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Montreal, 12-16 November 2001

Item 3.4 of the provisional agenda*

SUSTAINABLE USE: PROGRESS ON DEVELOPMENT OF PRACTICAL PRINCIPLES, OPERATIONAL GUIDANCE AND ASSOCIATED INSTRUMENTS

Report of the Maputo Workshop on Sustainable Use of Biological Diversity, 24-27 September 2001

Note by the Executive Secretary

1. The Executive Secretary is pleased to circulate herewith, for the information of participants in the seventh meeting of the Subsidiary Body on Scientific, Technical and Technological Advice (SBSTTA), the report of the Maputo Workshop on Sustainable Use of Biological Diversity, which was held from 24 to 27 September 2001, pursuant to paragraph 5 of decision V/24 of the Conference of the Parties to the Convention on Biological Diversity.

2. As mentioned in paragraph 6 (b) of the note by the Executive Secretary on sustainable use, prepared for the seventh meeting of SBSTTA (UNEP/CBD/SBSTTA/7/5), the Maputo Workshop is the first of three such meetings, convened in different regions with the financial support of the Government of the Netherlands. The objective of the workshops is to identify elements for guidelines for the sustainable use of biodiversity. The second such workshop will address sustainable use of forest biological diversity (including timber and non-wood forest products) and will be held in Hanoi in January 2002, and the third will focus on marine, and freshwater capture fisheries and will take place in Quito.

* UNEP/CBD/SBSTTA/7/1.

INTRODUCTION

A. *Background*

1. In paragraph 5 of decision V/24 adopted at its fifth session, in May 2000, the Conference of the Parties, *inter alia*:

“Invite[d] Parties, Governments and relevant organizations to undertake appropriate actions to assist other Parties, especially developing countries and countries with economies in transition, to increase their capacity to implement sustainable use practices, programmes and policies at regional, national and local levels, especially in pursuit of poverty alleviation. Appropriate actions may include: (a) workshops...”

2. In response to that request, the Executive Secretary convened the Workshop on Sustainable Use of Biological Diversity, in Maputo, from 24 to 27 September 2001, at the kind invitation of the Government of Mozambique and with financial support provided by the Government of the Netherlands.

3. The purpose of the Workshop was to identify elements for guidelines for the sustainable use of biological diversity. The first in a series of three such meetings, the Maputo Workshop focused on key elements relating, in particular, to the sustainable use of terrestrial, dryland resources and wildlife utilization in Africa. These will be complemented by elements to be derived from two other workshops: one in Asia to focus on forest biological diversity, including timber and non-wood forest products, and one in Latin America to focus on marine biological diversity and freshwater fisheries.

B. *Attendance*

4. Participants in the Workshop were selected from among experts from each geographic region. However, in light of the emphasis placed on Africa at the Maputo workshop, approximately half of participants came from that region. This selection was based on the understanding that Asia and Latin America would benefit from a similar representation at the workshops to be held in their respective regions. Thus, equitable geographical representation is achieved when taking the three workshops together. Representatives of competent intergovernmental and non-governmental organizations, as well as stakeholders, also participated in the workshop as observers.

5. Experts from the following countries attended the Workshop: Australia, China, Malawi, Mozambique, Namibia, Netherlands, Russian Federation, South Africa, Viet Nam, and Zimbabwe. Several experts from East and West Africa, as well as the two participants from the Latin American and Caribbean region, were unable to attend.

6. Representatives of the following intergovernmental and non-governmental organizations and other stakeholders participated in the Workshop as observers:

(a) *Intergovernmental organizations*: Secretariat of the Convention on International Trade in Endangered Species of Wild Fauna and Flora (CITES) and Southern Africa Development Committee (SADC);

(b) *Non-governmental organizations and other stakeholders*: Africa Resources Trust, IUCN—The World Conservation Union, World Wide Fund for Nature (WWF), Communal Areas Management Programme for Indigenous Resources (CAMPFIRE), and IECN.

ITEM 1. OPENING OF THE MEETING

7. The Workshop was opened by Mr. Olivier Jalbert, Principal Officer, Secretariat of the Convention on Biological Diversity, on behalf of the Executive Secretary of the Convention on Biological Diversity, at 10 a.m. on Monday, 24 September 2001.

8. Introductory remarks were made by Mr. Francisco Mabjaia, Vice-Minister, Ministry of Coordination for Environment Affairs (MICOA), on behalf of the host Government, and Mr. Olivier Jalbert, on behalf of the Executive Secretary of the Convention on Biological Diversity.

9. In his statement, Mr. Mabjaia welcomed participants to Mozambique and said that the decision of the Secretariat of the Convention on Biological Diversity to organize a first workshop for the preparations of the Conference of the Parties in Maputo was, for Mozambique, a positive stimulus for the further implementation of the Convention. He said that currently humanity found itself at a decisive moment in history. Disparities between and within nations were perpetuated, poverty and illiteracy were increasing and the degradation of ecosystems on which all depended was accelerating. However, there was a growing interest in, and concern for, the integration of environmental considerations in the development process, for personal well-being and the protection of our ecosystems—a goal that no nation could achieve by itself and for which a global partnership for sustainable development was required. African countries and their development were strongly interdependent on the diverse functions, goods and services of ecosystems. That implied that the conservation of biological diversity had to take a prominent place in cooperation policies and development processes, with an integrated focus on people and ecosystems.

10. Mr. Mabjaia stressed that sustainable use of resources was fundamental for the economy, culture and well-being of all nations. Consequently, “sustainable use” was not only a goal for conservationists, but also for all nations and Governments. It was fundamental in efforts to alleviate poverty, the principal objective of African Governments. Sustainable development required the introduction of new values and practices for a controlled use of biological resources based on a new eco-social equilibrium that was passed from one generation to the other. Sustainable use of resources had to be compatible with sustainable local practices, norms and values, as is reflected in Article 10 of the Convention on Biological Diversity.

11. He recalled that Agenda 21 dealt with urgent matters and was aimed at preparing the world for the challenges of the new millennium. It reflected a global consensus and political commitment at the highest level to realize the integration of environmental values in the development process. To work towards that challenge was the responsibility of all Governments, supported and assisted by the international development partners. The Vice-Minister underlined the relevance of this Workshop for the further preparation of the forthcoming World Summit on Environment and Development, to be held in Johannesburg in 2002. In this process, the participation of the wider public, the active involvement of the non-governmental organizations and other partners of society should be promoted. Nations had to establish a global partnership and engage themselves in a constructive and continuous dialogue, inspired by the necessity to design a more effective and equal ecology and economy, taking into account the interdependency of countries.

12. Mr. Mabjaia concluded by saying that the contributions of the participants in the current first regional workshop on sustainable use would be extremely valuable in achieving a better management of the biological resources of the world. He hoped that the Workshop would prove to be a success and a constructive contribution to the sixth meeting of the Conference of the Parties, to be held in The Hague from 15 to 26 April 2002.

13. Mr. Jalbert expressed his appreciation to the Governments of Mozambique and of the Netherlands for their support for the Workshop. He recalled that sustainable use of biological diversity was one of the three basic objectives of the Convention and a concept that lay at its heart. Its operationalization in the various ecosystems would determine, to a large extent, the Convention's success or failure. The Workshop marked the beginning of a new phase in the work of the Convention on this issue. It was being held in response to a request of the Conference of the Parties to assemble practical principles, operational guidelines and associated instruments, and guidance specific to sectors and biomes, which would assist Parties and Governments to develop ways to achieve the sustainable use of biological diversity. The guidelines should be adaptable to the particular circumstances of each country and should take into account the relevant stakeholders, including indigenous and local communities, that were directly affected by the utilization of biological diversity. Participants had been selected on the basis of their rich and diverse expertise on sustainable use. They had the opportunity to shape future discussions on sustainable use in the framework of the Convention.

ITEM 2. ORGANIZATIONAL MATTERS

2.1. *Officers*

14. At the opening session of the Workshop, on 24 September 2001, participants elected Mr. Mabjaia and Mr. Jalbert as co-chairs of the meeting.

2.2. *Adoption of the agenda*

15. The Workshop adopted the following agenda on the basis of the provisional agenda proposed in document UNEP/CBD/WS-Sustainable Use/1/1:

1. Opening of the meeting;
2. Organizational matters:
 - 2.1. Election of officers;
 - 2.2. Adoption of the agenda;
 - 2.3. Organization of work.
3. Guiding principles for sustainable use with focus on terrestrial, dryland resources and wildlife utilization.
4. Other matters.
5. Adoption of the report.
6. Closure of the meeting.

2.3. *Organization of work*

16. At its opening plenary meeting, the Workshop decided to establish two working groups, on the understanding that the results of their deliberations would be brought together in a final report to be agreed in plenary.

**ITEM 3. GUIDING PRINCIPLES FOR SUSTAINABLE USE WITH FOCUS ON
TERRESTRIAL, DRYLAND RESOURCES AND WILDLIFE
UTILIZATION**

17. The Workshop took up agenda item 3 at the 1st plenary session of the meeting, on 24 September 2001. In addressing the item, the Workshop had before a note by the Executive Secretary entitled "Framework for the development of elements for guidelines for the sustainable use of biological diversity as a cross-cutting issue" (UNEP/CBD/WS-Sustainable Use/1/2). Annexes to this document included the text of existing documents and guidelines, such as the White Oak principles, of relevance to this issue.

18. Introducing the item, the representative of the Secretariat outlined the main elements of the document for the Workshop, noted that it provided a framework for participants which they may wish to use as a basis for their work and stressed that it was the intention to stimulate the development of guiding principles that would build upon previous work in various forums and bring added value.

19. The two working groups met three times, after which a drafting group was established to integrate the result of this work in a single document. The Maputo Principles of Sustainable Use, contained in annex I below, were discussed and agreed in two plenary meetings on 26 and 27 September 2001. Recommendations on the future use are contained in annex II below.

ITEM 4. OTHER MATTERS

20. There were no other matters.

ITEM 5. ADOPTION OF THE REPORT

21. The present report was adopted at the third plenary meeting, on 27 September 2001, on the basis of the draft report prepared and presented by the co-chairs (UNEP/CBD/WS-Sustainable use/L.1).

ITEM 6. CLOSURE OF THE MEETING

22. Following the customary exchange of courtesies, the Workshop was closed at 1 p.m. on Thursday, 27 September 2001.

Annex I

MAPUTO PRINCIPLES OF SUSTAINABLE USE

“Sustainability is the capacity to create, test and maintain adaptive capability” ^{1/}

INTRODUCTION

1. The challenge facing sustainable use of biodiversity is balancing the need to maximize human livelihoods against the necessity of conserving the underlying natural resource base.
2. The diagram illustrating Southern African drylands ecosystem on page 8 below, may be applicable elsewhere, and illustrates the following:
 - (a) In dryland ecosystems efforts are focussing on enhancing the livelihoods of the majority of people by maximizing the benefits gained from using biological diversity;
 - (b) Optimally sustainable livelihoods will be achieved through multiple uses of the biodiversity. These multiple-usage systems are extremely diverse (e.g. crop farming, livestock farming, tourism, hunting, artisanal fisheries, etc.) and include both extractive and non-extractive uses. Each use has the potential to negatively impact the resource being used as well as other ecosystem components and land use options ^{2/} if not managed properly;
 - (c) Ecosystem goods and services are necessary to support human livelihoods. They consist of a number of components (e.g., soil, water, aquatic micro-organisms, vegetation, wild fauna), which if depleted reduces the opportunities for humankind to sustain their livelihoods;
 - (d) Monitoring systems are essential to provide critical feedback on the success or failure of the multiple use systems in the context of an adaptive management approach.

Sustainable use in the context of the ecosystem approach

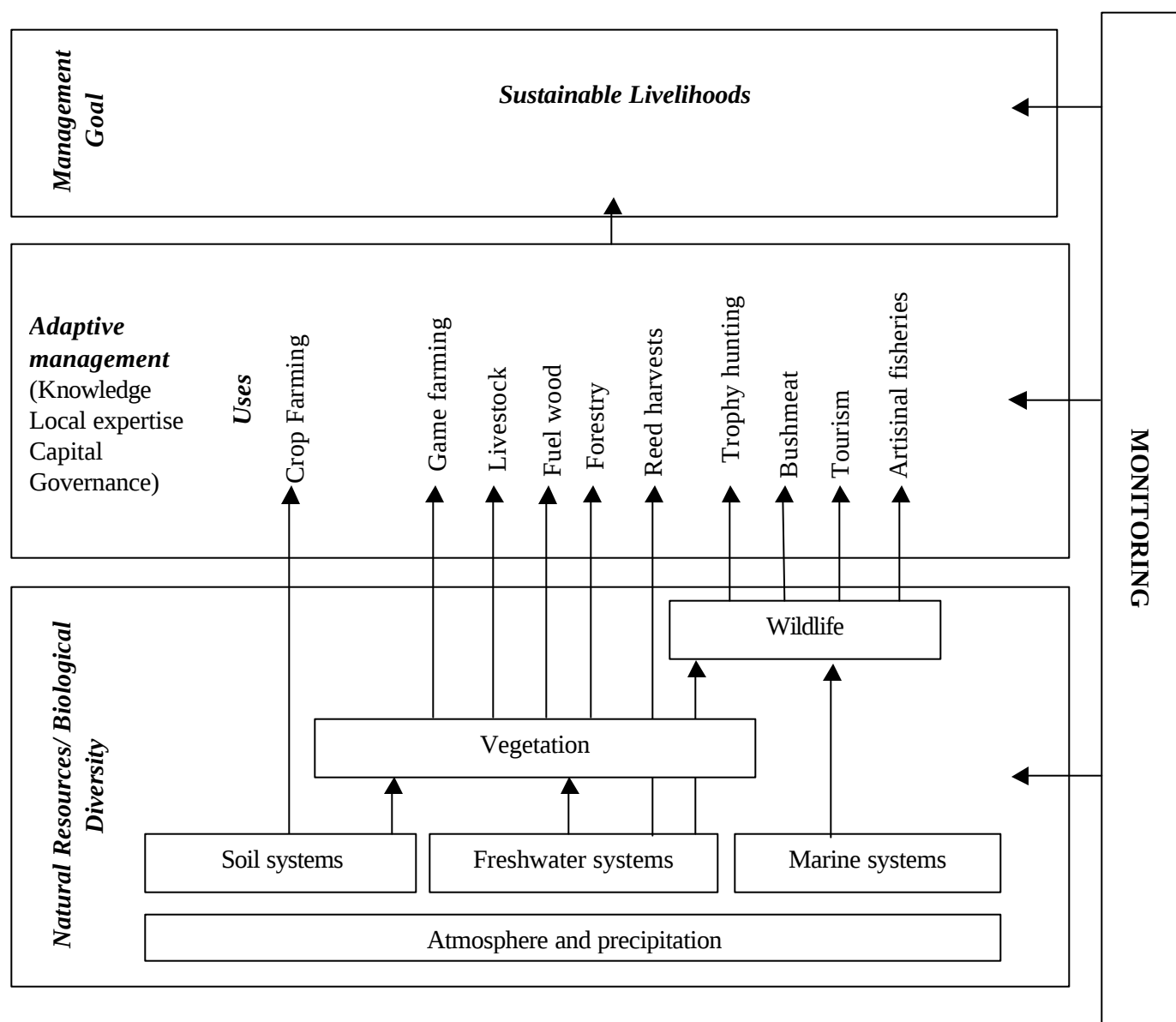
3. In the context of the ecosystem approach, participants recognized that maintenance of ecosystems is essential to ensure goods (e.g., clean water, fertile soils, clean air) and services (e.g., carbon sequestration, water filtration, oxygen production). Unsustainable uses of species and habitats have the potential to adversely affect the delivery of such ecosystem goods and services.
4. As in the ecosystem approach, the axioms and principles presented are all complementary and interlinked, and thus each must be considered in relation to the others. Because there are any number of configurations of biological, social, and economic conditions that can enhance the sustainability of uses these axioms and principles should not be viewed as prescriptive guidance – but rather as a broad

^{1/} Holling, C. S. 2000. *Theories for Sustainable Futures*. Conservation Ecology 4 (2)
<http://www.consecol.org/journal/vol4>.

^{2/} Whilst livestock farming has a direct impact on rangeland, it also impacts on wildlife (through competition for forage and through predator control programmes) and other land use systems such as tourism.

framework of key factors or conditions which Governments, resource managers, and other interested stakeholders should consider to optimize the sustainability of uses of biological diversity.

Figure 1. *Relationships between biological diversity and representative natural resource use systems to achieve sustainable livelihoods in the African dry land ecosystem.*



5. Like the ecosystem approach, they provide a framework within which those who have responsibility for managing biological diversity for sustainable use can be accountable for their actions. But, again, it most likely will require different institutional structures for different modes of use (e.g., marine fisheries harvests will require different regulatory mechanisms than dry grassland herbivores in Africa). In all cases management should be directed at reducing the risk of compromising key functions at the ecosystem level and thus should be done with precaution.

6. Sustainable use, both consumptive and non-consumptive, is increasingly viewed as a dynamic process toward which one strives in order to maintain biodiversity and enhance ecological and socio-economic services for livelihood security. In the context of the African region, these axioms and principles apply equally to both consumptive and non-consumptive uses of biological diversity.

Axioms

7. Axioms, as used here, are considered universal truths. They are provided in this format to establish a common ground in relation to which a series of guiding principles derived from this workshop are presented. They have been developed in the context of terrestrial dryland ecosystems with the emphasis on the African region. These axioms are intimately linked together and must be read as a whole:

(a) Ecosystems, ecological processes within them and genetic variation change over time whether or not they are used;

(b) Resilience of ecosystems depends on maintaining key ecological processes and species above their thresholds for long-term viability;

(c) Sustaining biological diversity depends on maintaining ecological functions and species above their thresholds for long-term viability;

(d) Uses of biological diversity take place;

(e) Such use can take place without the loss of ecological processes, species and genetic variability;

(f) Survival of all people is dependent on using biological diversity;

(g) Some people and cultures are directly dependent on consumptive and non-consumptive uses of biological diversity;

(h) Sustainable use of biological diversity is a means to conserve species and habitats;

(i) Sustainable use is crucial for the survival of certain species and habitats;

(j) Use of biological diversity is a means of realizing its value;

(k) The value of biological diversity includes market and non-market values such as aesthetic, recreational, scientific, religious, social, cultural and ecosystem functions;

(l) Depriving stakeholders access to the use of biological diversity and associated benefits derived from such use is a threat to the maintenance of biological diversity;

- (m) Human population growth and modern consumptive patterns is placing increasing demands on biological diversity;
- (n) Biological systems have intrinsic limits to providing livelihood benefits;
- (o) The most efficient means of conserving and sustainably utilizing biodiversity varies from one location to another and is a matter of societal choice;
- (p) A long-term process of public education is needed to bring about changes in behaviour and lifestyles, and to prepare societies for the changes needed for sustainability;
- (q) The incentives for biological diversity conservation must outweigh the disincentives;
- (r) Individuals, communities, and/or other entities, including public, private and non-government organisations may be responsible for the management of biological diversity.

Guiding principles

8. Sustainability of uses of biological diversity will be enhanced if the following guiding principles are applied:

- (a) Socio-political, economic, biological, ecological, institutional and cultural factors are considered, at the individual, community, subnational, national, and international levels in an interdisciplinary approach;
- (b) Effective communications are in place between and among stakeholders at the individual, community, sub-national, national, regional and international levels;
- (c) Supportive incentives, policies, laws and institutions are in place at all levels of governance and there are effective linkages between these levels;
- (d) Local communities and other parties, who have management responsibility for the resource, are sufficiently empowered to participate in making all key decisions and are supported by established rights and the means to manage that resource;
- (e) The contribution and needs of those who live with and are impacted by the use and conservation of biological diversity, in particular indigenous peoples and local communities, are appropriately reflected in the distribution of the benefits from the use of those resources;
- (f) The contribution and costs of those who manage wild living resources are appropriately reflected in the distribution of the benefits from the use of those resources;
- (g) Adaptive management, relying on an iterative process of timely and transparent feedback from use, socio-economic, resource and ecological monitoring, is applied;
- (h) Cultural considerations including traditional and local knowledge are used in management systems;
- (i) Managerial jurisdictions are matched with the ecological and socio-economic scale of the use;

- (j) Governments devolve authority, responsibility and accountability to resource managers;
 - (k) National and international policies that distort markets, promote habitat alteration or destruction, and unsustainable use are identified and removed;
 - (l) The best scientific information, and traditional and local knowledge about the nature of the resource being used and its ecological, socio-political and economic context are included in adaptive management;
 - (m) In all cases management is directed at reducing the risk of compromising key functions at the ecosystem level and is done with precaution;
 - (n) Governments and private sector promote research into all aspects of the use and conservation of biological diversity;
 - (o) The international framework affecting the use of living natural resources is supported by sound, verifiable scientific information and takes full account of these guiding principles;
 - (p) Stakeholders who have the responsibility to conserve, use or manage biological diversity are accountable for their actions;
 - (q) National and international policies take into account the full economic value of the use of biological diversity.
9. These guiding principles are applicable to both consumptive and non-consumptive uses by individuals, communities, the public and private sectors and other entities.

Annex II

RECOMMENDATIONS

1. Participants in the Workshop suggest that the next regional workshop on sustainable use, focusing on forest biological diversity, including timber and non-wood forest products (NWFP), to be held in Hanoi in January 2002:

(a) Consider forms of wildlife utilization in the development of their principles;

(b) Respect the product of the African region separately and start from the same baseline as the African regional workshop, rather than building from the Maputo principles;

2. The participants in Workshop also recommend that:

(a) Discussions on adoption of the Maputo principles in the African region be encouraged among national, local and community-level specialists, aiming at the development of a “bottom-up” process and modifications and comments be forwarded to the Secretariat of the Convention on Biological Diversity;

(b) Requests that experts and their associates provide the Secretariat of the Convention on Biological Diversity with examples of instruments (practical tools) that have proven to be useful in their region.
