# STANDARDS FOR SUSTAINABLE WILD COLLECTION OF MEDICINAL AND AROMATIC PLANTS

## DISCUSSION DRAFT 1

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

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## CONTENTS

## 1. INTRODUCTION

### 1.1 Background

The draft standards outlined in this document have been prepared on behalf of the Steering Group on the Development of Performance Standards and Practice Criteria for the Sustainable Wild Collection of Medicinal and Aromatic Plants. The concept supporting the development of these draft standards is summarized in a companion document:

> *Sustainable Wild Collection of Medicinal and Aromatic Plants: Practice Standards and Performance Criteria*, background paper, World Conservation Congress, 3rd IUCN World Conservation Congress, Bangkok, Thailand, 18-20 November 2004, by Frank Klingenstein, Harmut Vogtmann, Danna Leaman, and Susanne Honnef.

The draft standards for sustainable wild collection of medicinal and aromatic plants outlined in section 2 below are intended to provide a starting point for discussion with members of an international Advisory Group drawn from a wide range of stakeholders, and more generally with broader stakeholder groups where opportunities arise.

### 1.2 Objective

The objective of these standards is: **to provide a framework for sustainable wild collection / harvest of MAP resources *in situ* through appropriate resource management, sustainable collection / harvest practices, careful application of production alternatives, and attention to stakeholder relationships that support sustainable resource use.**

*[Question: Here we need a clear statement of the objective that the standards seek to achieve. Does this statement fulfill this? What more is needed?]*

Future development of these standards will be accompanied by guidance on best practice to assist in implementation. Further refinement of these standards, and the associated guidance, will be required to suit regional and local conditions and particular species.

### 1.3 Stakeholders

These draft standards are intended most specifically for collectors/harvesters, resource managers, buyers, suppliers, and companies involved in the commercial use of MAPs. They will also be relevant to environmental organizations, and to policy makers. It is our intention to engage these stakeholders in the process of developing and refining these standards.

## 1.4 Scope

The draft standards address wild collection of medicinal and aromatic plant (not animal) materials for commercial purposes. The standards focus on best ecological practices and related practices supporting social and economic equity. They do not address product storage, product transport, processing issues or product quality issues, which are being addressed by other initiatives and guidelines, such as the WHO Guidelines on Good Agricultural and Collection Practices (GACP) for Medicinal Plants (WHO 2003). The draft standards outlined below apply to medicinal and aromatic plants (MAPs) from both forest and non-forest habitats.

*[Question: how can these standards focus on those elements of social and economic equity that contribute to sustainable use of wild-collected MAP resources?]*

## 1.5 Basis for the content of the draft standards

The current content of these draft standards has been influenced to a large degree by the broadly consultative initiative of WHO, IUCN, WWF, and TRAFFIC to revise the 1993 WHO/IUCN/WWF *Guidelines on the Conservation of Medicinal Plants*. In particular, the need for practical and specific standards and guidance on sustainable wild collection of medicinal plants has been noted by many of the participants in this process. In addition, the current content of these draft standards incorporates the results of a background review of relevant existing and proposed standards and other initiatives. The initiatives reviewed are listed in Annex 2. A selection of these initiatives is summarized in Annex 3. This review led to the identification of eight common elements found in these initiatives, which are summarized in Table 1.

The initiatives included in the summary review address most of the elements listed in Table 1 to some extent. However, most have a major focus in one or two elements. The additional information presented in Annex 3 is a preliminary assessment of relative strengths and weaknesses of some existing initiatives with respect to the development of standards for the sustainable wild collection of medicinal and aromatic plants.

**Table 1. Common elements found in existing initiatives relevant to standards and criteria for sustainable wild collection of medicinal and aromatic plants**

| Elements | Scope | Major focus of initiative |
|---|---|---|
| [Biodiversity] Conservation / | • Conservation status / threat assessment<br>• Landscape, habitat, ecosystem approaches<br>• Species approaches<br>• Population approaches | • WHO/IUCN/WWF/TRAFFIC Guidelines<br>• CBD Sustainable Use Guidelines<br>• FSC Principles and Criteria<br>• NTFP Certification Project Generic guidelines |
| Sustainable use / production / ecological sustainability | • Ecologically sound collection and production management activities<br>• Assessment of sustainable levels of production<br>• Adaptive management / monitoring / evaluation | • WHO/IUCN/WWF/TRAFFIC Guidelines<br>• CBD Sustainable Use Guidelines<br>• FSC Principles and Criteria<br>• IFOAM<br>• NTFP Certification Project Generic guidelines |
| Health / product safety and efficacy | • Safety and efficacy (validation, toxicity)<br>• Quality control (processing, manufacturing) | • WHO GACP<br>• WHO/IUCN/WWF/TRAFFIC Guidelines |
| Equity / Social justice | • Fair returns and adequate benefits<br>• Impact on and involvement of local and indigenous communities<br>• Access and benefit sharing (prior informed consent/PIC, mutually-agreed terms /MAT)<br>• Traditional knowledge and intellectual property<br>• Tenure and customary use rights | • WHO/IUCN/WWF/TRAFFIC Guidelines<br>• NTFP Certification Project Generic guidelines<br>• FLO generic producer standards<br>• Management Tool for ABS |
| Responsible trade & business practices | • Social/cultural impact assessment<br>• Local/producer participation<br>• Chain of custody information / traceability / transparency<br>• Safe and health work environment<br>• Links to management standards<br>• Capacity building<br>• Market security/incentives<br>• Assurance / verification<br>• Risk assessment | • WHO/IUCN/WWF/TRAFFIC Guidelines<br>• FSC Principles and Criteria<br>• NTFP Certification Project Generic guidelines<br>• FLO generic producer standards |

| Elements | Scope | Major focus of initiative |
|---|---|---|
| Economic development / viability | • Market development and security<br>• Local economic impact assessment | • WHO/IUCN/WWF/TRAFFIC Guidelines<br>• UNCTAD Biotrade Initiative |
| Policy and law | • Adherence to existing policy and law<br>• Monitoring and enforcement | • WHO/IUCN/WWF/TRAFFIC Guidelines<br>• Management Tool for ABS |
| Information & public awareness | • Internet-based information systems<br>• Market information access<br>• Consumer education<br>• Harvester / producer training | • WHO/IUCN/WWF/TRAFFIC Guidelines<br>• UNCTAD Biotrade Initiative |

### 1.6 Structure and terminology applied to the draft standards

The structure of these draft standards has been guided by the ISEAL Alliance Code of Good Practice for Setting Social and Environmental Standards. The ISEAL Code provides the following definition of a "standard":

> *Document that provides, for common and repeated use, rules, guidelines or characteristics for products or related processes and production methods, with which compliance is not mandatory. It may also include or deal exclusively with terminology, symbols, packaging, marking or labelling requirements as they apply to a product, process or production method.*

The ISEAL Code further identifies three types of standards:

> ***Management system standard:*** *A standard that sets out criteria for the organizational structure, responsibilities, practices, procedures, processes and resources for implementing a management system.*
>
> ***Processes and production methods standard:*** *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.*
>
> ***Supply chain relationship standard:*** *A standard that sets out criteria for the characteristics of relationships between different actors in the supply chain.*

## 2. DRAFT STANDARDS FOR SUSTAINABLE WILD COLLECTION OF MAPS

### 2.1 Structure of the draft standards

Focusing on those elements chiefly concerned with ecological and environmental sustainability, and applying the structure suggested in the ISEAL Code, has led to the four draft standards proposed for discussion and outlined in this document:

I. Ecosystem and MAP resource management
II. Wild collection of MAP resources
III. Domestication, cultivation, and enhanced *in situ* production of MAP resources
IV. Rights, responsibilities, and equitable relations of stakeholders

The four draft standards are presented below in a set of tables that summarize the chief components of each standard:

- Scope
- Purpose / objectives
- Principles –core commitments, which are required to meet the objectives of the standard
- Relevant performance criteria – variables that should be measured (by means of indicators, verifiers, or benchmarks) to ascertain whether the performance meeting the objectives and commitments of the standard. Not all of the criteria may be relevant in each circumstance of application.
- Documentation and reporting

These tables also include preliminary ideas concerning aspects of each standard that may be helpful to discussion and development:

- Practical Guidance – tools, means, and measures to support the implementation of the standard.
- Implementation challenges – training and capacity building, public / consumer awareness, participatory and interdisciplinary research, internalization of costs.
- Basis / rationale – 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.

Apart from the content of the draft standards proposed for discussion, there are numerous questions arising from these draft standards concerning whether and how they might be harmonized with other existing standards and guidelines, and what specific guidance will be needed to enable their application and implementation by stakeholders. Some of these questions have been highlighted in the tables below, and others are listed below in section 3.

## 2.2 Proposed standards [Note: these are a first draft, for discussion. Substantial changes and additions are anticipated!]

| **Practice Standard I: Ecosystem and MAP Resource Management** | |
|---|---|
| Scope | Conditions and practices that ensure and contribute to the diversity of MAP and other species and the integrity of habitats / ecosystems in which MAPs are collected / harvested. |
| Purpose / Objectives | 1. To verify that the [natural] areas/habitats in which MAP are collected are managed according to principles of ecosystem management<br>2. To ensure the ecosystem integrity of these areas/habitats<br>3. To sustain /contribute to the diversity of MAP and other species in areas/habitats where MAPs are collected / harvested. |
| Principles = core commitments, which are policy statements on the commitment to meet the objectives of the standard.<br><br>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 | **Principle I – 1**: The areas in which MAP wild collection occurs are managed according to appropriate ecosystem and resource management criteria.<br><br>**Relevant performance criteria**<br>1.1. The areas in which MAP wild collection occurs are managed according to the principles of sustainable use.<br>*[Question: how can this criterion be harmonized with CBD Addis Ababa principles?]*<br>1.2. All activities associated with MAP management and collection minimize negative impacts to ecosystem functions, structures, and processes.<br>*[Question: what guidance is needed to identify "negative impacts"?]*<br>1.2.1. 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.<br>1.3. Collection / harvest activities within the collection area support the conservation of biological diversity;<br>1.3.1. Particular care is taken when managing species with symbiotic or otherwise dependent relationships.<br>1.4. Basic principles of environmental management and ecosystem management are applied in the collection area; and *[Note: if redundant with Principle I/2, this criterion might be deleted]* |

| Practice Standard I: Ecosystem and MAP Resource Management | |
|---|---|
| criteria may be relevant in each circumstance of application. | 1.5. Collection / harvest are undertaken in a planned and organized manner, following the principles of adaptive resource management.<br>*[Question: what guidance is needed to identify and incorporate principles of adaptive resource management?*]<br><br>**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).<br><br>**Relevant performance criteria**<br>2.1. The Collection Area Management Plan shall be consistent with any management plans that encompass the collection area produced by the appropriate authority.<br>*[Question: how can this criterion be harmonized with relevant management plans / what guidance might be needed for implementation?].*<br>2.2. The Collection Area Management Plan shall include the following significant components:<br>*[Question: are the following components adequate? What additional guidance might be required?]*<br>2.2.1. Geographical boundaries of the collection area;<br>2.2.2. Ownership / resource tenure and political boundaries of the collection area;<br>2.2.3. Identification (listing) of all stakeholders relevant to the collection area;<br>2.2.4. Basic collection / harvest (volume, rate) data for all MAP [and other??] species collected / harvested in the collection area;<br>2.2.5. Listing of significant species not collected / harvested in the collection area;<br>*[Question: what guidance might be needed to identify "significant species"?]*<br>2.2.6. Monitoring impacts<br>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<br>*[Question: is guidance needed on identifying "destructive collection / harvest practices?]*<br>*2.2.6.2.* A process for ensuring no collection / harvest of protected, threatened, and unsuitable species and populations within the collection area. |

| Practice Standard I: Ecosystem and MAP Resource Management | |
|---|---|
| | *[Question: is guidance needed on identification of protected / threatened / unsuitable species and populations?]*<br>*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.<br>*[Question: can indicators of "suitability, adequacy, and effectiveness" be defined?]*<br>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;<br>*[Question: what guidance is needed on the components of an adequate audit of Collection Area Management Plans?]*<br>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.<br><br>**Principle I – 3**: Ability to meet Collection Area Management Plan requirements is ensured.<br><br>**Relevant performance criteria**<br>3.1. Collectors / harvesters shall comply with local laws and regulations with respect to access to and MAPs collected / harvested from the collection area;<br>*[Question: how can harmonization of this criterion with local laws and regulations be facilitated?]*<br>3.2. Collectors / harvesters shall comply with the requirements of the Collection Area Management Plan produced by those managing the MAP resource(s);<br>*[Question: how can collectors / harvesters participate in the design of Collection Area Management Plans?]*<br>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;<br>*[Question: how can this criterion be harmonized with local resource management plans?]*<br>3.4. Collectors / harvesters shall demonstrate that they have the experience, knowledge, and / or |

| Practice Standard I: Ecosystem and MAP Resource Management | |
|---|---|
| | training to undertake collection / harvest activities proficiently;<br>3.5. Collectors / harvesters shall be qualified by means of appropriate training, knowledge, and/or experience.<br>*[Question: what guidance is needed on appropriate training, knowledge, experience?]*<br>*3.6.* All of those involved in management and collection / harvest of *in situ* MAP resources shall be able to demonstrate how they maintain up-to-date management and monitoring information on the impacts of collection on the collection area / ecosystem.<br>*[Question: what guidance and data management tools will be helpful to assist stakeholders in meeting this criterion?]*<br><br>**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 and the ecosystems in which they occur.<br><br>**Relevant performance criteria**<br>4.1. Conservation actions for MAPs integrate *in situ* and *ex situ* approaches at the levels of habitat, species, and genetic diversity.<br>*[Question: what guidance is needed on these approaches, and with what other guidelines should this criterion be harmonized?]*<br>4.2. Protected areas in which MAPs are present are respected.<br>4.2.1. No wild collection of MAPs is undertaken in legally established protected areas that prohibit collection.<br>4.3. Rare, threatened, and endangered species of MAPs are identified and protected.<br>*[Question: how can appropriate guidance be provided on the assessment of conservation status – global, regional, national, local?]*<br>4.3.1. Protected areas are established wherever required to protect rare, threatened, and endangered MAP species and their habitats.<br>*[Question: What guidance is needed on adequate boundaries and management of protected areas for MAPs?]*<br>4.3.2. *In situ* populations and *ex situ* collections of MAPs are adequate to support long-term species survival. |

| Practice Standard I: Ecosystem and MAP Resource Management | |
|---|---|
| | *[Question: what guidance is needed to support implementation and evaluation of this criterion?]*<br>4.4. Scientific knowledge and local/traditional knowledge are used to assess conservation status and to design and implement conservation strategies.<br>[*Question: what guidance and harmonization with other measures are needed to support implementation and evaluation of this criterion?*]<br>4.5. Distribution of genetic diversity within the MAP species is understood and incorporated into resource management strategies. |
| Documentation and Reporting | • Assessment, management, and monitoring data management system established or adopted.<br>• Clear lines of communication between all stakeholders in the collection area established and maintained<br>• Document results on conservation status of the species/variety to be collected<br>• Full information on conservation status and broader biodiversity assessment provided to appropriate authorities and local owners, managers or custodians of the resources.<br>*[Question: additional documentation and reporting needed to meet this standard?]* |
| **Discussion areas for guidance, harmonization, implementation** | |
| Practical Guidance<br><br>Tools, means, and measures to support the implementation of the standard | • Measuring impacts to ecosystem functions, structures, and processes<br>• Principles of adaptive resource management<br>• Collection Area Management Plan – components, implementation guidance<br>• Collection practices that are destructive at the landscape / ecosystem level<br>• Threatened, protected, unsuitable species for collection / harvest [Question: *better with Standard II?]*<br>• Design and implementation of management systems that integrate scientific and local/traditional knowledge and management practices.<br>• Guidance for sustainable collection of MAPs collected from habitats other than forests (e.g., grassland, desert, high alpine meadows, wetlands – few ecosystem management models.<br>*[Question: other practical guidance needed to meet / implement this standard?]* |

| **Practice Standard I: Ecosystem and MAP Resource Management** | |
|---|---|
| Implementation Challenges | • Expertise required to assess and monitor conservation status and ecosystem impacts may not be readily available; training may be required.<br>• Protected areas and mechanisms for species protection may need to be established<br>• Knowledge of the conservation status of individual species or populations may not be known<br>• Research may be required to assess conservation status of individual species or populations.<br>*[Question: other implementation challenges for this standard?]* |
| Basis / Harmonization<br><br>Summary of the principal elements of other initiatives and standards that provide the basis for each standard, or that may be important for guidance and harmonization of these draft standards with existing standards and initiatives | • This standard is intended to comply with the definition of an ***ISEAL Management System Standard:*** A standard that sets out criteria for the organizational structure, responsibilities, practices, procedures, processes and resources for implementing a management system.<br>• The format of this standard, in the present draft, is modeled on the *Core Ecosystem and Fishery Management International Performance Standard for the Marine Aquarium Trade*, Issue 1, 1 July 2001, published by the Marine Aquarium Council.<br>• Revised *Guidelines on the Conservation of Medicinal Plants* (WHO, IUCN, WWF, TRAFFIC, in preparation), section 2: Policy and Legislation; section 4: Conservation strategies<br>• *WHO Guidelines on Good Agricultural and Collection Practices (GACP) for Medicinal Plants* (WHO 2003), sections 2.3.2 Ecological environment and social impact; 3.4 Collection, 5.1.2 Threatened and endangered species.<br>• *Sustainable Use of Biodiversity, Addis Ababa Principles and Guidelines* (CBD Decision VII/12, 2004), Practical Principle 1: supporting policies, laws, institutions; Practical Principal 5: impacts on ecosystems.<br>• *FSC Principles and Criteria* (Forest Stewardship Council, 2000), Principle #1: Compliance with laws and FSC principles; Principle #6: Environmental impact, Principle #9: Maintenance of high conservation value forests.<br>• *"Smartwood" Non-timber Forest Products Certification Standards Addendum* (Rainforest Alliance), Principle #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: Principle #9: Maintenance of High Conservation Value Forests.<br>• *IFOAM Norms* (International Federation of Organic Agriculture Movements, 2002), section 2.1 Ecosystem management, section 2.4 Wild collected products and common/public land management, section 13.2 Environmental impact, section 13.3 Maintenance of natural forest, section 13.4 |

| Practice Standard I: Ecosystem and MAP Resource Management | |
|---|---|
| | Plantations, section 13.5 Non timber forest products.<br>• *Management Tool for Access and Benefit Sharing (ABS)* (IISD, Stratos Inc., and J. Cabrera, working draft July 2004), ABS Standard 4 – Conservation & sustainable use.<br>• *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.<br>• *AHPA Code of Ethics & Business Conduct* (American Herbal Products Association, March 2004), Endangered species.<br>• *Generic Guidelines for Assessing the Management of NTFPs* (NTFP Certification Project Team, 2002), section 1.0: Commitment to FSC principles and legal requirements; section 3.0. Forest Management Planning and Monitoring; section 4.0 Forest Management Practices; 5.0 Environmental impacts and biological conservation.<br>• *Global Strategy for Plant Conservation*. (CBD Decision VI/9, 2002), Targets i, ii, iii, iv, v, vi, vii, viii, x, xii, xv, xvi. |

| **Practice Standard II: Wild Collection of MAP Resources** | |
|---|---|
| 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 *in situ* MAP resources. |
| Purpose / Objectives | 1. To verify that the wild collection / harvest of MAP resources is sustainable<br>2. To ensure and contribute to the long-term availability of wild-collected MAP resources<br>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. |
| Principles = core commitments, which are required to meet the objectives of the standard.<br><br>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 may be relevant in each circumstance of application. | **Principle II – 1**: Best collection / harvest practices are established and implemented (e.g., through a Collection / Harvest Management Plan) for each MAP resource collected / harvested.<br><br>**Relevant performance criteria**<br>1.1. Develop and implement a Collection/Harvest Management Plan, and collection protocols, which specifically addresses conservation and sustainable use criteria for the resource being accessed. [*Question: what guidance is needed to design appropriate management plan and protocols?*]<br>1.1.1. Best collection / harvest practices are based on the best scientific information and local knowledge of the resource available. *[Question: how can access to scientific and local knowledge be supported?]*<br>1.1.2. The biological requirements of the species are [known and] reflected in management planning and collection practices. [*Question: what guidance is needed for relevant information concerning biological requirements?]*<br>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?]*<br>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?*] |

| Practice Standard II: Wild Collection of MAP Resources | |
|---|---|
| | 1.2. Where adequate information / knowledge are not available, the precautionary principle is employed.<br>*[Question: is guidance needed on application of the precautionary principle?]*<br>1.3. Resource managers, collectors, and harvesters clearly understand best collection / harvest practices and have the means and training to implement these practices.<br>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.<br>1.5. 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<br>1.6. Destructive collection / harvest practices are clearly identified, and are eliminated or minimized.<br>*[Question: what guidance is needed to identify and adjust destructive collection / harvest practices?]*<br>1.7. The collection / harvest of target MAP species are undertaken according to the principles of sustainable use<br>*[Question: how can this criterion be harmonized with the Addis Ababa principles?]*<br>1.8. Collection / harvest are undertaken in a planned and organized manner, following the principles of adaptive resource management.<br>[*Question: what guidance is needed on adaptive resource management?]*<br><br>**Principle II – 2:** Wild collection / harvest of MAPs is undertaken with specific knowledge of buyer instructions or market need.<br><br>**Relevant performance criteria**<br>2.1. Collectors / harvesters establish a system for identifying and implementing market needs (e.g., through buyer order instructions / specification sheets).<br>2.2. Buyers of MAP resources provide clear and unambiguous order instructions understood by both parties.<br>2.3. Buyers' order instructions comply with supply limitations indicated in the resource management plan. |

| Practice Standard II: Wild Collection of MAP Resources | |
|---|---|
| | 2.4. Collectors / harvesters review the order instructions, w/r to the resource management plan, before taking action on the order.<br>2.5. Waste caused by poor collection, drying, storage, or transportation practices is minimized.<br>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?]*<br>2.7. Storage and handling of post-harvest MAP resources is managed to support traceability / chain of custody.<br>2.7.1. Proper post-harvest identification, labelling, and record keeping procedures are followed.<br>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.<br>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.<br><br>[*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?]*<br><br>**Principle II – 3**: Ability to meet Collection / Harvest Management Plan requirements is ensured.<br><br>**Relevant performance criteria**<br>3.1 Collectors / harvesters shall comply with local laws and regulations with respect to access to and MAPs collected / harvested from the collection area;<br>[*Question: how can this criterion be harmonized with local laws and regulations? E.g., compliance with CITES, species protection legislation and regulations*]<br>3.2 Collectors / harvesters shall comply with the requirements of the Collection /Harvest Management Plan produced by those managing the MAP resource(s);<br>3.3 Collectors / harvesters shall demonstrate that they have the experience, knowledge, and / or training to undertake collection / harvest activities proficiently;<br>3.4 Collectors / harvesters shall be qualified by means of appropriate training, knowledge, and/or |

| Practice Standard II: Wild Collection of MAP Resources | |
|---|---|
| | experience;<br>*[Question: what guidance is needed on appropriate training, knowledge, experience?]*<br>3.5 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. |
| Documentation and Reporting | • Assessment, management / collection, and monitoring data management system established or adopted.<br>• Identification, recording, and reviewing problems in best practice guidelines and implementation.<br>• All organizations in the chain of custody 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.<br>• Management data made available to the appropriate authorities, the local owners/managers/custodians of the resource.<br>*[Question: additional documentation and reporting needed to meet this standard?]* |
| **Discussion areas for guidance, harmonization, implementation** | |
| Practical Guidance<br><br>Tools, means, and measures to support the implementation of the standard | • Best practices / components of a collection / harvest management plan.<br>• Biological requirements of species relevant to management planning and collection / harvest.<br>• Combining scientific and traditional/local knowledge in collection / harvest management and monitoring.<br>• Destructive collection / harvest practices.<br>• Adaptive management applied to sustainable wild collection / harvest.<br>• Market assessment methods.<br>• Guidance for clear ToRs / order instructions<br>• Components of traceability – proper identification of material and source<br>*[Question: other practical guidance needed to meet / implement this standard?]* |
| Implementation Challenges | • The ecological basis for determining sustainable yields and sustainable collection / harvest methods often require additional field research and ethno-botanical research |

| Practice Standard II: Wild Collection of MAP Resources | |
|---|---|
| | • Monitoring and adaptive management<br>• Scientific information and local knowledge required / lacking for best practices.<br>*[Question: other implementation challenges for this standard?]* |
| Basis / Harmonization<br><br>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 | • This standard is intended to comply with the definition of an ***ISEAL Processes and Production Methods Standard*****:** 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.<br>• The format of this standard, in the present draft, is modeled on the *Core Collection, Fishing, and Holding Standard for the Marine Aquarium Trade*, Issue 1, 1 July 2001, published by the Marine Aquarium Council.<br>• Revised *Guidelines on the Conservation of Medicinal Plants* (WHO, IUCN, WWF, TRAFFIC, in preparation), section 2: Policy and legislation; section 5: Sustainable production: wild collection and cultivation<br>• *WHO Guidelines on Good Agricultural and Collection Practices (GACP) for Medicinal Plants* (WHO 2003), sections 3.4 Collection, 5.1.2 Threatened and endangered species.<br>• *Sustainable Use of Biodiversity, Addis Ababa Principles and Guidelines* (CBD Decision VII/12, 2004), Practical Principal 11: minimizing waste and adverse environmental impact.<br>• *FSC Principles and Criteria* (Forest Stewardship Council, 2000), Principle #6: Environmental impact, Draft Principle #11: Non-Timber Forest Products.<br>• *"Smartwood" Non-timber Forest Products Certification Standards Addendum* (Rainforest Alliance), Principle #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.<br>• *IFOAM Norms* (International Federation of Organic Agriculture Movements, 2002), section 13.5 Non timber forest products.<br>• *Management Tool for Access and Benefit Sharing (ABS)* (IISD, Stratos Inc., and J. Cabrera, working draft July 2004), ABS Standard 4 – Conservation & sustainable use.<br>• *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.<br>• *AHPA Code of Ethics & Business Conduct* (American Herbal Products Association, March 2004), |

| Practice Standard II: Wild Collection of MAP Resources | |
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| | Endangered species.<br>• *Generic Guidelines for Assessing the Management of NTFPs* (NTFP Certification Project Team, 2002), section 9.0 Chain of Custody in the Forest.<br>• *Global Strategy for Plant Conservation*. (CBD Decision VI/9, 2002), Targets i, ii, iii, vi, xi, xii, xv, xvi. |

| **Practice Standard III: Domestication, Cultivation, and Enhanced *in situ* Production of MAP Resources** | |
|---|---|
| Scope | Conditions and practices associated with *in situ* enrichment planting and *ex situ* production that ensure and contribute to the conservation and sustainable use of MAP species *in situ*. |
| Purpose / Objectives | 1. To ensure that the [natural] areas/habitats in which MAP are collected are not negatively affected by intensive management activities (e.g., enrichment planting).<br>2. To ensure that activities leading to *ex situ* production of MAPs (eg., domestication and cultivation) are undertaken in a way that supports the *in situ* conservation of MAP species in their native habitats. |
| Principles = core commitments, which are required to meet the objectives of the standard.<br><br>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 may be relevant in each circumstance of application. | **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.<br><br>**Relevant performance criteria**<br>1.1. Enrichment planting is guided by a management plan that clearly states objectives with regard to sustainability of ecosystem and species.<br>1.2. Enrichment planting does not adversely impact ecosystem diversity, processes and functions.<br>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.<br>1.4. Densities of planted species are controlled to prevent disease or susceptibility to pests.<br>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.<br>1.6. Conversion of forest to plantations of MAP (or other resources) is avoided.<br>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?]*<br><br>**Principle III – 2**: Domestication and cultivation of MAPs are conducted in a manner that maintains the genetic variation and diversity of MAP habitats, species, and populations *in situ*.<br><br>**Relevant performance criteria**<br>2.1 Domestication and cultivation of MAP species is undertaken when demand exceeds sustainable |

| **Practice Standard III: Domestication, Cultivation, and Enhanced *in situ* Production of MAP Resources** | |
|---|---|
| | yield from wild-collected resources, or when harvest threatens other species and the habitat.<br>2.2 Domestication and cultivation of MAP species is undertaken only when cultivation is determined to be ecologically safe, economically feasible, and socially beneficial.<br>2.3 *In situ* reserves are established to protect the *in situ* genetic diversity of species (and their wild relatives) brought into cultivation [and that are currently in cultivation?]<br>*[Question: what guidance is needed to support adequate assessment of in situ genetic diversity of MAPs?]*<br>*2.4* MAP cultivation systems are managed in a manner that maintains soil fertility, conserves water, uses native species, follows principles of integrated pest management, refrains from the use of genetically modified organisms, and require little or no chemical inputs.<br>*[Question: how can this criterion be harmonized with organic agriculture principles?]*<br>2.5 Information about the area and quality of MAP species in cultivation and the volume of production is collected and disseminated to collectors / harvesters and to farmers, to support informed estimates of supply.<br>*[Question: how can an information management / reporting system be established or added to an existing system to support this criterion?]*<br><br>**Principle III-3:** Perverse incentives that encourage resource managers / producers to invest in cultivation of MAPs rather than in sustainable wild collection / harvest are eliminated; economic incentives to encourage <u>sustainable</u> wild collection / harvest of MAPs are provided.<br><br>**Relevant performance criteria**<br>3.1. Tax exemptions, funds available for productive practices, lower loan interest rates, certification systems for accessing new markets are formulated to promote wild collection / harvest when and where it is sustainable. |
| Documentation and Reporting | • System for monitoring and estimating demand for MAP resources established and made accessible to all stakeholders<br>• System for monitoring and estimating supply of MAP resources (wild collected / harvested and cultivated) establishes and made accessible to all stakeholders<br>• Presence of MAP species in reserves / protected areas, and the proportion of their genetic diversity |

| Practice Standard III: Domestication, Cultivation, and Enhanced *in situ* Production of MAP Resources | |
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| | protected *in situ* and *ex situ*<br>*[Question: additional documentation and reporting needed to meet this standard?]* |
| **Discussion areas for guidance, harmonization, implementation** | |
| Practical Guidance<br><br>Tools, means, and measures to support the implementation of the standard | • *In situ* conservation of crop wild relatives<br>• Guidelines on captive breeding (= cultivation, for plants), e.g., IUCN Wildlife trade programme<br>• Organic production standards relevant to sustainable wild collection / harvest systems<br>*[Question: other practical guidance needed to meet / implement this standard?]* |
| Implementation Challenges | • Expertise required to assess and monitor *in situ* genetic diversity relevant to species survival, sustainable wild collection / harvest, and conservation of crop wild relatives may not be readily available; training and research effort likely required.<br>• Genetic reserves / protected areas for MAPs may need to be established.<br>• Information systems to adequately monitor and estimate supply and demand of MAP resources will require detailed, standardized, and regular reporting at all stages of the supply chain.<br>*[Question: other implementation challenges for this standard?]* |
| Basis / Harmonization<br><br>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 | • This standard is intended to comply with the definition of an ***ISEAL Management System Standard:*** A standard that sets out criteria for the organizational structure, responsibilities, practices, procedures, processes and resources for implementing a management system.<br>• Revised *Guidelines on the Conservation of Medicinal Plants* (WHO, IUCN, WWF, TRAFFIC, in preparation), section 2: Policy and legislation; section 5: Sustainable production: wild collection and cultivation<br>• *WHO Guidelines on Good Agricultural and Collection Practices (GACP) for Medicinal Plants* (WHO 2003), section 2: Good agricultural practices for medicinal plants.<br>• *FSC Principles and Criteria* (Forest Stewardship Council, 2000), Principle #6: Environmental impact, Principle #10: Plantations.<br>• *"Smartwood" Non-timber Forest Products Certification Standards Addendum* (Rainforest Alliance), Principle #10: Plantations. |

| **Practice Standard III: Domestication, Cultivation, and Enhanced *in situ* Production of MAP Resources** | |
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| initiatives | • *IFOAM Norms* (International Federation of Organic Agriculture Movements, 2002), section 2.1 Ecosystem management, section 2.4 Wild collected / harvested products and common/public land management, section 13.2 Environmental impact, section 13.3 Maintenance of natural forest, section 13.4 Plantations, section 13.5 Non timber forest products.<br>• *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.<br>• *AHPA Code of Ethics & Business Conduct* (American Herbal Products Association, March 2004), Endangered species.<br>• *Generic Guidelines for Assessing the Management of NTFPs* (NTFP Certification Project Team, 2002), section 9.0. Chain of Custody in the Forest.<br>• *Global Strategy for Plant Conservation*. (CBD Decision VI/9, 2002), Targets vi, ix, xii, xv, xvi. |

| **Practice Standard IV: Rights, Responsibilities, and Equitable Relationships of Stakeholders** | |
|---|---|
| Scope | Conditions and practices that support sustainable wild collection of MAPs by ensuring equity, social justice, and industry responsibility in the relationships between different stakeholders in the MAP chain of supply. |
| Purpose / Objectives | 1. To ensure the long-term availability, accessibility, and quality of medicines derived from wild-collected / wild-harvested plant species to local communities<br>2. To ensure and support local rights of access to and benefits from MAP resources.<br>3. To ensure responsible business practices that support equity and social justice |
| Principles = core commitments, which are required to meet the objectives of the standard.<br><br>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 may be relevant in each project circumstance. | **Principle IV – 1**: Wild collection / harvest of MAP resources is undertaken in accordance with international conventions, national policy and legislation, and local customary law governing human and resource rights, including land and resource tenure, access to, benefits from, and exploitation of MAP resources.<br><br>**Relevant performance criteria**<br>1.1. The resource access and tenure rights, and resource management traditions of indigenous peoples and local communities are recognized.<br>1.1.1. Resource conflicts with adjoining landowners / managers, or other resource users, are resolved or addressed in a systematic and effective manner.<br>1.1.2. Measures are taken to avoid loss or damage affecting the legal or customary rights, property, resources or livelihoods of local peoples. However, appropriate and effective mechanisms are used to resolve grievances and to provide fair compensation in the case of such loss or damage<br>1.1.3. A monitoring system exists to maintain security of access to and benefits from wild MAP resources (e.g., protection from illegal destructive activities, including extraction and land conversion).<br>1.2. Indigenous and local communities receive fair and adequate benefits from any use of their traditional knowledge and practices related to MAP resource use and management.<br>1.2.1. Mechanisms for sharing benefits are perceived as fair by local community groups, and will adapt to the changing economic conditions of these communities. |

| Practice Standard IV: Rights, Responsibilities, and Equitable Relationships of Stakeholders | |
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| | 1.2.2. If traditional knowledge is used to develop a marketable product, informed consent must be given by the traditional or local community prior to the marketing of any product, and mutually agreed upon terms are reached for access to this knowledge and the equitable distribution of benefits arising from its use.<br>1.2.3. Indigenous and local communities receive fair and adequate benefits for any use of their name or image in marketing of products from MAP resources.<br>*[Question: how can these criteria be harmonized with policy, legislation, and other mechanisms for access and benefit sharing?]*<br><br>**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.<br><br>**Relevant performance criteria**<br>2.1. MAP resource management plans recognize the value and use of forest functions and MAP resources for the local community.<br>2.1.1. MAP collection / harvest, and resource management are conducted in accordance with cultural traditions and norms, where possible and when sustainable<br>2.1.2. Availability, accessibility, and quality of medicinal plant resources for local and traditional use are not undermined or diminished by commercial collection / harvest.<br>2.1.3. Promotion of use of plant-based medicines for local or wider use [health care] is based on sustainable production of resource, [in addition to safety and efficacy].<br>2.1.4. Detrimental social and cultural changes resulting from the influx of workers to collect / harvest MAP resources are minimized.<br>2.1.5. Collection / harvest of MAP resources respects the cultural and religious significance of MAP and other species and their habitats.<br>2.1.6. Collection / harvest of MAPs is not conducted in sacred forests, or sites of special cultural, ecological, economic or religious significance, unless with the explicit permission of local community stakeholder groups.<br>2.2. Access and benefit sharing arrangements are designed not only to protect the rights of indigenous peoples and local communities to genetic resources and traditional knowledge about |

| Practice Standard IV: Rights, Responsibilities, and Equitable Relationships of Stakeholders | |
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| | these resources, but also to protect the resources accessed.<br>2.2.1. Risks for conservation and sustainable use are addressed up front in decision-making on prior informed consent (PIC).<br>2.2.2. Measures to conserve the species are designed into the collection process, including that carried out by local communities.<br>2.2.3. A strategy for conservation and sustainable production / collection is implemented in conjunction with promotion of use.<br>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.<br>2.2.5. Agreements support field and ethno-botanical research where information relevant to conservation and sustainable use is insufficient.<br><br>**Principle IV – 3**: Industry is responsible for promoting and following good business practices that support the relationships between sustainable resource use, social justice, and equity, and for managing these relationships in accordance with international conventions, national policy, legislation, and regulations concerning labour rights and fair trade.<br><br>**Relevant performance criteria**<br>3.1. Community relations:<br>3.1.1. Communities involved in or affected by wild collection and management of MAP resources are active participants in resource collection and management activities, including planning, assessment and monitoring, reporting, and training.<br>3.1.2. Processing of wild-collected MAP products is conducted as close to harvesting locations as possible in order to maximize the benefits to local communities, wherever feasible and locally desired.<br>3.2. Economic sustainablility:<br>3.2.1. Long-term local incomes from wild collection of MAP resources are increased and/or stabilized.<br>3.2.2. Based on local experience and markets, payment for products or other rents being paid to local landholders for wild collected MAP resources or products are at or above the norm |

| Practice Standard IV: Rights, Responsibilities, and Equitable Relationships of Stakeholders | |
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| | (i.e. average), and are perceived by landholders to be a positive incentive for encouraging long term forest management.<br>3.2.3. The revenue received from wild collection of MAP resources should be sufficient to cover the costs of resource management activities in the long term, including conservation investments.<br>3.2.4. MAP resource management strives to strengthen and diversify the local economy, avoiding wherever possible dependence on a single forest product.<br>3.2.5. In the case of externally supported MAP wild collection activities, a plan exists to reduce the level of dependency on external support (technical, financial) to maximize level of self-sufficiency and control.<br>3.3. Information and transparency:<br>3.3.1. Systems of communication, including access to resource management information, are established and maintained with the involvement of local communities and other stakeholders along the chain of supply.<br>3.3.2. Knowledge about biodiversity that arises from the wild collection of MAPs is shared in a manner that supports and enhances conservation management.<br>3.4. Labour relations:<br>3.4.1. Systems of management and compensation for wild collection of MAP resources meet or exceed applicable policies, laws, and regulations concerning payment standards and equity, health and safety, and rights to negotiate.<br>3.5. Training and capacity building:<br>3.5.1. Adequate training and supervision is provided to MAP collectors / harvesters and other workers to ensure proper implementation of sustainable resource management for MAP resources. |
| Documentation and Reporting | • Systems and extent of traditional and community resource rights and tenure; related management responsibilies<br>• Resource management information accessible to all stakeholders<br>*[Question: additional documentation and reporting needed to meet this standard?]* |

| **Practice Standard IV: Rights, Responsibilities, and Equitable Relationships of Stakeholders** | |
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| **Discussion areas for guidance, harmonization, implementation** | |
| Practical Guidance<br><br>Tools, means, and measures to support the implementation of the standard | • Model access and benefit sharing agreements<br>• Means for assessing and documenting local value and use of MAP resources and their habitats<br>*[Question: other practical guidance needed to meet / implement this standard?]* |
| Implementation Challenges | • Establishing communication and collaboration between research and development networks associated with health and those associated with conservation and sustainable use.<br>• Ownership of knowledge, resource rights and tenure may be unclear or in dispute<br>• Extension of the general understanding of "benefits" to include sustainable use and conservation<br>*[Question: other implementation challenges for this standard?]* |
| Basis / Harmonization<br><br>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 | • This standard is intended to comply with the definition of an **ISEAL *Supply Chain Relationship Standard:*** A standard that sets out criteria for the characteristics of relationships between different actors in the supply chain.<br>• The format of this standard, in the present draft, is modeled on the *Core Handling, Husbandry, and Transport Standard for the Marine Aquarium Trade*, Issue 1,1 July 2001, published by the Marine Aquarium Council.<br>• Revised *Guidelines on the Conservation of Medicinal Plants* (WHO, IUCN, WWF, TRAFFIC, in preparation), section 1: Revitalisation of local health cultures; section 6: Equity and medicinal plants in trade; section 7: Responsible trade and business practices.<br>• *WHO Guidelines on Good Agricultural and Collection Practices (GACP) for Medicinal Plants* (WHO 2003), section 4: Common technical aspects of good agricultural practices for medicinal plants and good collection practices for medicinal plants; section 5: other relevant issues (ethical and legal considerations).<br>• *Sustainable Use of Biodiversity, Addis Ababa Principles and Guidelines* (CBD Decision VII/12, 2004), Practical Principal 2: rights, responsibilities, and accountabilities; Practical Principle 10: current and potential values of biological diversity; Practical Principal 12: equitable distribution of benefits; Practical Principle 13; internalization of costs of management and conservation. |

| Practice Standard IV: Rights, Responsibilities, and Equitable Relationships of Stakeholders | |
|---|---|
| | • *FSC Principles and Criteria* (Forest Stewardship Council, 2000), Principle #2: Tenure and Use Rights and Responsibilities; Principle #3: Indigenous Peoples' Rights; Principle #4 Community Relations and Worker's Rights; Principle #5: Benefits from the Forest.<br>• *"Smartwood" Non-timber Forest Products Certification Standards Addendum* (Rainforest Alliance), Principle #2: Tenure and Use Rights and Responsibilities; Principle #3: Indigenous Peoples' Rights; Principle #4: Community Relations and Workers' Rights; Principle #5: Benefits from the Forest.<br>• *Management Tool for Access and Benefit Sharing (ABS)* (IISD, Stratos Inc., and J. Cabrera, working draft July 2004), ABS Standard 1 – Prior Informed Consent; ABS Standard 2: Mutually Agreed Terms; ABS 3: Benefit Sharing; ABS 5: Traditional Knowledge, Innovations, and Practices; ABS 6: Community and Indigenous Peoples Participation.<br>• Generic Guidelines for Assessing the Management of NTFPs (NTFP Certification Project Team, 2002), section 2.0 Land Tenure and Use Rights and Responsibilities; 6.0 Social and Cultural Impacts; 7.0 Community and Worker Relations; 8.0 Benefits from the Forest and Economic Viability.<br>• Marine Aquarium Council Standards II, 3.4.1, 3.4.2, 3.4.3, 3.5.1<br>• *Global Strategy for Plant Conservation*. (CBD Decision VI/9, 2002), Targets xi, xiii, xiv, xv, xvi. |

## 3. SUMMARY OF ISSUES AND QUESTIONS FOR DISCUSSION

Process and implementation issues

1. Participation of stakeholders in standard development and implementation
   - Can standards improve product quality and the social and environmental practices of businesses in the MAP wild collection sector?
   - How will such groups obtain widespread support for standards?

1. Responsibilities and accountabilities for standards
   - Who are the appropriate bodies to [establish] coordinate standards development?
   - What type of standard will most effective for MAPs?
     - Voluntary (first-party claims, self-regulating) – unreliable, not independently substantiated or authenticated, well-intentioned companies undercut by competitors making specious claims
     - Second-party standards (eg, trade associations) – can be too conservative to implement radical change on environmental standards.
     - Third-party (independent) standards (governments, NGOs, private certification companies) – competence of certifier, trust of consumer, adulteration of "certified" shipments with uncertified material.
   - Financial and Human Resources – e.g., role of international cooperation and coordination
   - Who should / will pay the costs of implementation
     - Industry?
     - Passed on to consumers?

2. Identification of relevant practice standards (in addition to, or in place of those proposed)
   - Selection of relevant performance criteria (in addition to, or in place of those proposed)

3. Implementation challenges
   - Guidance: tools / methods, training required to implement standards
   - Training and capacity building, public / consumer awareness, participatory and interdisciplinary research, perverse incentives, internalization of costs
   - Monitoring and assessment – including traceability

4. Harmonization
   - Which [existing] standards are "the standards" for harmonization with MAP standards?
   - Identify where harmonization, complementarity are feasible
   - What are the relevant strategies to harmonize standards for MAPs?

    - Joint assessment / harmonization (consistency of expression, interpretation, application)
    - Collaboration between accreditation systems (bodies that certify the certifiers), eg., FSC, IFOAM

5. Application to case studies
    - What are the important and relevant case studies for MAP standards?
        - Concrete examples of gaps and weaknesses
        - Highlight exemplary standards

<u>Outstanding issues and possible future elements</u>

- What are the roles of other approaches, including:
    - Consumer campaigns
    - Establishment of brokers for environmentally and socially sound material
    - Direct sourcing partnerships between companies, NGOs, and community-based organizations
    - Corporate and industry association policies and guidelines – seen to be best opportunity to move industry towards greater acceptance of more holistic standards for sourcing (e.g., spell out specific commitments to employees and the public; improve communications; provide a yardstick for measuring performance).
    - National and international law and policy
    - Certification

## Annex 1. Glossary of terms used in the development of practice standards for the sustainable wild collection of medicinal and aromatic plants

| Term | Definition | Source |
|---|---|---|
| Benchmark | Where the line is drawn between what is acceptable and what is not acceptable practice. | ISEAL |
| Biological diversity | The variability among living organisms from all sources including, inter alia, terrestrial, marine and other aquatic ecosystems and the ecological complexes of which they are a part; this includes diversity within species, between species and of ecosystems. | FSC<br>Convention on Biological Diversity, 1992 |
| Biological diversity values | The intrinsic, ecological, genetic, social, economic, scientific, educational, cultural, recreational and aesthetic values of biological diversity and its components. | FSC<br>Convention on Biological Diversity, 1992 |
| Botanicals | A subset of NTFPs that includes herbal medicines, personal care products, and functional foods. | Pierce and Laird 2003 |
| Chain of Custody | The channel through which products are distributed from their origin in the forest to their end-use. | FSC |
| | A tracking system that enables certifiers to trace each forest product from its origin through harvesting, processing, storage and sale. | Generic NTFP Guidelines (Shanley et al. 2002) |
| Consensus | 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. Need not imply unanimity. | ISEAL |
| Criterion | A standard on which judgement or decision may be based; a characterizing mark or trait. | *Encyclopædia Britannica* 2002. Merriam-Webster Dictionary. |
| | A means of judging whether or not a principle has been fulfilled. A criterion adds meaning and operationality to a principle without itself being a direct yardstick of performance. | Shanley et al. 2002. |
| | Indicates what a standard measures | ISEAL |

| Term | Definition | Source |
|---|---|---|
| | A means of judging whether or not a Principle (of forest stewardship) has been fulfilled. | FSC |
| Customary rights | Rights which result from a long series of habitual or customary actions, constantly repeated, which have, by such repetition and by uninterrupted acquiescence, acquired the force of a law within a geographical or sociological unit. | FSC |
| Ecosystem | A community of all plants and animals and their physical environment, functioning together as an interdependent unit. | FSC |
| Endangered species | Any species which is in danger of extinction throughout all or a significant portion of its range. | FSC |
| Guideline | An indication or outline of policy or conduct | *Encyclopædia Britannica* 2002. Merriam-Webster Dictionary. |
| Harmonization | Harmonization is the process by which the content of two or more standards is brought into increasing conformity. Activities that support harmonization include, but are not limited to the use of common criteria and indicators, statements of common objectives, adoption of common structures for presentation of standards, and development and adoption of a single international standard. | ISEAL |
| Indicator | Qualitative or quantitative parameter that can be assessed in relation to a criterion. It describes in an objectively verifiable way the features of the ecosystem or a related social system. Minimum or maximum allowable value of an in indicator is known as threshold value (i.e., a way of quantifying or qualifying or measuring performance)….An indicator is assumed to include a performance value and is therefore called a performance indicator. | Shanley et al. 2002 |
| | How criteria are measured | ISEAL |

| Term | Definition | Source |
|---|---|---|
| Non-timber forest products | All forest products except timber, including other materials obtained from trees such as resins and leaves, as well as any other plant and animal products. | FSC |
| | All biotic products other than timber which can be harvested for subsistence and/or for trade. NTFPs may come from primary and natural forests, secondary forests, and forest plantations, as defined by FSC regional Working Groups. | Brown, L., D. Robinson, and M. Karmann. 2002. The Forest Stewardship Council and Non-timber Forest Product Certification: a Discussion Paper. Appendix A. Draft Principle 11. FSC NTFP Working Group, 1997. |
| Organic agriculture = biological agriculture = ecological agriculture | A whole system approach based upon a set of processes resulting in a sustainable ecosystem, safe food, good nutrition, animal welfare and social justice. Organic production therefore is more than a system of production that includes or excludes certain inputs. | IFOAM |
| Precautionary principle / principle of precautionary action | When an activity raises threats of harm to human health or the environment, precautionary measures should be taken even if some cause and effect relationships are not fully established scientifically. | Wingspread conference, Racine, Wisconsin, USA, 1998 |
| Principle | A comprehensive and fundamental law, doctrine, or assumption | *Encyclopædia Britannica* 2002. Merriam-Webster Dictionary. |
| | A fundamental truth or law as the basis of reasoning or action; an essential rule or element | Shanley et al. 2002 |
| | An essential rule or element. | FSC |
| Standard | A definite rule, principle, or measure established by authority | *Encyclopædia Britannica* 2002. Merriam-Webster Dictionary. |
| | Principles + criteria = standard | FSC |
| | Practice standard = core commitment (fixed requirements / the outcome or condition to be achieved in all applicable circumstances, applicable to all) + guidance (flexible, to be respected in intent and are available to be adopted according to the specific circumstances, levels, and sectors), documentation and reporting (to bring transparency to the application of the commitments and guidance) | ABS Management Tool |

| Term | Definition | Source |
|---|---|---|
| | Document that provides, for common and repeated use, rules, guidelines or characteristics for products or related processes and production methods, with which compliance is not mandatory. It may also include or deal exclusively with terminology, symbols, packaging, marking or labelling requirements as they apply to a product, process or production method. | ISEAL |
| Sustainable use | The use of components of biological diversity in such a way and at a rate that does not lead to the long-term decline of biological diversity, thereby maintaining its potential to meet the needs and aspirations of present and future generations. | Convention on Biological Diversity, Article 2 |
| Tenure | Socially defined agreements held by individuals or groups, recognized by legal statutes or customary practice, regarding the "bundle of rights and duties" of ownership, holding, access and/or usage of a particular land unit or the associated resources there within (such as individual trees, plant species, water, minerals, etc). | FSC |
| Threatened species | Any species which is likely to become endangered within the foreseeable future throughout all or a significant portion of its range. | FSC |
| Use rights | Rights for the use of forest resources that can be defined by local custom, mutual agreements, or prescribed by other entities holding access rights. These rights may restrict the use of particular resources to specific levels of consumption or particular harvesting techniques. | FSC |
| Verifier | Describes the way an indicator is measured in the field (i.e., data points or information that enhance the specificity or the ease of assessment of an indicator). The intention in this process in not to prescribe a minimum set of verifiers, but to allow room for verifiers that are specific to region, product, class, operation size, etc. Verifiers add meaning, precision and | Shanley et al. 2002 |

| Term | Definition | Source |
|---|---|---|
| | usually also site-specificity to an indicator. Numerical parameters might be assigned to a verifier on a case-and-site-specific basis. | |

## Annex 2. List of Resources consulted in development of Draft Standards for the Sustainable Wild Collection of Medicinal and Aromatic Plants

### Methods and assessment documents


Cunningham, A.B. 2001. Applied Ethnobotany: People, Wild Plant Use, and Conservation. Earthscan, London, UK.

Peters, C.M. 1996. The ecology and management of non-timber forest resources. World Bank Technical Paper No. 322. World Bank, Washington, D.C., USA.

Shanley, P., A. Pierce, S. Laird and A. Guillén (eds.). 2002. Tapping the Green Market: Certification and Management of Non-timber Forest Products. Earthscan, London, UK.

Ticktin, T. 2004. The ecological implications of harvesting non-timber forest products. *Journal of Applied Ecology* 41:11-21. (http://www.blackwell-synergy.com/links/doi/10.1111/j.1365-2664.2004.00859.x/full/)

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### Relevant guidelines, principles, and standards

These initiatives represent a broad range of approaches and applications of guidelines, principles, and standards related to the sustainable use of biodiversity resources. Several of these initiatives include specific criteria for assessing sustainable use of wild biodiversity resources that will be helpful in the development of criteria appropriate for assessing the sustainable wild harvest of medicinal and aromatic plants. General parameters of purpose, structure, status, and implementation have been summarized for a selection of these initiatives in Annex 3.


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WHO/IUCN/WWF/TRAFFIC. In preparation. Revised Guidelines on the Conservation of Medicinal Plants.

## Annex 3. Summary of Key Initiatives Relevant to the Development of Standards for the Sustainable Wild Collection of Medicinal and Aromatic Plants

The initiatives summarized in the tables below represent a broad range of approaches and applications of guidelines, principles, and standards related to the sustainable use of biodiversity resources. Several of these initiatives include specific criteria for assessing sustainable use of wild biodiversity resources that will be helpful in the development of criteria appropriate for assessing the sustainable wild collection of medicinal and aromatic plants. General parameters of purpose, structure, status, and implementation have been summarized in these tables.

| **WHO/IUCN/WWF/TRAFFIC<br>Guidelines on the Conservation of Medicinal Plants** | |
|---|---|
| Purpose and relevance to MAPs | Guidance on principles, approaches, and actions needed for international, national, and local conservation of medicinal plants, addressing a broad range of issues and stakeholders. |
| Structure | The Guidelines are organized according to eight issue areas related directly or indirectly to conservation of medicinal plants. Each issue area includes several statements of broad **principles**, each followed by recommended **approaches** and **actions.** The issue areas include:<br>1. Health care, development and conservation [Revitalization of local health cultures]<br>2. Policy and legislation<br>3. Research, information and dissemination<br>4. Conservation strategies<br>5. Sustainable production: wild collection and cultivation<br>6. Equity and medicinal plants in trade<br>7. Responsible trade and business practices<br>8. Promoting public awareness and education |
| Status | Draft revised *Guidelines* currently in consultation with 600+ stakeholders, coordinated by Steering Committee. 1993 Guidelines endorsed by WHO, IUCN, WWF. |
| Implementation | Development of specific regional, national, local, industry strategies |
| Related specific initiatives | Include the work programme of the IUCN/SSC Medicinal Plant Specialist Group; WWF/UNESCO/Kew People and Plants initiative projects related to medicinal plant conservation; and the TRAFFIC focus on medicinal plants in trade. |
| Sources / References | May 2004 draft revision of WHO/IUCN/WWF. 1993. *Guidelines on the Conservation of Medicinal Plants*. Gland, Switzerland: IUCN. Copies of the original 1993 Guidelines are available under the following web-address: http://www.wwf.org.uk/researcher/programmethemes/plants/00000 00180.asp. |

| **WHO Guidelines on Good Agricultural and Collection Practices (GACP) for Medicinal Plants** | |
|---|---|
| Purpose and relevance to MAPs | Guidance on quality assurance and control of herbal medicines through good cultivation and wild collection practices. Directed to the formation of regional and national GACP guidelines for medicinal plants. |
| Structure | These Guidelines provide **general technical guidance** and **specific technical guidance** for each of these topics following topics:<br>1. Good agricultural practices for medicinal plants (identification / authentication of cultivated material; seeds and other propagation materials; cultivation; harvest, personnel)<br>2. Good collection practices for medicinal plants (permission to collect; technical planning; selection of medicinal plants for collection; collection; personnel)<br>3. Common technical aspects of GACP (post-harvest processing; bulk packaging and labelling; storage and transportation; equipment, quality assurance; documentation; personnel)<br>4. Other relevant issues (ethical and legal considerations; research needs) |
| Status | Produced, published and distributed by WHO as part of a series of technical guidelines relating to the quality control of herbal medicines, in response to Resolution WHA56.31 on traditional medicine, through which Member States requested WHO "to provide technical support for development of methodology to monitor or ensure product safety, efficiency and quality, preparation of guidelines, and promotion of exchange of information." |
| Implementation | Development of national and regional GACP guidelines, policy, and related regulation. |
| Related specific initiatives | The European Union, Japan, and China have developed regional and national guidelines for GACP for medicinal plants. |
| Sources / References | World Health Organization. 2003. *WHO Guidelines on Good Agricultural and Collection Practices (GACP) for Medicinal Plants*. Geneva, Switzerland: WHO. http://www.who.int/medicines/library/trm/medicinalplants/agricultural.shtml |

| CBD Sustainable Use of Biodiversity, Addis Ababa Principles and Guidelines | |
|---|---|
| Purpose and relevance to MAPs | To provide practical principles, operational guidelines, and associated instruments, and guidance specific to sectors and biomes which would assist Parties and Governments to develop ways to achieve the sustainable use of biological diversity, within the framework of the ecosystem approach. |
| Structure | These Guidelines consist of 14 **practical principles** accompanied by a set of **operational guidelines** on the following topics:<br>1. Policies, laws, and institutions<br>2. Empowerment and resource rights of local users of biodiversity<br>3. Distortion of markets and generation of perverse incentives for conservation and sustainable use by international, national policies, laws and regulations<br>4. The basis for adaptive management<br>5. Adverse impacts of sustainable use management goals and practices<br>6. Promotion of interdisciplinary research into all aspects of the use and conservation of biological diversity<br>7. Compatibility of the spatial and temporal scale of management with the ecological and socio-economic scales of the use and its impact<br>8. Arrangements for international cooperation on multinational decision-making and coordination<br>9. Application of an interdisciplinary, participatory approach at appropriate levels of management and governance related to the use<br>10. Accounting for current and potential values, intrinsic and other non-economic values, and the effects of market forces in international, national policies related to the use of biological diversity<br>11. Minimizing waste and adverse environmental impact, and optimizing benefits from uses<br>12. Reflection of the needs of indigenous and local communities and their contributions to conservation and sustainable use in the equitable distribution of the benefits from the use of biodiversity resources<br>13. Internalizing the costs of management and conservation of biological diversity<br>14. Education and public awareness programmes on conservation and sustainable use |
| Status | Decision VII/12 (Article 10), adopted by the 7th COP to the CBD. |
| Implementation | Parties to the CBD, other Governments, and relevant organizations are invited to initiate a process to implement these Principles and Guidelines. |
| Related specific initiatives | CBD Ecosystem approach |
| Sources / References | CBD COP7 Decision VII/12 http://www.biodiv.org/decisions/default.aspx?m=COP-07&id=7749&lg=0) |

| **Forest Stewardship Council (FSC)<br>Principles and Criteria** | |
|---|---|
| Purpose and relevance to MAPs | To promote environmentally responsible, socially beneficial and economically viable management of the world's forests; and to accredit and evaluate certification bodies, which in turn provide certification to forestry companies that voluntarily meet FSC principles and criteria. A new (draft) principle and criteria address non-timber forest products. |
| Structure | FSC **principles** are accompanied by **criteria** (of good practices). The principles address the following elements:<br>1. Compliance with Laws and FSC Principles<br>2. Tenure and Use Rights and Responsibilities<br>3. Indigenous Peoples' Rights<br>4. Community Relations and Workers' Rights<br>5. Benefits from the Forest<br>6. Environmental Impact<br>7. Management Plan<br>8. Monitoring and Assessment<br>9. Maintenance of High Conservation Value Forests<br>10. Plantations<br>11. Non-timber forest products (Draft) |
| Status | Under the FSC policy on NTFPs (articulated in draft principle 11), certification bodies can certify NTFPs as coming from certified forests as part of their FSC accredited certification programme. |
| Implementation | Certifiers who wish to include NTFPs in their program must use standards prepared or adapted in the region for the particular NTFP, or they must develop their own standards with appropriate criteria and indicators, based on a national or regional consultation process. Principles and criteria are designed to support national and international laws and regulation. The FSC oversees the development of **locally-defined forest management standards** and certification bodies, and ensures consistency and integrity of these standards through formal endorsement by the FSC Board of Directors. |
| Related specific initiatives | SmartWood Generic Guidelines for Assessing Natural Forest Management<br>Soil Association NTFP Draft Standard |
| Sources / References | Brown, L., D. Robinson, and M. Karmann. 2002. The Forest Stewardship Council and Non-Timber Forest Product Certification: a Discussion Paper; Appendices. FSC Secretariat, Oaxaca, Mexico.<br>http://www.fscoax.org/psu/NTFPs/FSC%20&%20NTFP%20Cert%20Paper.pdf;<br>http://www.fscoax.org/psu/NTFPs/Appendices%20FSC%20&%20NTFPs.pdf |

| International Federation of Organic Agriculture Movements (IFOAM) Norms | |
|---|---|
| Purpose and relevance to MAPs | IFOAM seeks to provide a common system of standards, verification process and market identity for organic products. A new draft standard on Forest management includes both timber extraction and the harvesting of non-timber forest products from natural / primary forest, secondary forest, and plantations. |
| Structure | The IFOAM Norms include both Basic Standards and Accreditation Criteria, and, together with the Accreditation Program, form the basis of the Federation's Organic Guarantee System (OGS). The Basic Standards consist of (1) **General Principles** (the intended goals of processing); (2) **Recommendations** (practical suggestions for operators); (3) **Basic Standards** (minimum requirements for certification); and (4) **Derogations** (exceptions to specific standards). Sector-specific requirements are also established, and follow the general format of the Basic Standards. **General principles** include:<br>1. The Principle Aims of Organic Production and Processing<br>2. Organic Ecosystems<br>3. General Requirements for Crop Production and Animal Husbandry<br>4. Crop Production<br>5. Animal Husbandry<br>6. Processing and Handling<br>7. Labeling<br>8. Social Justice<br>**Draft standards** have been prepared for the following **principles**:<br>9. Plant breeding and Multiplication<br>10. Aquaculture production<br>11. Cleaning, disinfecting and sanitizing<br>12. Processing of textiles<br>13. Forest management |
| Status | The current revised IFOAM Basic Standards for Organic Production and Processing were approved by the IFOAM General Assembly in August 2002. Draft standards (including standard 13, Forest management) have not yet been adopted by the IFOAM General Assembly. |
| Implementation | The Accreditation Program, which is administered by the independent organization International Organic Accreditation Service (IOAS), is offered to certification bodies that demonstrate compliance with the IFOAM Norms. Accredited Certification Bodies have the ability to certify organic products, which provides assurance to wholesalers, retailers and consumers that the product bearing the IFOAM Seal meets the requirements of the Organic Guarantee System. To receive an IFOAM Seal, a contract must be signed between the Accredited Certification Body (ACB) and the IOAS, and between an ACB and the certified party. Although not designed to be used independently, the Basic Standards provide a |

| International Federation of Organic Agriculture Movements (IFOAM) Norms | |
|---|---|
| | framework that can serve as a foundation when developing local, regional and / or national certification standards. Certification bodies are encouraged to use Draft standards to guide the development of their own standards, and to develop ways to adapt these new standards to local conditions before final adoption. |
| Related specific initiatives | |
| Sources / References | IFOAM Norms: IFOAM Basic Standards for Organic Production and Processing / IFOAM Accreditation Criteria for Bodies certifying Organic Production and Processing including Policies related to IFOAM Norms http://www.ifoam.org/standard/ |

| **International Social and Environmental Accreditation and Labelling (ISEAL) Alliance: Code of Good Practice for Setting Social and Environmental Standards** | |
|---|---|
| Purpose and relevance to MAPs | ISEAL is a formal collaboration of leading international standard-setting and conformity assessment organisations focused on social and environmental issues. The ISEAL Alliance supports credible standards and conformity assessment by developing capacity building tools to strengthen members' activities and by promoting voluntary social and environmental certification as a legitimate policy instrument in global trade and development. |
| Structure | The ISEAL Code includes the following elements:<br>1. Scope<br>2. Referenced publications<br>3. Definitions<br>4. General provisions<br>5. Procedures for the development of standards<br>6. Effectiveness, relevance and international harmonization<br>7. Participation in the standards development process |
| Status | The ISEAL Alliance facilitated a multi-stakeholder dialogue to develop the Code of Good Practice for Setting Social and Environmental Standards. The final public draft of the ISEAL Code was reseased in January 2004. |
| Implementation | ISEAL members have developed international standards that are the definitive reference in their respective fields. These standards focus on fairtrade, ornamental fish, forest management, organic agriculture, wild capture marine and freshwater fisheries, social accountability, and sustainable agriculture. Each of these standards was developed through an extensive process of international stakeholder consultation that included technical experts, industry representatives, and interest groups that could be impacted by the standard. |
| Related specific initiatives | FLO, FSC, MSC, MAC, IFOAM, The International Organic Accreditation Service (IOAS), The Rainforest Alliance, and Social Accountability International (SAI) are full members of ISEAL. The Global Ecolabelling Network (GEN) and Chemonics International are associate members of the ISEAL Alliance. |
| Sources / References | ISEAL Code of Good Practice for Setting Social and Environmental Standards. P005 Final Public Draft, version 3, January 2004.<br>www.isealalliance.org |

| **NTFP Certification Project**<br>**Generic Guidelines for assessing the management of NTFPs** | |
|---|---|
| Purpose and relevance to MAPs | To expand on existing guidelines relevant to NTFPs, and to promote complementarity and consistency between geographically scattered and conceptually distinct certification efforts. |
| Structure | These Guidelines consist of **principles**, **criteria**, **performance indicators** and **verifiers.** NTFP guidelines **principles** include the following elements:<br>1. Commitment to FSC principles and legal requirements<br>2. Land tenure and use rights and responsibilities<br>3. Forest management planning and monitoring<br>4. Forest management practices<br>5. Environmental impacts and biological conservation<br>6. Social and cultural impacts<br>7. Community and worker relations<br>8. Benefits from the forest and economic viability<br>9. Chain of custody in the forest |
| Status | Some commercial tests of the guidelines are currently underway, under the auspices of FSC. |
| Implementation | These generic NTFP guidelines are based on the framework of Forest Stewardship Council (FSC) principles 1-10, and draft principle 11, and associated criteria. They also incorporate the FSC-approved Smartwood Generic Guidelines for Assessing Natural Forest Management. . |
| Related specific initiatives | |
| Sources / References | NTFP Certification Project Team. 2002. Appendix 1. Generic guidelines for assessing the management of NTFPs. Pp. 366 – 385 in Shanley, P., A. R. Pierce, S. A. Laird, and A. Guillen, eds. *Tapping the Green Market: Certification and Management of Non-timber Forest Products*. People and Plants Conservation Series. Earthscan Publications Ltd. |

| **Fairtrade Labelling Organizations (FLO)<br>International Fairtrade Standards** | |
|---|---|
| Purpose and relevance to MAPs | Improved trade benefits for primary producers, encouraging economic independence and social rights for producers (e.g., ensuring fair wages and adhering to safety regulations). |
| Structure | There are two sets of generic producer standards, one for small farmers and one for workers on plantations and in factories. The first set applies to smallholders organised in cooperatives or other organisations with a democratic, participative structure. The second set applies to organised workers, whose employers pay decent wages, guarantee the right to join trade unions and provide good housing where relevant. **Standards** (for small farmers), accompanied by **requirements** (minimum and progress), include:<br>1. Social development<br>2. Economic development<br>3. Environment development<br>4. Labour conditions |
| Status | Organizations can be certified by FLO if they comply with the relevant requirements. |
| Implementation | FLO guarantees that products sold anywhere in the world with a Fairtrade label marketed by a national initiative conforms to Fairtrade Standards and contributes to the development of disadvantaged producers. FLO standards can apply to producer groups, traders, processors, wholesalers and retailers. |
| Related specific initiatives | Members include Max Havelaar and TransFair |
| Sources / References | FLO. January 2003. Generic Fairtrade Standards for Small Farmers' Organizations. And Generic Fairtrade Standards for Hired Labour. http://www.fairtrade.net/sites/standards/sp.html |

| **IISD/Stratos/SECO/SAEFL: Management Tool for Access and Benefit Sharing (ABS)** | |
|---|---|
| Purpose and relevance to MAPs | This project is part of a continuing and evolving series of efforts undertaken and/or supported by the Swiss Federal Government to promote application of the Access and Benefit Sharing provisions of the Convention on Biological Diversity (CBD). The objective of this project is to develop a management tool that can give practical guidance to providers of genetic resources in making decisions about access; to users in seeking access; and, to both providers and users in the negotiation of agreements and their implementation and monitoring. The tool is intended to be applicable for all relevant stages of use of genetic resources, including those affecting the conservation and sustainable use of the resources. |
| Structure | The draft management tool consists of a set of **substantive requirements** to guide ABS practices, accompanied by **core commitments**, guidance, documentation and reporting, and implementation challenges. The **substantive requirements** include:<br>1. Prior Informed Consent<br>2. Mutually agreed terms<br>3. Benefit sharing<br>4. Conservation and sustainable use<br>5. Traditional knowledge, innovations, and practices associated with genetic resources<br>6. Community and indigenous peoples' participation<br>7. Information and transparency |
| Status | A draft working document has been developed by the International Institute for Sustainable Development (IISD) and Strategies to Sustainability Inc (Stratos), on behalf of the Swiss State Secretariat for Economic Affairs (SECO) and the Swiss Agency for Environment, Forests, and Landscapes (SAEFL). This draft is currently under review by the Swiss Government and a stakeholder advisory group. |
| Implementation | The project is eventually intended to include a management system to guide its structured application, and an outline of approaches for assurance (conformity assessment). |
| Related specific initiatives | Other related fora in which ABS issues are under discussion are the UN FAO International Treaty on Plant Genetic Resources for Food and Agriculture, which was agreed to in November 2001 and will enter into force in June 2004; the World Intellectual Property Organization's (WIPO) Committee on Genetic Resources, Traditional Knowledge and Folklore; and the World Trade Organization's (WTO) Council on Trade Related Intellectual Property Rights (TRIPs) and Committee on Technical Barriers to Trade (CTBT). |
| Sources / References | Cabrera, J., G. Greene, and T. Rotherham. July 2004. Phase 1 project report. ABS Management Tool Project. Prepared for the Swiss Government by Stratos, Inc., and IISD. |

| **BIOTRADE Initiative of UNCTAD** | |
|---|---|
| Purpose and relevance to MAPs | UNCTAD launched the BIOTRADE Initiative in 1996 during the third Conference of the Parties (COP3) of the Convention on Biological Diversity (CBD). Its **mission** is to stimulate trade and investment in biological resources to further sustainable development in line with the three objectives of the CBD: the conservation of biological diversity; sustainable use of its components; and fair and equitable sharing of the benefits arising from the utilization of genetic resources. |
| Structure | Sustainability **principles**, **criteria**, and **indicators** were developed for selecting projects in Colombia (Biocomercio Sostenible). The **principles** included:<br>1. Fulfillment of relevant national and international legislation and agreements<br>2. Good use and conservation of biodiversity<br>3. Environmental responsibility<br>4. Rights and responsibilities of land and natural resources ownership and use<br>5. Respect for the rights of ethnic groups and traditional local communities<br>6. Community responsibilities and workers' rights<br>7. Economic feasibility |
| Status | The Initiative, launched in 1996, has established a number of partnerships with national and regional organizations with the aim of setting up programmes that enhance the capability of developing countries to produce value-added products and services derived from biodiversity, for both domestic and international markets. These partner organizations, in turn, have their networks of local organizations working in the field, which allows them to address all aspects of the value chain of natural products in a cost-efficient manner. |
| Implementation | The Implementation of the Initiative is based on an integrated approach comprising three complementary and mutually reinforcing components: country and regional programmes; policy development and trade facilitation, and internet services. |
| Related specific initiatives | Focus country programmes include Bolivia, Colombia, Ecuador, Peru, and Venezuela. |
| Sources / References | Humboldt Institute of Colombia, Biocommercio Sostenible www.humboldt.org.co/biocomercio; http://www.biotrade.org |