



## **Monitoring & Evaluation Public System Report**

**- March 2018 -**

**Union for Ethical BioTrade (UEBT)**

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## 1. Background

The Union for Ethical BioTrade (UEBT) is a non-profit association that promotes sourcing with respect. It supports and verifies companies' commitments to innovation and sourcing that contribute to a world in which people and biodiversity thrive. UEBT manages the Ethical BioTrade standard, which is used to guide and validate company practices on research, innovation, product development, and sourcing strategies for natural ingredient supply chains in the cosmetics, food and pharmaceutical sectors.

The Ethical BioTrade standard defines practices that advance sustainable business growth, local development and biodiversity conservation. It includes practices that:

- Promote biodiversity conservation by maintaining and restoring ecosystems and by using biological resources sustainably
- Contribute to local development by equitably sharing the benefits derived from the use of biodiversity
- Respect human rights, worker rights, the rights of indigenous peoples and local communities, and other rights linked to natural resources
- Address sourcing risks and thus improve the socio-economic viability of companies and their products.

Companies implement Ethical BioTrade practices at two levels: within the company itself and along their supply chains. It is through these practices that the most significant change is achieved in the context of UEBT.

## 2. About the UEBT Monitoring & Evaluation (M&E) System

UEBT has a Monitoring & Evaluation (M&E) System to gather information on and assess the implementation of Ethical BioTrade practices and their results. It provides insights on the reach of the UEBT approach (e.g. the number of suppliers, workers, countries it reaches, etc.), the results of UEBT strategies, and the changes promoted in member companies and their supply chains (e.g. outputs and impacts). The UEBT M&E system is based on regular collection of data, case studies and evaluation of selected activities. UEBT also continues to explore new M&E approaches to improve its system and reduce costs.

As a member of ISEAL Alliance, UEBT have developed its M&E System following the ISEAL Code of Good Practice for Assessing the Impacts of Social and Environmental Standard Systems. The UEBT M&E system is proportionate to the size of the organisation and verification and certification activities and it is regularly updated in its scope, activities and tools as the organisation evolves. Annual staff meetings, adoption of organisation strategic plans, and standard reviews are occasions to discuss and update the M&E system. Changes are documented in the M&E public system report.

### 2.1 Scope and boundaries

The UEBT M&E system covers the main UEBT strategies and activities. UEBT implements the Ethical BioTrade standard through the UEBT membership program and the UEBT certification programs (IMS certification program and UEBT/UTZ herbal tea certification program). The focus of the UEBT M&E System is thus assessing UEBT strategies and activities to reach out to its member companies, promote changes in the way they manage their sourcing activities, and foster positive effects for people and biodiversity along the supply chains and in sourcing areas.

In particular, the UEBT M&E system monitors and evaluates the following activities of UEBT and its members:

- The reach and scale of UEBT promotion of Ethical BioTrade principles and practices within member companies and certified supply chains (Outputs, Level 1)
- The changes and results deriving from Ethical BioTrade practices in companies and certified supply chains (Outcomes, Level 2)
- The effects of Ethical BioTrade practices on companies, suppliers, people and biodiversity (Impacts, Level 3).

#### **Box 1. Monitoring & Evaluation in the UEBT Strategic Plan**

UEBT adopted a new strategic plan for 2017-2020, which informed the update of M&E objectives:

- Improving the quality, and automatising the collection, of information on the reach and scale of UEBT and its members
- Using available information, characterising prioritised and certified supply chains and the interventions (outputs) for the implementation of Ethical BioTrade Principles
- Using available information, characterising the perception of UEBT members and external stakeholders toward UEBT work
- Continuing to systematically ascertain outcomes and impacts in key areas of UEBT interventions
- Revising the UEBT Theory of Change (TOC) with insights gathered from evaluation of outcomes and impacts and in line with the 2018 Ethical BioTrade standard revision.

In terms of material scope, the UEBT M&E system currently covers the reach and scale of all UEBT strategies and activities. For changes, results and effects it currently extends only to selected UEBT members. M&E activities now focus on the oldest and largest UEBT members, based on their more significant contribution to outcomes and impacts. Prioritisation is also 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.

In terms of geographical scope, UEBT currently has 34 Trading Members based in Latin America, Europe, Africa and Asia, which have a Biodiversity Management System (BMS) that is gradually promoting Ethical BioTrade practices along over 1.400 supply chain around the world. Additionally, UEBT members have prioritised approximately 200 supply chains in which they undertake additional efforts to accelerate the implementation of the Ethical BioTrade standard.

UEBT certification programs began in 2016. Three Trading Member initially joined the UEBT certification programs. These Trading Members are based in three different countries and continents. They work with a total of 320 certified supply chains in 28 countries; the 60% of certified supply chains being in European countries. There are 86 certified natural ingredients, which correspond to 141.932 MT of sourced products from 72 producer organisations.

### **3. M&E roles and responsibilities**

#### **3.1 Staffing and financial resources**

Since 2013, UEBT has M&E officers as part of its staff. Other UEBT staff members contribute to M&E activities, through collection and assessment of M&E data and further development of the M&E System. It is estimated that the total time dedicated by UEBT staff amounts to 0.75 full-time equivalent (FTE), which corresponds to 15% of UEBT's total staff resources, and 25% of the resources dedicated to verification and certification.

In terms of financial resources, the M&E system represents 25% of the core budget. Financial resources are also made available, on project basis, for the implementation of case studies on outcome and impact evaluations, additional to the regular collection of performance monitoring data. Travel and consultants involved in the case studies are covered by these resources. Financial resources are also invested in UEBT staff trainings on M&E. UEBT covers these activities primarily through unrestricted financial resources, which is significant given such resources are limited.

Resources available have allowed UEBT to fulfil its M&E priorities and work plans. UEBT has been able to set up its M&E system and collect certain performance monitoring indicators on regular basis. Studies on outputs and outcomes have been commissioned and others are under implementation. The recent expansion of resources devoted to UEBT M&E activities will ensure their continuation, expansion and further professionalization. It will allow systematising and automatizing further the M&E system to collect and verify performance monitoring data for an increasing number of members and programs.

### 3.2 M&E roles and responsibilities within UEBT

UEBT is a small organization and all staff members are involved in the M&E System. M&E roles and responsibilities are distributed within the UEBT staff (see table 1).

#### Box 2. UEBT staff working on Monitoring & Evaluation (M&E)

- UEBT M&E Officer  
Simona D'Amico  
simona@uebt.org
- [Other UEBT staff](#)

#### *Role and responsibilities of UEBT M&E Officer*

With an academic background in research and methodology for the study of agrobiodiversity, the UEBT M&E Officer is responsible for the overall development, implementation and management of program level monitoring and evaluation. In particular, she is responsible for:

- Continuous development and management of the M&E system
  - Developing conceptual approaches, regularly updating theory of change as well as M&E priorities and indicators, integrating M&E in UEBT sustainability programs,
  - Developing and testing of methodologies and approaches for reliable performance monitoring and evaluation studies.
- Implementation of the M&E system
  - Collecting, analysing and managing M&E data,
  - Establishing research and analysis capacity, research partnerships and external collaboration on M&E, as well as managing the implementation of impact studies at company and field level,
  - Ensuring external communication of M&E results and their use for internal learning and decision making.
- Integration of M&E system throughout UEBT
  - Facilitating and managing stakeholder and UEBT staff engagement processes with M&E,
  - Providing inputs and guidance on the M&E components of the other UEBT work and programs.
- Quality control of M&E system
  - Maintaining compliance with ISEAL impact code,
  - Participating in ISEAL M&E community.

**Table 1. M&E roles and staff collaborations**

Staff	Contact details	Role in M&E	Tools and procedures	Frequency
Executive director	Rik Kutsch Lojenga rik@uebt.org	Supervising M&E system development and management, facilitating interactions with board for inputs and decisions about methodological and conceptual development as well as priority setting and fundraising for M&E	Consultation with M&E officer Staff meetings Board meetings Project proposal development	Day-to-day On a needs basis, according to STD and other revision processes
Standards	Rodrigo de Prospero rodrigo@uebt.org Jerida Sinange jerida@uebt.org	Collecting and managing performance monitoring data from audits and other activities with members Providing inputs based on the daily work for the development of the M&E system	Keeping data management tools up to date Following agreed data collection and management procedures Participating in meetings for M&E consultation	Day-to-day On a needs basis, according to STD and other revision processes
ABS	Maria Julia Oliva julia@uebt.org	Collecting and managing program evaluation data from access and benefit sharing (ABS) activities of members Providing inputs based on the daily work for the development of the M&E system	Keeping data management tools up to date Following agreed data collection and management procedures Participating in meetings for M&E consultation	Day-to-day On a needs basis, according to STD and other revision processes
Country representatives	Rina Razanakolona rina@uebt.org Ronaldo Freitas ronaldo@uebt.org	Creating opportunities for development projects with member's suppliers and related outcome-impact studies	Supporting in performance monitoring, coordination and implementation of outcome-impact studies and elaboration and communication of results	On project basis and through follow-up with members in their countries of operation
Communications	Nelly Debril nelly@uebt.org	Providing inputs for M&E results external communication	Insert M&E results in UEBT communication tools such as newsletter, annual report, conference section	On a needs basis, according to the schedule of communication activities

Administration and IT	Berjan Bouman bertjan@uebt.org	Supporting the collection of registration data and other data instrumental to monitor the membership and other certification processes  Supporting the development of these data collection tools	Setting up data collection tools that suits the need of the M&E system  Providing support for the appropriate use of the tools	Day-to-day  On a needs basis
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### ***Other staff***

Though responsibility for overall development and management of the M&E system lies with the M&E Officer, final decisions are taken jointly with other UEBT staff. The M&E officer reports to the Executive Director (ED) who supervises the M&E system development and management. The ED is actively involved in evaluation studies implementation and in fundraising for M&E activities. He is also consulted on M&E priority setting and methodological and conceptual development. The UEBT Board of Directors may also be asked for recommendations and approval.

Moreover, UEBT staff is consulted regularly on aspects concerning the implementation and the development of the M&E system in a way that is tailored to the needs and capacity of UEBT and its members. Not least, UEBT staff contributes to data collection, management, reporting and communication as well as provide inputs on possible limitations and improvements for these activities coming from the daily experience and interaction with the UEBT members.

Tools and procedures to facilitate collaborations on M&E among UEBT staff are continuously developed and adapted to existing conditions and needs. To date, audits, evaluation forms for the different UEBT activities, communication tools, meetings and consultations have been used for these purposes.

### **3.3 Partnerships beyond UEBT: M&E cooperation and coordination**

UEBT has fostered partnerships to implement M&E activities, including outcome and impact evaluations. Studies have been conducted jointly with other standard organisations. For example, in the context of the UEBT/UTZ Herbal Tea Certification Program, UEBT has worked together with UTZ and companies involved in the certification to develop two outcome-impact studies.

UEBT has also collaborated with ISEAL, the Responsible Jewellery Council (RJC) and AidEnvironment to define a methodology to conduct studies on impacts and outcomes of standards with system approach. The methodology has been adapted to evaluate strategies of UEBT members and their effects. It is currently being tested through a study supported by the Private Business Action for Biodiversity (PBAB) project, funded by BMUB-IKI and implemented by GIZ. The PBAB project seeks to identify, analyse and test promising approaches, methods and tools for promoting biodiversity-friendly production and commercialization, especially for small and medium enterprises (SMEs).

Additionally, UEBT has participated in ISEAL actions on defining and testing common indicators for performance monitoring and evaluations. This collaboration with ISEAL takes place in the frame of the Demonstrating and Improving Poverty Impacts (DIPI) project and involved testing some indicators to check their applicability to UEBT programs. As result UEBT has refined its list of performance monitoring indicators and some areas of outcome and impact, which cover some of the issues receiving attention under some of the ISEAL common indicators (see section 4). However, UEBT does not report on common indicators.

#### 4. Defining the intended change

The change intended by UEBT and its Ethical BioTrade standard is summarised in the UEBT vision and mission (see Box 3), as well as in the UEBT TOC (see Box 4), which includes expected impacts, outcomes and corresponding strategies.

##### **Box 3. UEBT Vision and Mission**

The UEBT vision is companies' innovation and sourcing of natural ingredients contributing to a world in which people and biodiversity thrive.

The UEBT mission is to support and validate best practices of companies committed to ethical sourcing and innovation of natural ingredients for the benefit of people and biodiversity.

##### ***Long, medium and short-term effects***

The objective of UEBT is to provide, through Ethical BioTrade concepts and tools, a model and platform for businesses that contribute to local development and biodiversity conservation and support the objectives of the Convention on Biological Diversity (CBD) and the Sustainable Development Goals (SDGs). The intended impacts concern people and biodiversity: Biodiversity is restored, maintained and used sustainably in sourcing areas. Moreover, the benefits of sustainable use of biodiversity are shared in an equitable manner with local communities, whose livelihood and development opportunities improve. At the same time, companies and suppliers engaging in Ethical BioTrade practices obtain recognition, with the market and other stakeholders increasingly aware of their work.

UEBT also has short and medium-term outputs and outcomes. As short-term outputs, companies become UEBT members and begin implementing UEBT requirements, with UEBT support and guidance. In parallel, UEBT provides technical support and raises awareness on Ethical BioTrade principles and practices with other companies and stakeholders. As medium-term outcomes, Ethical

##### **Box 4. UEBT Theory of Change (TOC)**

In 2014, UEBT adopted a Theory of Change (TOC) that identifies the intended impacts, outcomes and outputs (long, medium and short-term). Following the adoption of UEBT certification services and consultation with the UEBT Board of Directors and UEBT members, the TOC was revised in 2015, Annex 1 includes the UEBT TOC and details and visualise the pathway from UEBT strategies, to outputs, outcomes and impacts).

The UEBT TOC is reviewed to consider any changes in UEBT standards or new programs and activities, to ensure that the intended pathways of short, medium and long term effects are coherent with the reality of UEBT strategies. A review of the UEBT TOC is taking place in 2018.

Moreover, UEBT recognises that other factors might influence the pathways that are not strictly related to UEBT strategies and that unintended effects may be generated. Other influencing factors and unintended effects are explored and identified jointly with stakeholders, as described in sections 4 and 5 of this report.

BioTrade principles start translating into practice. Member companies change the way they manage their sourcing activities, with changes also in the activities of their suppliers and field operators. The market – including clients and consumers – start asking for, and valuing, sustainable sourcing practices.

##### ***Strategies***

UEBT has three main strategies to achieve its intended change.



1. Constituting a leading association of companies involved in biodiversity-based innovation and sourcing. As such, UEBT:
  - Supports members to lead by example, through technical support and training for the implementation of Ethical BioTrade commitments,
  - Promotes exchange of experiences, and generates business networking opportunities, with actors from different parts of the supply chain encouraged to join,
  - Provides, together with affiliate members and partner organisations, access to tools and approaches that facilitate implementation of Ethical BioTrade practices.
2. Acting as an agent of change. As such, UEBT:
  - Carries out sector-specific outreach and communication to raise awareness on Ethical BioTrade and enrolls companies as members,
  - Provides advisory services to member and non-member companies on Ethical BioTrade,
  - Provides inputs to governments and other organisations involved in developing regulatory and policy frameworks, to promote and facilitate Ethical BioTrade,
  - Develops guidance materials, information, and good practices that can be used by the private sector, international organisations, and governments.
3. Providing a credible and effective standard system. As such, UEBT:
  - Provides a credible back-up of the Ethical BioTrade commitments and practices of UEBT member companies towards their clients and stakeholders,
  - Periodically revises the Ethical BioTrade standard, as to ensure it remains good practice to orient business operations on ethical sourcing of biodiversity,
  - Manages a verification system that reviews members' progress in implementing the Ethical BioTrade standard.

## 5. M&E system

As described in section 2, UEBT has identified three main areas for M&E, which are monitored in different manners (see Table 2).

Table 2. UEBT approach to M&E in different areas				
M&E areas and levels	Source	Method of collection	Frequency	Data collected by
L1. Reach and scale - outputs	All Trading Members	Self report Audit report	Annually Every 3 years	Members Auditors
	Certificate Holders	Audit report	Annually	Auditors
L2. Changes and results for members – outcomes	Selected trading members and suppliers	Case studies	Aiming at 1 per year	UEBT and researchers
L3. Effects for members, people and biodiversity – impacts	Selected trading members, suppliers and producers/communities	Case studies	Aiming at 1 per year	UEBT and researchers

## 5.1 Performance monitoring

Performance monitoring – monitoring the reach and scale of UEBT promotion of Ethical BioTrade principles and practices within member companies and certified supply chains (Outputs, Level 1) – is done through systematic collection of data about the short-term results and outputs of UEBT program implementation at the level of the member companies and certified supply chains. All trading members provide information through annual self-reporting and audits, which take place every three years. Certificate holders provide information on yearly basis through the audit process.

### ***Output indicators: reach and scale of UEBT program (Level one)***

UEBT defined lists of outputs indicators to monitor the reach and scale of the UEBT programs. The lists result from a selection process that started from UEBT TOC. Output areas have been identified jointly with key evaluation questions. Based on the key questions, the UEBT M&E officer developed a long-list of relevant indicators to trace the reach and scale of UEBT programs. The ISEAL list of common indicators has been used as a source of inputs while defining the list of indicators.<sup>1</sup>

The list developed by the UEBT M&E officer was discussed with UEBT staff to select the indicators critical for UEBT TOC and feasible for reliable collection through performance monitoring activities such as yearly self-reporting or audits. The indicators selected concern reach and scale of the UEBT membership (Table 3) as well as of the UEBT certification programs (Table 4). The list is available on the [UEBT website](#), in the resources section, as part of the M&E Public System Report.

Output indicators to monitor the reach and scale of UEBT programs are regularly revised and updated, based on M&E needs and capacities. Feedback from auditors and members – who are involved in the collection and provision of the data – are also considered. A further revision of these indicators will take place in 2018, alongside the standard revision, the TOC revision, and the atomisation of the data collection and management system. The revision will also consider the Key Performance Indicators (KPIs) set for 2017-2020.

Table 3. Trading Members – output indicators on reach and scale (level 1)			
Result area	N°	Indicator	Measure
Grow UEBT ethical sourcing system and supply chain certification in target sectors	1	Number of trading members	N°
	2	Number of trading members that adopted the certification program	N°
	3	Number of affiliate members	N°
	4	Number of provisional members	N°
	5	Distribution of trading members per position in supply chain*	%
	6	Annual turnover (total and by sector: cosmetic, pharmaceutical, food)	Euros
	7	Number of employees	N°

<sup>1</sup> ISEAL Alliance (2013) Demonstrating and improving poverty impacts: ISEAL Common Core Indicators.

	8	Number of natural ingredients	N°
	9	Number of natural ingredient supply chains	N°
Promote ethical sourcing practices among companies	10	Number of prioritized natural ingredients	N°
	11	Number of prioritized natural ingredient supply chains (per country)*	N°
	12	Volume of prioritized natural ingredients*	Tons
	13	Value of prioritized natural ingredients purchased	Euros
	14	Type of production system linked to the prioritized natural ingredient: a) cultivation, b) wild collection and c) agroforestry.	N° by type
	15	Number of estimate hectares from which prioritized natural ingredients are sourced (by type of production system)*	Ha
	16	Number of first stage actors involved in the prioritized supply chains, classified in: a) producers, b) collectors and c) producer of agroforestry system*	N°
	17	Additional certification per prioritized supply chain*	Type of certificate

\* In line with ISEAL common indicators<sup>2</sup>

Table 4. Certificate Holder - output indicators on reach and scale (level 1)			
Result area	N°	Indicator	Measure
Promote ethical sourcing practices among companies	1	Number of certified natural ingredients*	N°
	2	Number of certified suppliers*	N°
	3	Number of sourcing countries*	N°
	4	Total volume of certified natural ingredient (purchased and sold as certified) by the Certificate Holder*	Ton
	5	Total value of certified natural ingredient purchased by the Certificate Holder	Euro
	6	#Premium generated trough sales of certified products	Euro
	7	#Type of mechanism used to redistribute the premium	Qualitative
	8	Number of individuals (suppliers, producer, collectors, workers) trained by or on behalf of Certificate Holders*	N°
	9	Type of training provided	Qualitative
	10	Type of biodiversity conservation/restoration measures implemented by or on behalf of Certificate Holder	Qualitative
	11	Wild collection system (per country)	Ton
		a) Estimated number of hectares from where the wild collection take place*	Ha

<sup>2</sup> ISEAL (2013) *Demonstrating and Improving Poverty Impact: ISEAL Common Core Indicators*

		b) Type of land ownership of wild collection area*	Qualitative
		c) Volume of certified natural ingredients*	Ton
		d) Number of individual collectors involved*	N°
		e) Number of workers (permanent or seasonal involved)*	N°
	12	Cultivation System (per country)	
		a) Number of farms included in the certification (supplier and sub-supplier)*	N°
		b) % corresponding to small farms (i.e. less than 5 hectares)*	%
		c) Estimate number of hectares of cultivated land*	N°
		d) % of hectares that corresponds to agroforestry systems	%
		e) Number of producers involved in the cultivation*	N°
		f) Number of workers (permanent or seasonal)*	N°

(#) Specific for UEBT/UTZ "herbal Tea" certification program; \*In line with ISEAL common indicators<sup>3</sup>

<sup>3</sup> SEAL (2013) *Demonstrating and Improving Poverty Impact: ISEAL Common Core Indicators*

## 5.2 Outcome and impact evaluation

The evaluation of changes and results deriving from Ethical BioTrade practices in companies and certified supply chains in the medium term (Outcomes, Level 2) is done through case studies. The studies contribute to shedding light on the outcomes of UEBT standard and programs implementation. Selected samples of members are involved in the studies to understand the extent to which desired changes and medium term effects are occurring, refine possible unintended effects and identify other influencing factors. UEBT is implementing the first studies and planning new ones.

The long-term effects of Ethical BioTrade practices on companies, suppliers, people and biodiversity (Impacts, Level 3) are evaluated through impact studies commissioned to external researchers. To date, UEBT commissioned three baseline studies that involve one member company and two of its suppliers, including producers, as well as a non-member company and related suppliers and producers. Follow-up studies are planned in 2019 and resources for these studies have been secured.

### ***Components and indicators for medium and long-term effects (level two and three)***

Through several rounds of internal consultation<sup>4</sup>, UEBT identified components and related indicators for medium-long term results and effects of its programs, together with areas of possible unintended effects (tables 5-6-7). These components and indicators consider the areas of outcomes and impacts identified in the UEBT TOC. Some of the components and indicators concern outcomes and impacts expected at the level of the member companies. Others concern impact and outcomes at the sourcing areas (field: suppliers and producers).

Components and indicators also consider work done in collaboration with ISEAL and AidEnvironment. Moreover, they are in line with the KPIs of the 2017-2020 UEBT strategic plan. The outcome and impact indicators are part of levels two and three in UEBT M&E system and are covered through evaluation studies on selected companies and suppliers.

UEBT is currently conducting cases studies to corroborate and refine components and indicators. Each study defines ways to ascertain – quantitatively and/or qualitatively – the indicators. This is done taking into consideration the resources available for the studies and their purposes as well as the situation of the case to be studied.

Case studies are representative of UEBT programs, as far as one study involves a member company, another study concerns a company with a certified IMS and other studies cover outcomes and impacts of the UEBT-UTZ Herbal Tea Certification. Moreover, another study has been undertaken in relation to a non-UEBT member company, to identify factors that are not UEBT specific. Indeed, the aim of the studies is also to refine unintended effects and other influencing factors.

The results of the studies are expected for 2018-2019. They will be considered in assessing UEBT strategies and their effects, as well as in defining possible adjustments to handle unintended effects and other influencing factors. Moreover, the studies will provide an overview of case-specific impact and outcome measurements that can be used in future studies in UEBT and the ISEAL community.

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<sup>4</sup> Last consultation with UEBT staff and Board of Directors took place in November 2017.

**Table 5: areas of short-medium term results and long-term effects (levels 2 and 3)**

Result area	Components	Outcomes	Impacts
<b>Company level</b>			
Support UEBT members in realizing ethical sourcing commitments	Strategy	<ul style="list-style-type: none"> <li>• Clear company targets on Ethical sourcing</li> <li>• Company strategy &amp; resources committed</li> </ul>	<ul style="list-style-type: none"> <li>• Maintain overall competitive positioning</li> </ul> <p><i>Certification specific - Company</i></p> <ul style="list-style-type: none"> <li>• Role and effectiveness of support strategies</li> </ul>
	Company management system	<ul style="list-style-type: none"> <li>• Knowledge and expertise on ethical sourcing of biodiversity</li> <li>• Coherent management systems in place on ethical sourcing</li> <li>• Understanding of strategic supply chains and system weaknesses</li> <li>• Biodiversity aspects integrated in R&amp;D</li> <li>• Increased internal capacities</li> <li>• Staff satisfaction</li> </ul>	<ul style="list-style-type: none"> <li>• Ethical sourcing institutionalised in company aligned with company goals</li> <li>• Risk management</li> <li>• Increased efficiency related to ethical sourcing</li> <li>• Meeting Ethical BioTrade Targets</li> <li>• Effective system of supplier management</li> <li>• Increased compliance with local and international regulation</li> <li>• Access to best practices</li> <li>• Advantages through precompetitive cooperation</li> </ul>
	Supply chain management system	<ul style="list-style-type: none"> <li>• Improved information flow along the supply chain on supplier practices and client expectations</li> <li>• Improved traceability</li> <li>• Improved understanding of supply chain risks, mitigation action plans in place</li> <li>• Improved supply chain practices</li> <li>• Increased trust and dialogue among supply chain actors</li> </ul>	<ul style="list-style-type: none"> <li>• Increased transparency along the chain &amp; trust among parties</li> <li>• Supply chain risk reduction</li> <li>• Long-term relationships &amp; security of supply</li> <li>• Compliance with supplier requirements</li> </ul> <p><i>Certification specific - company</i></p> <ul style="list-style-type: none"> <li>• Role and effectiveness of applying requirements</li> </ul>
Position biodiversity as key issue for positive brands	Brand value	<ul style="list-style-type: none"> <li>• Meet client expectations</li> <li>• Back-up to marketing claims</li> <li>• Storytelling opportunities</li> <li>• Networking and business opportunities</li> </ul>	<ul style="list-style-type: none"> <li>• Protect/improve brand reputation</li> <li>• Client appreciation of participation in UEBT programs</li> <li>• Recognition of company values</li> <li>• Ability to retain clients and/or increase sales</li> <li>• Increased brand value</li> </ul>
Improve regulatory frameworks for ethical sourcing of biodiversity	External stakeholders	<ul style="list-style-type: none"> <li>• Increased interaction and engagement with the public sector</li> <li>• Proactive cooperation with other companies</li> </ul>	<ul style="list-style-type: none"> <li>• Contribution to enabling environment</li> <li>• Solutions to company problems</li> <li>• License to operate</li> <li>• Role in sustainability</li> </ul>
<b>Field level (suppliers and producers)</b>			

Significantly increase the positive impact of companies' natural ingredient innovation and sourcing practices on people and biodiversity	Biodiversity conservation & sustainable use	<ul style="list-style-type: none"> <li>Mitigation of bad practices</li> <li>Investment in biodiversity restoration</li> </ul>	<i>Certification specific – field</i> <ul style="list-style-type: none"> <li>Reduced negative environmental impact</li> <li>Regeneration rate is not affected over time</li> </ul>
	Creating value	<ul style="list-style-type: none"> <li>Investment in local development</li> </ul> <i>Certification specific – field</i> <ul style="list-style-type: none"> <li>Fulfilled requirements on pricing</li> </ul>	<ul style="list-style-type: none"> <li>Improvements in income</li> </ul> <i>Certification specific – field</i> <ul style="list-style-type: none"> <li>Improved local livelihoods</li> <li>Progresses toward guaranteeing living wages</li> </ul>
	Right of actors	<i>Certification specific – field</i> <ul style="list-style-type: none"> <li>Fulfilled requirements on working conditions</li> <li>Respect (or no disrespect) of rights of communities in supply chains</li> </ul>	<ul style="list-style-type: none"> <li>Appropriate benefits sharing</li> </ul>

**Table 6. Possible unintended effects that UEBT is monitoring - level of companies**

1. Slow down processes of innovation/ new product launched
2. Significant work undertaken with limited market recognition and value added to product
3. Investment in compliance with UEBT member requirements might limit the resources available to work on activities that have bigger impact in the field

**Table 7: Possible unintended effects that UEBT is monitoring - level of field (suppliers and producers)**

1. **Food security:**
  - Producers adapt their production practices to the buyer's demands, which can create dependence on only one or two products. If the company stops purchasing, this could affect food security.
  - Producers may prefer to sell products rather than eating it.
2. **Over exportation of the natural ingredient:**
  - Demand of UEBT members may increase the overall market demand of sourced products. This may lead to higher risk of over-exploitation of these products by buyers that do not follow Ethical BioTrade requirements.
3. **Burden for local companies and producers:**
  - UEBT rules and procedures may be too burdensome
4. **New conflicts in the sourcing areas:**
  - Some requirements (e.g. on illegal use of land and resources, association to trade union, etc.) can create conflicts/problems in the sourcing areas, where there were initially none.

## 6. Data management

Since 2015, UEBT has a M&E data management approach, including procedures for data collection; storage and access; quality; analyses, reporting and sharing; and confidentiality. Recently, the intensification and expansion of UEBT activities (e.g. new members as well as new certification programs) have required further automatization and formalisation of the M&E data management approach. UEBT is working on a system to automatise the collection of information on the reach and scale of its activities.

UEBT continuously assesses new ways to collect, monitor and evaluate information from its members to improve its M&E system, increase effectiveness, and promote learning. As the UEBT M&E System continues to evolve, protocols and guidelines for data management may be updated or incorporated, including indicator protocols when new indicators are identified, guidance for data storage, access, clearance and analysis when the system is automatized.

### 6.1 Performance monitoring

#### *Data collection*

There are three entry points for data on the reach, scale and outputs of the UEBT programs.

- Registration for UEBT membership and certification programs, through application forms
- Audits, which are held every three years for members and annually for companies with a certified IMS and or within UEBT/UTZ herbal tea program
- Annual report. The report contains M&E information and is compiled and submitted by all those members who do not have audits scheduled for the year.

UEBT has developed protocols for each reach, scale, output indicators collected. The data collection protocols are available upon request and are the basis for the guidance given on data collection.

#### *Data storage*

The various data entry points are linked to make full use of the information gathered for decision making within UEBT and for publications. Three main data storage tools are used for registration of reach, scale and output data:

1. Salesforce is used as a customer relationship management system to store all information that are relevant to define the company profile and keep track of the membership process. Information stored in here derive from the registration, the audits, the annual reporting, day-to-day communication,
2. The membership and certification folder is the storage point for all certification and membership files and supporting documents that derive from audits and annual reports. They are filled out audits and annual report templates as well as supporting documents stored there after submission from the members and approval from the relevant UEBT staff,
3. The M&E folder where the first elaborations of the data emerging from registration, audits, annual reports are organised in the form of a database. The database is a file containing information from which the reach, scale and output indicators are derived.

All UEBT staff has access to all data storage points and can consult the information. However, raw data deriving from registration, audits, annual reports and other communication are stored, case-by-case, by those among the UEBT staff who is responsible for the membership/certification process of a certain company. The M&E Officer is the only staff member tasked to elaborate the data into M&E



indicators and to generate and keep records and documentation. Once, the raw data are stored, the M&E Officer check on the quality of the data, clarify possible issues with UEBT relevant staff and members, and update the database containing the information on the reach, scale and outputs indicators with the cleared data.

### ***Data quality assurance***

The following are the main procedures in place to assure data quality:

- Guidance and training for auditors, available regularly online and offline
- Requirements, guidance and technical support for members
- Cross-checking of data from different entry points over time and clearing from multiple entry, double counting and missing values
- Identification of, and answer to, any questions or concerns on data collection

The M&E officer is in charge with ensuring the quality of the data through the definition and implementation of the above-mentioned procedures.

### ***Data analysis & reporting***

M&E data is cleaned and used for different types of reporting. For example, data are regularly reported – both internally and externally - through the UEBT annual report and M&E system reports.

The last annual report has been discussed and published in 2017, reporting figures from 2015. The annual report 2018 is undergoing internal discussions and will be published soon, containing information about 2016.

### ***Data confidentiality***

Procedures are in place to protect UEBT members' confidentiality. Confidentiality clauses are introduced among the membership conditions and obligations. UEBT ensures that information is only reported in an anonymized and aggregated format so that it cannot be linked to individual members. Additionally, M&E data is stored in data bases only accessible to the UEBT staff, which are aware of the responsibilities and limits in using data and information. These limits and responsibilities are specified in UEBT contracts.

## **6.2 Outcome and impact evaluations**

### ***Case studies for outcomes and impacts evaluation***

Outcome and impact evaluations are done through case studies. Some are implemented by the UEBT M&E staff, while others are commissioned to external researchers. For most of the impact studies, the baselines have been implemented in 2016. Follow up are planned for 2019. Outcome studies are being implemented in 2017 and 2018. Other studies are planned for 2020-2022 (Table 8).

<b>Table 8: List of outcome/impact evaluations</b>					
<b>Year</b>	<b>Study Title</b>	<b>Study type</b>	<b>Implementation</b>	<b>Status</b>	<b>Results</b>
2016	Assessment of UEBT strategy on technical support on ABS 2014-2016	Outcome	Conducted	Completed	<a href="http://ethicalbiobanking.org/dl/ME-annual-report_15.03.17-FINAL.pdf">http://ethicalbiobanking.org/dl/ME-annual-report_15.03.17-FINAL.pdf</a>

2016	Advancing ethical sourcing practices in the Malagasy Centella asiatica supply chain	Baseline	Commissioned	Completed	Available on request and considering confidentiality issues
2016	Baseline study on wild apple collectors in Euro-Asia UEBT/UTZ Certified Herbal Tea Program	Baseline	Commissioned	Completed	<a href="http://ethicalbiotrade.org/dl/ME-annual-report_15.03.17-FINAL.pdf">http://ethicalbiotrade.org/dl/ME-annual-report_15.03.17-FINAL.pdf</a>
2016	Baseline chamomile cultivation in Latin America UEBT / UTZ Certified Herbal Program	Baseline	Commissioned	Completed	<a href="http://ethicalbiotrade.org/dl/ME-annual-report_15.03.17-FINAL.pdf">http://ethicalbiotrade.org/dl/ME-annual-report_15.03.17-FINAL.pdf</a>
2017	Adopting UEBT (Union for Ethical BioTrade) standards at Weleda.  Assess the deriving changes and effects on people and biodiversity.	Outcome	Conducted	Ongoing	Draft report under internal discussion
2017	Adopting UEBT (Union for Ethical BioTrade) standards at Natura.  Assess the deriving changes and effects on people and biodiversity.	Outcome	Commissioned	Ongoing	Draft report under internal discussion
2018	Implementing UEBT (Union for Ethical BioTrade)/UTZ commitments through the MaBaGrown program.  Identifying changes, effects and next steps for Martin Bauer Group (MBG) and its suppliers.	Outcome	Conducted	Ongoing	Not available yet
2018	Adopting UEBT (Union for Ethical BioTrade) standards at Weleda.  Assess the deriving changes and effects on people and	Outcome	Conducted	Planned	Not available yet

	biodiversity. The case of Sesajal – Mexico.				
2019	Advancing ethical sourcing practices in the Malagasy Centella asiatica supply chain	Follow – up to baseline	Commissioned	Planned	Not available yet
2019	Study on wild apple collectors in Euro-Asia UEBT/UTZ Certified Herbal Tea Program	Follow – up to baseline	Commissioned	Planned	Not available yet
2019	Study on chamomile cultivation in Latin America UEBT / UTZ Certified Herbal Program	Follow – up to baseline	Commissioned	Planned	Not available yet
2020-2022	4 Studies on outcomes, impacts, unintended effects and other influencing factors of implementing UEBT/UTZ commitments in herbal tea supply chains.	Outcome/impact	Commissioned/ Implemented	Planned	Not available yet

(Conducted are the evaluations done by UEBT. Commissioned are the evaluations that external consultants implement for UEBT)

### **Quality assurance and ethics**

Quality assurance mechanisms are built along the entire process of defining, implementing and finalising impact 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 reviewed by researchers and, when possible, by 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 outcome studies considers the methodology 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 independency of the researcher is ensured through reviewing of intermediate and final results of the studies by staff members not involved in the study and 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.

Impact evaluations have used a multiannual approach and start with a baseline survey. The baseline provides the base upon which future measurements are conducted, generating time series for the

same research samples. Whenever possible control groups are used. Although this is often difficult, given the context of study (e.g. limited accessibility, issues of confidentiality), and costly.

In case of outcome evaluations, or in those cases when use of baselines and control groups is not possible, 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, definition of clear data collection and reporting procedures (e.g. list of questions, templated to be filled out for data reporting).

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 conscious about not altering 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 conscious about the investment of resources required to the people and companies involved in the study.

### ***Reporting and audience***

The target audience of the impact evaluations are:

- Internal stakeholders – including UEBT staff, governance bodies, members with their suppliers,
- External stakeholders – including researchers, non-member companies, other standard organisations, ISEAL, government and civil society organisation,
- Other actors – including funding partners, implementing partners, the public.

The publication of results is instrumental to inform about the work that UEBT and its members are doing in a substantiated way. Moreover, the sharing of information, both internally and externally, is instrumental to reflect upon and improve the studied interventions.

Most of the studies are still ongoing. Summary of early results of some of the studies are included in the M&E report and available on [UEBT website](#). They are as exhaustive as possible, including information about the purpose of the evaluation, methodology, early findings and conclusions. Moreover, contact information are shared to facilitate the provision of feedbacks and the request for clarification.

## **7. Improving the effectiveness of the M&E system**

### **7.1 Stakeholders contribution**

UEBT is committed to engage its stakeholders in an open and trusted dialogue. This commitment is reflected in the UEBT governance as well as its assurance and M&E systems. Moreover, UEBT has defined stakeholder maps and involvement procedures following ISEAL recommended approaches.

The identified stakeholders include economic, social and environmental actors from developed, emerging and developing economies. Stakeholders are UEBT member companies, as direct users of the UEBT standard and affected by its programs, and other organisations (e.g. supply chain actors, NGOs, governmental bodies, development and standard organisations and verification bodies) whose cooperation is relevant for the implementation of UEBT standard and programs.

Stakeholder are engaged following three procedures: i) by keeping them informed and allowing them to provide feedbacks via email, website and other communication forms; ii) by consulting them on specific topics considering their expertise or knowledge; iii) by involving them in formal internal processes that form part of UEBT governance.

## **7.2 UEBT Internal learning and improvement**

Learning and improving is an important goal of the UEBT M&E system. It concerns both the M&E system specifically and the broader UEBT standard system. M&E is systematically incorporated in UEBT's operations. M&E activity's results are shared and discussed within the UEBT staff, with the senior management and the governance structure. They inform the process of adjustment for increasing effectiveness of the UEBT M&E and standard systems.

The following procedures are part of the M&E way of working, and are practiced encouraging learning at all levels of the organization.

1. Day-to-day feedback with staff, members and CBs on M&E activities
2. Regular staff meetings on M&E reports
3. Stakeholder consultations, with both internal and external stakeholders on M&E components and evaluation studies

So far, the learning and improvement process built around the M&E system resulted, among other, in periodic revision of the M&E strategy. The latest version dates back 2016 and will undergo revision in 2018 alongside the broader process of standards consultations.

## **7.3 Benefits for UEBT members**

UEBT within its strategy considers providing tool and support to UEBT members on M&E strategies and activities. Upon request, UEBT provides support to its members to define their M&E systems. Outcome studies are the starting point of this process and serve to assess the M&E needs of the company.

## **8. Opportunities for engagement**

UEBT is committed to transparency on its M&E system and activities. The [UEBT website](#) has a dedicated section on M&E. There, the M&E system and strategy are summarised and links provided to additional information and documents, including:

- UEBT Theory of Change
- Description of UEBT M&E System
- UEBT M&E annual report

In 2018, the M&E webpage will be updated with links to procedures for stakeholder consultation during the Ethical BioTrade standard revision.

## Annex A: UEBT Theory of Change

### Theory of Change

#### Union for Ethical BioTrade

UEBT-TOC-23.08.2016

The Union for Ethical BioTrade (UEBT) is a non-profit association that promotes the sourcing of natural ingredients with respect for people and biodiversity. Through its members, companies sourcing natural ingredients in the food, cosmetics and pharmaceutical sectors, UEBT advances practices for biodiversity innovation and sourcing that promote sustainable business growth, local development and biodiversity conservation. This document describes the UEBT vision; the strategies it applies to promote change and advance its vision; and how it monitors and evaluates change.

#### Conceptual framework

The work of UEBT is based on internationally-recognized principles and commitments linked to biodiversity and sustainable development. Since the 1992 Earth Summit, sustainable development is a guiding concept for global efforts towards economic development, social equity and environmental protection. In 2015, moreover, over 190 countries adopted the Sustainable Development Goals (SDGs), as a roadmap for sustainable development till 2030. An essential and crosscutting consideration in the SDGs is the conservation and sustainable use of biodiversity.

Biodiversity encompasses the diversity of all living things, from human beings to microorganisms, including the variety of ecosystems. The UN Convention on Biological Diversity (CBD), adopted in 1992, promotes biodiversity conservation and sustainable use, as well as the sharing of benefits derived from the use of genetic resources. It recognises the global and local importance of biodiversity conservation for the functioning of our planet, and acknowledges biodiversity as a pillar for sustainable development. In 2014, the Nagoya Protocol was adopted under the CBD to set further development principles for biodiversity-based research and development, and how benefits derived from such utilization should be shared. National rules implementing the Nagoya Protocol establish, for example, procedures to access genetic resources for research and development and how benefits derived from such activities should be shared.

#### Promoting change

UEBT aims to contribute to a process of market transformation in the cosmetics, food and natural pharmaceutical sectors. Through Ethical BioTrade concepts and tools, it provides a model and platform for businesses to contribute to local development and biodiversity conservation, in support of the implementation of the SDGs and CBD objectives.

<i>UEBT Vision:</i>	To be the leading association of companies that are involved in biodiversity based innovation and sourcing, driving sustainable business growth, local development and biodiversity conservation.
<i>UEBT Mission:</i>	To promote Ethical BioTrade practices by offering UEBT members independent verification, technical support and networking opportunities for biodiversity-based innovation and sourcing

Indeed, the private sector is recognized as a critical partner in advancing sustainable development and the objectives of the CBD. Through biodiversity-based innovation and the ethical sourcing of natural

ingredients, businesses can contribute to recognizing and increasing the value of biodiversity, as well as to local development and the conservation and restoration of the biological resources on which their activities depend. Companies committed to sourcing with respect for people and biodiversity are thus able to grow economically while generating positive impacts along their supply chains. Such commitment also responds to growing consumer demand and helps to manage sourcing risks and secure supply chains.

Achieving this potential requires the adoption of business models that take account of environmental, social, and economic impacts in an integrated manner. Individual businesses, and eventually whole sectors, need to change the way they operate to generate such positive impacts. At the same time governments need to develop legal and policy environments that are conducive for biodiversity-based innovation efforts and for natural ingredient sectors to develop sustainably.

### **UEBT approach and activities**

UEBT promotes private sector engagement in the sourcing of natural ingredients with respect for people and of biodiversity. It was created in 2007, with the support of the UNCTAD BioTrade Initiative, and brings together companies and non-private sector organisations committed to Ethical BioTrade. UEBT member companies are active in the cosmetics, food and pharmaceutical sectors. They may collect or grow plant material (for example, through wild collection, agroforestry or agriculture), produce plant-based ingredients such as extracts, vegetable and essential oils, tinctures, and active ingredients, or conduct research and development on new ingredients and products. For all these activities, the Ethical BioTrade standard, managed by UEBT, guides company practices and drives sustainable business growth, local development and biodiversity conservation.

#### **The Ethical BioTrade standard**

The Ethical BioTrade standard defines practices that advance sustainable business growth, local development and biodiversity conservation. It encapsulates:

- Practices that promote biodiversity conservation by maintaining and restoring ecosystems and by using biological resources sustainably. This includes measures that contribute positively and proactively to biodiversity conservation in sourcing areas, as well as measures that actively reduce any potentially negative impacts raised by sourcing activities.
- Practices that aim to contribute to local development by equitably sharing the benefits generated through the use of biodiversity. This takes place through equitable trade practices, and through the sharing of benefits derived from innovation based on biodiversity and associated traditional knowledge.
- Practices that seek to respect human rights, the rights of workers and local and indigenous communities, and other rights linked to natural resources.

### **UEBT member companies' commitments to Ethical BioTrade**

In the work of UEBT, most of the change is achieved through its member companies. UEBT members commit to mainstream Ethical BioTrade principles in their operations, including in research, innovation, product development, and sourcing strategies for natural ingredient supply chains. Companies thus implement Ethical BioTrade principles at two levels: within the company itself and along their supply chains.

Within UEBT member companies, Ethical BioTrade practices are systematically incorporated in relevant policies and procedures with regards to natural ingredients sourced. To this end, companies develop a Biodiversity Management System, which ensures that the Ethical BioTrade standard is

gradually implemented throughout its operations and along their supply chains, including through R&D policies, supply chain risk assessments, and supplier assessments.

Moreover, as part of the UEBT membership requirements, companies set public targets on their Ethical BioTrade commitments, and annually report on their progress. Companies must develop a Biodiversity Management System within three years of joining UEBT, but otherwise define their own speed and scope for implementing the Ethical BioTrade standard in their operations. Claims made about UEBT membership must of course be proportional to the scope and level of progress. Finally, companies undergo audits, through which auditors trained in the Ethical BioTrade standard verify the functioning and level of implementation of the Biodiversity Management System. These audits take place every three years.

At the level of supply chains, UEBT member companies also decide where to focus their efforts. Companies select supply chains in which the Ethical BioTrade standard is implemented in an accelerated way. Such selection takes place in view of strategic priorities and/or sourcing risks.

#### *Gradual improvement & certification of compliance*

In order to acknowledge compliance with the Ethical BioTrade standard and/or provide additional market recognition for specific supply chains, UEBT offers its member companies the possibility of certification. UEBT certification means that companies can certify compliance of selected supply chains against the Ethical BioTrade standard. Independent and qualified certification bodies annually audit UEBT certificate holders to assess the Internal Monitoring System used for selected supply chains and check the implementation of this system by suppliers in sourcing areas, on the basis of a sample.

#### **Additional efforts towards market transformation**

To contribute to market transformation, UEBT not only supports member companies with the implementation of Ethical BioTrade practices. It also seeks to enrol additional member companies; to promote and create awareness on ethical sourcing of biodiversity beyond its membership; and to contribute to an enabling regulatory environment for ethical sourcing of biodiversity, by providing practical expert inputs to governments and international organisations.

In particular, UEBT deploys strategies aimed at:

- Increased awareness on the importance of biodiversity-based innovation and ethical sourcing of biodiversity among companies in UEBT target markets,
- Regulatory and policy frameworks that, where relevant, consider and enable Ethical BioTrade practices,
- A growing number of companies adopting Ethical BioTrade practices,
- Recognition for UEBT member companies for their efforts to respect for people and biodiversity,
- UEBT membership being seen as an effective contribution to companies' sustainability business strategies,
- UEBT certification being valued by relevant stakeholders, including clients,  
*and*
- UEBT being regarded as an international centre of excellence on ethical sourcing of biodiversity and as a credible organization promoting measurable impacts.



## UEBT strategic clusters

In summary, UEBT strategies can be grouped in three clusters:

1. UEBT as an agent of change. As such, UEBT:
  - Carries out sector-specific outreach and communication to raise awareness on Ethical BioTrade and enrolls companies as members,
  - Provides advisory services to member and non-member companies on Ethical BioTrade,
  - Provides inputs to governments and other organisations involved in developing regulatory and policy frameworks, in order to promote and facilitate Ethical BioTrade,
  - Develops guidance materials, information, and good practices that can be used by the private sector, international organisations, and governments.
2. UEBT as a credible and effective standard system. As such, UEBT:
  - Provides a credible back-up of the Ethical BioTrade commitments and practices of UEBT member companies towards their clients and stakeholders,
  - Periodically revises the Ethical BioTrade standard, as to ensure it remains good practice to orient business operations on ethical sourcing of biodiversity,
  - Manages a verification system that reviews members' progress in implementing the Ethical BioTrade standard,
  - Manages an optional Ethical BioTrade certification program for selected supply chains of UEBT members,
  - Assures a credible and inclusive system by promoting multi-stakeholder inputs in its governance structures.
3. UEBT as a credible and effective standard system. As such, UEBT:
  - Provides a credible back-up of the Ethical BioTrade commitments and practices of UEBT member companies towards their clients and stakeholders,
  - Periodically revises the Ethical BioTrade standard, as to ensure it remains good practice to orient business operations on ethical sourcing of biodiversity,
  - Manages a verification system that reviews members' progress in implementing the Ethical BioTrade standard,
  - Manages an optional Ethical BioTrade certification program for selected supply chains of UEBT members,
  - Assures a credible and inclusive system by promoting multi-stakeholder inputs in its governance structures.

Finally, UEBT manages a Monitoring and Evaluation system that assesses whether the work of UEBT and its members is implemented as intended and is having the desired result. In this way, UEBT and its members continue to understand, learn, and improve their work, results and impacts.

A graphic illustration of UEBT's Theory of Change can be found below.

