

BioTrade Verification Framework for Native Natural Ingredients

Union for Ethical BioTrade (UEBT)

International Standard 1

Proposed Draft 2

2006-11-22

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This document has not been officially edited.

General comments: documents and process

The business should be firstly economically sustainable. Agree with the minimum requirements

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Terms in ***Bold Italics*** are defined in the definition section

Introduction to Draft 2

In order to support effective differentiation of BioTrade products in target markets the UNCTAD BioTrade Initiative is supporting the development of a *BioTrade verification system*. This will back companies looking to lead the way and make a positive contribution to sustainable development and the objectives of the Convention on Biological Diversity through their policies on quality, ***sustainable*** sourcing and corporate social responsibility.

As part of this activity, a review of the main existing certification schemes has shown that none completely covers the issues addressed by the BioTrade Principles and Criteria (BT P&C). This has led to proposing a system that draws on the lessons learned by existing verification and certification schemes, and that is innovative and specific to BioTrade.

The BioTrade verification system will offer companies a system of verification for activities carried out in accordance with the BT P&C for a particular product. The verification can be used in business-to-business relations and can provide third-party backing for companies when reporting to shareholders and social/ecological accounting initiatives. It is not a labelling scheme and will not provide on-product claims of compliance.

The *Union for Ethical BioTrade (UEBT)* has been established and is developing to administer the BioTrade verification system. Members of this Union commit to the gradual compliance with the BT P&C. Because this needs to be authenticated, a Verification Framework (standard) for BioTrade products has been formulated. The Verification Framework can be used for developing critical paths (gradual implementation) for ***organizations*** to comply with the BT P&C, for verifying compliance with them or as a basis for developing bridging certification protocols with existing certification schemes.

In addition to verification, members of the Union may benefit from technical assistance and best-sustainability and business practices for meeting BT P&C. They will have access to other companies that offer or require goods and services that are produced ethically in the so-

cial, environmental and economic dimensions, are of defined quality, and are traditional, yet often innovative.

Given the BTFP's experience in supporting the **value chain** of natural ingredients, this sector was selected as one of the priorities for the development of a Verification Framework derived from the BioTrade Principles and Criteria.

The natural ingredients sector includes non-timber, cultivated and non-cultivated natural products, which are used in the production of ingredients for the cosmetic, pharmaceutical and food industries.

In order to develop a system that is cost-effective and practical, a series of field tests were carried out to draft this framework. In July 2006, the UNCTAD BioTrade Facilitation Program (BTFP) held a workshop in Lima, Peru, where results of these field tests were discussed. The event allowed participants (e.g. private sector, verifiers, Ministries of Environment, Bio-Trade programs and NGOs) to exchange views related to the topic, and facilitated a constructive international dialogue and ideas that were been taken into serious consideration in the first draft of this Verification Framework. The first draft was the subject of a 60-day consultation that gave rise to a series of comments which have been addressed to produce a second draft.

This document is the second draft of the Verification Framework for BioTrade companies trading in native natural ingredient products. A global consultation process has been initiated to assure strong support from economic actors, the NGO community and government circles. The consultation process will give these **actors** the opportunity to contribute further to its development.

This draft will be further developed through the current 60-day round of consultation. You are greatly encouraged to provide comments on is document. Please do so using the ECL WebMachine, which has been set up to facilitate web-based consultations on standards (www.ECLspace.org).

Following the time necessary to address the comments from this round of consultation, the verification framework will be submitted for validation by all the actors who have participated in the consultation.

Comments: Introduction to Draft 2

A better wording than "quality policies" should be included

The concep of voluntarism is missing

Not all countries involved in the adoptin of P&C have accepted those defined by BTFP

BioTrade Verification Framework for

Native Natural Ingredients

DIS 2006-11-22

Introduction

A growing number of private-sector organizations are looking to lead the way and make a positive contribution to sustainable development and the objectives of the Convention on Biological Diversity in recognition of their policies on quality, sustainable sourcing and corporate social responsibility.

The Union for Ethical BioTrade (UEBT) aims to bring together **actors** committed to ethical biotrade and translate their moral leadership into valuable and measurable action supporting socially, environmentally, and economically sustainable use of biological diversity.

This is the UEBT's first international standard: the Verification Framework for Native Natural Ingredients. It has been prepared following a lengthy, inclusive and participative development process involving economic, environmental and social interest groups. During its preparation stakeholders from around the world and from all parts of the value chain were consulted.

Comments: Introduction:

Improve description on "quality policies"

Define "Ethical biotrade"

Structure:

Scope: This gives the range of application and operation of the Verification Framework.

Normative references: These are documents essential for understanding and applying the Verification Framework.

Terms and Definitions: These define the limits and significance of descriptions used in the Verification Framework.

Principles (e.g. 1-7): These are the essential elements of the verification framework.

Criteria (e.g. 1.1): These are the standards, rules or tests on which a judgment or decision on the Verification Framework can be based.

Minimum requirements: These are the requirements that have to be met by organizations wishing to become members of the UEBT and the first step on the Critical Path to complying with the BioTrade Principles and Criteria.

Indicators (e.g. 1.2.3): These are the means of measuring or recording whether a criterion has been met with.

Possible verifiers: These give the proof or evidence that an indicator is correct.

The Verification Framework for Native Natural Ingredients comes accompanied by a Guidance Document for auditors, but it is also an aid to buyers and producers wishing to apply the verification framework.

Comments:	Define "Critical Path"
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Possible Verifiers: introduce a idea on who will be responsible of the verification and where

I. Scope

This international standard defines general requirements for organizations to comply with BioTrade Principles and Criteria (BT P&C), with specific application to **native natural ingredients**, either collected from the wild or specifically grown for harvesting. The term “native” applies to species collected or produced in their original distribution areas. It does not include naturalised species.

The standard can be used for verifying compliance with the BT P&C or as a basis to develop bridging certification protocols with existing certification schemes. Compliance with the BT P&C can be claimed on business-to-business communication only.

The **local** application of this international standard may require the definition of audit protocols stipulating further its indicators.

It is applicable to any **organization** that wishes to:

- Implement, maintain and improve its conformity with the BioTrade Principles and Criteria
- Develop critical paths (gradual implementation) to comply with the BioTrade Principles and Criteria
- Assure itself that it conforms with this international standard
- Seek verification/certification/registration of its conformance with this international standard and demonstrate this to others

The scope of any application of this international standard must be clearly identified.

Comments: I.

What happens when a new application is found?

II. Normative references

The following referenced documents are indispensable for the application of this document.

UEBT Guide 1:2006, *Guidance for the use of the Framework for the verification of BioTrade organizations trading native natural ingredients*

International Labour Organization Core Conventions:

ILO C29 Forced Labour Convention, 1930

ILO C87 Freedom of Association and Protection of the Right to Organize 1948

ILO C98 Right to Organize and Collective Bargaining 1949

ILO C100 Equal Remuneration 1951

ILO C105 Abolition of Forced Labour Convention, 1957

ILO C111 Discrimination (Employment and Occupation) 1958

ILO C138 Minimum Age Convention 1973

ILO C182 Worst Forms of Child Labour, 1999

<http://www.ilo.org/ilolex/english/convdisp1.htm>

OECD Guidelines for Multinational Enterprises, 2000

<http://www.oecd.org/dataoecd/56/36/1922428.pdf>

Rotterdam Convention on the Prior Informed Consent Procedure for Certain Hazardous Chemicals and Pesticides in International Trade, 2004

<http://www.pic.int>

Stockholm Convention on Persistent Organic Pollutants, 2001

<http://www.pops.int>

UN Convention on Contracts for the International Sale of Goods, 1980

<http://www.cisg.law.pace.edu/cisg/text/treaty.html>

UN Convention against Transnational Organised Crime and its Protocols, 2000

<http://www.unodc.org/adhoc/palermo/convmain.html>

Comments: II.

III. Terms and definitions

For the purposes of this framework:

Adaptive management: management that allows for the implementation of corrective measures in systems on an ongoing basis, based on a process of continued monitoring.

Note: In the case of management of biological resources, adaptive management departs from the monitoring of the impacts (environmental, social and economic) on the eco-systems and populations resulting from the use of biological resources. (Convention for Biological Diversity, Addis Ababa Guidelines and Principles for the Sustainable Use of Biodiversity, 2004)

Comments:	What is a recourse?
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Actors: people or organizations that play a role in the BioTrade.

Comments:	Basic
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Agricultural inputs: range of fertilizers, insecticides, herbicides, fungicides, hormones and other inputs which are used in cultivation.

Comments:	According to limits imposed by buying countries
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Biological diversity: 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. (Convention on Biological Diversity, 1992)

Comments:

Biological resources: resources, including genetic resources, organisms or parts thereof, populations, or any other biotic component of ecosystems with actual or potential use or value for humanity. (Convention on Biological Diversity, 1992)

Comments:

Criterion (pl. Criteria): means of judging whether or not a Principle has been fulfilled.

Comments:

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.

Comments:

Ecosystem: dynamic complex of plant, animal and micro-organism communities and their non-living environment interacting as a functional unit. (Convention on Biological Diversity, 1992)

Comments:

Endangered species: any species which is in danger of extinction throughout all or a significant portion of its range.

Comments:

Environmental impact: any change to the environment, whether adverse or beneficial, wholly or partially resulting from an **organization's** activities, products or services

Comments:

Exotic species: introduced species not native or endemic to the area in question.

Comments:

Genetic resources: genetic material of actual or potential value. (see Convention on Biological Diversity, 1992)

Comments:

Genetically modified organisms: biological organisms which have been induced by various means to consist of genetic structural changes.

Comments:

Habitat: place or type of site where an organism or population naturally occurs. (Convention on Biological Diversity, 1992)

Comments:

Indigenous lands and territories: all lands, air, water, sea, sea- ice, flora and fauna, and other resources which indigenous peoples have traditionally owned or otherwise occupied or used. (Draft Declaration of the Rights of Indigenous Peoples: Part VI)

Comments:

Indigenous peoples: existing descendants of the peoples who inhabited the present territory of a country wholly or partially at the time when persons of a different culture or ethnic origin arrived there from other parts of the world, overcame them and, by conquest, settlement, or other means reduced them to a non-dominant or colonial situation; who today live more in conformity with their particular social, economic and cultural customs and traditions than with the institutions of the country of which they now form a part, under State structure which incorporates mainly the national, social and cultural characteristics of other segments of the population which are predominant. (Working definition adopted by the UN Working Group on Indigenous Peoples).

Comments:

Introduction: intentional or accidental dispersal by human agency of a living organism outside its historically known native range (IUCN Position Statement on Translocation of Living Organisms).

Comments:

Local laws: all legal norms instituted by governmental bodies whose jurisdiction is less than the national level, such as departmental, municipal and customary norms.

Comments:

Native species (indigenous): species, subspecies, or lower taxon, occurring within its natural range (past or present) and dispersal potential (i.e. within the range it occupies naturally or could occupy without direct or indirect introduction or care by humans). (IUCN Guidelines for the prevention of biodiversity loss caused by alien invasive species)

Comments:

Natural cycles: nutrient and mineral cycles resulting from the interactions between soils, water, plants and animals in natural ecosystems that affect the ecological productivity of a given site.

Comments:

Organization: company, corporation, firm, enterprise, authority or institution, community or part or combination thereof, whether incorporated or not, public or private, that has its own functions and administration.

Note: For organizations with more than one operating unit, a single operating unit may be defined as an organization. (Adapted from ISO 14001:1996)

Comments:

Prior informed consent: requirement for consultation with and agreement of indigenous peoples and/or local communities before an organization can explore for and rightfully exploit natural resources.

Note: Local groups accord their consent based upon an appreciation and understanding of the facts and implications of organizations future actions.

Comments:

Principle: essential rule or element.

Comments:

Protected area: geographically defined area which is designated or regulated and managed to achieve specific conservation objectives. (Convention on Biological Diversity, 1992)

Comments:

Sustainable use: use of components of biological diversity in 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, 1992)

Comments:

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).

Comments:

Use rights: rights for the use of **biological resources** that can be defined by **local** custom, mutual agreements, or prescribed by other entities holding access rights.

Note: These rights may restrict the use of particular resources to specific levels of consumption or particular harvesting techniques.

Comments:

Value chain: relationships established between actors involved directly and indirectly in a productive activity with the aim of adding value in each stage of the value chain.

Note: It involves alliances among producers, processors, distributors, traders, regulatory and support institutions, which, departing from a market demand for their products and services, establish a joint vision to identify mutual needs and work jointly in the achievement of goals, and that are willing to share the associated risks and benefits, and invest time, energy, and resources in realizing these goals. (BioTrade Initiative, Implementation Strategy)

Comments:

IV. Principles

1 Conservation of biodiversity

1.1 Characteristics of ecosystems and natural habitats of managed species shall be maintained

Comments 1.1:	
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- 1.1.1 Minimum requirement: There are no processes to convert natural **habitats** to agricultural systems nor natural forest conversion to other productive systems.

Comments:	Not applicable for developing crops in degraded areas for instance
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- 1.1.2 Possible threatening conditions or risks to the **ecosystem** and the **habitats** where the species are being managed have been identified.

Comments:	
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- 1.1.3 Specific activities or practices for the conservation and/or restoration of populations of endangered species, **habitats** or **ecosystems** where productive species are being managed, promoted and/or implemented the organization.

Possible verifiers:

- a. Active reforestation takes place
- b. Existing forested areas are maintained and/or restored
- c. Hunting is prohibited
- d. Environmental education takes place

Comments:	
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- 1.1.4 There is no **introduction of exotic species** into natural areas.

Comments:	
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- 1.1.5 There is no use of **agricultural inputs** derived from **chemical** synthesis in natural areas.

Comments:	
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- 1.1.6 If agricultural inputs derived from **chemical** synthesis are used by an organization in productive areas, then it uses mechanisms to prevent any drift to natural areas.

Comments:	
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1.2 The management of agro-biodiversity shall include agricultural practices that contribute to the conservation of biological diversity.

Comments 1.2:	
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- 1.2.1 Minimum requirement: The organization does not use pesticides banned under the Stockholm Convention on Persistent Organic Pollutants (POPs), that fall under WHO Categories I and II and/or are

listed in the *Rotterdam Convention on the Prior Informed Consent Procedure for Certain Hazardous Chemicals and Pesticides in International Trade*.

Comments:	
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- 1.2.2 Practices that promote biodiversity conservation in modified systems are in use.
Possible verifiers:
- a. Maintenance or extension of natural vegetal cover (hedges, forest fragments)
 - b. Existence of clear zoning of areas dedicated to production and conservation
 - c. The productive system is diverse and in the case of non-perennial crops there are established plans for crop rotation, grazing itineraries and stubble burning
 - d. Appropriate management of soil, soil-nutrients and erosion
 - e. Fragments or remnants of natural forest are **protected** and management practices to ensure their conservation are implemented
 - f. A system of integrated management of pests and diseases is in place

Comments:	Impossible in in-developing countries
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1.3 Genetic variability of flora, fauna and micro-organisms (for use and conservation) shall be maintained

Comments 1.3:	How. Is part of evolution
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- 1.3.1 The **organization** takes measures to maintain the varieties and wild relatives of the species being managed.

Comments:	
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- 1.3.2 The **organization** takes measures to connect fragments and remnants of natural vegetation to favour genetic exchange.

Possible verifier:

- a. Maintenance or extension of natural corridors

Comments:	
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- 1.3.3 Genetically modified organisms are excluded from the productive systems.

Comments:	
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1.4 Ecological processes related to productive activities shall be maintained

Comments 1.4:	
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1.4.1 Negative **impacts** of productive practices on air quality are identified and specific practices to prevent or mitigate these are implemented.

Comments:	
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1.4.2 Negative **impacts** of productive practices on water-source and watercourse quality are identified and mechanisms to prevent or mitigate these are in place and implemented in compliance with national and international regulations.

Comments:	
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1.4.3 Negative **impacts** of productive practices on soil quality are identified and mechanisms to prevent or mitigate these are in place.

Comments:	
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1.4.4 Main interactions between managed species and other organisms and that could be related to the production (e.g. pollination, seed dispersion, microhabitats) are identified, and measures to maintain and/or restore them are defined and implemented.

Comments:	
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1.5 Activities shall be developed taking into account existing national or local authority management plans for natural areas

Comments 1.5:	
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1.5.1 These existing management and conservation plans are identified in the areas of collection or cultivation.

Comments:	
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1.5.2 Management of wild species or cultivation activities are compatible with the strategies or use and conservation stipulated in natural areas (e.g. management plans, existing conservation strategies).

Comments:	
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2 Sustainable use of biodiversity

2.1 The use of natural resources shall be supported by management documents addressing, *inter alia*: extraction rates, monitoring systems and productivity indexes

Comments 2.1:	
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2.1.1 Collection or cultivation areas are clearly identified.

Comments:	
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2.1.2 There is an up to date list of suppliers, collectors or producers and information relating to location, land tenure and productive activities.

Comments:	
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2.1.3 For collected species, the harvest rate is based on an assessment of the managed populations that defines general characteristics of the population (productivity and natural regeneration) and identifies gaps in information for wild management.

Comments:	
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2.1.4 Extraction rates are lower than regeneration rates.

Comments:	
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2.1.5 Collection and/or cultivation practices have been defined and put in place based on existing information on the species and the potential **impact** of productive activities on species biology and their **ecosystems**.

Comments:	
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2.1.6 A monitoring system is in place that allows continual adjustment of good production practices (harvest rates, collection techniques, agricultural practices) with the aim of guaranteeing an **adaptive management** of the resource.

Comments:	
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2.2 Workers and suppliers shall be trained in the implementation of good collection, cultivation and quality assurance practices

Comments 2.2:	
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2.2.1. A training scheme for suppliers and workers exists.

Possible verifiers:

- a. Curriculum of training programmes
- b. Manuals for collectors/cultivators

Comments:	
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2.2.2 Field personnel and those working at the processing plant have been trained.

Comments:	
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2.2.3 The collectors and suppliers are trained to carry out the work of harvesting and/or cultivation.

Comments:	
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2.2.4 Personnel, collectors and suppliers implement the training.

Comments:	
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2.3 Appropriate mechanisms shall be implemented to avoid waste of raw material and to reduce the generation of waste

Comments 2.3:	
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2.3.1 Mechanisms are in place to minimize the waste of raw materials in different phases of production.

Comments:	
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2.3.2 Measures are in place to manage the waste derived from productive practices, including reuse and recycling activities.

Comments:	
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2.3.3 Final waste disposal guarantees the reduction of contamination risks according to national and international regulations and with particular attention paid to water bodies; if necessary by means of an Environmental Impact Assessment.

Comments:	
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2.4 The actors along the supply chain shall be identified and organised according to the supply of the resource or the harvesting seasons

Comments 2.4:	
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2.4.1 The **organization** has a purchasing schedule that details suppliers, seasons and volumes that the **organization** can purchase in accordance with the quantities and harvesting seasons defined in the management document (see 2.1).

Comments:	
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2.4.2 The purchase schedule of raw material is developed in accordance with the phenological cycles of plants (for fruit, flowers or seasonal production of leaves) defined in the management plan.

Comments:

2.4.3 Suppliers and collectors are informed of these schedules and plan their activities accordingly.

Comments:

3 Fair and equitable sharing of benefits derived from the use of biodiversity

3.1 Negotiations and implementation of agreements related to benefit sharing shall be transparent and based on long-term dialogue and trust

Comments 3.1:

3.1.1 Minimum requirement: There are no disputes related to the use of biodiversity and traditional knowledge of substantial magnitude involving a significant number of interests.

Comments:

3.1.2 Mechanisms to ensure inclusive and balanced representation of **actors** along the value chain are in place
Possible verifiers:
a. stakeholder mapping,
b. procedures for notification, monitoring of implementation and evaluation of transparency

Comments:

3.1.3 Production and exchange of relevant information occurs in a culturally meaningful and transparent manner.

Comments:

3.1.4 These mechanisms have been developed in collaboration with **actors**
Possible verifiers:
a. interviews with **actors**,
b. minutes of meetings

Comments:

3.1.5 Procedures have been defined and implemented to evaluate the needs of **actors** in the **value chain** and resolve conflicts.

Comments:

- 3.1.6 **Actors** directly involved in the collection, production, transformation and commercialization of the product are present or are represented in these negotiation processes.

Comments:	
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- 3.1.7 **Actors** are empowered to use the established mechanisms for transparency and dialogue, if necessary with the support of a third party

Possible verifiers:

- a. **actors** have received training in negotiation
- b. minutes of meetings

Comments:	
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3.2 Prices shall cover the costs of production according to this verification framework and include an adequate profit margin, thus ensuring adequate compensation

Comments 3.2:	
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- 3.2.1 Minimum requirement: The organization avoids immoral transactions in business relations according to international covenants, national law and practices (OECD Guidelines for Multinational Enterprises and UN Convention on Contracts for the Sale of Goods).

Comments:	
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- 3.2.2 Prices are based on negotiations that meet the **critereion** 3.1 and the different cost elements of which the price is composed can be identified

Possible verifiers: continuous information on

- a. defined quality,
- b. volume,
- c. service,
- d. good production practices
- e. production costs and profit margins,
- f. social and technological investment,
- g. target-market prices.

Comments:	
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- 3.2.3 At a minimum, prices cover the cost of production, including the requirements of this verification framework.

Comments:	
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- 3.2.4 Whilst remaining sustainable, prices match or exceed **local** market prices, if these exist.

Comments:

3.2.5 Profit margins are within locally acceptable norms.

Comments:

3.2.6 Determination of price is independent of other monetary or non-monetary benefits.

Comments:

3.2.7 Agreed commitments shall be properly documented according to **local** reality.

Possible verifier:

a. dated copies of agreements between the parties have been signed by **actors**

Comments:

3.2.8 Price is periodically reviewed, with the possibility of re-negotiation.

Possible verifiers:

a. an established price review mechanism exists

Comments:

3.3 The **organization** shall generate sustainable **local** development

Comments 3.3:

3.3.1 The **organization** generates employment at a **local** level.

Possible verifiers:

a. number of jobs generated,

b. services,

c. purchasing,

d. maintenance of infrastructure

Comments:

3.3.2 The **organization** promotes continuous improvement in the quality of life of the people and communities living in or around it.

Possible verifiers:

a. long-term contracts

b. payment in advance

c. price stability

Comments:

3.3.3 The **organization** participates in activities of sustainable **local** development in coordination with **local** authorities and civil society.

Comments:	
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3.3.4 The **organization** increases technical and commercial skills of producers and communities to enhance their ability to add value and diminish their dependence on a limited number of products and/or a limited number of buyers.

Comments:	
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3.3.5 There should be a baseline that identifies the conditions in the area before the **organization's** intervention.

Comments:	
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3.3.6 **Local** communities recognise that the activities carried out by the **organization** promote desirable **local** development.

Possible verifiers:

- a. minutes of **local** community institutions report equitable development
- b. interviews with local community people report equitable development

Comments:	
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3.4 Use of **traditional knowledge** shall be recognized, promoted and adequately compensated

Comments 3.4:	
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3.4.1 The **organization** has policies steered towards maintaining and/or placing value on traditional practices related to good management practices of natural resources.

Comments:	
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3.4.2 The use of **traditional knowledge** shall be based on the principle of **prior informed consent**, negotiation procedures consistent with clause 3.1, and respect international and national regulations, customs, values and traditional practices of the relevant communities.

Possible verifiers:

- a. Local communities have documents reflecting transparent negotiated agreements

Comments:	
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3.4.3 The use of traditional knowledge is considered all along the value chain.

Possible verifiers:

- a. The organization has carried out a proactive and participatory study to determine any links to traditional knowledge

b. There is documented negotiation on how traditional knowledge may be used and built upon

c. Traditional knowledge is explicitly considered in determining adequate price

Comments:	
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3.4.4 Benefits are redistributed according to agreements.

Comments:	
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4 Socio-economic sustainability (productive, financial and market management)

4.1 The **organization** shall demonstrate sound financial management

Comments 4.1:	
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4.1.1 *Minimum requirement:* The **organization** is currently profitable or has a viable business plan to become so.

Comments:	
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4.1.2 The **organization's** structure is in line with its production objectives and size.

Comments:	
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4.1.3 The **organization** has financial planning tools that provide an indication of its profitability and the feasibility of its long-term business plan.

Comments:	Most organizations do not have financial planning tools, specially for long term schemes
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4.1.4 The **organization** has knowledge of the markets and/or strategies to reduce dependence of one product or one buyer.

Comments:	Exporters are new in the market, at least most of them, relying their outcome in generally one product and almost allways one market
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4.2 The **organization** shall have enough quality-management capacity to access and remain in the target markets

Comments 4.2:	Most organizations anre SME who lack of needed competences
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4.2.1 The **organization** has identified the target markets.

Comments:	Only some have sound business plans
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4.2.2 The **organization** keeps records and relevant documentation to meet the requirements of the target markets.

Comments:	
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4.2.3 Products meet the relevant quality standards of the target markets.

Comments:	
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4.2.4 The **organization** has management capacity to maintain the quality level of its products.

Comments:	
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4.3 A system of traceability shall be in place that allows the identification of the product's origin all along the supply chain.

Comments 4.3:	Agree
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4.3.1 There is a clear identification of the areas, processes and workers from which the raw materials come in order to facilitate adequate traceability in the production chain.

Comments:	No
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4.3.2 Critical Control Points to monitor product traceability have been identified.

Comments:	Not all the time
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4.3.3 The **organization** keeps record of the basic information on the purchase of raw materials and processed or finished products and the supplier keeps record for basic information on the collection and/or cultivation of the species.

Comments:	No, specially for the second part
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4.3.4 Production records are kept to provide information on the cultivation/collection and processing systems being used.
Possible recorded verifiers: records on

- a. location,
- b. harvesting time,
- c. agricultural inputs used,
- d. agricultural/collection practices implemented
- e. quality of raw materials,

Comments:	No
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5 Compliance with national and international legislation

5.1 The **organization** shall know and comply with *local*, national, regional and international legislation as well as all administrative requirements related to use and trade of products and services derived from biodiversity.

Comments 5.1:	
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5.2 All fees, royalties, taxes and other legally applicable charges shall be paid.

Comments 5.2:	
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5.3 In the signatory countries, the provisions of all international agreements, such as CITES, the ILO Conventions and the Convention on Biological Diversity, shall be respected.

Comments 5.3:	
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5.4 The **organization** shall take measures to stop or report the illegal use of areas that it manages and/or where resources are used.

Comments 5.4:	
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6 Respect for the rights of *actors* involved in BioTrade activities

6.1 The **organization** respects human rights

Comments 6.1:	
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6.1.1 Minimum requirement: The **organization** takes measures to ensure the respect for human rights and there is no evidence of non-respect, nor of restrictive/discriminatory policies or practices.

Comments:	
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6.1.2 The **organization** respects the ILO Core Conventions on Forced Labour (ILO Convention 29), on Freedom of Association and Protection of the Right to Organize (87), on the Right to Organize and Collective Bargaining (98), on Equal Remuneration (100), on the Abolition of Forced Labour (105), on Discrimination (Employment and Occupation (111), on the Minimum Age Convention (138), on the Elimination of the Worst Forms of Child Labour (182), and the UN Convention against Trans-National Organized Crime, Protocol on Trafficking and Smuggling.

Comments:	
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6.1.3 The **organization** has policies that promote equality of treatment and sensitize its staff about the issue.

Possible verifiers:

- a. employees possess handbooks on organisational policy, signed and dated to indicate they have read and understood them.

Comments:	
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6.2 The organization shall respect national and international laws on the rights of local communities and indigenous peoples

Comments 6.2:	
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6.2.1 Where productive activities are developed in territories of **local** communities, the **organization** has a specific policy to ensure that their rights are not affected or infringed.

Comments:	
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6.2.2 **Indigenous peoples** control the management of the resources in their lands and territories, unless they delegate control with free and informed consent to other organizations.

Comments:	
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6.2.3 Sites of special cultural, ecological, economic or religious importance to **indigenous peoples** are clearly identified in cooperation with such peoples, and recognised and **protected** by those responsible for the management of the resources.

Comments:	
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6.3 The organization's activities shall have no negative impacts on the health and safety of surrounding populations

Comments 6.3:	
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6.3.1 The organization has identified the potential impacts of its activities on surrounding populations.

Comments:	
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6.3.2 The organization takes measures to avoid any negative impacts.

Comments:	
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6.4 The organization shall provide adequate working conditions

Comments 6.4:	
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6.4.1 Minimum requirement: The **organization** provides adequate housing where required by workers and potable water to all workers.

Comments:	
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6.4.2 Unless impossible, the **organization** issues long-term contracts to its employees.

Comments:	
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6.4.3 The **organization** ensures adequate working conditions and social security for its employees, meeting or going beyond the requirements of labour laws (this includes health services and education).

Comments:	
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6.4.4 Hygienic, healthy and safe working conditions (physical and mental) are guaranteed to every worker.

Comments:	
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6.4.5 The **organization** offers its workers training programmes and career development opportunities, and promotes proper working conditions among its suppliers.

Comments:	
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6.5 The organization shall threaten neither food diversity nor food security

Comments 6.5:	
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6.5.1 Impacts on food diversity and food security that could be generated by productive activities have been identified.

Comments:	
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6.5.2 The **organization** undertakes specific activities to eliminate its negative impacts on food diversity and food security.

Comments:	
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7 Clarity about land tenure, right of use and access to natural resources

7.1 The organization shall use land according to relevant tenure regulations

Comments 7.1:	
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7.1.1 Minimum requirement. There are no disputes over land tenure and access of substantial magnitude involving a significant number of interests.

Comments:	
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7.1.2 Land **tenure** and the rights to use the resources are clearly defined (e.g. property titles, leasing contracts, permits, evidence of customary rights).

Comments:	
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7.1.3 Community resources and tenure rights are not directly or indirectly threatened or limited by the management of resources.

Comments:	
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7.1.4 Appropriate mechanisms shall be employed to resolve disputes over **tenure** claims and use rights.

Comments:	
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7.2 The organization shall use the genetic resources it manages with the prior informed consent of the party that provides them

Comments 7.2:	
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7.2.1 The **organization** has carried out an administrative procedure soliciting access to the **genetic resources**.

Comments:	
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7.2.2 The **organization** can provide the contracts obtained for access to this resource.

Comments:	
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