

# 4C Units – Step by Step

## 1 Organization of a 4C Unit

- Study the 4C System (1)
- Define who will be responsible for the farmers group (2)
- Identify the other participants of the group (4C Unit), together with the farmers (3)
- Design the supply chain and flow of coffee within the 4C unit (4)
- Communicate to all business partners the sustainability concepts of the 4C system and their roles
- Obtain the acceptance of participation in the 4C Unit by all BPs (5)
- Make a diagnosis of the compliance level of all BPs to the 4C System (6)
- Confirm that no Unacceptable Practices of the 4C Code of Conduct exist in the 4C Unit
- Implement the principles of the 4C Code of Conduct within the 4C Unit
- Create an Internal Management System (IMS) for the 4C Unit and its related documents
- Implement the IMS within the 4C Unit (7)

## 2 Application for verification

- Fill in and prepare the application documents for verification (8)
- Send these documents to CAS (9)
- Receive CAS approval to the application (10)

## 3 Selection of verifier company

- Select a verifier company which is approved by CAS (11)
- Contact the verifier company
- Inform CAS of which verifier company was chosen

## 4 Validation of on-site verification by CAS

- CAS sends the approved application documents to the verifier company (12)
- CAS validates the Verification Plan prepared by the verifier company

## 5 On-site verification

- Receive validation from CAS to contract the verifier company
- Schedule the on site verification directly with the chosen verifier company
- Read the verification report, endorse it and send the signed declaration back to the verifier

## 6 Verification report evaluation by CAS

- CAS will evaluate the verification report and its annexes (13)

## 7 Decision on licensing

- Receive a decision on licensing from CAS (14)
- In case of a negative decision, restart from step 1 (15)

## 8 Continuous improvement

- Define and design the sustainability improvement actions according to the requirements of the 4C Code of Conduct and the IMS
- Write up a plan (16)
- Send the IP to CAS, in case this was requested by CAS at the moment of receiving a 4C license
- Implement the plan within the 4C Unit
- Measure the results and impact of the IP actions, and update the IP with this data
- If requested by CAS upon receiving a 4C License, prepare for the follow-up verification and restart from Step 2

## 9 Annual Update – Periodic monitoring (2 updates in a 3 year cycle)

- Send to CAS an updated set of documents (17)
- Receive CAS approval to the annual updated documents

## 10 Application for reverification (before the 3 year cycle ends)

- Begin from Step 2, or Step 1 if necessary (18)

## Notes

- 1 4C Code of Conduct, the Verification Regulations, the Commercial Guidelines, and the Communication Guidelines
- 2 Managing Entity (ME)
- 3 Business Partners (BP)
- 4 Organizational Chart (OC)
- 5 Mutual commitment is required and should be evidenced
- 6 Self-assessment
- 7 The basic level of IMS is accepted during the first cycle in the system (3 years). From then on, the intermediate level is required.
- 8 Templates for the Business Partner Map (BPM) and the Assessment Tool (AT) are available for download on CAS website. The Organizational Chart (OC) of the unit is created by the 4C Unit itself.
- 9 By e-mail to [info@cas-veri.com](mailto:info@cas-veri.com)
- 10 CAS communication with the ME is done by email: review of the documents, requests for adjustments, and the approval.
- 11 The List of Approved Verifiers is available on CAS website.
- 12 Based on these documents, the company will prepare the Verification Plan.
- 13 If necessary, CAS will contact the verifier and/or the unit in this phase, to obtain further details or clarifications.
- 14 The license decision is either positive or negative. A positive decision results in the issue of a 4C license, which is valid for 3 years, and may be subject to a follow-up verification at some point during the cycle. A negative decision results in no issue of license.
- 15 The 4C Unit can apply for a follow-up verification within 6 months of the date of negative decision, or for a new full verification after the 6-month period.
- 16 Improvement Plan (IP) to be updated regularly.
- 17 BPM, AT, OC, and additionally the IP in case it was requested by CAS at the time of receiving the license. The due date for each annual update is 12 months and 24 months after the license was issued.
- 18 The cycle begins again with the application for reverification.

Important: Compliance of each step is a pre-condition for the next one.