

No	Name of active ingredient of pesticide	CAS number	International Conventions		
	The revised 4C Unacceptable List now contains 25 pesticides, of which 3 are coffee relevant, and 4 severely hazardous pesticide formulations.		POP	PIC	Montreal
	COFFEE RELEVANT Pesticides				
1	Aldicarb	116-06-3		x	
2	Endosulfan	115-29-7	x	x	
3	Methyl bromide	74-83-9			x
	OTHER Pesticides				
4	Alachlor	15972-60-8		x	
5	alpha-BHC;alpha-HCH	319-84-6	x		
6	Azinphos-methyl	86-50-0		x	
7	beta-HCH; beta-BCH	319-85-7	x		
8	Captafol	2425 06 1		x	
9	Chlordane	57-74-9	x	x	
10	DDT	50-29-3	x	x	
11	DNOC and its salts	534-52-1		x	
12	Ethylene dibromide (EDB; 1,2-dibromoethane)	106-93-4		x	
13	Ethylene dichloride (EDC)	107-06-2		x	
14	Ethylene oxide	75-21-8		x	
15	Fluoroacetamide	640-19-7		x	
16	Hexachlorobenzene (HCB)	118-74-1	x	x	
17	Hexachlorocyclohexane (HCH)	608-73-1		x	
18	Lindane	58-89-9	x	x	
19	Mercury and its compounds	7439-97-6		x	
20	Methamidophos	10265-92-6		x	
21	Monocrotophos	6923-22-4		x	
22	Parathion	56-38-2		x	
23	Parathion-methyl (methyl parathion)	298-00-0		x	
24	Pentachlorophenol (PCP)	87-86-5		x	
25	Phosphamidon	13171-21-6		x	
Severely Hazardous Pesticide Formulations (SHPF) listed in Annex III of PIC Convention:					
Dustable powder formulations containing a combination of: benomyl at or above 7%, carbofuran at or above 10% and thiram at or above 15%					
Methamidophos (soluble liquid formulations of the substance that exceed 600 g active ingredient/l)					
Parathion-methyl (emulsifiable concentrate (EC) at or above 19.5% active ingredient and dusts at or above 1.5% active ingredient)					
Phosphamidon (soluble liquid formulations of the substance that exceed 1000 g active ingredient/l)					
The 4C UAP List uses the following 3 hazard criteria in the PAN HHP List related to international agreements:		- Pesticides listed in the Stockholm Convention on Persistent Organic Pollutants (POPs) - Pesticides listed by the Rotterdam Convention on Prior Informed Consent (PIC). - Pesticides listed in the Montreal Protocol on Ozone Depleting Substances.			

PESTICIDE LISTS

RED

No	Name of active ingredient of pesticide	CAS number	Acute Toxicity			Known Carcinogens		
	The revised 4C RED List now contains 71 pesticides, of which 5 are coffee relevant.		WHO 1a	WHO 1b	H330	EPA	IARC	EU GHS
	COFFEE RELEVANT Pesticides							
1	Carbofuran	1563-66-2		x	x			
2	Paraquat dichloride	1910-42-5			x			
3	Terbufos	13071-79-9	x					
4	Triazophos	24017-47-8		x				
5	zeta-Cypermethrin	52315-07-8		x				
	OTHER Pesticides							
6	Acrolein	107-02-8		x	x			
7	Alpha-chlorohydrin	96-24-2		x				
8	Anthracene oil	90640-80-5						x
9	Arsenic and its compounds	7778-39-4				x	x	
10	Azinphos-ethyl	2642-71-9		x				
11	Beta-cyfluthrin; Cyfluthrin	68359-37-5		x	x			
12	Blasticidin-S	2079-00-7		x				
13	Brodifacoum	56073-10-0	x					
14	Bromadiolone	28772-56-7	x					
15	Bromethalin	63333-35-7	x					
16	Butoxycarboxim	34681-23-7		x				
17	Cadusafos	95465-99-9		x				
18	Carbosulfan	55285-14-8			x			
19	Chlorethoxyphos	54593-83-8	x					
20	Chlorfenvinphos	470-90-6		x				
21	Chlormephos	24934-91-6	x					
22	Chlorophacinone	3691-35-8	x					
23	Coumaphos	56-72-4		x				
24	Coumatetralyl	5836-29-3		x				
25	Demeton-S-methyl	919-86-8		x				
26	Dichlorvos; DDVP	62-73-7		x	x			
27	Dicrotophos	141-66-2		x				
28	Difenacoum	56073-07-5	x					
29	Difethialone	104653-34-1	x					
30	Dinoterb	1420-07-1		x				
31	Diphacinone	82-66-6	x					
32	Disulfoton	298-04-4	x					
33	Edifenphos	17109-49-8		x				
34	Epichlorohydrin	106-89-8						x

35	EPN	2104-64-5	x					
36	Ethiofencarb	29973-13-5		x				
37	Ethoprophos; Ethoprop	13194-48-4	x		x			
38	Famphur	52-85-7		x				
39	Fenamiphos	22224-92-6		x				
40	Fenchlorazole-ethyl	103112-35-2						x
41	Fentin acetate	900-95-8			x			
42	Fentin hydroxide	76-87-9			x			
43	Flocoumafen	90035-08-8	x		x			
44	Flucythrinate	70124-77-5		x				
45	Formaldehyde	50-00-0					x	
46	Formetanate	22259-30-9		x	x			
47	Furathiocarb	65907-30-4		x	x			
48	Heptenophos	23560-59-0		x				
49	Isoxathion	18854-01-8		x				
50	Mecarbam	2595-54-2		x				
51	Methidathion	950-37-8		x				
52	Methiocarb	2032-65-7		x				
53	Methomyl	16752-77-5		x				
54	Mevinphos	7786-34-7	x					
55	Nicotine	54-11-5		x				
56	Omethoate	1113-02-6		x				
57	Oxamyl	23135-22-0		x	x			
58	Oxydemeton-methyl	301-12-2		x				
59	Paraffin oils; mineral oils	9 separate CAS						x
60	Phorate	298-02-2	x					
61	Propetamphos	31218-83-4		x				
62	Sodium fluoroacetate (1080)	62-74-8	x		x			
63	Strychnine	57-24-9		x				
64	Sulfotep	3689-24-5	x					
65	Tebupirimifos	96182-53-5	x					
66	Tefluthrin	79538-32-2		x				
67	Thiofanox	39196-18-4		x				
68	Thiometon	640-15-3		x				
69	Vamidothion	2275-23-2		x				
70	Warfarin	81-81-2		x				
71	Zinc phosphide	1314-84-7		x				

The 4C Red List uses the following 4 hazard criteria in the PAN HHP List:

Acute toxicity for mammals, including humans:	'Extremely hazardous' WHO class 1a according to the World Health Organisation Recommended Classification of Pesticides by hazard; 'Highly hazardous' WHO class 1b according to the WHO Recommended Classification of Pesticides by hazard; 'Fatal if inhaled' H330 hazard statement according to the Globally Harmonized System (GHS) for classification and labelling of chemicals.
Cancer hazard:	The highest concern classifications, equivalent to 'known carcinogen', according to the US Environmental Protection Agency (EPA), the International Agency for Research on Cancer (IARC) and the Globally Harmonized System (GHS).

YELLOW

No	Name of active ingredient of pesticide	CAS number	Probable Carcinogens		Chronic Toxicity			Environmental Relevance				Acute Toxicity		Known Carcinogens			
	The revised 4C Yellow List now contains 82 pesticides, of which 19 are coffee relevant.		EP A	IARC	Muta	Repro	ED C	Bio acc	Very pers in water, soil or sediment	Very toxic to aquatic organisms	Toxic for bees	WHO 1a	WHO 1b	H330	EPA	IARC	EU GHS
	COFFEE RELEVANT Pesticides																
1	Abamectin	71751-41-2									x			x			
2	Aluminum phosphide	20859-73-8									x						
3	Carbaryl	63-25-2	x				x				x						
4	Carbendazim	10605-21-7			x	x	x										
5	Chlorantraniliprole	500008-45-7							x	x							
6	Chlorothalonil	1897-45-6	x											x			
7	Chlorpyrifos	2921-88-2									x						
8	Deltamethrin	52918-63-5					x				x						
9	Dimethoate	60-51-5					x				x						
10	Diuron	330-54-1	x				x										
11	Epoxiconazole	133855-98-8	x				x										
12	Fenitrothion	122-14-5					x				x						
13	Fipronil	120068-37-3									x						
14	Lambda-cyhalothrin	91465-08-6					x				x			x			
15	Malathion	121-75-5					x				x						
16	Mancozeb	8018 01 7	x				x										
17	Permethrin	52645-53-1	x				x										
18	Propargite	2312-35-8	x					x		x							
19	Thiamethoxam	153719-23-4									x						
	OTHER Pesticides																

20	Acephate	30560-19-1					x				x					
21	Amitrole	61-82-5					x		x							
22	Atrazine	1912-24-9					x									
23	Azafenidin	68049-83-2				x										
24	Azocyclotin	41083-11-8						x					x			
25	Bifenthrin	82657-04-3					x				x					
26	Borax; disodium tetraborate decahydrate	1303-96-4				x										
27	Boric acid	10043-35-3				x	x									
28	Bromoxynil	1689-84-5					x						x			
29	Chlorfenapyr	122453-73-0									x					
30	Chloropicrin	76-06-2											x			
31	Chlorotoluron	15545-48-9					x		x							
32	Clothianidin	210880-92-5									x					
33	Creosote	8001-58-9	x	x												x
34	Cyhalothrin, gamma	76703-62-3									x					
35	Cyhalothrin (not lambda)	68085-85-8									x					
36	Daminozide	1596-84-5	x													
37	Dimoxystrobin	149961-52-4					x			x						
38	Dinocap	39300-45-3				x										
39	Dinotefuran	165252-70-0									x					
40	Diquat dibromide	85-00-7												x		
41	Diquat dichloride	4032-26-2												x		
42	E-Phosphamidon	297-99-4									x					
43	Ethylene thiourea	96-45-7	x			x	x									
44	Fenbutatin-oxide	13356-08-6												x		
45	Fenoxycarb	72490-01-8	x				x				x					
46	Fenpropathrin	39515-41-8									x			x		
47	Fenthion	55-38-9									x					
48	Fenvalerate	51630-58-1					x				x					

49	Fluazifop-butyl	69806-50-4				x											
50	Flumioxazin	103361-09-7				x											
51	Flusilazole	85509-19-9				x			x								
52	Glufosinate-ammonium	77182-82-2				x											
53	Haloxypop-methyl; haloxypop	69806-40-2	x														
54	Imidacloprid	138261-41-3									x						
55	Linuron	330-55-2				x	x										
56	Magnesium phosphide	12057-74-8												x			
57	Methabenzthiazuron	18691-97-9							x		x						
58	Molinate	2212-67-1					x										
59	Nitrobenzene	98-95-3					x										
60	Phosphine	7803-51-2												x			
61	Picloram	1918 02 1					x		x								
62	Potasan	299-45-6												x			
63	Profoxydim	139001-49-3					x										
64	Propylene oxide	75-56-9			x												
65	Pyrazophos	13457-18-6									x						
66	Pyrazoxon	108-34-9												x			
67	Quizalofop-p-tefuryl	119738-06-6				x											
68	Resmethrin	10453-86-8	x				x				x						
69	Silafluofen	105024-66-6				x											
70	TCMTB	21564-17-0												x			
71	Tepaloxymid	149979-41-9					x										
72	Thiacloprid	111988-49-9	x														
73	Thiodicarb	59669-26-0	x								x						
74	Thiourea	62-56-6					x										
75	Tolylfluanid	731-27-1	x											x			
76	Trichlorfon	52-68-6					x				x						
77	Tridemorph	81412-43-3				x											
78	Trifluralin	1582-09-8					x	x									

79	Vinclozolin	50471-44-8				x	x									
80	Zineb	12122-67-7					x									
81	Ziram	137-30-4					x						x			
82	Z-phosphamidon	23783-98-4									x					

The 4C Yellow List uses the following hazard criteria in the PAN HHP List:

Cancer hazard:	The second highest concern classifications, equivalent to 'probable or likely carcinogen', according to the US Environmental Protection Agency (EPA), the International Agency for Research on Cancer (IARC) and the Globally Harmonized System (GHS)
Chronic health hazards:	Known mutagenic substances (MUT), according to the Globally Harmonized System (GHS). These are known to trigger mutations in human germ cells (eggs or sperm) which can be inherited by the children. Known or presumed human reproductive toxicants, (REPRO) according to the Globally Harmonized System (GHS). These substances can adversely affect human reproduction. Endocrine disruptors, (EDC) according to GHS and EU classifications. These substances can upset the hormone signalling systems in humans, with effects on normal development, growth, reproduction, metabolism and links to cancers of the reproductive organs.
Environmental hazards:	Very persistent in water, soil or sediment (=P), according to the Stockholm Convention. Very bio accumulative (=B), according to the Stockholm Convention. These substances build up in the food chain, affecting top level predators, including humans. Very toxic for aquatic organisms (=T), according to water flea toxicity threshold data used in the Pesticide Properties Database (University of Hertfordshire). Highly toxic for bees, according to toxicity threshold data of US Environmental Protection Agency. Note that to qualify in the PAN HHP List for environmental hazards, a pesticide must meet two of the three criteria for P/B/T and/or be highly toxic for bees.

Alignment criteria:

To ensure alignment with other standards, any pesticides which have 4C Red hazard criteria BUT which are not prohibited by 2 or more other standards are allocated to the 4C Yellow List. These pesticides are indicated in the columns "Acute Toxicity" and "Known Carcinogens". To see the details of their hazard criteria, please look at the PAN HHP List (June 2014 version).