

### 3 Annex

#### 3.1 Workshop Agenda

EXPERT WORKSHOP  
PRACTICE STANDARDS AND PERFORMANCE CRITERIA (S&C) FOR THE  
SUSTAINABLE WILD COLLECTION  
OF MEDICINAL PLANTS

December 04-09, 2004, VILM GERMANY

#### 04 December 2004

Arrival

Welcome by BfN-INA and Steering Group

#### 05 December 2004 – day one

*Morning session*

##### ***Introductory Session***

Introduction to the agenda (G. NEVILLE)

Objectives of the workshop (S. HONNEF)

Background to the project, role of BfN, IUCN, WWF/TRAFFIC (U. SCHIPPMANN)

General questions concerning the development of the Standards & Criteria

##### ***Role and input of the Advisory Group to the development and implementation process***

The Advisory Group - (Terms of Reference, participating individuals and organisations, expertise and regional cover) (SUSANNE HONNEF)

Relevance of S&C to various stakeholders - Part 1

(each participant gives a short introduction of her-/himself, the relevance of S&C for her/his institution and potential input to the development of S&C (e.g. considering time, supporting networks, special expertise) and expectations of the workshop)

(ADVISORY GROUP MEMBERS AND OTHER PARTICIPANTS)

*Afternoon session*

Relevance of S&C to various stakeholders - Part 2

##### ***Standards and Certification - Lessons learnt from India and from FSC***

Chances and challenges of certification - Experiences from India (P. JAIN)

Standards development and setting – Experiences of FSC (S. SALVADOR)

## **06 December 2004 - day two**

### *Morning session*

#### ***General questions concerning the S&C project (contents, development, implementation)***

Discussion of issues arising from presentations and general questions

#### ***Introduction to the draft Standards & Criteria document***

Summary of previous day, clarification of workshop objective (D. LEAMAN)

Identification of key issues/questions and discussion of scope and objective of S&C

### *Afternoon session*

#### ***Discussion on key issues***

Discussion on central purpose/objective, contents and use and users of S&C

### *Evening session*

Further discussion on structure, contents and users of S&C in small groups

## **07 December 2004 - day three**

### *Morning session*

Presentation and discussion of results from evening working groups

Small working group sessions on S&C: Principles and new structure of S&C, inclusion of social and equity issues

### *Afternoon session*

#### ***Tour of the island***

Continued small working group sessions

Presentation and discussion of results

### *Evening session*

Continued presentation and discussion of results

## 08 December 2004 - day four

### *Morning session*

Continued presentation of results

### *Assessment of Standards & Criteria in test projects*

Introduction to the draft concept of assessments of the draft S&C in existing field projects  
(A. PFROMMER)

Introduction to content and scope of selected projects and the relevance of S&C

- Iracambi Medicinal Plants Project, Brazil (E. GALLIA)
- Medicinal and Aromatic Plants - Wild Collection and Sustainable Use, Bosnia-Herzegovina (R. ANDJELIC)
- Conservation and Sustainable Utilisation of Rhatany, Peru (M. WEIGEND)

Open time for questions/discussion

### *Afternoon session*

Small Working Group Sessions on testing methods and expected achievements of field test

Presentation and discussion of the results

Concluding Session

### *Evening session*

Farewell-Party

## 09 December 2004

Departure

### 3.2 List of participants

#### Expert workshop "Standards and Criteria for Medicinal Plants Collection"

December 04-09, 2004, INA Vilm, Germany

No.	Name	Institution	Country
1.	Andjelic, Radovan	Wild collection of medicinal and aromatic plants in Bosnia and Herzegovina (BiH) Association of MAP	Bosnia and Herzegovina
2.	Becerra, Maria Teresa	UNCTAD - BioTrade-Initiative Consultant	Switzerland
3.	Brinckmann, Josef	Traditional Medicinals Inc., California; UNCTAD Consultant	United States of America
4.	Buitron Cisneros, Ximena	Consultant	Ecuador
5.	Cliff, Olivia	National Institute of Medical Herbalists (NMIMH) London Community Herbalists, Secretary(LCH)	United Kingdom
6.	Dürbeck, Klaus	Consultant (representative for SIPPO)	Germany
7.	Fischer, Wiltrud	Bundesamt für Naturschutz Internationale Naturschutzakademie	Germany
8.	Prof. Dr. Franz, Chlodwig	Vienna University (Society for Medicinal Plant Research) Institut für Angewandte Botanik	Austria
9.	Gallia, Eleanor	Member of National Institute of Medical Herbalists Iracambi Medicinal Plants Project Brazil	United Kingdom
10.	Gasengayire, Francois	IDRC Sustainable Use of Biodiversity Program Officer	Kenya
11.	Honnef, Susanne	WWF/TRAFFIC Germany	Germany
12.	Jain, Pushp	Consultant for TRAFFIC and WWF India	India
13.	Jenal, Marcus	SIPPO (Swiss Import Promotion Programme)	Switzerland

<b>No.</b>	<b>Name</b>	<b>Institution</b>	<b>Country</b>
14.	Krafka, Oliver	Martin Bauer GmbH & Co KG	Germany
15.	Kutsch Lojenga, Rik	UNCTAD - BioTrade-Initiative BioTrade Facilitation Programme Programme Manager	Switzerland
16.	Dr. Lange, Dagmar	University of Landau, Germany Institute for Natural Sciences Section Biology	Germany
17.	Dr. Leaman, Danna	MPSG IUCN Canada	Canada
18.	McGuffin, Michael	AHPA (American Herbal Products Ass.)	United States of America
19.	Müller, Silvia	IMO-Institute for Market Ecology, Switzerland	Germany
20.	Neville, Gerry	Consultant	France
21.	Pätzold, Britta	WWF/TRAFFIC Germany	Germany
22.	Pfrommer, Albrecht	Consultant	Germany
23.	Reh, Klaus	BfArM (EMA committee on herbal medicinal products)	Germany
24.	Salvador, Stefan	Consultant	Germany
25.	Dr. Schippmann, Uwe	Bundesamt für Naturschutz	Germany
26.	Shankar, Darshan	FRLHT-Foundation for Revitalisation of Local Health, Traditios India	India
27.	Dr. Steinhoff, Barbara	WSMI (World Self-Medication Industry); BAH (German Medicines Manufacturers' Association)	Germany
28.	Dr. Weigend, Maximilian	Botconsult GmbH	Germany

### 3.3 Biographies of participants

**Name:** Maria Teresa Becerra Ramirez (Colombian)

**Introduction:**

Biologist (MSc Ecology). I am working for the BioTrade Initiative of the United Nations Conference on Trade and Development (UNCTAD). Currently, I am responsible for issues (e.g. methodological approaches, technical assistance to partners) related to sustainable use and conservation in the context of value chains of biodiversity-based products.

**Professional background:**

I have been involved in the formulation and implementation processes of the National BioTrade Programme of Colombia. As coordinator of the enterprise development module, I have been providing assistance to communities and enterprises in the involvement of conservation and sustainable use criteria (management plans, good practices, quality standards, among others). I have also been involved in the process of support and strengthening of value chains (bamboo, Amazon fruits and medicinal plants), and supported the development of community-based enterprises. Finally, I have been part of the FSC working group in Colombia that developed the principles and criteria for bamboo.

**Relevance of S&C for your work/institution:**

BioTrade Initiative UNCTAD and National BioTrade Programmes have been working in the development and implementation of BioTrade principles and criteria, as a tool to support the development of biodiversity-based enterprises. Based on the work developed in Andean countries to promote sustainable trade of medicinal plants, UNCTAD and partners have identified the need for the development of applicable guidelines and standards to ensure the sustainable use of medicinal plants. Taking this into account, the engagement of S&C for MAPs would be very useful and applicable at enterprise level.

**Potential input to the process:**

UNCTAD is willing to contribute to the process by making available relevant expertise and the experiences it has obtained together with partners. UNCTAD will be consulting partners involved in MAP process (specialised Government entities, NGOs, private sector associations, local communities, BioTrade National Programmes) on the proposed S&C (note: this will not be an official UNCTAD consultation process). UNCTAD would also be interested in the testing of the S&C and related tools.

**Expectations from the process:**

Specific results applicable at local level, in a manner that do not impose a barrier in the market.

**Name:** Josef Brinckmann

**Introduction:**

I serve as Vice President of Research and Development for Traditional Medicinals Inc. (founded 1974), a manufacturer and marketer of traditional herbal medicinal products for the USA and Canadian markets. Since 2002, also serving as Consultant on Market Intelligence for Medicinal Plants for the International Trade Centre (ITC) of UNCTAD, I produce the quarterly Market News Service (MNS) for Medicinal Plants & Extracts. I am also a contributing writer for the HerbalGram Journal of the American Botanical Council (ABC) and I serve on the editorial board of the Journal of Alternative and Complementary Medicine (JACM). I am a member of the American Herbal Products Association (AHPA) Botanical Raw Materials Committee and also a participant at the Kunming meeting revision of the WHO/IUCN/WWF/TRAFFIC Guidelines.

**Professional background:**

Since 1979, I have worked in the medicinal plant trade including with American companies that manufacturer finished medicinal herbal products (e.g. Traditional Medicinals, California), a certified organic medicinal herb farm (Trout Lake Farm, Washington) that was also involved with some wild collection, a medicinal herbal extraction house (East Herb Herb, Oregon) that was also involved with cultivation and wild collection, as well as work in the community clinic of a college of Traditional Chinese Medicine with a medicinal herbal pharmacy (American College of Traditional Chinese Medicine, California).

**Relevance of S&C for your work/institution:**

Traditional Medicinals is committed to sourcing herbal ingredients that not only meet pharmacopoeial standards for quality but those that also have meaningful certifications for their production corresponding to some sustainability criterion. Years ago, we were the first herbal tea company in the USA to obtain organic handler and processing certification. The largest quantity of herbs that we source for our products are certified organic and cultivated, however some are certified organic wild collected. For all of the wild collected herbs, our goal is to obtain these with a meaningful certification demonstrating verifiable sustainable harvest practices. We are also interested in fair trade type standards for the herbal ingredients we purchase and we are members of Trans Fair Canada and Trans Fair USA. The company demonstrates its commitments to sustainability in other ways as well, for example by its support and membership in herbal conservation organizations such as the United Plant Savers (UpS), among other organizations, running the manufacturing plant electricity on wind energy credits ("green tags"), waste reduction practices (the company has been awarded the California WRAP (Waste Reduction Award Program) award annually since 1997), and all company cars being hybrid technology, among many other examples.

**Potential input to the process:**

In my role at Traditional Medicinals, I am encouraged to volunteer my time for relevant committee or advisory group activities for certain non-profits and/or NGOs. The company will cover my labor costs while participating in meetings or workshops and also allows some time at the office for review and comment on document drafts. I am prepared to continue reviewing and commenting on subsequent drafts and attend other meetings when possible.

**Expectations from the process:**

I sincerely hope that we can find the common ground necessary to start a process that will eventually lead to the publication of meaningful standards that can be implemented by the companies, communities and enterprises involved with wild collection and supported by certifiers, conservationists, industry and regulators. This may take years in reality to accomplish but that is to be expected. I believe that the market may possibly be ready to support this necessary direction.

**Name:** Ximena Buitron

**Introduction:**

Ecuadorian Biologist. Actually working as a consultant for EcoCiencia, an Ecuadorian Foundation for Ecological Studies, which is one of the partners and co-ordinators of the Biotrade Initiative Program in Ecuador and of the Biotrade Facilitation Program. The consultancy addresses the selection of 5 priority Ecuadorian species for natural ingredients for pharmaceutical, food and cosmetic industries. The selection will be based in biological, management and use information available, identifying communities, organisations and companies using these species and co-ordinate the development of key studies to estimate their ecological and management potential for markets. Sustainable social and ecological criteria will be taken into account as well as market and financial ones.

**Professional background:**

Working in MAPs and conservation since 1996. Programme officer for Flora and CITES Issues for TRAFFIC Network, specifically for TRAFFIC South America regional office in Quito-Ecuador. Coordinator of MAPs projects in Colombia, Ecuador, Brazil, Bolivia, Peru and Venezuela. The projects addressed MAPs trade monitoring including regulations, controls, dynamics, sectors involved, conservation among other related issues. Main products included documentation and information to a wide audience for a better understanding of trade and impacts, organisation of workshops bringing together stakeholders involved (government, health institutions, industry, environment and academy sectors, communities) to discuss common problems, concerns, and to set priorities for policy, regulations, research and conservation.

Awareness was increased as well as importance to address the issue as a priority one in different sectors Agendas and interested groups.

**Relevance of S&C for your work/institution:**

Most of the species that were preselected are already wild harvested and traded. The aim of the Program is to promote sustainable use and trade, so the S & C will be a crucial tool to guarantee sustainable sources. In general, not only for the institution or for the Biotrade Programme but widely at a national and regional levels S & C will help to promote sustainability. It is an issue that has been discussed and requested as an urgent need by several sectors and in several meetings world wide.

**Potential input to the process:**

Through the Biotrade program and the EcoCiencia project we can promote and disseminate information on the S & C project, the process and the product and further try to implement this tool within the current projects and with sectors working in the field.

There are several events, meetings planned for 2005 related to Botanical and conservation themes and we can take the opportunity to participate and promote the S & C.

We can also provide contacts and expertise from stakeholders working with us and in the field and other contacts including decision makers to support and adopt the process and bring their perspective and expertise to the process.

**Expectations from the process:**

I expect that S & C can be a tool that sets clear rules and basis for sustainable harvest, that it can be adapted to local realities and can be implemented everywhere. I hope that this tool will be adopted or supported by interested groups or sectors which can promote capacity building for implementing the process from their areas of expertise.

**Name:** Olivia Cliff

**Introduction:**

Medical Herbalist, Member of the National Institute of Medical Herbalists (NMIMH), Secretary and of London Community Herbalists (LCH).

**Professional background:**

BSc(hons) Herbal Medicine 1995 – 1999.

Professional practice 2000 – today.

Founder member of LCH, of whom I am presently Secretary. The current project I am involved in is building an international roof garden at North Harringay Junior School, London. Emphasis of project is education, community involvement and ethnobotanical research into medicinal plants. The later is linked to concurrent projects run by the NIMH and the Natural History Museum.

Traditional Neolithic woodland management, West Woods, Thaxted, Essex, UK. This is a sustainable and mutually beneficial process of working in symbiosis with the surrounding environment which has been in existence for over 5000 years. The site is home to oxslips and a variety of orchids and is a triple SSSI. The coppiced wood is utilised into a variety of commercially viable products such as fence posts and hurdles.

Africa 11/02 – 04/04

Living and studying with a Sangorma, a Traditional Zulu Healer, KwaZulu-Natal, South Africa.

Working on a Medicinal Plant Conservation project, Kamburg, KwaZulu-Natal, South Africa. A medicinal plant nursery and an educational centre set up and run by Dr Elliot Ndlovu, a Traditional Zulu Injanga (herbalist). There is an ongoing program of growing and re-establishing populations of medicinal plants in the wild. This is combined with educating local children about traditional Zulu Medicine, plant identification and the importance of conservation and care in wild crafting. This project was established to counteract the loss of availability and biodiversity of traditional medicinal plants due to over harvesting.

Medical Person on an independant aid mission into Angola.

I also have experience of propagating and distributing medicinal and aromatic herbs on a herb farm within the UK.

**Relevance of S&C for your work/institution:**

As a Medical Herbalist Practitioner the conservation of medicinal plants is a matter of paramount importance to me for the following reasons:

- The biodiversity and species survival of the plants themselves.
- The desire to provide my patients with ethically sourced medicine.
- The knowledge and experience that Traditional Healers around the world rely on wild-crafted medicinal plants as a source of food and medicine.

My professional institute, the NIMH, is presently considering including ethically sustainably sourced herbs and herbal products into our Code of Ethics.

**Potential input to the process:**

A representation of a Practitioner perspective on Medicinal Plants.

An understanding, bilingual ability and a bridge connecting the different paradimes that exist between the Pharmaceutical system of medicine and Traditional Healers.

**Name:** Eleanor Gallia

**Introduction:**

Medical Herbalist, Member of National Institute of Medical Herbalists (NIMH), Member of the Professional Ethics Working Group of NIMH, (PEWG) Co-ordinator of NIMH programme for sustainable sourcing

Founder and consultant medical herbalist for Iracambi Medicinal Plants Project, Atlantic Forest, Brazil.

**Professional background:**

MA Honours degree in English Literature. **Herbal Apprenticeship** 1994- 1999 under Napiers Herbal Dispensary (Edinburgh established 1860) Balanced the academic nature of this training with hands on experience working with “native bush medicine” and on herb farms in New Zealand and on the establishment of indigenous medicine physic gardens in Scotland

Qualified as Medical Herbalist in 2001 and set up **Nether Cerne Herbs** clinic and dispensary in Dorset. As a practicing herbalist I wildcraft 50% of the herbs that I use in the clinic, preparing them into fresh herb tinctures, drying them and preparing oils and creams for use in prescriptions. I gather these herbs from the woodlands, riverbanks and hillside surrounding the farm where I live in Dorset.

First contact with **Iracambi Forest Conservation and Research Centre, Brazil 1991**. Returned 1999 to set up project for the sustainable development of medicinal plants of forest as economically viable alternative to forest clearing / cash cropping. Following ethno botanical, ecological and basic market research, **Iracambi Medicinal Plants Programme** collects seeds and cuttings of selected medicinal plant species from wild and propagates them before re-planting them in secondary forest. Once matured these plants are sustainably harvested and prepared in the forest laboratory into “sustainably harvested herbal products”. Ongoing research into maximum sustainable yields shows optimum levels of harvest. For this project to be adopted by local farmers and developed into a rural co-operative, there needs to be sufficient **market awareness** for the need of sustainable harvesting.

For this reason I have been working within the National Institute of Medical Herbalists in the Professional Ethics Working Group looking at the sourcing of herbs. Is it sustainable? Within my position as NIMH representative for sustainability I have been encouraging the prioritisation of endorsements of herbal processes over herbal products. Deeper research into these questions led me to involvement with the revision of the Guidelines of Conservation of Medicinal Plants in Kunming this year and thence to the Standards and Criteria workshop here on the Isle of Vilm.

**Relevance of S&C for your work/institution:**

**NIMH:** We are looking to include guidelines for “sustainable sourcing” within the NIMH code of ethics. This requires there to be standards of sustainability within the market, so herbalists can put pressure on the traders.

**Iracambi:** Iracambi is a conservation project looking to make the conservation of the forest more attractive than its destruction. This depends on the economic viability of sustainable harvesting, a myth for which standards could prove a grounding reality. To expand into a rural co-operative there needs to be assurance that the placing of market worth on medicinal plant species does not result in the eradication of this species through zealous over-harvesting. The need to promote a market for “sustainably produced indigenous herbs” depends very much on the guarantee of sustainability and for standards to be applied that assure the translation of this environmental diligence to the market place.

**Potential input to the process:**

On the ground experience of herb collecting in the wild both as a medical herbalist and with experience in Atlantic Forest gives an earthy insight into the workshop, which, I hope, can balance the theoretical nature of the standards. I am honoured to that Iracambi is being considered as a test project and know that the implementation of the standards there will give

very real testing for the more "vulnerable" of projects to be encountered. For example the need for a pre-assessment stage has already been made clear. There is much work to be done for a small project to prepare for the assessments and I greatly look forward to this work!

**Expectations from the process:**

Vilm: To find a common language shared by the various spokespeople gathered here this week. To hear the emergence of a voice that unites the various stakeholders throughout the world of herbal medicine.

Iracambi: To highlight the gaps to date in the project, eg. Legislations that are not yet thoroughly researched and put in place. Links in the supply chain. The pre-assessment stage will, I hope, ensure the ticking of these empty boxes. I very much hope there will be support available through this. Ximena has kindly offered to come and guide parts of this process! I hope very much that this will be possible.

NIMH: To show to NIMH at the conference on sustainability next April that there IS work underway to connect the end market (herbalists) with the plants upon which we depend. The process thus far has highlighted to me the various hidden steps of industry and trade and business, each of which needs to be understood if we are ever to achieve transparency, the vehicle of sustainability, in the market chain.

THANKYOU for inviting me to be part of this process!

**Name:** Pushp Jain

**Introduction & Professional background:**

I am basically a naturalist, associated with the conservation movement in India for at least more than 15 years. During these years I have been constantly associated with WWF and the TRAFFIC family, implementing one or the other project. Besides, I have been consultant to the Ministry of Environment and Forests, Project Tiger and Wildlife Institute of India - all governmental organizations; e.g. Rufford Foundation, London and the Canadian agency, International Development and Research Centre, to name a few.

I have a special interest in conservation of medicinal plants and development of this sector. From 1996 till 2001, I was involved in the implementation of medicinal plant projects with TRAFFIC India supported by CITES and the German Government (BMZ) etc. through TRAFFIC International, promoting and facilitating sustainability of medicinal plant resources. During the course of research I had the opportunity to look closely at the wild resources and their status, cultivation, regulation and trade. I am co-author for two reference books, 'Cultivation of Medicinal Plant in India – A Reference Book' and 'CITES Listed Medicinal Plants of India - Identification Manual'. I guided the book 'Regulation of collection, transit and trade in medicinal plants and other NTFP in India.'

I did extensive research for a project of the Ministry of Environment and Forests, Government of India, on India's role in CITES on the occasion of 25 years of CITES, which was published as 'CITES & India'.

In 2003, I drafted a policy for medicinal plants for Uttaranchal State of India, with the support of the Canadian agency, International Development and Research Centre.

I did research for a project with TRAFFIC International, supported by the Rufford Foundation, which is directly relevant to the subject of this workshop. It was looking into the potential of certification of MAP for sustainability in India. This work was completed in August 2003. The report "Certifying Certification: Can Certification Secure a Sustainable Future for Medicinal Plants, Harvesters and Consumers in India?" has since been electronically published by TRAFFIC in its Online Report Series.

I love to work with communities in the field. With the support of WWF India, I am implementing a pilot project of facilitating cultivation of two endangered high altitude medicinal plants in the Himalayas for last two and half year.

I have initiated two more projects in 2004 - "Strengthening Traditional Forest Management Institution of the Communities (Van Panchayat) for Biodiversity Conservation in the Himalayas" supported by Rufford Foundation, and "From the grassroots to the policy maker - Facilitating stakeholder dialogues" supported by National Medicinal Plant Board, Government of India, in collaboration with Mr Manoj Misra, a retired forester.

I remain dedicated to the cause of conservation of medicinal plants and the development of the MAP sector.

**Relevance of S&C for your work/institution:**

I am associated with WWF and TRAFFIC, who happen to be part of the Steering Group for the development of the Standards. I have worked myself on certification aspect of medicinal plants and would like to continue to carry on the work.

**Potential input to the process:**

Act as an ambassador for gathering reaction to the draft standard.

**Expectations from the process:**

Simplification of Standards to go for regional/national consultation and field testing

**Name:** Marcus Jenal

**Introduction:**

Working as a trainee for SIPPO (Swiss Import Promotion Programme) for 8 month. Being here on behalf of Franziska Staubli.

**Professional background:**

Student of Environmental Sciences at ETH Zurich.

**Relevance of S&C for your work/institution:**

We have several companies we try to support for sustainable wild collection of MAP. If we can include our practical experience in this Standard Paper they become more feasible and applicable for the companies in terms of implementation.

**Potential input to the process:**

Experience of our current MAP Projects (together with IMO/Klaus Dürbeck) might give some practical inputs. Try to focus the standard in a way that it remains simple, feasible and applicable for companies in emerging markets.

**Expectations from the process:**

SIPPO wants to include expertise in technology development as well as creating collectors manuals, plant monographs and product documentation into the process to get a bigger audience and to reach a critical mass. SIPPO sees itself in a leading position in developing AND implementing guidelines for sustainable collection of medicinal and aromatic plants. We support companies in Eastern Europe, Latin-America, Africa and Asia. We hope to contribute to the process of sustainable use of MAP and NTFP in developing countries and its marketing potential in industrialized countries.

**Name:** Oliver Krafka

**Introduction:**

Agronomist at the Martin Bauer Holding in Vestenbergsgreuth (Germany). The Martin Bauer Holding was founded in 1930 and is a industrial processor and producer of fruit teas and herbal teas as well as of extracts for food and pharmaceutical use.

**Professional background:**

University degree in agriculture, working at the Martin Bauer company in Vestenbergsgreuth (Germany) in the department for cultivation and plant breeding which is a part of purchase department. Mainly responsible for domestication and cultivation of medicinal and aromatic plants from conventional as well as organic production. An important aspect of work is to improve the quality of the cultivated products by increasing of active components (essential oils or others), minimizing or avoiding pesticide residues, reducing microbes counts as well as Aflatoxines or heavy metals.

**Relevance of S&C for your work/institution:**

The Martin Bauer company buys dried aromatic and medicinal plants from many countries in the world. About 80 % of the herbal raw material come from cultivation and about 20 % from wild collection. Sustainable use of MAP is very important for Martin Bauer because the company wants to ensure a long term availability of MAP in order to have save sources of high quality products.

**Potential input to the process:**

Knowledge about production chain and mechanism in the market of herbal raw materials;  
Background of cultivation and wild collecting projects in many countries of the world.

**Expectations from the process:**

The first draft of the “Standards for sustainable wild collection of medicinal and aromatic plants” is a complicated and overloaded document which is not easy to understand especially for the people in the origin of MAPs. Furthermore this standards make the industries responsible to solve social problems which industries cannot solve. To solve these problems governments of the countries in which the MAPs are collected or the local communities should be responsible. Besides this the standards should concentrate on sustainable wild collection. Aspects e.g. based on the ideas of “Fair Trade” should carefully adopted to avoid that the standards will be too complex and impracticable because of missing tools to implement this ideas in an acceptable manner.

Finally the target should be to get practicable standards for sustainable use of MAP which are clear and easy to understand from all participants of the production chain.

**Name:** Rik Kutsch Lojenga (Netherlands)

**Introduction:**

Economist (business administration, environment & development). I have been working for BioTrade Initiative of the United Nations Conference on Trade and Development (UNCTAD) since 1997. I am currently the Programme Manager of the BioTrade Facilitation Programme (part of the BioTrade Initiative), which is a partnership between various organisations focusing on trade facilitation and export promotion. This partnership includes countries in Latin America, Africa and Asia and organisations such as Swiss Import Promotion Programme (SIPPO) and Dutch Centre for the Promotion of Imports (CBI).

**Professional background:**

I have been involved in the provision of assistance to developing country governments to develop programmes that promote SME development (UNCTAD's EMPRETEC programme) in El Salvador, Guatemala, Panama, Ethiopia and Uganda. I have also been working on the establishment of programmes that promote trade of natural products in support of sustainable use of biodiversity (under the BioTrade Initiative), including for example Bolivia, Brazil, Colombia, Costa Rica, Ecuador, Peru, Uganda, Venezuela. Programmes (being) developed include for example: National BioTrade Programmes, Andean and Amazonian BioTrade Programmes and the BioTrade Facilitation Programme.

**Relevance of S&C of your work/institutions:**

UNCTAD, together with other national and international partners, is promoting sustainable trade in MAPs with the aim of biodiversity conservation and poverty alleviation. In various countries a value chain approach is being adopted in which all aspects of the MAPs trade are being addressed (including legislation, export promotion, SME strengthening, promotion of applied R&D, strengthening of producer and exporters associations and inclusion of sustainable use principles and criteria in the collection and harvest processes). UNCTAD and partners are interested in and developing practical tools that collectors/enterprises/etc can apply. In order to facilitate the adoption of the latter, widely agreed S&C for MAPs would be very useful.

**Potential input to the process:**

UNCTAD is willing to contribute to the process by making available relevant expertise and the experiences it has obtained together with partners. UNCTAD will be consulting partners involved in MAP process (specialised Government entities, NGOs, private sector associations, local communities, BioTrade National Programmes) on the proposed S&C (note: this will not be an official UNCTAD consultation process). UNCTAD would also be interested in the testing of the S&C and related tools.

**Expectations:** A process that leads to practical and widely applicable tools for wild collection which are applicable at the lowest possible level (collectors, local purchasers) and can be adopted by actors higher up in the chain.

**Name:** Dr. Dagmar Lange

**Introduction:**

Currently working as a scientist and lecturer at the University Koblenz-Landau in Landau in the southwest of Germany.

**Professional background:**

Biologist specialized in botany; doctoral thesis in taxonomy, doing research on grass systematics; since 1994 working as a consultant in the medicinal plants trade mainly on behalf of BfN, Germany, and WWF/TRAFFIC Germany, Europe and International, and FAH, Germany; the work includes:

- market analyses, above all in European countries, in particular in Germany;
- compiling and analysing trade figures of botanicals in international trade;
- investigation of selected (threatened) MAP species, for example *Adonis vernalis*, *Arnica montana*, *Panax ginseng* and *Arctostaphylos uva-ursi*; investigations include compiling and analysing biological features, the different aspects of use and trade and recommendations to avoid threatening and for sustainably use;
- development of training materials for CITES-listed MAP species, and training of Customs officers and others in this issues;
- involved in researches in the project “rapid resource assessment”.

**Relevance for S&C for your work/institution:**

- in the frame of investigations of selected MAP species, in particular in the assessment whether wild-collection of the relevant species are sustainable or not;
- in the frame of the research project “rapid resource assessment”, as this is a very important part of the S&C, in particular in the Standard “Assessment”;

**Potential input to the process:**

- during the developing phase of the S&C my experiences in the investigations in the area of selected MAP species, and my experiences in field research of MAP species in European countries and Russia may be helpful;
- in the testing phase of the S&C, my experiences in the rapid resource assessment field may be of interest;

**Expectations from the process:**

Finally, I expect a framework of S&C which can be easily used, may be applied in all countries and for all purposes, for a sustainability assessment of MAP species and of areas of MAP collection, and is as detailed as possible and as general as necessary.

**Name:** Michael McGuffin

**Professional background:**

I have been involved in some aspect of the trade in herbs and herbal products since 1974. My experience includes the retail sector and manufacturing and marketing, as well as industry governance. As a manufacturer I had significant experience as a buyer of wild harvested herbal raw materials. I was also involved for several years in planning and financing a project for converting the manufacturing company's supply of goldenseal (*Hydrastis canadensis*) from wild-harvested to cultivated.

I am currently the president of the American Herbal Products Association (AHPA). >AHPA is a trade association that represents the interests of the herb industry in the United States. I also serve as the chair of the Industry Committee of the Medicinal Plants Working Group of the Plant Conservation Alliance and as a member of the board of United Plant Savers.

I am the managing editor of two books related to herbs, *Botanical Safety Handbook* and *Herbs of Commerce*, 2<sup>nd</sup> edition. I am presently working on a text that will serve as a primer for U.S. importers and exporters of CITES listed species used in herbal products.

**Relevance of S&C for your work/institution:**

In my work with AHPA I represent companies that harvest wild plants in the United States, and with manufacturers who use wild-harvested plants from around the world in their products.

**Potential input to the process:**

Much of my professional experience provides a background that is relevant to this process. Also, my U.S. contacts, both through AHPA and the Medicinal Plants WG may provide me opportunities to serve as an "ambassador" for the project in the U.S.

**Expectations from the process:**

I have no specific expectations for this process at this time. I do believe, however, that the development of meaningful standards and criteria for collection of wild medicinal plants is inevitable.

**Name:** Silvia Müller

**Professional background:**

Environmental scientist, working for IMO, international certifier (mainly organic agriculture but also FSC, Eco Textile, etc) responsible for organic certification of wild collection, generally certification in Eastern Europe and China

**Relevance of S&C for your work/institution:**

Organic standard is very vague about the aspect of wild collection and there are different organic standards (EU, NOP, JAS, Private labels). So it would be very welcome to get a harmonised standard which defines what sustainable harvest of wild collection implies and how this can be implemented and audited.

**Potential input to the process:**

Practical experience in certifying wild collection projects according to organic rules.

Pilot projects in BiH, a country where legal structures are largely missing and during to the recent war also social structures have changed and are still unstable.

Practical experience of writing a Guidance manual how to implement the requirements of organic wild collection.

Provide project ideas for testing phase and help with the actual testing in the field.

Development of an actual audit or control program eventually leading to a certification scheme.

International network of certification personnel and local experts

**Expectations from the process:**

Concrete standards which are easy to understand and are theoretically implementable for every project regardless of legal and economic situation of a country.

Name: Albrecht Pfrommer

**Introduction:**

I am a consultant in the field of international conservation and of communication of scientific results. I have been in contact with WWF/TRAFFIC office in Frankfurt in order to assist in the field-testing of standards and criteria.

**Professional background:**

Biologist with training in tropical ecology and conservation. A total of five years of field experience in Ecuador. Contract as local expert in the agro-forestry project PROFORS, GTZ - INEFAN (now Ministry of Environment of Ecuador), working for the project component that dealt with the management of the Cuyabeno Wildlife Reserve. Developing methods for measuring and monitoring the impact of tourism activities on wild animal populations. Working with reserve authorities, tourism enterprises and communities in order to improve tourism management and to find minimum standards for operation and for behaviour of guided tours. Scientific research in the same area on seed dispersal of tropical trees. Co-operation with a Ecuadorian University.

**Relevance of S&C for your work/institution:**

One of my focal interests is different ways of sustainable use of natural resources and the connection with conservation of natural areas. I would like to broaden my field of activities to the MAP wild sourcing topic because this branch of resource use is already of great importance and has even more potential for the future.

**Potential input to the process:**

I offer my ecological expertise to make sure that standards make biologically sense. Seeing many parallels with using natural areas for eco-tourism, I think that I can transfer my theoretical and practical experience from the field to the efforts in making plant collection more sustainable. Good knowledge of the Andean and Western-Amazonian regions, being fluent in Spanish and having a ground experience with indigenous communities are a basis for working together with projects in the field in the process of adapting and improving standards and criteria.

**Expectations from the process:**

I hope that we will start creating a leading standard for sustainable collection of plants from the wild that can serve one day as a basis for a certification scheme which becomes at least as prestigious as FSC. I hope that many stakeholders are going to get involved and will prove that sustainability can be reality and not a claim only. Furthermore, I expect that the mere process of developing standards might raise public awareness of the wild sourcing topic and of the amount of natural ingredients that are already in a large number of products used every day. I believe that this is not recognised by the public.

**Name:** Stefan Salvador

**Professional background:**

University degree in Forestry Science, 4 years working as coordinator/executive manager for FSC Germany, with a focus on standard development and public relations; 1½ years working as Trademark Officer for FSC International with a focus on quality management in terms of trademark protection.

**Relevance of S&C for your work/institution:**

For FSC the S&C are relevant primarily in the context of NTFP certification, where a draft policy exists. Some Latin American National FSC Initiatives have issued detailed standards on NTFPs.

**Potential input to the process:**

Experience in standard development (resource management) as well as in issues of tracing certified products through the value chain. Finally, expertise on labelling issues.

**Expectations from the process:**

- Determination of appropriate structure of the standards (hierarchy of and relationship between standards, as well as between principles and criteria)
- Identification of gaps in the standards
- Formulation of questions that have to be answered in order to make standards applicable

**Name:** Darshan Shankar

**Introduction:**

Director of a foundation for revitalisation of traditional medicine, in India, that has demonstrated an effective concern for conservation of medicinal plants by designing and implementing an insitu MAPs conservation program which is probably the largest and most comprehensive one in the tropical world.

**Professional background:**

1973-1980: Cordinator of an inter-disciplinary centre for research on development, university of Bombay.

1980-82: Research fellow, united nations university, Tokyo.

1980-1992: Director of a grass-root NGO engaged in revitalisation of tribal health tradition

1993-2004: Director of FRLHT, Bangalore.

Norman Borlaug Award, 1998, Equator Initiative Prize, 2002, Columbia University, N.Y. Award for international leadership in traditional medicine.

**Relevance of S&C for your work/institution:**

They will help FRLHT to apply them in the context of its ongoing conservation initiatives.

**Potential input to the process:**

Widening the consultation process

Field testing

**Expectations from the process:**

Should fructify in a form that can be field-tested

**Name:** Dr. Barbara Steinhoff

**Introduction:**

World Self-Medication Industry (WSMI), German Medicines Manufacturers' Association (BAH)

**Professional background:**

Barbara Steinhoff studied pharmacy at the University of Bonn from 1978 to 1982 and received her doctor's degree after working on isolation and structure of tannins in brown algae at the Institute for Pharmacognosy in Bonn. Following several years in industry she joined the BAH in Bonn in 1990, where she concentrates especially on herbal medicinal products and questions arising from the Drug Law, also in the international field.

**Relevance of S&C for your work/institution:**

WSMI, the World Self-Medication Industry, is a federation of 51 member associations representing manufacturers and distributors of non-prescription medicines on all continents. WSMI is therefore highly interested in all questions related to medicinal plants as a raw material of high and consistent quality taking into consideration all existing legal requirements in order to ensure the future supply of medicinal products with proven quality, safety and efficacy.

**Potential input to the process:**

WSMI is an organization already involved in many WHO projects on traditional medicine. Regarding the sustainable use of medicinal and aromatic plants, the intention of industry is e.g. to ensure future supply of raw materials of good quality and to guarantee availability of herbal medicinal products as an important part of self-medication worldwide. For industry, however, there are several problems of practical implementation of standards and criteria due to the very complex trade chains. For example manufacturers of herbal medicinal products in many cases do not source raw herbs but buy extracts; mixtures of plant material from different geographical origins are used, or different batches of extracts are blended. Several manufacturers as well as suppliers, wholesalers, traders, local buyers are involved in this chain which leads to difficulties in traceability and documentation. Thus it is hardly possible for industry to be responsible for steps that it cannot fully control. However, WSMI is willing to contribute to the process of drafting standards and criteria by motivating member companies to utilize ecological and sustainable collection methods as far as possible. The German BAH / FAH industry initiative has developed a proposal for an SOP for audits of cultivation and wild crafting which was published in Journal of Herbs, Spices & Medicinal Plants 2003;10(3):109-125.

**Expectations from the process:**

WSMI is looking forward to a constructive discussion on issues related to sustainability and nature protection.

**Name:** Maximilian Weigend

**Professional background:**

Geschäftsführer botconsult GmbH, Botanische Industrieberatung, Wissenschaftlicher Mitarbeiter at the Institut für Biologie – Systematische Botanik und Pflanzengeographie, Freie Universität Berlin, working in systematic and applied botany, phytogeography, phylogeny and ecology, domestication and plant resource issues.

**Relevance of S&C for your work/institution:**

I work directly with the development of a sustainability strategy both at a local and a national level in Peru, and am interested in expanding in the area of the development of (biological) sustainability strategies.

**Potential input to the process:** Wide range of experience with systematic botany in various countries, and thus much experience with species-specific conservation and sustainability needs, respectively tools for the investigation of ecological questions. Also experience with the domestication of wild plants for industrial purposes. Hope to provide some type of biological “grounding” for the development of standards and criteria.

**Expectations from the process:**

Hope to help harnessing commerce to the purposes of conservation via responsible resource management (i.e., fair, sustainable wild collection) **in its own interest**. Hope to be able to translate crucial points of this discussion both in my scientific and commercial projects, but also in teaching at university (current problems in systematic botany, economic botany, etc.).

### 3.4 Advisory Group – Expertise

Name	Professional Expertise <sup>1</sup>						Geographic Expertise / Experience					
	RM	SC	PC	ERB	STS	Others	Europe	Asia	North America	South & Central America	Africa	Oceania
Alan Hamilton	X	X					X	X			X	
Alan Pierce	X	X	X		X				X			
Albrecht Pfrommer	X					Measuring and monitoring impacts				X		
Barbara Steinhoff			X			Legal regulation	X					
Dagmar Lange		X	X			CITES MAP issues, trade statistics	X	X (temp. Asia)				
Darshan Shankar	X	X						X				
David Newton	X	X	X			Legal regulation					X	
David Webber			X (Quality Control, safety, efficacy)									
Eleanor Gallia		X		X (NIMH)		Traditional Medicinal Plant use/communities, Community participation, Networking, Traditional Medicine	X			X		
Francois Gasengayire	X		X								X	
Franziska Staubli		X	X	X			X			X	X	
G. Herrmann; Bernward Geier					X							
Jannie Lasimbang				X				X				

<sup>1</sup> RM = Resource Management, SC = Sustainable Collection, PC = Production Chain, ERB = Equity, Responsible Business Practices, STS = Standard Setting

Name	Professional Expertise <sup>1</sup>						Geographic Expertise / Experience					
	RM	SC	PC	ERB	STS	Others	Europe	Asia	North America	South & Central America	Africa	Oceania
Josef Brinckmann			X	X					X			
Klaus Dürbeck	X	X	X	X			X	X		X	X	
Klaus Reh						Legal regulation	X					
Maria Teresa Becerra		X	X	X	X							
Markus Jenal			X			company support, implementation	X	X		X		
Michael McGuffin			X		X				X	X		
Luuk Zonneveld				X	X							
Oliver Krafka	X	X	X	X		Cultivation	X				X	
Olivia Cliff		X				Working with traditional healers	X				X	
Patricia Shanley						Community participation						
Pierre Zaya			X	X								
Prof. Dr. Chlodwig Franz												
Pushp Jain	X	X		X	X	Working with communities		X (India)				
Radovan Andjelic		X	X	X			X					
Rik Kutsch Lojenga			X	X		Programme development and trade promotion	X			X		
Sarah Laird		X	X	X	X				X			
Silvia Müller	X	X	(X)		X (IMO)		X	IMO		IMO		
Sonia Lagos-Witte	X	X				Community health		X		X		

Name	Professional Expertise <sup>1</sup>						Geographic Expertise / Experience					
	RM	SC	PC	ERB	STS	Others	Europe	Asia	North America	South & Central America	Africa	Oceania
								(SEA)				
Stefan Salvador	X		X CoCustody Cert.		X	Certification, labelling	X					
Sven Walter		X										
Tony Cunningham	X	X						X (SEA)		X	X	
Uwe Sayer	X				X							
Wolfgang Kathe												
Ximena Buitron		X				Legal regulation, trade monitoring, networking, policy government,				X		
<b>Steering Group</b>												
Danna Leaman	X	X		X	X				X	X Central and Caribbean		
Uwe Schippmann		X					X				X (Namibia)	
Susanne Honnef		X	X				X	X (China)				

### 3.5 ToRs for the Advisory Group

PLEASE SENT COMMENTS TO SUSANNE HONNEF  
BY DECEMBER 23<sup>RD</sup>

## PRACTICE STANDARDS AND PERFORMANCE CRITERIA FOR SUSTAINABLE WILD COLLECTION OF MEDICINAL AND AROMATIC PLANTS

### Terms of Reference for the Advisory Group December 2004

For information contact:

Susanne Honnef, Britta Pätzold, WWF and TRAFFIC Germany  
[MAP-Standards-Criteria@wwf.de](mailto:MAP-Standards-Criteria@wwf.de)

STEERING GROUP  
for the development of:  
Practice Standards & Performance Criteria  
for the Sustainable Wild Collection  
of Medicinal and Aromatic Plants



TRAFFIC

IUCN  
The World Conservation Union



MEDICINAL  
PLANT  
SPECIALIST  
GROUP

*When one person dreams alone,  
it remains but a dream.  
When many people share the same dream,  
it is the beginning  
of a new reality*

Friedensreich Hundertwasser

## **Introduction**

In August 2004 the German Federal Agency for Nature Conservation (BfN), the Medicinal Plant Specialist Group of IUCN and WWF/TRAFFIC Germany initiated a process with international scope, aimed at the development and testing of a Practice Standard and Performance Criteria for the Sustainable Wild Collection of Medicinal and Aromatic Plants (for background information on the rationale of this project see companion document<sup>2</sup>).

The S&C Steering Group formed by the above organizations seeks the involvement of relevant spokespeople from ecological, socio-economic, health trade, and industry sectors and from different geographical backgrounds in the process of developing and testing the Standard and Criteria. These stakeholders will represent their sectors and regions in an international, interdisciplinary Advisory Group.

## **Role of the Advisory Group**

The Advisory Group will advise on:

- General issues (e.g. definition of scope and objectives of S&C; necessary harmonization with relevant existing protocols and standards; definition of responsibilities and accountable stakeholders; projection of long term aims of S&C, such as their use in certification of sustainable wild collection of MAPs).
- Practical guidance in the design of content and structure of draft standards (e.g. concerning principles, performance criteria, identifiable measurable actions and targets, documentation and reporting etc.)
- Testing of S&C (e.g. design of field tests; identification of assessing parties, participation in the test phase)
- Differentiation of criteria and indicators to ensure that they can be made applicable to local circumstances and species requirements
- Amendment of further drafts S&C document

Besides input concerning the above fields of expertise, important tasks of Advisory Group members are

- being spokespersons for people whose input to the process is crucial, but due to their geographical “remoteness” or other constraints (e.g. language, culture) cannot be consulted through the communication methods applied by the Steering Group
- promoting the development, adoption, and implementation of the standards using relevant networks and influence.

---

<sup>2</sup> Honnef, Pätzold, Leaman, Klingenstein, Schippmann. *Practice Standards and Performance Criteria for Sustainable Wild Harvest of Medicinal and Aromatic Plants*. Concept Paper, November 2004.

## **Process**

### **Decision making**

Decisions concerning process, structure and contents of the standards as well as implementation and other relevant issues will be achieved on the principle of consensus, formulated through the International Social and Environmental Accreditation and Labelling (ISEAL) Alliance.<sup>3</sup>

*“General agreement, characterized by the absence of sustained opposition to substantial issues by any important part of the concerned interests and by a process seeking to take into account the views of interested parties, particularly those directly affected, and to reconcile any conflicting arguments.” (ISEAL, 2004)*

### **Communication/Information flow:**

WWF/TRAFFIC Germany, on behalf of the Steering Group, is responsible for the coordination of communication between the Steering Group and Advisory Group members. Minutes of meetings, essential comments of Advisory Group members and other relevant information will be distributed to all Advisory Group members in as timely a fashion as possible. All comments compiled during consultation rounds will be documented in a transparent way and shared with everybody from the Advisory Group interested.

After a first gathering of Advisory Group members in December 2004 on the Isle of Vilm, Germany, communication between members of the Advisory Group and Steering Group members will occur through:

- continual email exchange
- occasional telephone, internet conferences with individual members
- side-meetings at international conferences
- a 2<sup>nd</sup> Advisory Group meeting in winter 2005/2006

---

<sup>3</sup> ISEAL. *ISEAL Code of Good Practice for Setting Social and Environmental Standards*. POO5 Final Public Draft, version 3, January 2004

### 3.6 Matrix – Users and Uses of S&C

This matrix shall help to decide...

...the way the standard should be drafted (resource managers, purchasers)

...who to involve in the process of drafting

...who we should target strategically to get the standard adopted (big companies, retail holdings, NGOs)

Legend	
●	Mainly
●	partially
○	possibly

Actors \ Actions	Who adheres to, fulfils?	Who implements?	Who requests, demands, asks for?	Who assures standard is met?	Who pays?	Who promotes?	Who adopts?	Who provides support?	Who needs to understand the standard on the lowest level?	Who are the drivers of the idea?	Who is responsible?
Resource Owners	○	●	●		○						
Resource Managers	?	?	●						●		
Collectors	●		○					●			
Supply chain											
Organizer of collections / Cooperatives	●	●	●	○	●			●	●		
Local Buyer / Regional Consolidator	?	○ <sup>1</sup>	●		○						
Wholesaler	?	○ <sup>1</sup>	●	○							
Processing	?	○ <sup>1</sup>	●	○	●						
Finished product manufacturer	?	○ <sup>1</sup>	●	○	●					●	
Retail Sector	?		●	○	●					●	
Practitioner	?	○ <sup>1</sup>	●	○	●	●		●		●	
Consumers			●		●					●	
Service Providers											
Certification Bodies				●		○					
Service Authorities								●			
Consultants								●			
Regulatory Authorities			●	●			●			●	
NGO's			●	○		●				●	
Development Organ.			●		○	●					
IGOs						●	○				
Trade / Business Associations			●		○	●	●	●			

1) if responsible for sourcing of raw materials

### 3.7 Interim results from development process of mission and objectives of S&C

Concerning S&C the following question has been prioritised in the plenum:

What is the central purpose/objective of our standards?

The following points were collected in the plenary:

Tool for sustainable wild collection of MAPs	Ensure protection of MAP resources for future generation
Guide/ensure sustainable collection of MAPs	In situ conservation of MAPs
Framework of principles and criteria that can be applied to species and ecosystems for sustainable harvest	Focus on both species and ecosystem
Basis for certification	Ensure long-term survival of MAP plant populations
Tool that also includes/applies to sustainable trade relationships as the targeted use of MAPs	Genetic diversity of MAP plant populations
Define links between collection, trade and social issues	Prevent environmental degradation

Additional points that were collected but not further worked on:

- Assure ethical quality (What is ethical?)
- Support traditions, culture and livelihoods
- Stakeholder relationships that support sustainable use
- Demonstrate the value of sustainable collection of MAPs to collectors
- Should 'sustainability' be used? How to define it?  
i.e. protection of a resource vs. environmental and cultural sustainability  
Should we include the CBD definition of sustainability in the document?  
Or: is the document our definition of sustainability?  
ISEAL recommends not to use the term sustainability.  
Objective language could define sustainability  
Could the structure of the objective be: what we want to achieve/what is sustainability/how to achieve it?

After discussing contents and wording for the central purpose/objective of the S&C, based on the points collected in the plenary that are listed above, the following wording for the mission and the 'objectives' statements were elaborated:

**Mission:** To ensure the long-term survival of MAP populations in their habitats while respecting the traditions, cultures and livelihoods of all stakeholders.

**Objectives:** This standard provides a framework of principles and criteria that can be applied to the management of MAP species and their ecosystems. It provides guidance for sustainable wild collection of MAPs, and a basis for audit and certification.

### 3.8 Minutes and interim results from working group on S&C principles and structure

In the course of the workshop participants agreed that some elements included in the first draft S&C standard (November 2004) are beyond a useful and practical scope of S&C for sustainable wild collection of MAP, in particular ecosystem impacts (a focus of draft standard I), impacts of domestication and cultivation (a focus of draft standard III), and fair trade (a focus of draft standard IV). It was decided that relevant elements from draft standards I, III, and IV should be united with elements proposed for draft standard II, and revised as a single standard for sustainable wild collection with different components. Therefore a draft for a 'Revised Practice Standard' was presented by D. Leaman and distributed to the workshop participants. Unlike the former draft S&C standard this one consists of one standard on "Wild Collection of MAP Resources" and 4 related principles.

(Detailed document, see Annex 3.9)

- Scope, objectives and principles of this 'Revised Practice Standard' were discussed in the plenary. The suggestions for new scope, objective and principle wording and content made during the discussion are given below, included in [] in the text prepared by D. Leaman. Additional points/arguments mentioned during the discussion are specified under the corresponding points as ▪.

**Scope:** Conditions and practices that ensure and contribute to the long-term availability, species and [breeding] [viable populations] survival, and genetic diversity of *in situ* MAP resources.  
[Add elements from Standard IV]

- quality: need to make some effort to recognise the needs / impacts of requirements for production quality - harmonisation with GAP/GACP important
  - e.g. harvest time appropriate for conservation integrated into GACP management plans
- include in best collection practices
  - quality is the link between trade and sustainable use and/or
  - sustained yield is the link between trade and sustainable use

#### **Objectives:**

1. To verify that the wild collection / harvest of MAP resources is sustainable [combine with 2 and 3]
2. To ensure and contribute to the long-term availability of wild-collected MAP resources
3. To sustain and contribute to the viability of MAP populations, and to the quality, in terms of genetic diversity, of *in situ* MAP resources.
4. To actively sustain the diversity of MAP and other species in areas/habitats where MAPs are collected / harvested.
5. To ensure that the areas/habitats in which MAP are collected does not negatively affect/has minimum impacts on the ecosystem.
6. [To ensure the availability of genuine planting material and germplasm to all user groups (in situ populations are the source of domestication/breeding activities)]

[Add objectives from standard IV, include that local and indigenous cultures, traditions and economies are respected / not negatively affected]

#### **Principles:**

[Proposed principle on access and collection rights ← former standard IV]

Principle 1: Collection practices and management plans

Principle 2: Management of sensitive taxa

Principle 3: Collector interactions with buyers / market  
[Some debate about whether this principle should be included]

Principle 4: Capacity to meet management requirements

[Proposed principle on [economic viability] and benefit sharing ← former standard IV]  
Part of the whole chain?

[Other elements from former standard IV – trade/business responsibilities]

- The following further comments and requests from participants concerning the revised S&C document were raised
  - The principles do not adequately reflect the objectives
  - Strive for plain language in scope and objective
  - Define sustainable/sustainable use if not implied in content
  - Need for a local translation of terms such as “viable population” – it is not sufficient to spell them out in the criteria without a glossary
  - Use of terms such as *in situ* has to be clarified
- It turned out that several terms need to be defined. Participants agreed on passing additional suggestions concerning the glossary to D. Leaman.
  - Compliance with standard should be = sustainable use
  - Economic viability as one of three components of ‘sustainability’ has to be addressed as it is important as a basis for benefit sharing.
  - Can possibility of substituting materials from threatened species with non-threatened species be included in the standard? → new principle on management of sensitive taxa
  - Many of the criteria will have to be supported by manuals etc. to be applicable in the field. The standard will not serve as a manual.

Workshop participants agreed to focus on the following special issues of the preceding plenary discussion in **small working groups**:

- |          |   |
|----------|---|
| group a) | Proposal for Principles of the S&C  |
| group b) | Proposal for a new structure of S&C   |
| group c) | Identification of relevant elements from Standard IV of the November draft that should be united with elements proposed for the next draft standard |

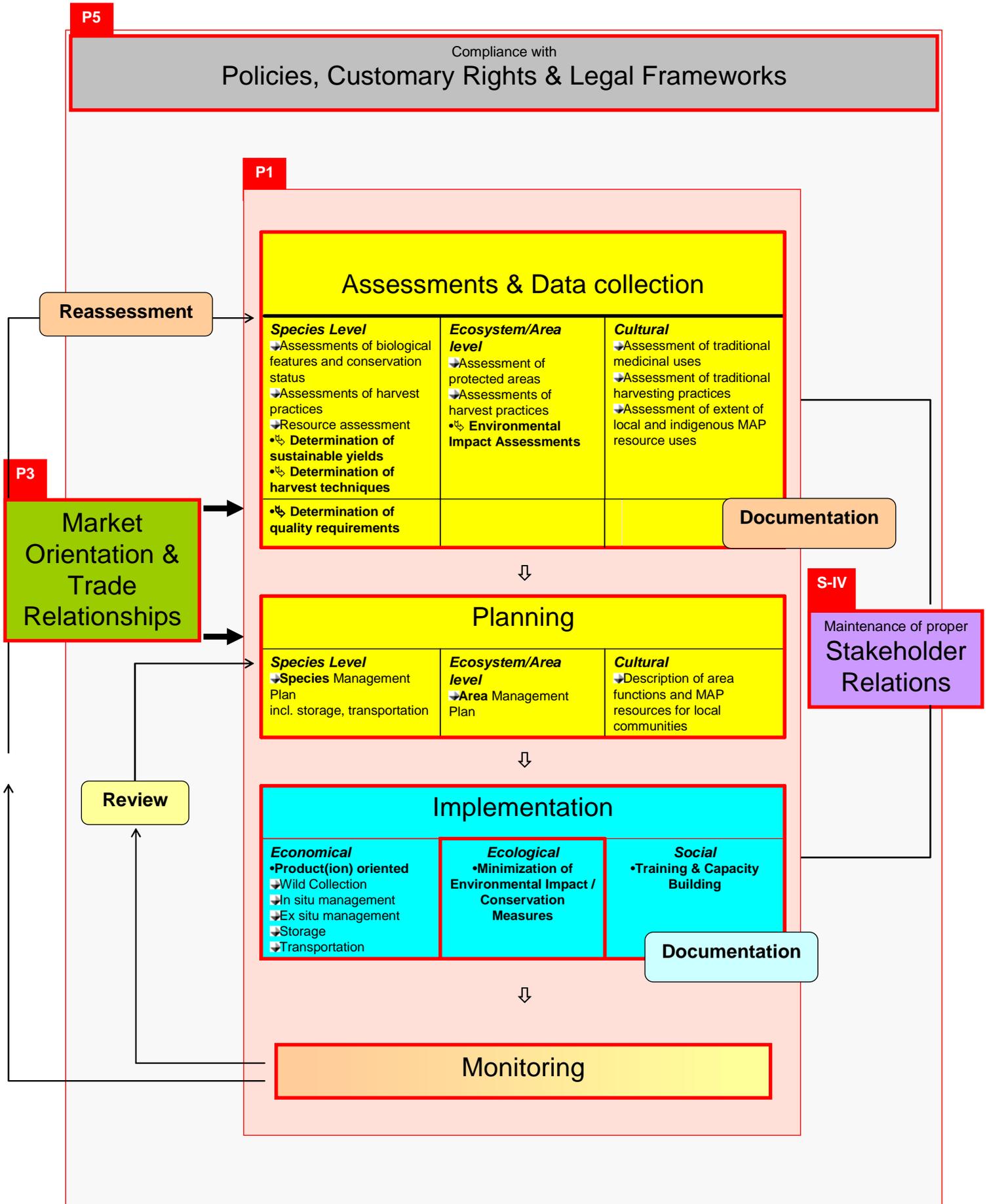
Afterwards the results of the parallel working group sessions were presented and discussed in the plenary:

- (i) Presentation group a) Proposal for S&C Principles (beamer presentation)

Principle 1 Best collection practices are established and implemented [as a complement to GACP / GAP, certification systems for forest and organic, bioactive].

- Principle 2 Particular care is taken when managing MAP populations and habitats of sensitive Taxa.  
[Revisit as a criterion under 1]
- [Principle 4 Ability to meet Management Plan requirements is ensured.]  
[Revise as criterion under principle 1 or question whether separate training/enabling principle is needed]
- Principle 3 Wild collection of MAPs is undertaken according to quality [and quantity] requirements of the market.
- Principle 5 Collection of MAPs complies with all relevant local, national, and international laws. We agreed that the term quality in terms of buyer/seller agreements on specification requirements need not appear in the scope statement instead this can be addressed sufficiently under principle 3 (former principle II - 2) with some suggested revisions as follows:
- 2.1 Those responsible for sourcing of MAPs establish guidelines for collection according to quality and quantity requirements of the market (e.g. terms of buyer/seller agreements, specification sheets and/or recognised regional and/or national specifications).
- 2.2/2.3/2.4 No changes recommended.
- 2.5 Waste caused by poor collection (including collection of substandard quality material), drying, storage, or transportation practices is minimized.  
[Concern that this criterion covers too much of the custody chain, therefore brings in too many requirements at the level of the collector]
- 2.6 Answer to the question '*how can the system of product and trade names be harmonized with scientific names*': the specification sheets should include not only the regional common name but also the full botanical name with subspecies (if any) as well as the pharmacopaeial name if there is a monograph.
- 2.7/2.7.1/2.7.2 No changes recommended.
- 2.7.3 Recommendation: we would move this point to principle 4.

(ii) Presentation group b) – Restructuring of the S&C principles



- Issues raised in the plenum concerning the proposals of working groups a and b
  - The concept of the ‘Resource assessment’ has been weakened
  - Headline of P1 should be changed into ‘documentation’
  - The term ‘data collection’ should be clarified (e.g. explained in the criteria)
  - Implementation: focus not only on wild collection, but also on collection of germplasm for domestication (this should be part of the standards as e.g. in India the move to domestication is quite important)
  - Operation of wild collection could incorporate collection for scientific/commercial domestication, by which the long-term availability of plant material would be granted
  - wild collection aiming at getting a pool for domestication
  - What is the meaning of data collection for social issues?
  - Principle “implementation of legal rights”: how to deal with people collecting small amounts of MAP material on their own land? How to ensure access for indigenous people? In many countries the ‘rights of access’ may inhibit the implementation of S&C (e.g. regulated by national law).
  - The term ‘customary rights’ should be elaborated in the criteria. It should be stated that implementation of these S&C does not interfere with customary rights.
  - Concerning the structure of principles: A way to indicate that principles 1-4 are more connected to each other than the others has to be found.

Further plenary discussion on the wording and structure of the S&C principles led to a

### **Proposal for Re-ordering and Completion of Principles**

*(Background colours indicate blocks that should stay in sequence)*

1. Collection of MAPs complies with all relevant local, national, and international laws.
2. a) MAP population assessment and [data collection/documentation] practices/protocols are established to develop good collection practices. These protocols are undertaken at regular intervals and in relation to the scale of [operation/collection].  
OR:  
b) Assessments of population, species, ecosystem, and cultural issues related to MAP collection are performed and documented.
3. A management plan is written [and kept up to date] to direct/guide wild collection operations consistent with MAP population assessment and [data collection/documentation] protocols.
4. Good collection practices are implemented consistent with MAP population assessment, [data collection/documentation] protocols and the management plan.
5. Monitoring of the [impact/implementation] of collection is conducted at regular intervals.
6. The environmental impact of collection is minimized.
7. a) Local and indigenous peoples’ customary rights of use and management of territories and wild collected MAPs are recognized and respected.  
OR:  
b) Long-term local and indigenous peoples’ rights of access to and use of wild harvested plants and MAP resources are [ensured/supported/respected].

8. Wild collection of MAPs is undertaken according to quality [and quantity] requirements of the market

(iii) Presentation group c) Identification of relevant elements from Standard IV of the November draft that should be united with elements proposed for the next draft standard

Because of the limited time the group only decided which components of former standard IV should be incorporated into the other standard, but not how and where.

- Discussion points within group IV (beamer presentation)
  1. The focus of the standard is the resource, so the rights, responsibilities, etc. should focus on the resource. We should however take into account that the standard is part of a chain, and be able to meet demands/serve as input for (documentation) of other standards higher up in the chain.
  2. Social issues will be included in the principles, but most probably a separate one could be added. For example (not discussed),
    - a. Best collection practices
    - b. Meeting national and international legislation
    - c. ...
    - d. Ensure and support the rights of local and indigenous peoples to have access to and use map resources
  3. We seek to assure 'minimum / reasonable' social standards, but we are not seeking fair trade with this standard, therefore all references to fair trade should be taken out.
  4. Stakeholders affected (based on matrix of Monday night):
    - a. Local and indigenous communities (sometimes other than the collectors) that use the resource
    - b. Government /Land-owner / manager of area
    - c. Collectors / harvesters
    - d. Those that have access/customary rights
- Specific suggestions concerning incorporation of parts from former Standard IV (based on S&C Discussion Draft 1; November 2004) changes in [brackets] (beamer presentation):

**Scope + objectives:** Use definition elaborated in the plenary

**Principle IV – 1:** Wild collection of MAP resources is undertaken in accordance with international conventions, national policy and legislation, and local customary and tribal law governing human and resource rights.

[→ **Should be included in the other principles (e.g. management plan)**]

**Relevant performance criteria**

- 1.1. No changes recommended
  - 1.1.1. – 1.1.3 No changes recommended
- 1.2. Deleted
  - 1.2.1. Deleted
  - 1.2.2. No changes recommended

1.2.3. Deleted

**Principle IV – 2:** Defined or implied relationships between sustainable resource use and the regulation of access, benefits, and exploitation of MAP resources **[are incorporated within access agreements and resource management plans.] [Alternative opinion in group that this principle should stand in its own right]**

**Relevant performance criteria**

2.1. No changes recommended.

2.1.1. – 2.1.6. No changes recommended

2.2. No changes recommended

2.2.1. – 2.2.3. No changes recommended

2.2.4. Ensuring specific and direct support for conservation and sustainable use is part of benefit sharing activities, made explicit in mutually agreed terms (MATs) with particular emphasis on building local capacity and providing resources to conserve the species being accessed.

**2.2.5.** Agreements support field and ethno-botanical research where information relevant to conservation and sustainable use is insufficient. **[Suggestion that 2.2.4 and 2.2.5. should be mentioned but not as explicit criteria]**

**Principle IV-3:** Deleted

**Relevant performance criteria**

3.1. Community relations:

3.1.1. **[to management plan]**

3.1.2. Deleted

3.2. Economic sustainability: [Economic viability should be somewhere]

3.2.1. – 3.2.5. Should be included somewhere

3.3. **[should be part of all principles]**

3.3.1. Deleted

3.3.2. Deleted

3.4. **[should be part of all principles]**

3.4.1. Deleted

3.5. **[should be part of all principles]**

3.5.1. Deleted

- Subsequent plenary discussion of results from working group on former Standard IV

Controversial discussion if Fair Trade Criteria should be included into S&C. The following arguments were raised:

→ S&C should influence the market to promote Fair Trade in this area. The document has an educational role

→ Decision has to be made if we want a standard for a niche market (e.g. Fair Trade) or a broader standard

→ S&C should not refer to anything that is not established right now

→ ‘Fair Trade style contracts’ with harvesters might be a way. Good working conditions should be included.

The **plenary agreed** that the revised standard for sustainable wild collection of MAP should support responsible social standards and should enable harmonization with appropriate ecosystem, fair trade and other relevant standards.

3.9 Revised Practice Standard, version Tuesday 07.12.04 (presented by D. Leaman)

<b>Revised Practice Standard Tuesday 07-12-04 (1): Wild Collection of MAP Resources</b>	
Scope	Conditions and practices that ensure and contribute to the long-term availability, species and population survival, and quality (in terms of genetic diversity), of <i>in situ</i> MAP resources.
Purpose / Objectives	<ol style="list-style-type: none"> <li>1. To verify that the wild collection / harvest of MAP resources is sustainable</li> <li>2. To ensure and contribute to the long-term availability of wild-collected MAP resources</li> <li>3. To sustain and contribute to the viability of MAP populations, and to the quality, in terms of genetic diversity, of <i>in situ</i> MAP resources.</li> <li>4. To sustain /contribute to the diversity of MAP and other species in areas/habitats where MAPs are collected / harvested.</li> <li>5. To ensure that the [natural] areas/habitats in which MAP are collected are not negatively affected by intensive management activities (e.g., enrichment planting).</li> </ol>
<p>Principles = core commitments, which are required to meet the objectives of the standard.</p> <p>Performance criteria = relevant variables that should be measured (by means of indicators / verifiers, benchmarks) to ascertain whether the performance meets the objectives and commitments of the standard. Not all criteria</p>	<p><b>Principle 1: Best collection / harvest practices are established and implemented</b> (e.g., through an appropriate <u>Management Plan</u> ) for each MAP resource collected / harvested [‘APPROPRIATE’ NEEDS DEFINITION WITH RESPECT TO RELEVANCE OF AREA OR SPECIES MANAGEMENT PLANS TO PARTICULAR SITUATIONS. THIS SECTION MUST BE REVISED TO ELIMINATE UNNECESSARY DUPLICATION, INCORPORATE MISSING ELEMENTS] .</p> <p><b>Relevant performance criteria</b></p> <p>1.1. Develop and implement a <u>Collection/Harvest Management Plan</u>, and collection protocols, which specifically addresses conservation and sustainable use criteria for the resource being accessed.  <i>[Question: what guidance is needed to design appropriate management plan and protocols?]</i></p> <p>1.1.1. Best collection / harvest practices are based on the best scientific information and local knowledge of the resource available.  <i>[Question: how can access to scientific and local knowledge be supported?]</i></p> <p>1.1.2. The biological requirements of the species are [known and] reflected in management planning and collection practices.  <i>[Question: what guidance is needed for relevant information concerning biological requirements?]</i></p>

**Revised Practice Standard Tuesday 07-12-04 (1): Wild Collection of MAP Resources**

may be relevant in each circumstance of application.

- 1.1.3. Scientific methods and local/traditional knowledge are used for assessment of sustainable collection / harvest levels and decision making on sustainable use.  
*[Question: what guidance is needed for assessment of sustainable collection / harvest levels and application to decision making?]*
- 1.1.4. For on-going wild collection / harvest, monitor the status of the resource to ensure collection / harvest does not exceed the agreed sustainable yield.  
*[Question: what guidance is needed on resource status monitoring relevant to sustainable yield?]*

**[INCORPORATE the following WITH PRINCIPLE 1]**

**Former Principle I – 2:** Those managing wild collection / harvest of MAP resources shall produce and implement a Collection Area Management Plan consistent with Management Principle 1 (above) and associated criteria (1.1 – 1.5).

**Relevant performance criteria**

- 2.1. The Collection Area Management Plan shall be consistent with any management plans that encompass the collection area produced by the appropriate authority.  
*[Question: how can this criterion be harmonized with relevant management plans / what guidance might be needed for implementation?]*
- 2.2. The Collection Area Management Plan shall include the following significant components: *[Question: are the following components adequate? What additional guidance might be required?]*
  - 2.2.1. Geographical boundaries of the collection area;
  - 2.2.2. Ownership / resource tenure and political boundaries of the collection area;
  - 2.2.3. Identification (listing) of all stakeholders relevant to the collection area;
  - 2.2.4. Basic collection / harvest (volume, rate) data for all MAP species collected / harvested in the collection area;
  - 2.2.5. Characterization of vegetation types [to enable extent of occurrence of MAP species by area of coverage of habitat]
  - 2.2.6. Monitoring impacts
    - 2.2.6.1. A process for monitoring the collection area including the detection and reporting to the appropriate authorities of the use of destructive collection / harvest practices; and  
*[Question: is guidance needed on identifying “destructive collection / harvest practices?]*
    - 2.2.6.2. A process for ensuring no collection / harvest of protected, threatened, and unsuitable species

**Revised Practice Standard Tuesday 07-12-04 (1): Wild Collection of MAP Resources**

and populations within the collection area.

*[Question: is guidance needed on identification of protected / threatened / unsuitable species and populations?]*

2.3. The effectiveness of the Collection Area Management Plan shall be reviewed at regular intervals to ensure its continuing suitability, adequacy, and effectiveness in meeting the purpose / objectives of this standard.

*[Question: can indicators of “suitability, adequacy, and effectiveness” be defined?]*

2.3.1. Those managing the collection / harvest of MAP resources shall have periodic audits of the Collection Area Management Plan undertaken by an appropriate, qualified authority on the timeframe specified in the plan to ensure its proper implementation;

*[Question: what guidance is needed on the components of an adequate audit of Collection Area Management Plans?]*

2.3.2. Those managing the collection / harvest of MAP resources shall at regular intervals review the Collection Area Management Plan on the timeframe specified in the plan to identify and address the need for amendments to the plan resulting from changing circumstances, including audit results and observed impacts of MAP collection / harvest activities on MAP resources, and on ecosystem structure, functions, and services.

2.7. [HOW TO INCLUDE GENETIC DIVERSITY IN MANAGEMENT PLANS?] Distribution of genetic diversity within the MAP species is understood and incorporated into resource management strategies.

[THIS PRINCIPLE COULD BE LINKED TO MANAGEMENT PLANNING]

**Former Principle III – 1:** Intensive *in situ* management of MAPs (e.g., agroforestry) is conducted in a manner that maintains the integrity and diversity of the ecosystem.

**Relevant performance criteria**

1.1. Enrichment planting is guided by a management plan that clearly states objectives with regard to sustainability of ecosystem and species.

1.2. Enrichment planting does not adversely impact ecosystem diversity, processes and functions.

1.3. Enrichment planting uses native plants and native seed stock unless it can be clearly demonstrated that the use of exotic species poses no threat to native ecosystems.

1.4. Densities of planted species are controlled to prevent disease or susceptibility to pests.

1.5. Enrichment plantings are monitored over time to insure that artificially enhanced densities of MAP species do not result in pest outbreaks or disruptions to ecological processes or services.

**Revised Practice Standard Tuesday 07-12-04 (1): Wild Collection of MAP Resources**

- 1.6. Conversion of forest to plantations of MAP (or other resources) is avoided.
- 1.7. Synthetic chemicals and biological control agents are avoided. In exceptional cases where chemical and biological control agents are used, they comply with organic standards.

*[Question: how can this principle and criteria be harmonized with organic standards?]*

**NEW PRINCIPLE (2) PROPOSED ON MANAGEMENT OF SENSITIVE TAXA THAT INCORPORATES Former PRINCIPLE 1-4]**

- 1.1.5. Particular care is taken when managing species with symbiotic or otherwise dependent relationships.

**The following REQUIRES REVISION FROM THE POINT OF VIEW OF SPECIES RATHER THAN ECOSYSTEM CONSERVATION, AND ALSO WHAT CAN BE IMPLEMENTED AND WHAT CAN ONLY BE RECOMMENDED TO GOVERNMENTS AND OTHER MANAGEMENT AUTHORITIES]**

**Principle I – 4:** Those managing wild collection / harvest of MAP resources shall undertake to support habitat/ecosystem, species, and genetic resource conservation measures essential to the long-term sustainability of MAP resources in the ecosystems in which they occur.

**Relevant performance criteria**

- 4.1. Conservation actions for MAPs integrate *in situ* and *ex situ* approaches at the levels of habitat, species, and genetic diversity.

*[Question: what guidance is needed on these approaches, and with what other guidelines should this criterion be harmonized?]*

- 4.2. Protected areas in which MAPs are present are respected.

- 4.2.1. No wild collection of MAPs is undertaken in legally established protected areas that prohibit collection.

- 4.3. Rare, threatened, and endangered species of MAPs are identified and protected.

*[Question: how can appropriate guidance be provided on the assessment of conservation status – global, regional, national, local?]*

- 4.3.1.

- 4.3.2. *In situ* populations and *ex situ* collections of MAPs are adequate to support long-term species survival.

*[Question: what guidance is needed to support implementation and evaluation of this criterion?]*

- 4.4. Scientific knowledge and local/traditional knowledge are used to assess conservation status and to design and implement conservation strategies.

**Revised Practice Standard Tuesday 07-12-04 (1): Wild Collection of MAP Resources**

*[Question: what guidance and harmonization with other measures are needed to support implementation and evaluation of this criterion?]*

- 1.2. Where adequate information / knowledge are not available, the precautionary principle is employed.  
*[Question: is guidance needed on application of the precautionary principle?]*
- 1.3. Resource managers, collectors, and harvesters clearly understand best collection / harvest practices and have the means and training to implement these practices.
- 1.4. The collection / harvest of MAPs is conducted at a scale and rate and in a manner that does not undermine the long-term availability, viability, and quality of MAP species and populations.
- 1.5. The collection / harvest of MAPs is conducted at a scale and rate and in a manner that does not impair ecosystem structure, functions, and services.
  
- 1.6. The collection / harvest of MAPs is conducted at a scale and rate and in a manner that does not exceed the sustainable yield / Rates of MAP collection / harvest do not exceed the target species' ability to regenerate over the long term. Such rates are clearly documented. When data is not available, collection / harvest follows the precautionary principle
- 1.7. Destructive collection / harvest practices are clearly identified, and are eliminated or minimized.  
*[Question: what guidance is needed to identify and adjust destructive collection / harvest practices?]*
- 1.8. The collection / harvest of target MAP species are undertaken according to the principles of sustainable use  
*[Question: how can this criterion be harmonized with the Addis Ababa principles?]*
- 1.9. Collection / harvest are undertaken in a planned and organized manner, following the principles of adaptive resource management.  
*[Question: what guidance is needed on adaptive resource management?]*

**Former Principle II – 2, Now Principle 3: Wild collection / harvest of MAPs is undertaken with specific knowledge of buyer instructions or market need.**

**Relevant performance criteria**

- 2.1. Collectors / harvesters establish a system for identifying and implementing market needs (e.g., through buyer order instructions / specification sheets).
- 2.2. Buyers of MAP resources provide clear and unambiguous order instructions understood by both parties.

**Revised Practice Standard Tuesday 07-12-04 (1): Wild Collection of MAP Resources**

- 2.3. Buyers' order instructions comply with supply limitations indicated in the resource management plan.
- 2.4. Collectors / harvesters review the order instructions, w/r to the resource management plan, before taking action on the order.
- 2.5. Waste caused by poor collection, drying, storage, or transportation practices is minimized.
- 2.6. Proper taxonomic identification of material and documentation of source (geographic, etc.)  
*[Question: how can the system of product and trade names be harmonized with scientific names?]*
- 2.7. Storage and handling of post-harvest MAP resources is managed to support traceability / chain of custody.
  - 2.7.1. Proper post-harvest identification, labelling, and record keeping procedures are followed.
  - 2.7.2. Volume and source data on raw materials from wild-collection of MAPs are available (ie, scaled, inventoried, measured) at intermediate storage facilities, processing and distribution centres.
  - 2.7.3. Invoices, bills of lading, certificates of origin and other applicable documentation related to shipping or transport specify the management status of the products.

*[Question: what guidance and information management tools are needed to implement this principle and related criteria? E.g., how can weights, volumes, concentrations, etc. of material in trade be traced to/harmonized with supply limitations indicated in management plans?]*

**Former Principle II – 3, Now Principle 4: Ability to meet Collection / Harvest Management Plan requirements is ensured.**

**Relevant performance criteria**

- 3.1 Collectors / harvesters shall comply with local laws and regulations with respect to access to and MAPs collected / harvested from the collection area;  
*[Question: how can this criterion be harmonized with local laws and regulations? E.g., compliance with CITES, species protection legislation and regulations]*
- 3.2 Collectors / harvesters shall comply with the requirements of the Collection /Harvest Management Plan produced by those managing the MAP resource(s);
- 3.3. Collectors / harvesters shall comply with the requirements of any management plans produced by the appropriate authority that encompass the collection area or the MAP resource;  
*[Question: how can this criterion be harmonized with local resource management plans?]*
- 3.4. Collectors / harvesters shall demonstrate that they have the experience, knowledge, and / or training to undertake collection / harvest activities proficiently;

<b>Revised Practice Standard Tuesday 07-12-04 (1): Wild Collection of MAP Resources</b>	
	<p>3.5. Collectors / harvesters shall be qualified by means of appropriate training, knowledge, and/or experience;  <i>[Question: what guidance is needed on appropriate training, knowledge, experience?]</i></p> <p>3.6. All of those involved in management and collection / harvest of MAP resources shall be able to demonstrate how they maintain up-to-date management and monitoring information (e.g., volume, rates, impacts of collection / harvest) on the resources collected.</p>
Documentation and Reporting	<ul style="list-style-type: none"> <li>• Assessment, management / collection, and monitoring data management system established or adopted.</li> <li>• Identification, recording, and reviewing problems in best practice guidelines and implementation.</li> <li>• All organizations in the <u>chain of custody</u> from the collector to the retailer shall operate and maintain a documentation system for assuring that MAP resources have been collected within a sustainable management system.</li> <li>• Management data made available to the appropriate authorities, the local owners/managers/custodians of the resource.</li> </ul> <p><i>[Question: additional documentation and reporting needed to meet this standard?]</i></p>
<b>Discussion areas for guidance, harmonization, implementation</b>	
<p>Practical Guidance</p> <p>Tools, means, and measures to support the implementation of the standard</p>	<ul style="list-style-type: none"> <li>• Best practices / components of a collection / harvest management plan.</li> <li>• Biological requirements of species relevant to management planning and collection / harvest.</li> <li>• Combining scientific and traditional/local knowledge in collection / harvest management and monitoring.</li> <li>• Collection Area Management Plan – components, implementation guidance</li> <li>• Collection practices that are destructive at the landscape / ecosystem level</li> <li>• Threatened, protected, unsuitable species for collection / harvest <i>[Question: better with Standard II?]</i></li> <li>• Design and implementation of management systems that integrate scientific and local/traditional knowledge and management practices.</li> <li>• Guidance for sustainable collection of MAPs collected from habitats other than forests (e.g., grassland, desert, high alpine meadows, wetlands – few ecosystem management models.</li> </ul> <p><i>[Question: other practical guidance needed to meet / implement this standard?]</i></p> <ul style="list-style-type: none"> <li>• Destructive collection / harvest practices.</li> <li>• Adaptive management applied to sustainable wild collection / harvest.</li> <li>• Market assessment methods.</li> </ul>

<b>Revised Practice Standard Tuesday 07-12-04 (1): Wild Collection of MAP Resources</b>	
	<ul style="list-style-type: none"> <li>• Guidance for clear ToRs / order instructions</li> <li>• Components of traceability – proper identification of material and source</li> </ul> <p><i>[Question: other practical guidance needed to meet / implement this standard?]</i></p>
Implementation Challenges	<ul style="list-style-type: none"> <li>• The ecological basis for determining sustainable yields and sustainable collection / harvest methods often require additional field research and ethno-botanical research</li> <li>• Monitoring and adaptive management</li> <li>• Scientific information and local knowledge required / lacking for best practices.</li> </ul> <p><i>[Question: other implementation challenges for this standard?]</i></p> <ul style="list-style-type: none"> <li>• Expertise required to assess and monitor conservation status and ecosystem impacts may not be readily available; training may be required.</li> <li>• Knowledge of the conservation status of individual species or populations may not be known</li> <li>• Research may be required to assess conservation status of individual species or populations.</li> </ul> <p><i>[Question: other implementation challenges for this standard?]</i></p>
<p>Basis / Harmonization</p> <p>Summary of the principal elements of other initiatives and standards that provide the basis for each standard, or that may be important for harmonization of these draft standards with existing standards and initiatives</p>	<ul style="list-style-type: none"> <li>• This standard is intended to comply with the definition of an <b><i>ISEAL Processes and Production Methods Standard</i></b>: A standard that sets out criteria for the processes and/or production methods by which a product or service is produced, in pursuit of specific social and/or environmental objectives.</li> <li>• The format of this standard, in the present draft, is modeled on the <i>Core Collection, Fishing, and Holding Standard for the Marine Aquarium Trade</i>, Issue 1, 1 July 2001, published by the Marine Aquarium Council.</li> <li>• Revised <i>Guidelines on the Conservation of Medicinal Plants</i> (WHO, IUCN, WWF, TRAFFIC, in preparation), section 2: Policy and legislation; section 5: Sustainable production: wild collection and cultivation</li> <li>• <i>WHO Guidelines on Good Agricultural and Collection Practices (GACP) for Medicinal Plants</i> (WHO 2003), sections 3.4 Collection, 5.1.2 Threatened and endangered species.</li> <li>• <i>Sustainable Use of Biodiversity, Addis Ababa Principles and Guidelines</i> (CBD Decision VII/12, 2004), Practical Principal 11: minimizing waste and adverse environmental impact.</li> <li>• <i>FSC Principles and Criteria</i> (Forest Stewardship Council, 2000), Principle #6: Environmental impact, Draft Principle #11: Non-Timber Forest Products.</li> <li>• <i>“Smartwood” Non-timber Forest Products Certification Standards Addendum</i> (Rainforest Alliance), Principle</li> </ul>

**Revised Practice Standard Tuesday 07-12-04 (1): Wild Collection of MAP Resources**

- #1: Compliance with Laws and FSC Principles; Principle #5: Benefits from the Forest; Principle #6: Environmental Impact; Principle #7: Management Plan; Principle #8: Monitoring and Assessment.
- *IFOAM Norms* (International Federation of Organic Agriculture Movements, 2002), section 13.5 Non timber forest products.
  - *Management Tool for Access and Benefit Sharing (ABS)* (IISD, Stratos Inc., and J. Cabrera, working draft July 2004), ABS Standard 4 – Conservation & sustainable use.
  - *EMEA Points to Consider on Good Agricultural and Collection Practice for Starting Materials of Herbal Origin* (The European Agency for the Evaluation of Medicinal Products, Working Party on Herbal Medicinal Products, 2002), Point 10. Collection.
  - *AHPA Code of Ethics & Business Conduct* (American Herbal Products Association, March 2004), Endangered species.
  - *Generic Guidelines for Assessing the Management of NTFPs* (NTFP Certification Project Team, 2002), section 9.0 Chain of Custody in the Forest.
  - *Global Strategy for Plant Conservation*. (CBD Decision VI/9, 2002), Targets i, ii, iii, vi, xi, xii, xv, xvi.

### 3.10 Results of small working group sessions on testing methods and expected achievements of field tests

How can the Draft S&C be assessed in the field to provide information that can be fed back into the document?

- **The following issues were addressed in the plenary session:**
  - A resource assessment should be part of the test to be developed, aiming at providing some guidance for rapid assessments.
  - Existing good practices for setting up field tests should be used if possible.
  - At what point of the process is the field testing of the S&C document reasonable?
    - Can the Draft S&C be tested without indicators being identified?
    - Should the task for the tests be to develop indicators?
    - Can criteria that are not relevant for any of the projects being tested be eliminated from the S&C?
  - The only way to get from the theoretical level to practice is to take S&C in field tests in order to check which criteria are relevant. Subsequently the document will be refined including the results from the field assessments.
  - Projects selected should provide a certain organisational level to enable testing.
  - If different methodologies are going to be worked out for assessments in filed projects how to deal with it and how to compare assessment results? (WWF will work on this)
  - Results of the field tests should be published in a MAP relevant journal (e.g. addressing traders)

- **Working group sessions**

Four working groups were asked to develop a methodology for the assessment of S&C in the following projects, which were presented at the beginning of the workshop session:

1. Iracambi Medicinal Plants Project, Brazil
2. Medicinal and Aromatic Plants - Wild Collection and Sustainable Use, Bosnia-Herzegovina
3. Conservation and Sustainable Utilisation of Rhatany, Peru
4. FLHRT, India

**Working instruction:**

How do I assess whether the draft S&C is applicable in my project?

- Which questions do I have to ask to find out if S&C is applicable?  
(e.g. is S&C comprehensible for the people involved e.g. auditor, manager etc.?)  
How can it be implemented in the project?  
Are there parts that cannot be implemented etc. ?)
- Who needs to be involved in the assessment?
- How can the assessment be done most effectively (workshops, field visits, ...)?
- How much time does it need?
- How much will it cost?
- What is the best time to do it?
- How can the results be most effectively prepared so that D. Leaman can refine the Draft S&C?

## Results of working group session

### 1. Iracambi Medicinal Plants Project

- Need to identify legal gaps, research gaps, gaps in understanding of the standards
- Useful experts for supporting the pre-assessments are needed
- Good possibilities to make links with local agricultural institutions, local scientists, and communities

### 2. Medicinal and Aromatic Plants – Wild Collection and Sustainable Use in Bosnia and Herzegovina (BiH) [Powerpoint presentation]

The BiH-project is located in the following two entities: The Federation of Bosnia-Herzegovina and the Republika Srpska. The pre-assessment should be carried out in the Republika Srpska. The project covers several plant species.

- *Questions to be asked*
  - Which data and documentation are available from organic certified wild collection?
  - Is the information suitable to answer (all) assessments of our principles?
  - If not, is it possible at all to get the missing information?
  - How much does it cost in money and time to get the missing information? (We expect that we will not get the information for all the places and species. But probably it would be possible in one year to get the major part of what is needed)
  - Are there any legal preconditions which prevent the implementation of the standard?
  - Is there any added value for the involved parties?
  - Is there an interest or commitment to implement such a standard?
  - Are the principles fulfilled and if not where are the gaps?
- *Who needs to be involved?*
  - Companies from BAMAP BiH
  - Collectors
  - Forest Administration/Ministry/Forest Enterprises/Kanton/Entity Administration
  - Certifiers
  - Trade partners
  - Research centres, local scientists
- *How can the assessments be done most effectively?*

To be tested:

  - Test on area : Ljubinje/Trebinje
  - 3 companies: Lijekobilje, Elmar, Andjelic
  - All plants collected in the area: approx. 20

*Tools*

  - A seminar for BAMAP companies and forest owners and other stakeholders (Translation of the documents is necessary)

- Interview with the forestry administration and other relevant authorities
  - Carried out by WWF expert
- *How much time does it need?*
    - 1 day workshop BAMAP
    - 1 day Administration/authorities
    - 1 day field excursion
    - 3 days companies' visit
  - *Costs*
    - 10,000 €
  - *Best time for testing*
    - July-September 2005 & 2006

<p>3. Conservation and Sustainable Utilization of Rhatany in Peru [written version of oral presentation sent by M. Weigend]</p>
---

Assessment of the application of the draft Standards & Criteria in the project on “Conservation and Sustainable Utilization of Rhatany in Peru” and a preliminary assessment of the validity of the criteria selected for the Rhatany project for the other wild-collected MAP-resources of Peru.

Objectives:

- Evaluating the feasibility and relevance of the criteria for biological sustainability as stated in the S&C in a test project (Rhatany)
- Finding the lowest common denominator for sustainability (which data *have to be* collected, which criteria *have to be* met?) for a broader range of MAP-resources

The Rhatany project can serve as an test environment for the drafted Standards & Criteria as many of fundamental investigations related to the sustainability of this project have already been conducted. The main focus however lies on biological sustainability.

- *Who needs to be involved?*
  - The assessment of the Rhatany project can probably be carried out by compiling the data already available to botconsult GmbH and WELEDA AG. The next draft of the S&C will allow us to decide whether additional data (field work) will be required.
- *How can the assessment most effectively be done?*
  - Desk research may be sufficient.
- *How much time does it require?*
  - Approximately 2-4 weeks after approval of the project.

- *How much will it cost?*
  - If there will be no additional fieldwork included, we estimate the time required to be 8-10 days. A formal tender can be prepared after the receipt of the latest version of the Standards & Criteria.
- *What is the best time for the assessment?*
  - Anytime after receipt of the next draft version.
- *How will the results of the assessment be prepared?*
  - A **draft document with comments** as to the feasibility and relevance of each criterion and its application in a real project setting will be prepared. (If a criterion is not relevant or applicable it should be explained why).
  - Additionally a **revised draft document** reduced to the relevant criteria as found in the Rhatany project will be developed.

*Preliminary Assessment of the Validity of the Criteria selected for the Rhatany Project for the other wild-collected MAP-Resources of Peru*

Based on a compilation (documentation already available) for all NTFPs exported from Peru in 2002 by the INRENA (Instituto Nacional de Recursos Naturales) and probably more up-to-date data provided by PROMPEX (Comisión para la Promoción de Exportaciones) we would assess the validity of the Standards & Criteria found in the Rhatany project for a broader spectrum of botanical resources (Peruvian export-MAPs). Covering all relevant MAP-resources for Peru allows a more in depth validation of the feasibility and commercial relevance of the proposed set of criteria.

- *Who needs to be involved?*
  - We would aim at collaborating with the INRENA and the Herbario de la Universidad Nacional de San Marcos in Lima. The next draft of the S&C will allow us to decide whether additional data (field work) will be required.
- *How can the assessment most effectively be done?*
  - Desk research may be largely sufficient, but a visit to Peru may be required to obtain the data from INRENA and organize collaboration details (speaking from experience).
- *How much time does it require?*
  - Approximately 6 weeks after the basic data has been obtained and the evaluation of the Rhatany project has been concluded.
- *How much will it cost?*
  - If there will be no additional fieldwork included, we estimate the time required to be 10-20 days. A formal tender can be prepared after the receipt of the latest version of the Standards & Criteria.
- *What is the best time to do it?*
  - Anytime after conclusion of the evaluation of the Rhatany project.

- *How will the results of the assessment be prepared?*
  - We will prepare a **study** listing those data, which are readily available from either the literature or our extensive field experience in Peru on:
    - plant taxonomy
    - part of the plant harvested
    - distribution, lifeform, and abundance of the plant
    - amount currently exported (*if available from INRENA/PROMPEX*)
    - the criteria as recognized as relevant in the Rhatany project indicating their feasibility and relevance to the various other resources

The comments will additionally focus on the question whether there are gross differences with regards to the relevant criteria concerning the part of the plant harvested, the status (endemic, native, naturalized) and thus give an insight into the question whether a species/area management plan as devised for Rhatany can be used as a template for most other taxa with minor modifications, or whether there are substantial differences.

#### 4. Foundation for Revitalisation of Local Health Traditions (FRLHT), India

(for detailed information concerning the FRLHT projects please visit <http://www.frlht-india.org>)

- The focus of the assessments should be on 1-2 species that are collected from the wild. These should be relevant for trade/export and at the same time interesting for the collectors.
- Multicentric approach: Selection of species that are widely distributed (various types of ecosystems)
  - *How can the assessment most effectively be done?*
    - Prepare kind of management plan for each of the selected species based on S&C and do documentation (comment on lines of S&C focusing on aspects that are feasible and relevant for the assessed situation)
  - *Who needs to be involved (and how)?*
    - Organize workshop with stakeholders (e.g. local cooperative of collectors, state forest department (probably land owner), buyers/trade people, potential certifiers)
    - FRLHT as coordinator (the coordinating organisation should have good relations to the authorities/owners of the areas).
  - *How much time does it need?*
    - Period of ca. 3 month
  - *How can the results be most effectively prepared?*
    - Documentation cannot be done by the primary collectors. Resource owners/managers have to prepare e.g. document of distribution of species, whether sensitive taxa are concerned etc).
    - Comments and results are added to the Draft S&C.

### 3.11 General questions and issues concerning the S&C project (contents, development and implementation) raised during the plenary sessions

During the workshop several general questions concerning the S&C project were addressed and discussed (arguments/opinions are listed below →). Some of those are still pending and have to be worked on in the further proceedings.

- The role of the cosmetic and perfume industry in the use of MAP. The following opinions were expressed
  - The cosmetic industry is a big international player and one of the major consumers of MAPs and should therefore be involved in the S&C project. (They have already been invited by WWF to join the process without positive response).
  - The situation concerning the origin of plants for the perfume industry varies in different countries (e.g. mostly cultivation in India whereas wild collection plays a significant role on the Balkan)
  - The aromatic plant issue is underrepresented in the group. Some suppliers for aromatic plants are represented by AHPA. WWF will try to engage more representatives of this industry sector.
- Problems arising from the variety of uses of MAPs (medicinal versus aromatic use) – arguments and related questions on how to address them with S&C
  - Requirement of quality controls vary largely in various products sectors (medicinal, aromatic, essential oils, cosmetics, food, spices etc.). If S&C focuses on the situation of the plant populations at the point of wild collection, the differentiation of plant material for products at the market side will not be considered. But the latter one plays an important role concerning the application of S&C.
  - Various ways of use are difficult to distinguish as plants are often used for more than one sector
  - Depending on the type of use different amounts of plant material is needed (e.g. production of essential oils requires more plant material than medicinal products).

*Do the various areas of products and markets (aromatic, cosmetics, food, spices, medicinal) have an impact on the development of S&C for wild collection?*

- The relevance of quality criteria for S&C and MAP
  - For EMEA the fair trade and the sustainable collection is not an issue for the quality control executed in drug application work
  - GACP (WHO) is a breakthrough as it crosses the line of narrow quality definition
  - The UNCTAD Biobrade initiative includes sustainability in its quality requirements.
- Why are S&C needed especially for MAPs, separated from yet existing standards for the sustainable use of plants? Do we need an outline definition to distinguish MAPs from other plants used?
  - S&C are generally needed for plant collection, but MAP directly addresses the medicinal industry. The term ‘medicinal plants’ is attractive as it refers to the requirements of health care as a basic need.
  - But the cosmetic industry is dealing with extracts and oils (not connected to the plants) and therefore not directly addressed by the term ‘medicinal plants’.

- Sustainable wild 'collection' or 'harvest' – which term is going to be used?
  - It has to be acknowledged that 'in situ' does not only signify collection from an unmanaged place
  - Definition required for 'wild collection' and 'wild crafting' (the latter one implicates an effort to maintain the plant population).

*For the S&C only the term 'wild collection' will be used*

- What strategy will help us to reach relevant countries and users/players with S&C?
  - To make this document useful for the community level as well as for traditional healers and harvesters is one of the most important challenges
  - Where can S&C have an impact?
  - Where do S&C have to be connected to have impact/reach the ground?
  - Need to identify the place in the market chain where S&C fits in.
  - Support from the Advisory Group members and their networks is needed.
- Capacity building
  - Identify capacity building needs for stakeholders is an important issue during the development and implementation process. How to address this?
  - How to reach also local users of medicinal plants and capacitate them? In Africa they have an important impact on the resources.
- Is corporate funding for the S&C project available or looked after? This would show the real interest of the private sector in the project.
  - There has been contact with possible donors, but additional funding e.g. for the field tests has to be found. The project cannot be a solely government or public funded exercise.

**Further questions** collected in the plenum to be discussed

- Links of S&C to other related frameworks
- Definition of sustainability
- Concerning structure and terminology – shall we adhere to the ISEAL Code?
- Why is ecosystem and social impact not included in wild collection input?
- What is the focus of the standard – The whole supply chain or parts of it?
- Where will the standards be housed?
- Who is responsible for the standard?
- Should those being responsible and those really working with the standard be divided into two groups (e.g. food codex)?

*A reasonable/practicable way to involve relevant stakeholders in the group of responsible people and institutions has to be found.*