



**UEBT**  
SOURCING<sup>®</sup>  
WITH RESPECT

# **Monitoring & Evaluation Public System Report**

April 2022

**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 all 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 raw material supply chains in the cosmetics, food and pharmaceutical sectors.

The Ethical BioTrade standard defines practices that enhance brand value, contribute to biodiversity regeneration, improving livelihood and local development, and sector transformation. It includes practices that:

- Promote biodiversity regeneration by restoring, maintaining, or enhancing spontaneous biodiversity and natural habitat as well as by using natural resources, cultivates and collected species sustainably
- Contribute to local development and livelihood by equitably sharing the benefits derived from the use of biodiversity and improving working and living conditions
- Respect human rights, worker rights, the rights of indigenous peoples and local communities, and other rights linked to the use of natural resources
- Address sourcing risks and thus improve the socio-economic viability and reputation of companies.

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 Ethical BioTrade practices (i.e. outputs) - including the number of suppliers and workers adopting them, etc. - the results of the implementation of those practices (i.e. outputs and impacts) - such as the changes promoted in member companies and their supply chains with respect to biodiversity and socio-economic conditions, etc. The UEBT M&E system is based on regular collection of data and the implementation of evaluation studies of selected supply chains.

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. Staff meetings, adoption of organisation strategic plans, and standard reviews are occasions to discuss and update the M&E system. The structure and functioning of the M&E system is documented in the M&E public system report.

### 2.1 Scope and boundaries

The UEBT M&E system covers the main strategies that UEBT put in place to promote Ethical BioTrade practices among companies. These strategies include the UEBT membership program, the UEBT ingredient supply chain certification programmes (i.e. Natural Ingredients Certification – NIC - and RA/UEBT herbs and spices certification program), and the UEBT Ethical Sourcing System – ESS - certification program, which include verification of supply chains. Moreover, UEBT provides advisory

services, trainings, information sharing opportunities – including conference events – as well as contributes to projects and multi stakeholders initiatives on Ethical BioTrade.

The focus of the UEBT M&E System is thus assessing UEBT strategies 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:

- The reach and scale of UEBT promotion of Ethical BioTrade practices within member companies and their supply chains (Outputs, Level 1)
- The medium-term changes and results deriving from Ethical BioTrade practices in member companies and certified/verified supply chains (Outcomes, Level 2)
- The long-term effects of Ethical BioTrade practices on people and biodiversity in certified/verified supply chains and supply chains involved in projects and initiatives promoted by UEBT (Impacts, Level 3).

#### **Box 1. UEBT Strategic plan 2020-2022**

##### **Focus**

1. Positive impact on people and biodiversity
2. Cost-effective due diligence on ethical sourcing
3. A vibrant association of committed companies
4. Speciality ingredients (in beauty and personal care, herbs, spices, flavours)

##### **Workstreams**

1. Encourage and validate positive impact on people and biodiversity
2. Facilitate cost-effective due diligence on ethical sourcing
3. Promote the work of UEBT and its members
4. Coordinate a vibrant association of committed companies
5. Ensure UEBT is fit for purpose

In terms of material scope, the UEBT M&E system currently covers:

All outputs and outcomes expected from the implementation of all UEBT strategies – as per UEBT Theory of Change (ToC). With some changes over the years, these aspects have been monitored since 2017. These aspects are monitored – as they apply - for all UEBT members and the supply chains that they prioritise, verify or certify. As per the last M&E annual report there are 51 members, based in 26 different countries, prioritising, certifying, verifying 438, 460 and 46 supply chains respectively in up to 71 different countries;

Two of the four impacts expected from the implementation of all UEBT strategies – as per UEBT ToC – as well as some unintended effects. Those impacts are regeneration of biodiversity and improvement in livelihood and local development. These are chosen because they are the most central to UEBT mission and strategy 2020-2024. They also resulted as being most critical to monitor after a stakeholder consultation that took place along the standard revision 2019-2020<sup>1</sup>. These

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<sup>1</sup> The impacts on Enhanced brand value and Sector transformation will be evaluated through proxy by looking at the number of companies joining UEBT or for which UEBT is a strategic partner.

impacts are assessed for selected members and their supply chains or for companies and supply chains involved in projects, initiatives, services provision with UEBT. The inclusion of different countries and of companies and supply chains involved in different UEBT strategies is ensured. Since 2017 an average two evaluations per year have been implemented, including six different countries and both certified and not certified supply chains.

#### **What is not included in the scope of the M&E system**

The monitoring and assessment of medium and long-term effects focusses on biodiversity and people because this is the core of UEBT work in cultivation and wild collection fields and of the UEBT Strategy 2020-2024.

Medium and long-term effects on biodiversity and people are promoted through the application of the UEBT field checklist and in certified ingredient supply chains. Those are therefore the focus of evaluation studies.

The long-term changes on Enhanced Brand Value and Sector Transformation are monitored indirectly, by considering the number of companies becoming members to UEBT and the evolution in their turnover.

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

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

Since 2013, UEBT has M&E officers as part of its staff. Since 2019 an M&E expert and an M&E officer are part of the M&E team at UEBT. The total time this staff dedicates to M&E related activities amounts to 1 full-time equivalent (FTE). Moreover, staff from other departments – including the management – contributes to M&E activities as explained in the section below.

In terms of financial resources, the M&E system represents ??% of the core budget. This budget covers the costs on running daily M&E activities such as M&E system reviews, performance monitoring and similar. Moreover, financial resources are made available, on project basis, for the implementation of evaluation studies as well as to support UEBT members in defining their own M&E systems. Costs of travel and consultants involved in evaluation studies and other related M&E activities are covered by these resources. These are 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 data for performance monitoring on regular basis. Moreover, in recent years, investments have been made to set up an on-line platform that facilitates and improve the quality of data collection and analysis. The platform allows systematising and automatising the M&E activities related to collection and verification of performance monitoring data for an increasing number of members that have been joining UEBT, and strategies that UEBT have been setting up. Finally, evaluation studies have been implemented on regular basis.

UEBT is committed to maintain the resources currently available for M&E activities and to finance M&E activities also through project-based resources.

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

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

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

The UEBT M&E Expert is responsible for the overall development and management of the M&E system. In particular, she is responsible for:

- Conceptual development of the M&E system
  - Developing conceptual approaches, regularly updating theory of change as well as M&E priorities and indicators,
  - Developing and testing of methodologies, approaches and tools for reliable performance monitoring and evaluation studies.
- 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 integration of M&E components in UEBT work and strategies.
- Quality control of M&E system
  - Maintaining compliance with ISEAL impact code,
  - Participating in ISEAL M&E community.

The UEBT M&E Expert and Officer share responsibilities in the implementation of the M&E system. In particular the M&E Officer is leading the performance monitoring activity, including collecting, managing and analysing data. The M&E Expert is leading evaluation studies, establishing research and analysis capacity, research partnerships and external collaboration on M&E, as well as managing the implementation of evaluation studies at company and field level.

Both the UEBT M&E Expert and Officer are ensuring external communication of M&E results and their use for internal learning and decision making. The UEBT M&E Expert has an academic background in research and methodology for the study of agrobiodiversity and social aspects. The UEBT Officer has experience in data management and analysis for natural science.

#### **Box 2.**

##### UEBT M&E Staff

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**Table 1. M&E roles and responsibilities for UEBT staff and consultants**

Staff	Role in M&E	Tools and procedures	Frequency
M&E and biodiversity	Leading M&E system development, management and implementation of M&E related activities. Ensure robustness and reliability of M&E work and output. Ensuring the M&E work is embedded in UEBT work and facilitate interactions with staff and relevant stakeholders. Establishing collaborations especially on evaluation activities.	<p>IT tools for performance and evaluation data management (E.g. Grove platform, Sale force, databases)</p> <p>Performance data collection through audits and verification</p> <p>Selection and supervision of consultants for the implementation of evaluation studies</p> <p>Periodic meetings or other forms of consultation with staff and other stakeholders for system redefinition</p>	Day – to – day
Executive director	Supervising M&E system development and management, advising priority setting and ensure fundraising for M&E activities. Facilitating interactions with Board of Directors and General Assembly for inputs and decisions about M&E related aspects	<p>Regular meetings and email exchange with M&amp;E staff</p> <p>Periodic meetings or other forms of consultations with Staff, Board of directors and General Assembly</p> <p>Project proposal development</p>	<p>Day-to-day</p> <p>On a needs basis, according to STD revision and other consultation processes</p>
Certification and verification	<p>Contributing to collecting and managing performance monitoring data from audits and other activities with members</p> <p>Providing inputs for the development of the M&amp;E system as well as on M&amp;E outputs</p> <p>Facilitating interactions between the M&amp;E staff and members, auditors and other consultants on M&amp;E</p>	<p>Procedures for involving M&amp;E staff in audit and verification process for the validation of performance data</p> <p>Periodic meetings and email exchange with M&amp;E staff</p> <p>Ad hoc consultations</p>	<p>Day-to-day</p> <p>On a needs basis, according to STD revision and other consultation processes</p>
ABS	Providing inputs to M&E system development and to the outputs		Day-to-day

	of the M&E activities on ABS related aspects	Periodic meetings and email exchange with M&E staff  Ad hoc consultations	On a needs basis, according to STD revision and other consultation processes
Communications	Providing inputs to M&E system development and contribute to the finalisation and publication of the outputs of the M&E activities	Content check, edit, design of M&E activities output  Periodic meetings and email exchange with M&E staff  Ad hoc consultations  Newsletter, linkedin posts, webpage annual report, conference for the vehiculation of M&E contents and involvement of stakeholders on M&E activities	Day-to-day  On a needs basis, according to STD revision and other consultation processes
Knowledge management and IT	Supporting the development of performance data collection and management tools  Advise the development of guidance for those who are in charge with providing data and/or collecting data	Grove, Salefore, On-line database, guidance material for data collection and management  Periodic meetings and email exchange with M&E staff  Ad hoc consultations	Day-to-day  On a needs basis, according to STD revision and other consultation processes
Regional and country representatives	Creating opportunities for development projects with member's suppliers and related evaluation studies  Contribute to selection and interaction with local consultants conducting evaluation studies  Providing inputs to M&E system development and to the outputs of the M&E activities especially on aspects that are relevant for the country and region they represent	Periodic meetings and email exchange with M&E staff and consultants  Ad hoc consultations	On project basis



### ***Other UEBT staff***

Though responsibility for overall development, management and implementation of the M&E system and activities lies with the M&E Expert and Officer, final decisions are taken jointly with other UEBT staff.

The M&E Expert reports to the Executive Director (ED) who supervises the M&E system development and management.

#### **Role of the Executive Director in the M&E work**

The ED is actively involved in fundraising for M&E activities.

He is also consulted on:

- M&E priority setting,
- Methodological and conceptual development
- Approval of M&E activities outputs (e.g. evaluation study reports and other sort of analysis) before they are finalised and or published.

Finally, the ED facilitates interactions with the UEBT Board of Directors and General Assembly for sharing results, get inputs, and facilitate decisions about M&E.

The rest of the 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. In particular, the UEBT staff provides inputs on ToC and indicators definition and adjustment, setting of research interest and questions for evaluation studies, quality and reliability of M&E activities outputs (e.g. study reports and other sort of analysis) before they are finalised and or published. The UEBT local representatives also contribute to the selection of local experts for the implementation of evaluation studies and to the interactions with them as well as are consulted to give feedbacks on contents, when needed.

Furthermore, UEBT staff contributes to IT system development for data management, ensuring performance data collection, definition of guidance for UEBT members, auditors and other staff, sharing of contents linked to M&E activities. Finally, the UEBT staff facilitate interactions with UEBT members, approved auditors to seek for clarification or improvements.

The collaboration on M&E related activities among UEBT staff is ensured primarily by embedding M&E priority and procedures in the UEBT works. Pathways of changes, M&E indicators, research agenda is defined in a way that is linked to the UEBT work and priority. Procedures such as membership, certification and verification audits are crucial for the collection of performance monitoring data. M&E and other staff share and collaborate on daily basis around those procedures to ensure data is collected, effectively, timely and reliably. Communication is essential for sharing information deriving from the M&E activities. Communication strategies and M&E priority are aligned. The M&E staff and the communication staff collaborate to make sure that M&E contents are vehiculated through communication products and channels. Finally, exchange between M&E and other staff on need basis is ensured through ad-hoc meetings and email exchange.

Tools and procedures to facilitate collaborations on M&E among UEBT staff are continuously developed and adapted to existing conditions and needs. In the last few years, M&E cafés have been organised periodically. They are meetings where all UEBT staff and country representatives are invited to join to discuss M&E related topics such as relevance of indicators and research priority,

technological development for data collection and analysis, results of M&E work before finalisation and publication.

### **3.3 M&E cooperation and coordination with external organisations and consultants**

Over the years has forged collaborations with external and recognised organisation and individual consultants for the development of the M&E system and the implementation of M&E activities for performance monitoring and evaluation.

UEBT has 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 has been applied in different evaluation studies and refined considering the learning from different cases and the updates in the M&E system, priorities and indicators.

Additionally, UEBT has participated in ISEAL actions on defining and testing common indicators for performance monitoring and evaluations. This collaboration with ISEAL took 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. However, UEBT does not report on common indicators.

Recently UEBT has participated in the Science Based Targets for Nature (SBTN) and in the OP2B initiative. Moreover, UEBT has contributed to 3<sup>rd</sup> biennial Global Forum on Ecological Restoration works on net gain. Discussions in these contexts have been informing the process of finalisation of UEBT M&E indicators to monitor and assess effects on biodiversity of cultivation and wild collection activities.

UEBT has a collaboration with Rainforest Alliance for the implementation of evaluation studies in the context of the RA/UEBT Herbs and Spices Certification Program (former UEBT/UTZ Herbal Tea Certification Program). UEBT M&E staff and M&E Staff at RA have been working together with external consultants to implement evaluation studies over three different countries so far. Moreover, UEBT includes some of the RA performance indicators and report about them.

UEBT collaborates with recognised Universities, research centres and researchers when engaging consultants in the implementation of evaluation studies. Collaborations are established on need basis, once evaluation studies are commissioned. In the past few years UEBT has collaborated with institutes such as Ceará State University and San Paulo University in Brazil, Public Association Agrolead in Kyrgyzstan, University of Antananarivo in Madagascar.

## **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 Annex A), which includes expected impacts, outcomes, outputs and corresponding strategies.

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

Contribute to a world in which all people and biodiversity thrive.

UEBT works to regenerate nature and secure a better future for people through ethical sourcing of ingredients from 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). The intended impacts concern people and biodiversity: biodiversity is regenerated, livelihood is improved, and local development promoted in sourcing areas. 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. As a result of this economic sectors are transformed and brand values enhanced.

UEBT also has short and medium-term outputs and outcomes. In the short term, UEBT members, their suppliers and field operators i) adopt commitments, strategies and policies to manage risks for people and biodiversity and to implement Ethical Sourcing along the supply chains of natural raw material; ii) implement a supply chain due diligence system to trace back and assess all the processes along the supply chain where Ethical Sourcing practices are enforced; iii) implement Access and Benefit Sharing (ABS), due diligence for the sourced natural raw material; iv) promote and verify Ethical BioTrade practices in natural raw material supply chains. Moreover, members and other stakeholders acquire awareness, commitment and knowledge on Ethical Sourcing.

As medium-term outcomes, UEBT members, their suppliers, field operators, and local communities in the context of sourcing i) make progress on commitments on Ethical Sourcing; ii) strengthen partnership and benefit sharing along supply chains; iii) promote and sustainably use biodiversity in sourcing areas; iv) improve working and living conditions for operators in the sourcing areas. Moreover, better practices and approaches on sourcing with respect for people and biodiversity start spreading at a sector level.

### ***Strategies***

UEBT has three main strategies to achieve its intended change.

1. Standards system for ethical biotrade commitments. As such, UEBT provides:
  - A standard (principles and criteria) for Ethical BioTrade commitments and practices that is:
    - ✓ Credible, because it is recognised and adopted (e.g. by ISEAL as compliant with international Codes of Good Practice, and by companies that integrate it in their work)
    - ✓ Effective, because it is both defined and periodically revised in a participatory way by including the inputs of a wide range of stakeholders
  - A membership programme for companies, through which Ethical BioTrade practices and commitments are assessed.
  - Assurance programmes, through which Ethical BioTrade practices are verified and certified at the level of the companies and in their supply chains.
2. Association of companies. As such, UEBT:

- Provides technical support and training on the Ethical BioTrade principles and practices,
  - Promotes exchange of experiences and partnerships among actors at different stages of the supply chain,
  - Gives access to tools and approaches that facilitate implementation of Ethical BioTrade practices.
3. Knowledge sharing platform on Ethical BioTrade issues. As such, UEBT:
- Carries out sector-specific outreach and communication and develops tailored content to raise awareness on Ethical BioTrade,
  - Provides advisory services to companies and other stakeholders, including governments and other organisations, on Ethical BioTrade issues,
  - Creates networking opportunities, through conferences and events, for actors in the Ethical BioTrade world, and
  - Initiates and contributes to multi-stakeholders initiatives such as special field projects to promote Ethical BioTrade practices.

#### ***Unintended effects and influencing factors***

The processes described above may be:

- Hampered by some effects that despite being unwanted may still occur, or
- Promoted by some contextual dynamics that move in the same direction.

The possible risk of unintended effects to be monitored are the following:

- Slowdown of processes along the supply chain (e.g. innovation from research and development) because of increasing requirements to be fulfilled and procedural burden.
- Reduced opportunities to find suitable suppliers that comply with Ethical BioTrade principles and practices.
- Costs of certification and the changes required by it are passed to the suppliers/producers.
- Threats to food security due to replacement of food crops with cash crops.
- New conflicts and exclusion in sourcing areas for increased competition over resources or not accepted or difficult to apply requirements.

Among the factors that can foster the above described processes, there are:

- Companies own strategies, tools and expertise for sustainability.
- Market and legal demands for sustainable practices.
- Requirements of other sustainability standards.
- Socio-economic and environmental necessities to take actions for sustainability.

## **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).

## 5.1 Performance monitoring

<b>Table 2. UEBT approach to M&amp;E in different areas</b>				
<b>M&amp;E areas and levels</b>	<b>Source</b>	<b>Method of collection</b>	<b>Frequency</b>	<b>Data collected by</b>
L1. Reach and scale - outputs	Members	Self-report Membership assessment report	Annually Every 3 years	Members Auditors
	Certificate Holders	Audit report Field verifications	Annually Periodically	Auditors
L2. Medium-term changes and effects for members – outcomes	Members	Self-report Membership assessment report	Annually Every 3 years	Members Auditors
	Certificate Holders	Audit report Field verifications	Annually Periodically	Auditors
	Selected members, certificate holders, and suppliers	Case studies	Aiming at 1 per year	UEBT and external researchers
L3. Long-term effects for members, people and biodiversity – impacts	Selected members, certificate holders, suppliers and producers/ communities	Case studies	Aiming at 1 per year	UEBT and external researchers

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 or outputs of UEBT program implementation at the level of the member companies and certified supply chains. The data is collected yearly members self-reporting and certification audits and periodically through membership assessments and field verifications.

UEBT defined a list of outputs indicators to monitor the reach and scale of the UEBT programs. The list has been used for some years and has been reviewed to adjust to the UEBT standard issued in

2020. Stakeholders have been consulted to define the output areas in the UEBT ToC. After that, the UEBT M&E team has put forward a list of outputs indicators that:

1. Allow measuring the output areas in the ToC,
2. Build on those indicators that have been used in the past to ensure continuity,
3. Can be collected reliably and regularly through daily assurance activities,
4. Reflect the need of the UEBT assurance team to monitor the short-term results of the UEBT programme and facilitate learning to take corrective actions and improve the effectiveness of the assurance activity.

The list of outputs indicators has been further consulted with the relevant staff at UEBT and partner organisation Rainforest Alliance (RA) to refine them and ensure their relevance in monitoring the short-term results of the assurance programmes. Moreover, several tests have been run to make sure the checklists used for the collection of information return indeed reliable and relevant data. Finally, the ISEAL list of common indicators has been used as a source of inputs while defining the list of indicators<sup>2</sup> for alignment, when meaningful.

The outputs indicators selected are reported in the table below (Table 3).

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<sup>2</sup> ISEAL Alliance (2013) Demonstrating and improving poverty impacts: ISEAL Common Core Indicators.

<b>Table 3. Output indicators on reach and scale (level 1)</b>			
<b>Areas of short-term effects/ Outputs</b>	<b>Indicator</b>	<b>Applicability</b>	<b>Use</b>
Adopt Ethical Sourcing commitments, strategies and policies  Implement supply chain and ABS due diligence systems  Acquire awareness, commitment, and knowledge on Ethical Sourcing	Number of natural raw materials Prioritised Certified UEBT* Certified UEBT – RA* Verified	Members and certificate holders	External reporting
	Number of supply chains Prioritised Certified UEBT Certified UEBT – RA Verified		
	Number of members per Position in the supply chain* Geographic areas Country Assurance programme		
	Number of local suppliers per Geographic area Country Assurance programme*  Percentage of total turnover per sector Cosmetic Food Pharmaceutical		
Promote and verify supply chain practices that respect people	Volumes of plants used per Production system Geographic areas Country Assurance programme*	Members and Certificate holders	External reporting
	Number of workers involved in supply chains per Production system Geographic area Country Assurance programme*  Number of farms and farmers involved in supply chains per Production system Geographic area Country Assurance programme*	Members with verified supply chains  Certificate holders	

Promote and verify supply chain practices that respect biodiversity	Number of plants per Production system Geographic area Country Assurance programme	Members and Certificate holders	External reporting
	Number of Biodiversity Action Plans defined Production system Geographic area Country	Members with verified supply chains Certificate holders	

\* In line with ISEAL common indicators<sup>3</sup>

\*\* Shared with other programmes

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 UEBT staff, auditors and members – who are involved in the collection and provision of the data – are considered together with the learning from the analysis of gathered information when compiling the annual monitoring and evaluation report.

## 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 for all members and certificate holders through information on compliances coming from the field verification, audit, membership assessment, and annual reports.

The list of outcome indicators is defined in the same way as for the list of output indicators, following the process described in section 5.1. The outcome indicators resulting from this process are reported in the table below (Table 4).

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



Table 4. Outcome indicators on medium-term effects (level 2)			
Areas of medium-term effects/ Outcomes	Indicator	Applicability	Use
<p>Progress on company commitments on Ethical Sourcing</p> <p>Better practices and approaches on sourcing with respect for people and biodiversity</p>	<p>% members per level of compliance with</p> <p>Adoption of Ethical BioTrade targets</p> <p>Regular update of supplier and supply chain due diligence reviews, and risk assessment</p> <p>Measures in place for botanicals to be compliant with UEBT responsible sourcing and commodities and derivatives to be compliant with UEBT minimum requirements</p> <p>Implement Ethical BioTrade workplan in line with targets and planned activities</p> <p>Measure taken to ensure prioritised supply chains gradually meet at least Ethical BioTrade standard</p>	Members	External reporting
	<p>% of ESS CH per level of compliance with</p> <p>Assess 100% of the volume of natural ingredients and derivatives under the ESS certification scope (§4.1.1 ESS checklist)</p> <p>100% of the annual volume of the natural ingredient on which active consumer communication takes place comply with the threshold requirements for Ethical BioTrade practices (§4.3.3 ESS checklist)</p>	Ethical Sourcing System certificate holders	
	<p>% of CH OnaS per level of compliance with</p> <p>Carry out full inspections of all OaS, SbS and FOs on an annual basis or according to scope and frequency defined as per result of risk assessment (§8.2.2 system checklist)</p> <p>Verify and approve implementation of corrective measures (§8.6.5 system checklist)</p> <p>Conduct monitoring inspections with the frequency needed and scope required (§9.4 system checklist)</p> <p>Implement corrective actions for improvements or to close non-conformities (§9.6 system checklist)</p>	Certificate holder not based at sources in the Ingredient Certification Programme and in the Herbs and Spices Programme	
<p>Improvement of working and living conditions in sourcing areas</p> <p>Stronger partnerships and sharing of</p>	<p>% of Local Suppliers (OaS) and/or sub-suppliers and/or field operators (FO) per level of compliance with</p> <p>Have measures in place to contribute to a living income for producers of natural raw materials (§3.1.4)</p> <p>Have measures to deal with situations in which high risk of discriminatory or abusive practices is identified (§6.1.5)</p> <p>Have formal commitment and targets in place to advance towards a living wage for workers (§6.3.2)</p> <p>Have channels in place for hearing concerns from workers (§6.3.13)*</p>	<p>Certificate holders in ingredient certification programme, their suppliers and producers</p> <p>Certificate holders in ESS certification</p>	

benefits in supply chains	Have measures in place to understand and act upon workers' health and safety risks (§6.4.2)* Monitor accidents and near misses and take measures to address their root cause (§6.4.6)	programme, their verified suppliers and producers	External reporting
	% CH, non-local and local suppliers (OnaS/OaS) UEBT-RA per level of compliance with  Agree in writing to contribute to raising wages towards the level of a Living Wage or beyond (§17.1) Transfer full Amount of Rainforest Alliance Sustainability Differential (§15.1)** Spend sustainability Differential spent for the benefit of workers in the following categories: wages, working conditions, health and safety, housing (§15.2)** Pay full amount of the Sustainability Investment at least annually (§16.3)**	Certificate holders in herbs and spices certification programme, their suppliers and producers	
Sustainable use of biodiversity in sourcing areas	% of Local Suppliers (OaS) and/or field operators (FO) per level of compliance with  Follow wild collection practices ensure long-term survival of the wild collected and interdependent species (§2.1.10) Manage cultivated species are managed to ensure optimal yields and avoid conflict with other species (§2.1.21) Follow practices to maintain levels of surface and ground water (§2.3.3)* Follow practices to maintain or improve soil fertility and nutrients contents (§2.3.5)* Follow practices to conserve and improve soil stability and drainage (§2.3.6)* Follow integrated pest management practices (§2.4.4)* Follow practices to reduce the use of herbicides (§2.4.5)* Follow to reduce the use of fertilisers (§2.4.6)*	Certificate holders in ingredient certification programme, their suppliers and producers  Certificate holders in ESS certification programme, their verified suppliers and producers	External reporting
Promotion of biodiversity in sourcing areas	% of Local Suppliers (OaS) and/or field operators (FO) per level of compliance with  Initiate or support concrete actions for biodiversity		

\* In line with ISEAL common indicators<sup>4</sup>

\*\* Shared with other programmes

Moreover, evaluation studies are implemented to contribute to shedding light on the outcomes of UEBT standard and programs implementation. Selected members, certificate holders and suppliers are involved in the studies to understand how desired changes and medium-term effects are occurring, which factors influence them, and which possible unintended effects derive too. The studies are explanatory and the aspects to be investigated are defined case by case. The list of indicators in table 4 is used for inspiration as well as the list of unintended effects and influencing factors in table 6. However, they undergo a process of adaptation to better fit the reality of each case studies and to consider learning from previous studies. UEBT aims at implementing or commissioning the studies with an average of one per year.

<sup>4</sup> ISEAL (2013) *Demonstrating and Improving Poverty Impact: ISEAL Common Core Indicators*

Evaluation studies are used to assess the long-term effects of Ethical BioTrade practices on companies, suppliers, people and biodiversity (Impacts, Level 3) too. Evaluation studies are implemented or commissioned to external researchers. UEBT seeks to implement/commission at least one evaluation study per year on selected members, certificate holders and suppliers.

The attention of the studies is on the long-term effects on biodiversity regeneration as well as on the promotion of livelihood and local development in the areas where natural raw materials are cultivated or collected. The work on assessing long-term effects is guided by the [UEBT research agenda](#) and a list of possible indicators, unintended effects and influencing factors to be adapted study by study.

The same process described in section 5.1 for the definition of outputs indicators is followed for the definition of research agenda, list of impact indicators, unintended effects and influencing factors. Moreover, the list is informed by learning from previous studies and adapted to the peculiarity of the contexts being studied. The impact indicators resulting from this process are reported in the table 5. Table 6 reports the list of possible unintended effects and influencing factors that are also used for studies on the medium-term effects of the UEBT programmes.

<b>Table 5. Impact indicators on long-term effects (level 3)</b>			
<b>Areas of long-term effects/ Impact</b>	<b>Indicator</b>	<b>Applicability</b>	<b>Use</b>
Enhanced brand value  Sector transformation	No indicators. Monitored indirectly, as explained in UEBT research agenda.	Members  Certificate holders	Internal learning
Improved livelihoods and local development	<p>Typology of interventions with best results in terms of ensuring fair prices/wages per Country Natural raw material supply chains Assurance programme</p> <p>Typology of interventions with best results in terms of ensuring right of actors per Country Natural raw material supply chains Assurance programme</p> <p>Typology of actors mostly benefiting from prices/wages interventions per Gender Position in supply chain</p> <p>Progresses toward improving communities living conditions per Country Natural raw material supply chains Assurance programme Typology of measures</p> <p>Progresses toward promoting personal development per Country Natural raw material supply chains Assurance programme Typology of measures</p>	Selection of members, certificate holders their suppliers and producers	External reporting*  Internal learning
Biodiversity regeneration	<p>Typology of interventions with best results in terms of biodiversity regeneration per Region of production Natural raw material supply chains Assurance programme</p> <p>Progresses toward global targets for biodiversity per Country Natural raw material supply chains Assurance programme Typology of measures</p> <p>Contribution of biodiversity regeneration actions towards improved socio-economic conditions for producers and local communities per Country Natural raw material supply chains Assurance programme Typology of measures</p>	Selection of members, certificate holders their suppliers and producers	External reporting  Internal learning

\*When not confidential

<b>Table 6. Possible unintended effects and other influencing factors</b>
<i>Possible unintended effects</i>
1. Slowdown of processes along the supply chain (e.g. innovation from research and development) because of increasing requirements to be fulfilled and procedural burden.
2. Reduced opportunities to find suitable suppliers that comply with Ethical BioTrade principles and practices.
3. Costs of certification and the changes required by it are passed to the suppliers/producers.
4. Threats to food security due to replacement of food crops with cash crops.
5. New conflicts and exclusion in sourcing areas for increased competition over resources or not accepted or difficult to apply requirements.
<i>Possible influencing factors</i>
1. Companies own strategies, tools and expertise for sustainability.
2. Market and legal demands for sustainable practices.
3. Requirements of other sustainability standards.
4. Socio-economic and environmental necessities to take actions for sustainability.

## 6. Data management

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 prompted a further automatisisation and formalisation of the M&E data management approach.

### 6.1 Performance monitoring and outcome monitoring

#### *Data collection*

There are four entry points for data on the reach, scale and outcomes of the UEBT programs:

- Certification audits,
- Membership assessment,
- Field verifications,
- Annual reports.

They all provide information to cover indicators on the reach and scale of Ethical BioTrade practices (e.g. number of natural raw material prioritised/certified/verified, size of the areas where they are cultivated or collected from the wild, number of people involved in the cultivation or wild collection, etc.) as well as on the outcomes (e.g. progress in implementing supply chain risk assessment, progress in implementing practices to overcome risks and generate positive impacts, etc.).

Information from membership assessments, certification audits and field verifications is gathered by UEBT staff or approved auditors. Information from annual reports is compiled by the UEBT members. Membership assessment are held every three years; certification audits and field verifications for certification are held every year; the frequency of field verifications beyond the scope of certification depends on the level of risk. Annual reports are submitted every year by members who do not have audits planned for the year.

The data used for performance monitoring and outcome assessment is updated according to the frequency of information submission. Those years with no updates for one or more members, the information gathered during the last update is used and this is specified in the results of the analysis.

### ***Data storage***

All the information from assessments, audits, field verifications and annual reports is gathered through and stored in the UEBT platform for data management (i.e. The Grove) in the form of reports. This are detailed and members specific data.

The same data is downloaded from the data management platform and stored in a database. The database is a file xls saved in folder shared among the M&E staff and the management. The database includes functionalities to analyse the data and the results of the analysis (see below).

The download of the information from the Grove to the database is done by the M&E staff, on yearly basis, right before the analysis and reporting. More frequent downloads - throughout the year - are done upon request. In any case, the most updated information is downloaded from the Grove.

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

The information derived from assessments, audits, verifications and annual reports is cleared and aggregated in a way that returns key data to report on all M&E indicators for reach and scale, and outcomes. As said above, this is done at least once a year – at the end of each calendar year – or more often if requested.

The data is compiled in the M&E annual report, which is published every year within the first three months of the year. The publishing of the M&E annual report is announced through the newsletter and other social media posts. Moreover, the report is shared with the Board of Directors and General Assembly in occasion of the latter. Moreover, the data report is discussed with UEBT staff in internal meetings.

Other analysis are performed to return indicators that are not shared publicly. These analyses are done upon request and presented in staff meetings for internal learning. Finally, other analyses may be performed, and the results shared with those commissioning those analyses. Those may be requested by the communication staff at UEBT, organisations that UEBT collaborates with, and UEBT members.

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

UEBT has developed guidance and protocols to ensure quality and reliability of the information used and data reported for performance monitoring and outcome assessment. The guidance and protocols are managed and updated by the M&E staff as well as made available to relevant people (e.g. UEBT staff and auditors gathering information or members providing information).

Quality in data gathering is ensured through:

- Guidance and training for UEBT staff, auditors, and members. This is available regularly online and offline in the form of definition for the interpretation of each of the requirements in audit, assessments and verification checklists used for M&E data gathering
- Validation of data from the UEBT staff. UEBT staff checks each new assessment, audit, verification, annual report with respect to the information that are relevant for M&E. The check implies comparisons with previous years, information cross-checking in case of different entry points for the same information, triangulation of information that is related to each other to spot inconsistencies or unreasonable changes
- Automatic validation from the Grove that through formulas and other restrictions does not allow reporting information that is not relevant in certain fields or to skip relevant fields

Quality in data analysis is ensured through:

- Procedures to identify and neutralise double counting. This is especially used to avoid aggregating information on size of sourcing areas, volumes sourced, number of workers in the field from the same supply chain supplying to more than one of UEBT members
- Procedures to identify missing information and find ways to replace them. When this is not possible, indicators are reported only if the missing information is not hampering the validity of the results. Qualitative insights are used to determine this
- Procedures to identify and treat outliers. Qualitative insights are used to interpret the outliers and decisions on reporting about them are taken accordingly. When the outliers are the results of mistakes in data collection and analysis, ways are found to correct the mistake otherwise the information is excluded from reporting with note. When the outliers are the results of a specific situation, the information is reported, and the situation explained qualitatively.

Quality in reporting is ensured through procedures for the publication of M&E related information, which require that:

- Only the M&E staff has access to raw data.
- All what reported and published – even by other departments or external organisation – if related to M&E is provided by the M&E staff and results from its analysis, verification and approval
- The communication team edits and ensure proper presentation of contents, to avoid over stating or misleading statements
- Any M&E outputs is first discussed with relevant staff to validate the findings and final approval before publication.

## **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. UEBT seeks to implement or commission at least one – between outcome and impact evaluations – per year. Every year the M&E work plan is reviewed and the studies for following year are planned. The table below (Table 7) reports all the studies completed so far or on-going.

Case studies are representative of UEBT programs, as far they involve companies from different programmes: member companies, companies and/or suppliers and producers with UEBT ingredient certification and with the UEBT-RA herbs and spices certification (former UEBT-UTZ Herbal Tea Certification), non-member companies only receiving support services from UEBT. The aim is to extend studies to as many members, suppliers and producers as well as typologies of programmes as possible. To reach this goal – beside the studies implemented or commissioned by UEBT - members are required to implement evaluation studies and share results with UEBT.

The evaluation studies focus on medium- and long-term effects of the UEBT programmes as well as on unintended effects and other influencing factors.

**Table 7: List of outcome/impact evaluations**

Year started	Study Title	Study type	Implementation	Status	Results
2016	Assessment of UEBT strategy on technical support on ABS 2014-2016	Evaluation study L2	Conducted	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 study on wild apple collectors in Euro-Asia UEBT/UTZ Certified Herbal Tea Program	Evaluation study L3 - 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	Evaluation study L3 - 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	Advancing ethical sourcing practices in the Malagasy Centella asiatica supply chain	Evaluation study L3 - Baseline	Commissioned	Completed	Available on request and considering confidentiality issues
2017	Adopting UEBT (Union for Ethical BioTrade) standards at Weleda. Assess the deriving changes and effects for the company and suppliers	Evaluation study L2	Conducted	Completed	<a href="https://www.ethicalbiotrade.org/resource-pages/impact-case-study-weleda">https://www.ethicalbiotrade.org/resource-pages/impact-case-study-weleda</a>
2017	Adopting UEBT (Union for Ethical BioTrade) standards at Natura. Assess the deriving changes and effects for the company and suppliers	Evaluation study L2	Commissioned	Completed	<a href="https://www.ethicalbiotrade.org/resource-pages/impact-case-study-natura">https://www.ethicalbiotrade.org/resource-pages/impact-case-study-natura</a>
2018	Implementing UEBT (Union for Ethical BioTrade)/UTZ commitments through the MaBaGrown program. Identifying changes, effects and next steps for Martin Bauer	Evaluation study L2	Conducted	Completed	<a href="https://www.ethicalbiotrade.org/resource-pages/impact-case-study-martin-bauer">https://www.ethicalbiotrade.org/resource-pages/impact-case-study-martin-bauer</a>



	Group (MBG) and its suppliers.				
2018	Extending ethical sourcing practices to new Malagasy Centella asiatica supply chain – Area 1	Evaluation study L3 - Baseline	Conducted	Completed	Available on request and considering confidentiality issues
2019	Extending ethical sourcing practices to new Malagasy Centella asiatica supply chain – Area 2	Evaluation study L3 - Baseline	Conducted	Completed	Available on request and considering confidentiality issues
2019	Study on citrus wild collection and cultivation of lemon verbena in Latin America UEBT / UTZ Certified Herbal Program	Evaluation study L3 - Baseline	Commissioned	Completed	Available on request and considering confidentiality issues
2019	Study on socio-economic and biodiversity condition in Carnauba product region in Brazil	Evaluation study L3 - Baseline	Commissioned	Completed	<a href="https://www.ethicalbiotrade.org/resource-pages/impact-case-study-carnauba">https://www.ethicalbiotrade.org/resource-pages/impact-case-study-carnauba</a>
2020	Advancing ethical sourcing practices in the Malagasy Centella asiatica supply chain	Evaluation study L3 – Final Study	Commissioned	Completed	Available on request and considering confidentiality issues
2021	Study on Cinnamon cultivation in South East Asia UEBT / RA herbs and spices program	Evaluation study L3 - Baseline	Commissioned	Ongoing	Not available yet
2021	Baseline study on wild apple collectors in Euro-Asia UEBT/UTZ Certified Herbal Tea Program	Evaluation study L3 – Follow - up	Commissioned	Completed	Available on request and considering confidentiality issues
2021	Extending ethical sourcing practices to new Malagasy Centella asiatica supply chain – Cultivation	Evaluation study L3 – Baseline	Commissioned	Ongoing	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 UEBT M&E staff following ISEAL guidelines and, when relevant, 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.

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.

For some evaluations studies a multiannual approach has been used, starting with a baseline study. 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 cases when the 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. Secondary data from statistics and other studies are used to compare the primary data coming from sample involved in the study. Moreover, case study and sample are identified that are representative of the reality and variety under investigation. Data collection and reporting procedures are defined clearly and can be easily replicated (e.g. list of questions, templated to be filled out for data reporting). Finally, study results are checked with those involved in the study, relevant staff at UEBT and, when relevant, peers/researchers and UEBT governance entities, to ensure the results are accurate and linked to actual findings.

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.

The publication of results includes sharing through newsletter, other social media and the UEBT website of summary reports or full reports. The internal sharing of information happens mostly via email and through the M&E café presentations.

Full reports, summaries and presentations 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.

### **6.3 Confidentiality**

Procedures are in place to protect confidentiality of members, suppliers and other whose information is used for M&E purposes. Confidentiality clauses are introduced among the membership conditions and obligations. Members allow the use of their data by accepting the terms and conditions of the Data protection and confidentiality policy when they access the Grove platform. UEBT ensures that information is only reported in an anonymized and aggregated format so that it cannot be linked to individual members. Moreover, evaluation studies – full reports or summaries – are only published when this agreed upon and accepted by all parties involved.

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.

UEBT includes the same close in contract with consultants engaged for conducting evaluation studies. Those consultants are to require those participating in the study to sign a consent form through which they stay their willingness to be involved in the study and allow to use the information they share in anonymised form.

## **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 on M&E publications 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 consultation processes that lead to major revision of the M&E system such as in the case of the UEBT STD revision.

Publication of the M&E work is done regularly, using all UEBT communication channels and reaching out to all the users of those channels. In the case of the M&E annual report, the General Assembly is explicitly solicited to provide feedback and some relevant results are reported the Board of Director.

Major revisions of the UEBT M&E systems take place every five years, in line with the process of standard revision. Consultations on specific, and minor aspects are done ad-hoc and there is not a regular schedule for this. Moreover, feedback to the M&E work – e.g. comments to published or internally shared reports – are considered on year basis to do minor changes in the M&E approach.

## **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 and sharing of those reports or summaries with members and other stakeholders
3. Stakeholder consultations, with both internal and external stakeholders on M&E components and evaluation studies
4. Feedback to published or otherwise shared M&E results.

So far, the learning and improvement process built around the M&E system resulted, among other, in periodic minor revisions of the M&E activities. The minor revisions are done on yearly basis, at the moment when the M&E annual report is drafted. Those are moments where the M&E work and results is reviewed using the learning from performance monitoring and evaluation analysis to:

- Question the indicators used and their relevant and how to adjust them
- Evaluate the procedures linked to the run of the M&E system their clarity and rigours and how to improve
- Highlight possible gaps of information and similar and how to fill those.

The last major revisions of the M&E system and strategy took place in 2020 alongside the broader process of standard revision. The major revisions of the M&E system start from a review of the pathways of changes and then the review of M&E strategy, boundaries, scope, indicators and activities will follow from that.

Other revisions are done in occasion of the ISEAL Impact Code evaluation to integrate improvements when required and possible.

## **7.3 Benefits for UEBT members**

UEBT uses the experience and results of the M&E activity to providing to members and ensure they benefit from the learning deriving the M&E activity. UEBT provide access to performance monitoring and evaluation results as explained in other part of this document. Ad hoc access to results of data analysis is also provided by UEBT to the members in the form of communication material that members can use and similar.

Moreover, UEBT is making available to the members a guidance document on how to set-up and run M&E activities. This guidance builds on the experience of UEBT and it is meant to support members in implementing their own M&E system. Guidance is also made available on procedures to follow to ensure quality and ethic from which members can derive inspiration when conducting M&E activities. Other guidance is provided to members through the [UEBT research agenda](#), which members can refer to when wanting to define research questions and indicators for their evaluation studies. Furthermore, members are encouraged and guided in implementing the collection of performance data and conducting evaluation studies through specific requirements in the UEBT checklists. Finally, and upon request, UEBT provides support to its members to define their M&E systems.

UEBT has used the experience and learnings from M&E activities to define some monitoring tools for biodiversity indicators and those [tools](#) are available for members. Learnings from the M&E activity have also been used identify key issues on which [training material](#) have been developed. This include on-line modules that explains members and certification bodies how to interpret UEBT requirements, especially those proving to be more difficult to conform with. Finally, learnings from the M&E activity inform the development of a risk assessment database that UEBT members can access when interested in identifying risk for natural raw material supply chains around the world.

## **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 contact point of the M&E team is provided and can be used to submit comments, provide feedback or ask questions. Moreover, the M&E system and strategy are summarised and links provided to additional information and documents, including:

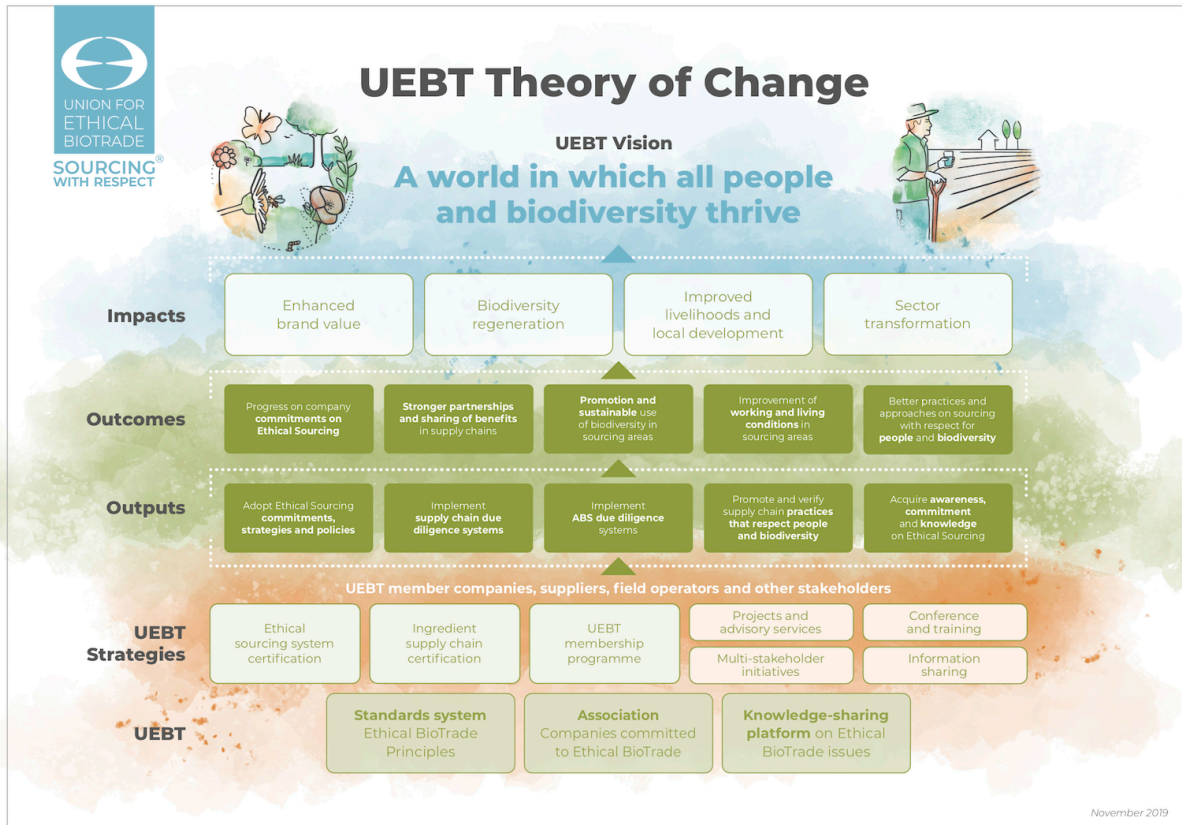
- UEBT Theory of Change, including an explanation of strategies, intended outcomes, impacts and unintended effects
- Description of UEBT M&E System, including a description of the system scope and boundaries, list of indicators and of evaluation studies
- UEBT M&E annual reports
- Summaries of evaluations studies

In occasion of the standard revision, the UEBT website include a [page](#) with procedures for stakeholders to contribute to standard and the M&E system revision. In this page, the results of the consultation are published too.



# Annex A: UEBT Theory of Change

## Theory of Change Union for Ethical BioTrade



# Annex B: Full list of Indicators

## Indicators: Impact area – Enhance Brand Value

Area of impact	Area of medium term effects	Area of short term effects	Indicator name	Level (1,2,3)	Definition	Unit (kg, kg/year)	Reporting indicators
Enhanced brand value	Progress on company commitments on Ethical Sourcing & Better practices and approaches on sourcing with respect for people and biodiversity	Adopt Ethical Sourcing commitments, strategies and policies Implement supply chain and ABS due diligence systems Acquire awareness, commitment, and knowledge of Ethical Sourcing	Number of UEST members	1	Number of UEST members registered in a given year in total and disaggregated per country per geographic area and per position in the supply chain	Total N N per country N per geographic area N per position in supply chain	Total number of UEST members N UEST members per country N UEST member per geographic area N UEST members per position in supply chain
			Number of UEST members that adopted a certification program	1	Number of UEST members that are certificate holders, disaggregated by certification program, country and geographic region	N per certification program N per country	N CH UEST Inherent certification N CH UEST AA Inherent certification N CH Ethical Sourcing System certification N CH per country
			Number of natural raw materials	1	Number of natural raw materials produced from plant species disaggregated by UEST program	N per UEST programme Total N	N prioritised natural raw materials N UEST certified natural raw materials N UEST AA certified natural raw materials N verified natural raw materials Total N of natural raw materials sourced by companies
			Number of supply chains	1	Number of supply chains disaggregated by UEST program, geographic region and country	N per UEST programme Total N N per programme in each country N per UEST programme	N UEST certified supply chains N UEST AA certified supply chains N verified supply chains Total N of companies' supply chains N prioritised supply chains per country N UEST certified supply chains N UEST AA certified supply chains N verified supply chains
			Number of Organisations at Source	1	Number of organisations at source per programme, per geographic region and country	N per country N per programme in each country N per UEST programme	N UEST AA certified OUs N UEST AA certified OUs N verified OUs N UEST AA certified OUs N UEST AA certified OUs N verified OUs per country N prioritised OUs per country N certified UEST + UEST-AA + verified OUs per country
			Turnover	1	Turnover reported by all UEST members in a given year: total turnover, per sector, % per sector, turnover per actor and geographic region; % turnover per actor and geographic region	N per sector N per country	N turnover cosmetic N turnover food N turnover pharmaceutical N UEST members scoring 2 or 3 in membership requirement 22 N UEST members scoring 2 or 3 in membership requirement 20
			Compliance with adoption of Ethical BioTrade targets	2	Percentage of members that have set targets for supplier and supply chain due diligence	% compliant	N UEST members scoring 2 or 3 in membership requirement 20
			Compliance with regular update of supplier and supply chain due diligence review, and risk assessment	2	Percentage of members that periodically review their supplier and supply chain due diligence as well as risk assessments to consider and reflect any changes in circumstances	% compliant	N UEST members scoring 2 or 3 in membership requirement 20
			Compliance with measures in place for botanicals to be compliant with UEST responsible sourcing and derivatives to be compliant with UEST minimum requirements	2	Percentage of members that develop strategies and adopt measures to gradually ensure that botanicals, commodities and derivatives are brought to compliance with the relevant UEST requirements	% compliant	N UEST members scoring 2 or 3 in membership requirement 20
			Compliance with implementation of the UEST verification in line with targets and planned activities	2	Percentage of members that have achieved or undertaken their targets and activities as planned	% compliant	N UEST members scoring 2 or 3 in membership requirement 23
			Compliance with measure are taken to ensure prioritised supply chains gradually meet at least UEST standard critical requirements, and advance as much as possible towards full compliance with the UEST standard	2	Percentage of members that have adopted measures to improve practices in cultivation, wild collection and post processing activities in prioritised supply chains	% compliant	N UEST members scoring 2 or 3 in membership requirement 20
			Compliance with applicability of ABS laws, regulations or best practices to own activities and suppliers is assessed with the UEST standard	2	Percentage of members that assess the applicability of ABS laws, regulations or best practices to own activities and those of suppliers	% compliant	N UEST members scoring 2 or 3 in membership requirement 21
			Compliance with full inspections of all OUs, SAs and FOs or conduct their inspections according to scope and frequency defined as per result of risk assessment	2	Percentage of certificate holders that conduct annually full inspections of all OUs, SAs and FOs or conduct their inspections according to scope and frequency defined as per result of risk assessment	% compliant	N UEST members scoring 2 or 3 in membership requirement 20
			Compliance with implementation of corrective measures in verified and risk approved once it has been confirmed as sufficiently fulfilled	2	Percentage of certificate holders that verify the implementation of corrective measures and approve them after they have been confirmed as sufficiently fulfilled	% compliant	N CH scoring 2 or 3 in system checklist 12.2
			Compliance with monitoring inspections are conducted with the frequency needed and scope required	2	Percentage of certificate holders that conduct monitoring inspections with the frequency needed and scope required	% compliant	N CH scoring 2 or 3 in system checklist 16.5
			Compliance with corrective actions for improvements or non-conformities identified during the monitoring inspections are implemented in the timeframe required	2	Percentage of certificate holders that implement corrective actions for improvements or non-conformities identified during the monitoring inspections in the timeframe required	% compliant	N CH scoring 2 or 3 in system checklist 16.6
			Compliance with 100% of the volume of natural ingredients and derivatives under the ESS certification scope have been assessed by the due diligence system	2	Percentage of certificate holders that have 100% of the volume of natural ingredients and derivatives under the ESS certification scope assessed by the due diligence system	% compliant	N CH scoring 2 or 3 in ESS checklist 14.1.1
			Compliance with 95% of the volume of natural ingredients and derivatives under the ESS certification scope have been approved by the Organisation's procedures and 1 year mitigation activities are in place for the non-approved ingredients volumes	2	Percentage of certificate holders that have 95% of the volume of natural ingredients and derivatives under the ESS certification scope approved by the organisation's procedures and 1 year mitigation activities in place for non-approved ingredients volumes	% compliant	N CH scoring 2 or 3 in ESS checklist 14.1.1
			Compliance with 100% of the annual volumes of the natural ingredient on which active consumer communication takes place is in compliance with the threshold requirements for Ethical BioTrade practices	2	Percentage of certificate holders that have 100% of the annual volumes of the natural ingredients on which active consumer communication takes place in compliance with the threshold requirements for Ethical BioTrade practices	% compliant	N CH scoring 2 or 3 in ESS checklist 14.1.3



## Indicators: Impact area – Improved livelihood and local development

Area of impact	Areas of medium term effects	Areas of short term effects	Indicator name	Level (1-3)	Definition	Unit (e.g. kg/year)	Reporting indicators
Improved livelihoods and local development	Improvement of working and living conditions in sourcing areas	Promote and verify supply chain practices that respect people	Volumes of fresh plants	1	Volumes of plant species sourced in a given year per UEBT program, geographic region, country	Volumes per country % volumes per programme in each country % volumes per production system in each country % volumes per production system in each program	Volumes: fresh plants per country % prioritized fresh plants per country % certified (UEBT + UEBT-RA + verified) volumes fresh plants per country % volumes fresh plants per production system in each country % volumes prioritized fresh plants from cultivation, collection, agroforestry % volumes UEBT certified fresh plants from cultivation, collection, agroforestry % volumes UEBT-RA certified fresh plants from cultivation, collection, agroforestry % volumes verified fresh plants from cultivation, collection, agroforestry % workers involved in production of UEBT certified plant species from cultivation, collection, agroforestry % workers involved in production of UEBT-RA certified plant species from cultivation, collection, agroforestry
			Number of workers	1	Number and % of workers involved disaggregated per UEBT certification program, per country, per production system and per geographic region	% per production system in each certification program N per country % per production system in each country N per country % per production system in each country	N workers per country % workers per production system in each country N farmers per country % farmers per production system in each country
			Number of farmers	1	Number and % of farmers involved disaggregated per UEBT program, per production system, per country, and per geographic region	% per geographic region in each certification program N per country % per production system in each country	N farmers involved in UEBT certified supply chains per geographic region % farmers involved in UEBT-RA certified supply chains per geographic region % farmers involved in verified supply chains per geographic region % farms per country % farms per production system in each country
			Number of farms	1	Number and % of farms involved disaggregated per UEBT program, per country, and per geographic region	% per geographic region in each certification program N per country % per production system in each country	N farms involved in UEBT certified supply chains per geographic region % farms involved in UEBT-RA certified supply chains per geographic region % farms involved in verified supply chains per geographic region
			Compliance with measures are in place to contribute to a living income for producers of fresh plants	2	Number of OAs/subsuppliers taking action to contribute to a living income for FO	N scored 2	N audits scored 2 in field checklist 3.1.4
			Compliance with measures are in place to deal with situations in which high risk of discriminatory or abusive practices that take sufficient measures and monitor implementation	2	Number of CH/DAs with high risk of discriminatory or abusive practices that take sufficient measures and monitor implementation	N scored 2	N audits scored 3 in field checklist 3.1.4
			Compliance with formal commitment and targets are in place to advance towards a living wage for workers	2	Number of OAs/subsuppliers/FO with commitment and targets to advance towards a living wage for workers	N scored 2	N audits scored 3 in field checklist 6.1.5
			Compliance with there are specific channels in place for hearing concerns from workers	2	Number of OAs/subsuppliers/FO paying a living wage to majority or totality of their workers	N scored 2	N audits scored 3 in field checklist 6.1.5
			Compliance with measures are in place to understand and act upon workers' health and safety risks	2	Number of OAs/subsuppliers/FO with procedures to hear concerns but no transparent procedures to address them	N scored 3	N audits scored 3 in field checklist 6.3.2
			Compliance with measures are in place to understand and act upon workers' health and safety risks	2	Number of OAs/subsuppliers/FO with measures in place but no sufficient actions taken to address all the risks	N scored 3	N audits scored 3 in field checklist 6.3.2
			Compliance with accidents and near misses are monitored and investigated, and corrective measures are put in place to address their root cause	2	Number of OAs/subsuppliers/FO with procedures to hear concerns and address them in a transparent and timely manner	N scored 2	N audits scored 2 in field checklist 6.3.16
			Compliance with contribution to raising wages towards the level of a living wage or	2	Number of OAs/subsuppliers/FO with sufficient actions taken to address all the risks	N scored 2	N audits scored 2 in field checklist 6.4.2
			Compliance with Rainforest Alliance Sustainability Differential transferred to FO/DAs	2	Number of OAs/FO/CH/Subsuppliers monitoring and investigating accidents and near misses and putting in place some of the needed corrective measures	N scored 3	N audits scored 3 in field checklist 6.4.2
			Compliance with Rainforest Alliance Sustainability Differential spent for the benefit of workers in the following categories: wages	2	Number of OAs/FO/CH/Subsuppliers monitoring and investigating accidents and near misses and putting in place some of the needed corrective measures	N scored 2	N audits scored 3 in field checklist 6.4.6
			Compliance with investment paid in least actions to ensure fair prices/wages	3	Number of UEBT-RA CH with score 2 in system checklist 17.1	N scored 3	N audits scored 3 in field checklist 6.4.6
			Results of actions to ensure fair prices/wage	3	Number of UEBT-RA CH with score 2 in system checklist 15.1	N scored 2	N of UEBT-RA CH with agreement in writing to raise wages towards the level of a living wage N of UEBT-RA CH with agreement in writing to raise wages towards the level of a living wage N UEBT-RA CH scoring 2 in transferring full amount of RA sustainability differential to FO/DAs N UEBT-RA CH scoring 3 in transferring full amount of RA sustainability differential to FO/DAs
			Number of beneficiaries of actions to ensure fair	3	Number of UEBT-RA CH with score 3 in system checklist 15.1	N scored 3	N UEBT-RA CH scoring 2 in spending RA sustainability differential for the benefits of workers N UEBT-RA CH scoring 3 in spending RA sustainability differential for the benefits of workers
			Factors influencing actions to ensure fair prices/wage and unintended effects	Unintended	Number of UEBT-RA CH with score 2 in system checklist 15.2	N scored 2	N UEBT-RA CH scoring 2 in paying at least annually the RA sustainability investment N UEBT-RA CH scoring 3 in paying at least annually the RA sustainability investment
			Actions to ensure human rights	3	Number of projects to ensure fair prices/wage	Number	Number of projects studied that include actions to ensure fair prices/wage
			Results of actions to ensure human rights	3	Typology of actions	Qualitative statements or evidence	List of typologies of actions in place to ensure fair prices/wage
			Number of beneficiaries of actions to ensure	3	Main results	Qualitative statements or quantitative evidence case specific	Qualitative statements or quantitative indicators on what achieved in relation to setting up negotiation mechanisms for prices/wage definition, formalize prices/wage, reaching minimum/living wage/income benchmark
			Factors influencing actions to ensure human rights and unintended effects	Unintended	Number of beneficiaries	Number of people	Number of people benefiting from the actions to ensure fair prices/wage List of typologies of factors that favour or hamper the results (e.g. pre-existing programmes, infrastructural or cultural limitation) to the implementation, etc) and of not foreseen positive and negative effects of those actions (e.g. increasing requirements and procedural burden, exclusion and conflicts, threats to food security, overexploitation of resources etc)
					Actions to ensure human rights	Number	Number of projects studied that include actions to ensure human rights
					Results of actions to ensure human rights	Qualitative statements or evidence	Qualitative statements or quantitative indicators on what achieved in relation to setting up mechanisms to detect and overcome human right abuses (e.g. discrimination, exploitation, etc)
					Number of beneficiaries of actions to ensure	Number of people	Number of people benefiting from the actions to ensure human rights List of typologies of factors that favour or hamper the results (e.g. pre-existing programmes, infrastructural or cultural limitation) to the implementation, etc) and of not foreseen positive and negative effects of those actions (e.g. increasing requirements and procedural burden, exclusion and conflicts, threats to food security, overexploitation of resources etc)
					Factors influencing actions to ensure human rights and unintended effects	Unintended	Qualitative statements or quantitative evidence case specific



## Indicators: Impact area – Biodiversity regeneration

Area of impact	Areas of medium term effects	Areas of short term effects	Indicator name	Level (1,2,3)	Definition	Unit (e.g. kg/year)	Reporting indicators
Biodiversity regeneration	Sustainable use of biodiversity in sourcing areas	Promote and verify supply chain practices that respect biodiversity	Number of plant species	1	Number and % of plant species disaggregated per UEBT program, per country, per production system and per geographic region	N per UEBT program % per production system in each program N per country N per programme in each country N per production system in each country % per geographic region in each program Total N N per country N per production system % per geographic region	N prioritized plant species N UEBT certified plant species N UEBT-AA certified plant species N verified plant species % prioritized plant species from cultivation, collection, agroforestry % UEBT certified plant species from cultivation, collection, agroforestry % UEBT-AA certified plant species from cultivation, collection, agroforestry N verified plant species per country N plant species per production system in each country % prioritized plant species per geographic region % UEBT certified plant species per geographic region % UEBT-AA certified plant species per geographic region % verified plant species per geographic region N BAPs N BAPs defined per country % BAPs defined per production system % BAPs defined per geographic region
			Number of BAPs defined by Organisations at Source	1	Number of BAPs that have been defined by Organisations at Source in the scope of UEBT programmes, disaggregated per production system, country and geographic region	N per production system % per geographic region	% BAPs defined per geographic region
			Compliance with wild collection practices ensure long-term survival of the wild collected and interdependent species	2	Number of FO which follow some practices identified with still opportunities for improvement Number of FO which follow all practices identified with no need for adjustments	N scored 2 N scored 3	N audits scored 2 in field checklist 2.1.10 N audits scored 3 in field checklist 2.1.10
			Compliance with cultivated species are managed to ensure optimal yields and avoid conflict with other species	2	Number of FO following some of the identified good practices with still opportunities for improvement Number of FO following all identified good practices with no need for adjustment	N scored 2 N scored 3	N audits scored 2 in field checklist 2.1.21 N audits scored 3 in field checklist 2.1.21
			Compliance with sourcing practices maintain quality of surface and groundwater	2	Number of DaS/FO implementing some of the practices identified with still need for improvement Number of DaS/FO implementing all practices identified with no need for adjustment	N scored 2 N scored 3	N audits scored 2 in field checklist 2.3.2 N audits scored 3 in field checklist 2.3.2
			Compliance with sourcing practices maintain levels of surface and ground water	2	Number of DaS/FO implementing some of the practices identified with still need for improvement Number of DaS/FO implementing all practices identified with no need for adjustment	N scored 2 N scored 3	N audits scored 2 in field checklist 2.3.3 N audits scored 3 in field checklist 2.3.3
			Compliance with sourcing practices maintain or improve soil fertility and nutrients contents	2	Number of DaS/FO implementing some of the practices identified with still need for improvement Number of DaS/FO implementing all practices identified with no need for adjustment	N scored 2 N scored 3	N audits scored 2 in field checklist 2.3.5 N audits scored 3 in field checklist 2.3.5
			Compliance with sourcing practices conserve and improve soil stability and drainage	2	Number of DaS/FO implementing some of the practices identified with still need for improvement Number of DaS/FO implementing all practices identified with no need for adjustment	N scored 2 N scored 3	N audits scored 2 in field checklist 2.3.6 N audits scored 3 in field checklist 2.3.6
			Compliance with integrated pest management practices are applied	2	Number of DaS/FO implementing some of the relevant practices identified with still need for improvement Number of DaS/FO implementing all relevant practices with no need for adjustment	N scored 2 N scored 3	N audits scored 2 in field checklist 2.4.4 N audits scored 3 in field checklist 2.4.4
			Compliance with practices are adopted to reduce the use of herbicides	2	Number of DaS/FO implementing most relevant practices identified with still need for improvement Number of DaS/FO implementing all relevant practices with no need for adjustment	N scored 2 N scored 3	N audits scored 2 in field checklist 2.4.5 N audits scored 3 in field checklist 2.4.5
			Compliance with practices are adopted to reduce the use of synthetic fertilisers	2	Number of DaS/FO implementing most relevant practices identified with still need for improvement Number of DaS/FO implementing all relevant practices with no need for adjustment	N scored 2 N scored 3	N audits scored 2 in field checklist 2.4.6 N audits scored 3 in field checklist 2.4.6
			Actions to ensure biodiversity regeneration (soil, water, energy, waste, agrochemicals)	3	Number of projects to biodiversity regeneration	Number	Number of projects studied that include actions to ensure biodiversity regeneration (soil, water, energy, waste, agrochemicals)
			Actions to ensure biodiversity regeneration (soil, water, energy, waste, agrochemicals)	3	Typology of actions	Qualitative statements or evidence	List of typologies of actions in place to ensure biodiversity regeneration (soil, water, energy, waste, agrochemicals)
			Results of actions to ensure biodiversity regeneration (soil, water, energy, waste, agrochemicals)	3	Main results	Qualitative statements or quantitative evidence case specific	Qualitative statements or quantitative indicators on what achieved in relation to setting up actions to ensure soil health, water quality and conditions, reduction of negative effects of the use of agrochemicals, energy, and waste management
			Number of beneficiaries of actions to ensure biodiversity regeneration (soil, water, energy, waste, agrochemicals)	3	Number of beneficiaries	Number of people	Number of people benefiting from the actions to ensure biodiversity regeneration (soil, water, energy, waste, agrochemicals)
			Factors influencing actions to ensure biodiversity regeneration (soil, water, energy, waste, agrochemicals)	nontested	influencing factors and unintended effects	Qualitative statements or quantitative evidence case specific	List of typologies of factors that favour or hamper the results (e.g. pre-existing programmes, cultural limitation to the implementation, environmental degradation etc) and of not foreseen positive and negative effects of those actions (e.g. increasing requirements and procedural burden, exclusion and conflicts, threats to food security etc)
			Compliance with concrete actions for biodiversity are initiated or supported	2	Number of DaS/FO with actions on biodiversity partially covering identified priorities Number of DaS/FO with actions on biodiversity fully covering identified priorities	N scored 2 N scored 3	N audits scored 2 in field checklist 2.2 N audits scored 3 in field checklist 2.2
			Actions to ensure biodiversity regeneration (natural habitat and regeneration of wild collected species)	3	Number of projects to biodiversity regeneration	Number	Number of projects studied that include actions to ensure biodiversity regeneration (natural habitat and regeneration of wild collected species)
			Actions to ensure biodiversity regeneration (natural habitat and regeneration of wild collected species)	3	Typology of actions	Qualitative statements or evidence	List of typologies of actions in place to ensure biodiversity regeneration (natural habitat and regeneration of wild collected species)
			Results of actions to ensure biodiversity regeneration (natural habitat and regeneration of wild collected species)	3	Main results	Qualitative statements or quantitative evidence case specific	Qualitative statements or quantitative indicators on what achieved in relation to setting up actions to ensure regeneration of biodiversity in natural habitats and regeneration of wild collected species
			Number of beneficiaries of actions to ensure biodiversity regeneration (natural habitat and regeneration of wild collected species)	3	Number of beneficiaries	Number of people	Number of people benefiting from the actions to ensure biodiversity regeneration (natural habitat and regeneration of wild collected species)
			Factors influencing actions to ensure biodiversity regeneration (natural habitat and regeneration of wild collected species)	nontested	influencing factors and unintended effects	Qualitative statements or quantitative evidence case specific	List of typologies of factors that favour or hamper the results (e.g. pre-existing programmes, cultural limitation to the implementation, environmental degradation etc) and of not foreseen positive and negative effects of those actions (e.g. increasing requirements and procedural burden, exclusion and conflicts, threats to food security etc)