

UEBT MONITORING AND EVALUATION REPORT 2021

Part 1 Background and methodology for the period 2020



March 2022



UNION FOR
ETHICAL
BI TRADE

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WITH RESPECT

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I. About UEBT

The Union for Ethical BioTrade (UEBT) is a non-profit association that promotes sourcing with respect. UEBT works to regenerate nature and secure a better future for people through ethical sourcing of ingredients from biodiversity.

The UEBT standard (also called the UEBT Ethical BioTrade standard or Ethical BioTrade standard) is based on the United Nations Conference on Trade and Development (UNCTAD) BioTrade principles and criteria. It is an internationally recognised voluntary sustainability standard that was developed with a wide range of stakeholders including companies, communities and civil society. Its principles are:

- **Principle 1:** Conservation of biodiversity
- **Principle 2:** Sustainable use of biodiversity
- **Principle 3:** Fair and equitable benefit sharing derived from the use of biodiversity
- **Principle 4:** Socio-economic sustainability (productive, financial and market management)
- **Principle 5:** Compliance with national and international legislation
- **Principle 6:** Respect for rights of actors involved in BioTrade activities
- **Principle 7:** Clarity about land tenure, right of use and access to natural resources

The standard guides UEBT's work in its membership, verification, certification and advisory programmes. These programmes include:

- Raising awareness of ethical sourcing of biodiversity
- Verifying ethical sourcing commitments and practices
- Certifying ethical sourcing systems
- Certifying ingredients from nature
- Collaborating with companies and other partners to address special issues through working groups
- Offering advisory services related to ethical sourcing or access and benefit sharing (ABS)



II. Report Methodology

UEBT operates a monitoring and evaluation (M&E) system for its membership and certification programmes. The system is designed in accordance with the ISEAL Alliance’s Code of Good Practice for Assessing the Impacts of Social and Environmental Standards Systems (ISEAL Impacts Code). It is set up to monitor and assess the extent to which the desired results identified in the UEBT Theory of Change (ToC) (Annex 1) are being achieved at three levels:

- **Level 1.** The reach and scale of the application of Ethical BioTrade principles and practices within member companies and their supply chains (Outputs),
- **Level 2.** The changes and medium-term results deriving from applying Ethical BioTrade principles and practices in member companies and their supply chains (Outcomes),
- **Level 3.** The long-term effects of Ethical BioTrade practices on workers in the production fields, communities and biodiversity (Impacts).

Table 1: Overview of the M&E system

M&E areas and levels	Description of the information collected	Method of collection	Frequency	Coverage
Level 1: Reach and scale - outputs	No. members, certificate holders, plant species, natural raw materials, supply chains, local suppliers and field operators, size of sourcing areas in UEBT programmes (internal use only)	Membership assessment reports; certification audit reports	Annually	All members and certificate holders Coverage 2020: 62
Level 2: Change and medium-term effects - outcomes	Actions taken to implement Ethical BioTrade requirements	Membership assessment reports; certification audit reports	Annually	All members and certificate holders Coverage 2020: 62
	Ethical BioTrade practices and medium-term effects	Case studies (Conducted or commissioned)	At least one study per year (alternatively to L3 studies)	Purposively selected members Coverage 2020: One company study (summary published)
Level 3: Long-term effects - impact	Effects of Ethical BioTrade practices on people and biodiversity	Case studies (Conducted or commissioned)	At least one study per year (alternatively to L2 studies)	Purposively selected members Coverage 2020: Two baseline studies (not published) One endline study (not published)

III. Data source and coverage

LEVEL 1. THE REACH AND SCALE OF MEMBERSHIP AND CERTIFICATION PROGRAMMES

The UEBT M&E system is currently able to provide information on the reach and scale of overall UEBT members involved in the membership and certification programmes. Information is reported in the form of descriptive statistics on the number of members, certificate holders, natural raw materials, plant species and supply chains they work with. Moreover, the number of local suppliers (i.e. Organisation at Source – OaS), field operators including farmers, farm workers and collectors is reported. Finally, the extension of the sourcing areas (i.e. cultivation and collection fields) is included but used for internal learning only.

Information is collected yearly through two main sources of data:

1. Certification audit reports for certificate holders
2. Membership assessment reports for members

The data is aggregated by country, region and production system. A description of the methodology used for gathering, storing and analysis – including aggregation - of information is provided below. Further information can be provided upon request of access to indicator protocols and guidelines for analysis.

The information presented in this report reflects figures for 2020 and is based on what has been recorded in the UEBT system through December 2021. In total, reach and scale information concerns 62 members.

LEVEL 2. THE OUTCOME: CHANGES AND MEDIUM-TERM RESULTS OF MEMBERSHIP AND CERTIFICATION PROCESSES

Information on changes and medium-term results of the application of Ethical BioTrade principles and practices are derived through audit reports as well as through case studies.

Membership audit reports - for members – and certification audit reports - for certificate holders - are analysed to obtain information on progress in the implementation of UEBT standard: what UEBT members do to fulfil Ethical BioTrade requirements. The information in the audit reports is based on auditors' observation, interviews and documents check, which take place every year for certificate holders and every three years for members.

A selection of the audit checklist is included in the analysis, which covers the main outcomes expected from the membership and certification process at the level of the members and along the supply chains. The selection is done prescriptively and illustratively to show some of the critical verifiers such as:

1. The verification checks for the membership conditions and obligations such as setting Ethical BioTrade commitments, having an Ethical Sourcing System defined, having conducted a risk assessment of ingredients, and having implemented ABS due diligence.
2. The verification checks for the set-up of the certification systems at the certificate holder or supplier levels and the continuous improvement of the implementation of Ethical BioTrade practices in the sourcing of certified ingredients.
3. The verification checks for the implementation of Ethical BioTrade practices in the sourcing of certified ingredients. These checks concern collection and cultivation practices as well as working conditions.

There are verification checks assessed with a 'yes' or 'no' scoring system. Other verification checks are assessed against a scale from 0 to 3. Not all verification checks selected are assessed for all members and certificate holders. This depends on the membership or certification setting that applies to each member or certificate holder. In this report, the percentage of members or certificate holders per each level of progress made is reported and it is calculated over the total number of members or certificate holders actually assessed per each verification check.

Besides the analysis of progress against Ethical BioTrade requirements implementation, some case studies are conducted for the analysis of the changes deriving from applying Ethical BioTrade principles and practices in member companies and certified supply chains. The studies focus on what are the processes behind the changes implemented to conform to UEBT requirements and what are the results of these changes. The studies complement the analysis of audit and annual reports with information on what is needed to implement the changes, what instead hampers the implementation, what are the experiences, expected and unintended results - both positive and negative.

The methodology for the studies has been developed in collaboration with external experts.

The changes and effects are studied in a qualitative form, based on the perceptions of the staff at the member companies and suppliers that are informing the studies. Possible areas of changes and effects are defined and guide the questions asked to informants, the analysis of documents and of the results of interviews. The idea is to stimulate specifications of the areas of change to emerge from the study.

The methodology is defined on the basis of a collaboration with ISEAL and AidEnvironment. Moreover, it has been consulted with UEBT staff members and with M&E staff from another standard organisation for further methodological inputs.

Study results have been verified with the informants involved, UEBT staff and M&E staff from another standard organisation.

Areas of changes and effects are determined considering the UEBT theory of change (Annex 1) and include: Ethical BioTrade sourcing strategy, Ethical BioTrade management system, brand value, value creation for workers and communities, right of actors, biodiversity friendly sourcing practices, actions for protection, and regeneration and enhancement of biodiversity (Annex 2).

These studies seek to explore if and how the UEBT pathways unfold in the reality of the companies studied. In doing so, the studies highlight possible variations of the pathways compared to what expected, shedding light on actual interventions, actions, effects and factors stimulating or hampering them.

The studies are explorative and qualitative. They do not aim at measuring impacts and causality. However, they introduce some strategies to ensure validity and reliability while highlighting correlations among the different steps of the pathways.

Namely:

1. *Combining different data sources.*

Secondary data are used together with primary data. Secondary data coming from audits and self-reports of the studied company and associated supply chains are meant to ascertain the activities implemented in the frame of the UEBT membership process and of the broader commitment with sustainability. Possible influencing factors are investigated as well. Primary data, collected through semi-structured interviews with relevant staff at the company and supply chains level, complement the secondary information on actions, effects, and influencing factors. Other secondary data have been gathered for a background analysis of the context in which the studied supply chains operate. These data include relevant statistics, scientific and grey literature and contribute to the understanding of the changes and effects occurring at the level of the member company and its supply chains, within the broader context where they take place. The combination of several sources of data improves the completeness and the accuracy of the findings. Objectivity is also improved because of the combination of several point of views.

2. *Defining data collection and reporting criteria.*

Criteria to report information derived from secondary data, questions to gather primary data through semi-structured interviews and templates for analysis are defined and can be used to replicate the study. This increases the reliability of the study since it sets the conditions for obtaining data that are comparable over time and case studies, should the same study be repeated in different periods and contexts. The criteria, questions and templates for analysis are defined on the basis of interventions, actions and effects that the UEBT programme seeks to promote. They have been validated through several rounds of revisions involving UEBT staff. The choice of semi-structured interviews allows to integrate a list of questions to include the results of the revisions as well as learning points from implemented interviews, when necessary. All this increases the validity of the study because it contributes to the relevance of the criteria, questions, and templates for the purposes of the study and for the studied cases.

3. *Defining units and sample of analysis.*

The UEBT membership and certification concern the companies' sourcing system for natural ingredients. It therefore impacts the supply chains practices of these ingredients with possible effects on the suppliers. To monitor and evaluate the full pathway of interventions, activities and effects, two units of analysis are therefore set for the study: the member or certificate holder and the suppliers of natural ingredients prioritised or certified. The resources available for the study determines the number of people to be interviewed at each unit of analysis. The samples are not statistically representative. However, qualitatively speaking, they are representative of the realities being studied. The categories of interviewees are defined thinking of those people at the level of the company and supply chain that might provide relevant information for the propose of the study. At the company level, relevant informants are those who are responsible for the implementation of the membership/certification processes and the sustainability strategy, as well as those that interact with suppliers. At the supply chain level, the relevant informants are representatives of suppliers that play a role in the interactions with the company, with the producers or collectors, and with the processors.

In 2020 no studies have been conducted on medium-term changes and effects. The focus has been on evaluation studies. The latest study on medium term changes and effects has been implemented in 2018. It concerned a long-term member of UEBT which is also certificate holder with herbal tea certification – Martin Bauer Group. Moreover, the company has its own sustainability standard and assurance system which is recognised by UEBT. The company is based in Europe and has supply chains all around the world. [The summary of the study](#) is published in the UEBT website. The study completes a series of studies where two other members with other membership and certification settings are studied ([Natura](#) and [Weleda](#)). The summaries of those studies are also published in the UEBT website.

LEVEL 3. THE IMPACT: LONG-TERM EFFECTS OF ETHICAL BIOTRADE PRACTICES ON WORKERS IN THE PRODUCTION FIELDS, ON COMMUNITIES AND ON BIODIVERSITY

For the long-term effects, evaluation studies are conducted on the areas of changes and effects concerning improved livelihood and local development and conservation and sustainable use of biodiversity (Annex 2).

Two approaches are followed for the implementation of the evaluation studies. When conditions allow a baseline study is conducted to assess the situation before the starting of the interventions. A follow up study is then implemented after some years from the beginning of the interventions to assess any impact determined by the interventions compared to the baseline situation. A second approach, the most feasible, is that one study is implemented after some years from the beginning of the interventions and impact assessed through comparison with control groups (when available), with the context and with the situation at the beginning of the interventions based on informant self-comparison.

Both approaches do not aim at measuring causality. However, they introduce some strategies to ensure validity and reliability while highlighting correlations among actions in place and the socio-economic and environmental impacts evaluated. Namely:

1. Reliability and validity

Aspects to be assessed are defined considering the UEBT ToC and the expected impacts on value creation for workers and communities, right of actors, biodiversity sustainable use and conservation (Annex 2). Specific indicators are defined at the beginning of each evaluation study based on a desk-based assessment and preparatory interviews with key informants. The indicators fall into the expected areas of impact as per the UEBT ToC, however they are also context specific. They are indicators that highlight aspects that are meaningful in the context of study to determine the conditions of biodiversity, workers and local communities.

Random samples are drawn using stratified sampling methods. This is done to ensure that the sample selected for the studies is representative of key typologies within the population studied while ensuring some degrees of randomisation. The method also ensures that no typology is overrepresented.

2. Isolate factors behind impact

In 2020 there were four evaluation studies completed. Two of them being baseline studies and one of them being the endline study of a project started in 2017 and for which a baseline study was conducted by UEBT in the same year. One more study looked at the changes and effect of UEBT certification for a company with its own sustainability standard certified by UEBT. Some of those studies are confidential and their results cannot be published. The summary of the study concerning the company is publicly available in the UEBT website. The study goal was to gain insight into the possible positive, as well as unintended negative, effects of external certification programs on companies that have their own internal sustainability standards.

IV. Data quality and limitation

DATA FROM AUDITS AND ANNUAL REPORTS

Since 2015, UEFT has a M&E data management approach, including procedures for data collection, storage and access, quality, analyses, reporting and sharing; and confidentiality.

UEFT has developed protocols for each reach, scale, outcome indicators collected. The data collection protocols are the basis for the guidance given on data collection. The guidance is made available to UEFT staff, auditors and UEFT members that are required to fill out the audit or annual report templates. This is to ensure that the information reported is coherent and reliable.

Guidance exists - and is available for the M&E staff – on how to clear, store, analyse and report the information gathered on reach and scale. Among the recommended actions for clearing is the cross-check of data gathered from different entry points and over time. In case of incoherence, the auditors or the members are contacted to verify the data even before entering the information into the database.

Other guidance is provided on how to analyse information – after they are stored in the database - for the purpose of dealing with:

- 1. Double counting:** A method is in place to ensure that size of production fields correspond to what is used for the production of the volumes sourced. Another analysis is done to ensure that each different supply chain, natural raw material and plant species is counted just once. Verifications are conducted when disproportionate values are noticed (see ‘outliers’ below).
- 2. Missing values:** Procedures are defined to cover missing values for one year with the values provided for the years before and to track this. When information from previous years are not available, the date is not filled out and track of the missing values is kept in the data analysis files.
- 3. Outliers:** Extreme values are treated in a qualitative way by identifying them, understanding the reasons behind them, considering them in the counting when they are plausible, and pointing out their presence and motivation in the reporting.

M&E data is used for different types of reporting. For example, data is regularly reported – both internally and externally - through the UEFT annual report and M&E system reports. Internal reporting is a tool to further verify information reported with the UEFT staff and address incoherence that might emerge based on the experience of the UEFT staff.

The relatively limited number of members and certificate holders has allowed UEFT staff to manage data gathering, quality check and analysis manually and reliably. Recently, the intensification and expansion of UEFT activities (e.g. new members as well as new certification programmes) have challenged the current system, showing some limitations including reduced accuracy of some figures, increasingly time-consuming processes of data collection and analysis, limited relevance of the information collected:

1. The list of indicators is perceived by the UEBT staff as dispersive and, therefore, of little use for learning. A reduced list of indicators focussing on key learning points is to be defined. The process to refine indicators has been combined with the process of standard revision and new indicators will be used once the new approved standard will enter into force.
2. There are different interpretations among the members of the information asked to be provided. This requires a huge effort of verification and several rounds of submission. The process of filling out information has to be more guided with automatic control points that alert in case of wrong information provided. This is in the phase of being implemented in parallel to the definition of online data management system for UEBT.
3. Some figures from the fields, especially those concerning wild collection, fluctuate from one year to the other because of context dynamics connected with change in the sourcing areas and field operators. The high fluctuation does not support the implementation of meaningful comparisons over the years.

DATA FROM STUDIES

Quality assurance mechanisms are built along the entire process of defining, implementing and finalising studies. These mechanisms are formalised into general guidelines and consolidated into UEBT internal procedures. The terms of references (ToR) and research proposals are defined and, when possible, reviewed by researchers and peers to assess the methodological robustness of the evaluation. Furthermore, there are internal discussions within UEBT staff and members involved in the study to assess the relevance and feasibility of the proposals. Finally, the methodology of some of the studies considers what methodologies have already been developed in collaboration with ISEAL, RJC and AidEnvironment.

When studies are commissioned, researchers are chosen among consultants and research institutes well recognised for their professionalism and without connection with the studied case. Moreover, local researchers with experience on studying impact of sustainability standards are preferred to ensure their understanding of the context and of the topic of investigation. When the evaluation is conducted internally, the independence of the researcher is ensured through reviewing intermediate and final results of the studies by staff members not involved in the study and also by people involved in the study. This procedure is used to reduce the risk of bias and it is recommended in the case of independent studies too.

Early impact evaluations have used a multiannual approach and started with a baseline study. The baseline was meant to provide the base upon which future measurements are conducted, generating a time series for the same research samples. However, this approach proved ineffective. For some of the baseline studies it was not possible to implement follow up studies because the relations between the UEBT member companies and their suppliers interested by the studies changed. Another reason for not implementing the follow up studies to the baselines was that the conditions in the contexts changed and reduced accessibility.

Baseline information was therefore not used in several cases. For this, the decision was taken to prefer the implementation of single evaluation studies and use context level statistics, control groups and sample self-comparison with years before the implementation of interventions to assess the impact of those interventions.

However, also the use of control groups proves to be difficult sometimes due to limited accessibility of people not involved in the interventions and community conflicts that can generate when trying to reach out to those not benefiting from interventions. Moreover, the samples selected according to statistic and qualitative representativeness starting from existing lists is not always found in the field and some interviewees need to be replaced. This may impact on the representativeness of the sample but cannot be avoided.

Despite the limitations that are met during the implementation of evaluation studies, some methods are used to ensure the reliability and validity of the findings. They include the triangulation of different data sources, identification of cases and samples that are representative of the reality and variety under investigation, comparisons with the context, and definition of clear data collection and reporting procedures (e.g. list of questions, templated to be filled out for data reporting).

In the approach followed by UEBT there is not a defined list of indicators. There are areas of impact, defined starting from the UEBT ToC. Indicators and the methods for data collection and analysis are defined case by case. This limits the opportunities for comparisons but improves the capacity of the indicators to represent the reality being studied and the reliability of the studies¹.

Case studies are selected to be representative of UEBT programmes and contexts of operation. So far, studies have involved members with different certifications. The first studies conducted were of long-term members since this provide a sufficiently extended timeframe for analysis. Moreover, the involved companies work in different countries and with different ingredients – allowing us to view a variety of situations.

Prioritisation of case studies is required given the limited resources available for M&E. UEBT will gradually expand M&E activities to cover more countries and companies with respect to identification of changes, results and effects.

UEBT has procedures to ensure that evaluations are conducted ethically. These procedures are formalised into general guidelines and implemented through consolidated UEBT internal procedures. Consent forms and study presentations are used to ensure the right of study participants to be adequately informed about the study purposes and contents as well as on the use of the final results. Moreover, UEBT is aware of the need to not alter established relations and dynamics. The right of UEBT to share and publish information is fulfilled while protecting the confidentiality of people and companies. Finally, UEBT is aware that the people and companies involved in the study provide a good deal of their time and resources to participate.

UEBT also commits to publish the results of the studies, the methodology used and the reference to the experts conducting the studies. This is done to ensure transparency about the work of UEBT and its results. However, UEBT seeks to ensure the confidentiality of the organisations involved in the studies. In some cases, full reports and details cannot be published. Hence, summaries are published. In other cases, no information – even in the form of summaries - can be disclosed. In any cases full methodology and results are available at UEBT, discussed internally and made available when required if this does not conflict with confidentiality.

¹ Other opportunities and limit of the approach to evaluation studies are presented in the summaries of the case studies showed in this report.

V. Learnings

UEBT's mission is to regenerate biodiversity and secure a better future for people through the ethical sourcing of ingredients from nature. UEBT works in a context where new sustainability challenges, shifting market dynamics, and evolving stakeholder expectations all require regular adaptation and improvement of the programme's certification standard, assurance mechanisms, training, and other strategies.

The M&E activity at UEBT is carried out with two main goals. On the one hand, the M&E activities provide reliable evidence on the performance and impact of UEBT and its members to be communicated to interested stakeholders. On the other hand, the results of the M&E work shall be used as internal learnings to inform the adaptation of the UEBT and its members actions to changing contexts and conditions of operation. This process of continuous adaptation is meant to ensure the effectiveness of these actions in delivering expected impacts.

In order to fulfil these two goals, the M&E activity at UEBT is closely monitored and adjusted as well to be always able to provide the most relevant and reliable information. From the M&E results presented in this report – also discussed with UEBT staff and Board of Directors - the learnings for the adjustment of UEBT M&E approach can be summarized in three main points.

INTENSIFY REPORTING FROM THE FIELDS OF PRODUCTION

As UEBT started as a management system approach, reporting from the field of production started after the ingredient certification programme was initiated and it is now included in the requirements for ethical sourcing system certification as well. Data gathered from the fields gives the best insights on the results of UEBT related actions on socio-economic and biodiversity conditions for field operators and their communities. With increasing interest in certification - from existing and new members - there is an opportunity to expand the range of contexts, ingredients and supply chains from which information on biodiversity and socio-economic actions and impacts can be gathered.

In this process it is important to maintain and improve reliability of the data collected as well as to increase the effectiveness of the data analysis. UEBT is planning to invest in information and technology tools to automatize the way data are entered – by auditors and members - into the UEBT system and validated – by the UEBT staff.

A further improvement can come from using geolocation tools as part of the UEBT M&E system. This would allow identifying the exact area where monitored actions take place and what are the main risks and opportunities for people and biodiversity that are relevant in that area and that are impacted by the actions.

However, the same level of detail of reporting cannot be reached for prioritised supply chains in the frame of the membership programme. For these supply chains, field verifications are not carried out and field information is not gathered. Moreover, even the collection of information in the frame of the certification programme is complex for UEBT members that do not work directly with field producers and have one or more suppliers in between. In the future, in parallel with the revision of the UEBT standard, indicators may need to be further adjusted to consider the challenges in gathering information faced by the members downstream in the supply chain.

BRING EVALUATION STUDIES TO THE NEXT LEVEL: REPLICATION, COMPARISON AND DEFINITION OF INDICATORS

The studies, especially those on the changes and effects deriving from UEBT membership and certification process, provided insightful information on what works and what does not work in the process of complying with UEBT requirements. From this, the intention to continue working on a principle-based M&E approach which looks at the process behind the compliance or non-compliance results. More qualitative evidences on these processes will be provided by replicating the same methodology over different case studies.

As far as the impact studies are concerned, the current baseline studies shall be completed with follow up studies. Future impact studies shall build on them. Build up indicators to measure changes at the field level as part of the follow up studies. Ensure that new cases for future impact studies are selected to test and refine the indicators in different contexts and different production systems.

Scientific validity and reliability shall guide the evaluation studies' definition and implementation. However, simple communication material (e.g. videos and summaries) shall be derived from the studies to share the result with wide public.

DRIVE THE UEBT STANDARD TOWARDS PERFORMANCE AND PRACTICES

From the analysis of compliance, it emerges that several critical criteria in the certification checklists are on procedures. There are some criteria on actions taken to implement certain practices with respect to production, price setting and similar issues. In some cases, members score better with respect to these criteria than with respect to the criteria on procedures. In any case, implementing good practices is what actually creates changes and generates impact. The UEBT standard revision took place in 2019/2020 and considered this finding. The case studies together with qualitative analyses of the audit reports conducted so far provide examples of what good practices are put in place for compliance with the UEBT standard and what are the possible unintended effects.

These practices have been spelled out in the new standard and guidance material for members has been defined in an attempt to drive actions. Moreover, the unintended effects have been considered to identify possible adjustments to be introduced in the new UEBT standard.

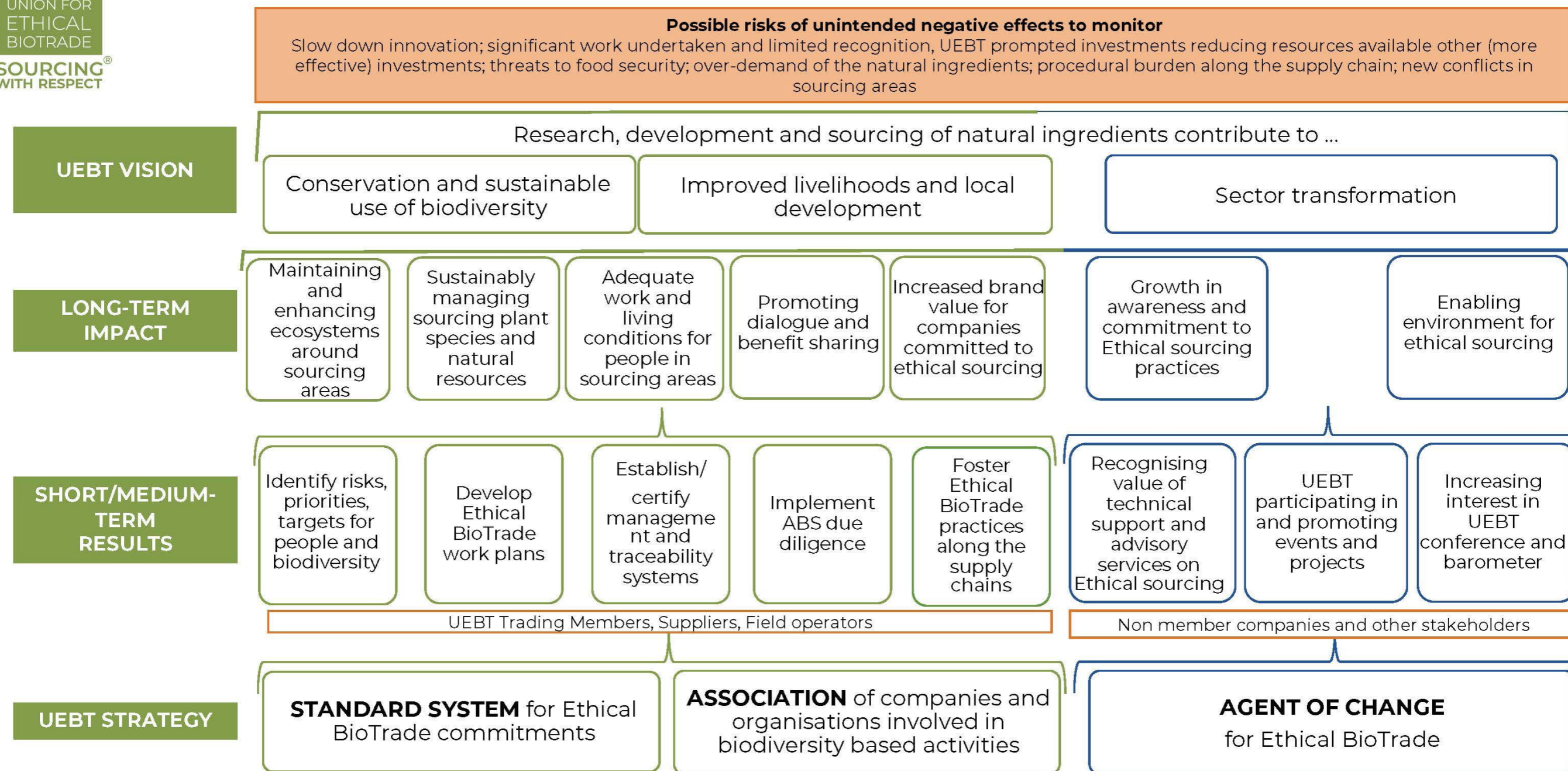
Furthermore, assessment of performance and impact for all practices implemented following the new standard is now required. These requirements are meant to raise awareness and performance among members in monitoring and evaluating their actions, how far they are implemented and to what extent they are generating the expected impact.

UEBT is working on tools that may facilitate certificate holders, suppliers and field operators in assessing their performance with respect to biodiversity and socio-economic contributions when implementing UEBT-required actions and over time. Those tools may be made available as part of the audit process and used to assess compliance. At the same time, they can be used in the UEBT M&E system to gather data on biodiversity and socio-economic effects of UEBT members' actions.



UEBT Theory of change (TOC)

Short version based on V2 – 23-08-16



¹ In 2020, a new ToC was published by UEBT. This report still builds on the previous version, reported here. The new ToC can be found at this link: <https://www.ethicalbiotrade.org/resource-pages/uebt-theory-of-change>

ANNEX 2. Monitoring and Evaluation indicators

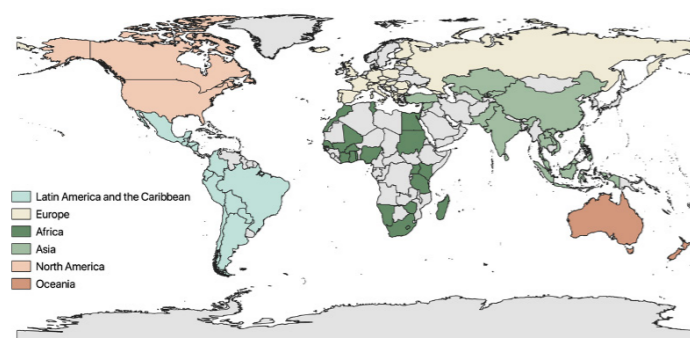
VISION	AREAS OF SHORT/MEDIUM/LONG TERM EFFECTS	INDICATORS			
		L1 REACH & SCALE	L2 CHANGES	L3 IMPACT	UNINTENDED EFFECTS
Sector transformation	Ethical BioTrade sourcing strategy	Percentage of prioritized natural ingredients <i>Cultivation</i> <i>Wild collection</i>	Setting Ethical BioTrade Commitments % members compliant % members per level of compliance		*Slow process of alignment of the staff and suppliers with the strategy
		Percentage of certified UEBT natural ingredients <i>Cultivation</i> <i>Wild collection</i>	Making Commitments publicly available % members compliant % members per level of compliance		
		Percentage of certified UEBT-UTZ natural ingredients <i>Cultivation</i> <i>Wild collection</i>	Complying with UEBT entry indicators - internal only % members compliant % members per level of compliance		
	Ethical BioTrade management system	Number of trading member <i>Per position in the supply chain</i> <i>Per geographic areas</i> <i>Per country</i>	Having an Ethical Sourcing System defined which includes scope, policies, procedures, internal monitoring system, training programme % members compliant % members per level of compliance		*High demand for human or economic resources
		Number of trading members that adopted certification program <i>IMS certification</i> <i>ESS certification</i> <i>Herbal tea certification</i>	Having conducted risk assessments of the natural ingredient portfolio following Ethical BioTrade principles % members compliant % members per level of compliance		* Increase in complexity and workload * Reduced supply options and risk of losing existing suppliers for increasing requirements
		Number of prioritised Organisation at Source/local suppliers <i>Per geographic areas</i> <i>Per country</i>	Having ABS permits - internal only % members compliant % members per level of compliance		
		Number of certified UEBT Organisation at Source <i>Per geographic areas</i> <i>Per country</i>	Policies, procedures, and guidelines - IMS - established and in line with the certification protocol to regulate the certification system % members compliant % members per level of compliance		
		Number of certified UEBT-UTZ Organisation at Source <i>Per geographic areas</i> <i>Per country</i>	Rules and procedures established for Local Monitoring System - LMS - to ensure that the IMS is sufficiently complemented and replaced % members compliant % members per level of compliance		
		Number of verified Organisation at Source OaS/local suppliers <i>Per geographic areas</i> <i>Per country</i>	Documented information available about all stages of production and processing process as well as control points for traceability per each supply chain included in the certification % members compliant % members per level of compliance		
			Procedures are established to assess compliance with traceability requirements at each of the control points % members compliant % members per level of compliance		
			Procedures are established to incentivise continuous improvement of suppliers and producers in the fields regarding Ethical BioTrade practices % members compliant % members per level of compliance		
			Procedures are implemented and non-conformities with Ethical BioTrade requirements are closed % members compliant % members per level of compliance		
			Procedures are in place to invest UTZ premium to the benefit of producers in the field and local communities - internal only % members compliant % members per level of compliance		
			*Increased effectiveness in sourcing system management (traceability, assurance, risk identification)		
	Brand value	% of turnover per sector <i>Cosmetic</i> <i>Food</i> <i>Pharmaceutical</i>	*Ability to stay ahead on sustainability issues *Enhanced corporate reputation *Enhanced credibility *Additional value to certified products		

VISION	AREAS OF SHORT/MEDIUM/LONG TERM EFFECTS	INDICATORS			
		L1 REACH & SCALE	L2 CHANGES	L3 IMPACT	UNINTENDED EFFECTS
Sector transformation	Value creation for workers and communities	Volumes of prioritized raw materials <i>Per production system</i> <i>Per geographic areas</i> <i>Per country</i>	Promoting active participation of field producers in discussion and negotiation on prices % members compliant % members per level of compliance	*Increase opportunities for value creation along the supply chain	*Complexity in interpreting requirements in particular situation while assuring compliance
		Volumes of certified UEBT raw materials <i>Per production system</i> <i>Per geographic areas</i> <i>Per country</i>	Wages paid in line with minimum wage regulation, collective bargaining agreements or other official wage regulations % members compliant % members per level of compliance		
	Volumes of certified UEBT-UTZ raw materials <i>Per production system</i> <i>Per geographic areas</i> <i>Per country</i>	The UTZ premium is spent in a timely, convenient and transparent manner - internal only % members compliant % members per level of compliance			
	Right of actors	Volumes of verified raw materials <i>Per production system</i> <i>Per geographic areas</i> <i>Per country</i>	*Growth in professionalism *Increased negotiation power and institutional capacity *Improved income opportunities *Improved access to services and goods		
		Number of first stage actors involved in the prioritized supply chains, classified in: <i>Per production system</i> <i>Per geographic areas</i> <i>Per country</i>			
		Number of first stage actors involved in the certified UEBT supply chains, classified in: <i>Per production system</i> <i>Per geographic areas</i> <i>Per country</i>			
		Number of first stage actors involved in the certified UEBT-UTZ supply chains, classified in: <i>Per production system</i> <i>Per geographic areas</i> <i>Per country</i>			
		Number of first stage actors involved in the verified supply chains, classified in: <i>Per production system</i> <i>Per geographic areas</i> <i>Per country</i>			
	Biodiversity friendly sourcing practices	Equal remuneration for men and women for work of equal value % members compliant % members per level of compliance	* Women involvement in relevant roles * No children involvement in economic activities	*Complexity in interpreting requirements in particular situation while assuring compliance	
		Promoting active participation of field producers in discussion and negotiation on sourcing activities % members compliant % members per level of compliance			
		Ensure equal participation in trainings and awareness raising sessions for men and women % members compliant % members per level of compliance			
		Respect of equal working hours of 48h per week % members compliant % members per level of compliance			
		No involvement of children below 15 years hold in sourcing activities % members compliant % members per level of compliance			
		*Improved salaries, safety, and working schedule			
	Actions for protection, regeneration and enhancement of biodiversity	Size of production field for certified UEBT raw material - internal only <i>Per production system</i> <i>Per geographic areas</i> <i>Per country</i>	Establishing good collection/cultivation practices to ensure negative impact on biodiversity are avoided/mitigated % members compliant % members per level of compliance	*Ensured restoration of used natural resources over time	*Complexity in interpreting requirements in particular situation while assuring compliance
		Size of production field for certified UEBT - UTZ raw material - internal only <i>Per production system</i> <i>Per geographic areas</i> <i>Per country</i>	Implementing good collection/cultivation practices to avoid/mitigate negative impact on biodiversity % members compliant % members per level of compliance	*Ensured regeneration of used biological resources over time	
		Size of production field for certified verified raw material - internal only <i>Per production system</i> <i>Per geographic areas</i> <i>Per country</i>	*Increasing awareness on biodiversity		
		Number of prioritized raw materials <i>Per production system</i> <i>Per geographic areas</i> <i>Per country</i>			
		Number of certified UEBT raw materials <i>Per production system</i> <i>Per geographic areas</i> <i>Per country</i>			
		Number of certified UEBT-UTZ raw materials <i>Per production system</i> <i>Per geographic areas</i> <i>Per country</i>			
		Number of verified raw materials <i>Per production system</i> <i>Per geographic areas</i> <i>Per country</i>			

NOTE: Indicators with * are derived from the studies implemented in 2017-2018. They are indicators for medium and long term and unintended effects. In the UEBT approach to assessing effects, the areas of effects are defined in line with ToC while the indicators are specified and assessed case by case

ANNEX 3. UEBT countries in 2020 and definition of geographic regions

Country	Members	Certificate holders	No of prioritised plant species	No of prioritised supply chains	No of certified plant species	No of certified supply chains
Albania	0	0	2	3	17	28
Argentina	1	1	2	2	3	3
Australia	1	0	9	10	0	0
Austria	0	0	2	2	0	0
Belgium	0	0	1	1	0	0
Bolivia	0	0	1	1	0	0
Bosnia and Herzegovina	0	0	0	0	1	2
Brazil	8	3	22	52	27	92
Bulgaria	0	0	6	17	23	42
Burkina Faso	2	1	5	6	3	4
Canada	0	0	2	2	0	0
Chile	1	1	3	3	3	4
China	0	0	21	28	2	2
Colombia	1	0	3	4	0	0
Comoros	0	0	1	1	0	0
Côte d'Ivoire	0	0	4	7	0	0
Croatia	1	1	3	8	8	21
Czech Republic	1	0	2	2	0	0
Ecuador	0	0	2	2	0	0
Egypt	0	0	8	11	22	35
El Salvador	0	0	1	2	0	0
Finland	0	0	1	1	1	1
France	12	0	14	15	3	4
Georgia	0	0	0	0	9	11
Germany	6	5	6	7	28	56
Ghana	0	0	1	1	0	0
Greece	0	0	3	4	0	0
Guatemala	1	0	2	5	0	0
Haiti	0	0	1	1	0	0
Honduras	0	0	1	2	0	0
Hungary	0	0	2	4	15	18
Iceland	0	0	1	1	0	0
India	1	0	15	22	1	1
Indonesia	0	0	2	4	1	1
Israel	0	0	1	1	1	1
Italy	2	2	8	13	6	8
Kazakhstan	0	0	0	0	8	8
Kenya	0	0	2	2	0	0



Country	Members	Certificate holders	No of prioritised plant species	No of prioritised supply chains	No of certified plant species	No of certified supply chains
Kosovo	0	0	19	25	0	0
Kyrgyzstan	0	0	0	0	1	1
Laos	0	0	1	1	0	0
Latvia	0	0	1	1	0	0
Lesotho	1	1	2	2	2	3
Madagascar	3	0	14	24	4	6
Malaysia	0	0	1	1	0	0
Mali	0	0	2	2	0	0
Mauritius	0	0	1	1	0	0
Mexico	1	0	4	8	3	3
Moldova	0	0	0	0	1	2
Morocco	1	0	11	14	2	2
Namibia	0	0	1	1	0	0
New Caledonia	0	0	0	0	1	1
New Zealand	0	0	1	1	0	0
Nicaragua	0	0	1	1	0	0
Nigeria	1	1	0	0	1	1
North Macedonia	0	0	1	1	0	0
Pakistan	0	0	1	1	0	0
Paraguay	0	0	3	3	5	13
Peru	3	0	26	50	1	1
Philippines	0	0	1	1	0	0
Poland	0	0	6	7	7	41
Portugal	0	0	0	0	1	1
Réunion	0	0	1	1	0	0
South Korea	0	0	2	2	1	1
La Réunion	0	0	2	2	0	0
Senegal	0	0	1	1	0	0
Serbia	0	0	0	0	10	13
South Africa	1	0	5	5	0	0
Spain	2	0	33	38	8	8
Sri Lanka	0	0	1	5	1	1
Sudan	1	1	0	0	1	1
Switzerland	0	0	2	2	0	0
Syrian Arab Republic	0	0	1	1	0	0
Tanzania	1	0	1	1	0	0
Syria	1	1	1	1	1	1
Togo	0	0	3	4	0	0
Tunisia	0	0	1	1	0	0
Turkey	1	1	4	5	16	30
Uganda	0	0	1	1	1	1
United Kingdom	1	0	2	3	1	1
United States	1	1	3	3	3	6
Uzbekistan	0	0	2	2	0	0
Vanuatu	0	0	1	1	0	0
Viet Nam	3	0	6	13	1	1
Zimbabwe	2	0	8	12	24	26



UEBT is a non-profit association that promotes sourcing with respect. Its mission is to regenerate nature and secure a better future for people through ethical sourcing of ingredients from biodiversity.

CONNECT WITH US:

www.uebt.org

@EthicalBioTrade 

www.linkedin.com/company/uebt 

www.youtube.com/user/UEBTgva 

UNION FOR ETHICAL BIOTRADE
De Ruijterkade 6, 1013 AA
Amsterdam, The Netherlands
Phone: +31 20 22 34567
Email: info@uebt.org

FINANCIAL ADMINISTRATION
p/a CR Gestion et Fiduciaire SA
Rue de la Vallée 3
1204 Geneva, Switzerland

BRAZILIAN REPRESENTATION
Belém
Phone: +55 51 999161702
Email: brazil@uebt.org

MALAGASY REPRESENTATION
Antananarivo
Phone: +00261330586161
Email: madagascar@uebt.org

S-E ASIA REPRESENTATION
Hanoi
Phone: +84 (0) 91 551 06 09
Email: vietnam@uebt.org

SOUTH ASIA REPRESENTATION
Ghaziabad
Phone: +91 981 810 1690
Email: india@uebt.org