第十三次缔约方大会
曼谷(泰国)，2004 年 10 月 2 日至 14 日

Conf. 13.2 (Rev. CoP14)*

Sustainable use of biodiversity: Addis Ababa Principles and Guidelines

WELCOMING the adoption at the seventh meeting of the Conference of the Parties to the Convention on Biological Diversity (CBD COP7), in Decision VII.12, of the Addis Ababa Principles and Guidelines for the Sustainable Use of Biodiversity, a summary of which is contained in Annex 1;

NOTING that these Principles and Guidelines can be utilized in the implementation by CITES Parties of Article IV and other relevant provisions of the Convention;

RECOGNIZING that CBD and its Subsidiary Body on Scientific, Technical and Technological Advice (SBSTTA) will be working on case studies to test these Sustainable Use Principles and Guidelines;

RECOGNIZING further that CBD defines, in its Article 2, the term 'sustainable use' as "the use of components of biological diversity in a way and at a rate that does not lead to the long-term decline of biological diversity, thereby maintaining the potential to meet the needs and aspirations of present and future generations";

NOTING further that the vast majority of CITES Parties are Parties to CBD at the time of the 14th meeting of the Conference of the Parties;

WELCOMING further Target 4.3 of the Strategic Plan: future evaluation of progress of CBD (Decision VII.30, Annex 2, Goal 4), which states that "No species of wild flora or fauna is

生物多样性可持续利用:亚的斯亚贝巴原则与指南

欢迎 《生物多样性公约》第七次缔约方大会(CBD COP7)通过的ⅦⅡ.12 号决定，即《生物多样性可持续利用的亚的斯亚贝巴原则与指南》，其摘要见附件；

注意到 这些原则和指南可以用于 CITES 缔约方履行公约的第四条和其他相关条款；

认识到 CBD 及其科技附属机构(SBSTTA)将通过案例分析对这些可持续利用原则和指南进行检验；

进一步**认识到** CBD 在其第二条中，定义"可持续利用"为"以不导致生物多样性长期衰退的方式和速度利用生物多样性的组成部分，从而保持满足今世后代需求和愿望的潜力"；

进一步**注意到** 在第十四次缔约方大会上，大部分 CITES 缔约方为 CBD 缔约方；

进一步**欢迎** CBD 进展的未来评估(ⅦⅡ.30 号决定，附件 2，目标 4)战略计划之目标 4.3 声明"没有任何野生动植物种因国际贸

* *Amended at the 14th meeting of the Conference of the Parties.* *经第十四次缔约方大会修订。*

endangered by international trade", and therefore is fully consistent with the CITES Strategic Plan;

易而濒危"，因而与 CITES 的《战略计划》完全一致；

RECALLING Resolution Conf. 10.4 (Rev. CoP14) and the Memorandum of Cooperation between CITES and CBD;

忆及 Conf. 10.4(Rev. CoP14)号决议及《CITES 与 CBD 合作备忘录》；

THE CONFERENCE OF THE PARTIES TO THE CONVENTION

公约缔约方大会

1. URGES the Parties to:

1. **敦促** 缔约方:

a) make use of the Principles and Guidelines for the Sustainable Use of Biodiversity, also taking into account scientific, trade and enforcement considerations determined by national circumstances, as well as the recommendations of the Animals and Plants Committees (see Annex 2) when adopting non-detriment-making processes and making CITES non-detriment findings;

a) 采用"不产生危害程序"和开展CITES非致危性判定时，应用《关于生物多样性可持续利用的原则和指南》，并考虑由国内环境所决定的科学、贸易和执法需求，以及动植物委员会的建议(见附件2)

b) share experiences on sustainable use at the national level, particularly between CITES Management and Scientific Authorities, and their CBD Focal Points; and

b) 在国家层面上，特别是CITES管理和科学机构及CBD主管部门之间分享关于可持续利用的经验；及

c) endeavour to ensure that their CITES Management and Scientific Authorities participate, through their national CBD Focal Points, in the work of CBD and its Subsidiary Body on Scientific, Technical and Technological Advice (SBSTTA) on these Principles and Guidelines; and

c) 努力确保CITES管理机构和科学机构通过该国CBD的主管部门参与CBD及其科技附属机构有关这些原则和指南的工作；并

2. URGES the Parties that are also Parties to the CBD, to take effective measures at policy and institutional level to ensure synergy between their implementation of CITES and CBD at the national level.

2. **敦促** 那些同是 CBD 缔约方的缔约方，从政策和制度水平采取有效措施，确保其在国家水平上协同履行 CITES 和 CBD。

Annex 1

Sustainable Use of Biodiversity Addis Ababa Principles and Guidelines

SUMMARY

The Addis Ababa Principles and Guidelines for the Sustainable use of Biodiversity consist of 14 interdependent practical principles, operational guidelines and a few instruments for their implementation that govern the uses of components of biodiversity to ensure the sustainability of such uses. The principles provide a framework to assist Governments, resource managers, indigenous and local communities, the private sector and other stakeholders on how to ensure that their use of the components of biodiversity will not lead to the long-term decline of biological diversity. The principles are intended to be of general relevance, although not all principles will apply equally to all situations, nor will they apply with equal rigour. Their application will vary according to the biodiversity being used, the conditions under which they are being used, and the institutional and cultural context in which the use is taking place.

Sustainability of use of biodiversity components will be enhanced if the following practical principles and related operational guidelines are applied:

Practical principle 1 Supportive policies, laws, and institutions are in place at all levels of governance and there are effective linkages between these levels.

Practical principle 2 Recognizing the need for a governing framework consistent with international national laws, local users of biodiversity components should be sufficiently empowered and supported by rights to be responsible and accountable for use of the resources concerned.

Practical principle 3 International, national policies, laws and regulations that distort markets which contribute to habitat degradation or otherwise generate perverse incentives that undermine conservation and sustainable use of biodiversity, should be identified and removed or mitigated.

附件 1

生物多样性可持续利用的亚的斯亚贝巴原则与指南

摘要

关于《生物多样性可持续利用的亚的斯亚贝巴原则与指南》由 14 条相互关联的实用原则、操作指南和少量实施工具组成，指导对生物多样性组成部分的利用，以确保这些利用是可持续的。该原则提供了一个框架，以协助政府、资源管理者、原住居民和当地社区、私有部门及其他共同利益者，确保其利用不会导致生物多样性的长期衰落。这些原则力求全面恰当，尽管并非所有原则都会在所有情况下得到同等使用，使用时也不同样严格。对这些原则的使用将随着生物多样性本身状况、利用时的条件及制度和文化状况而有所不同。

应用以下实用原则及相关操作指南，将加强对生物多样性组成部分的可持续利用:

实用原则1 各级政府均有支持性的政策、法律和制度，且在各级之间存在有效联系；

实用原则2 认识到一套管理体系需与国际国内法律保持一致，生物多样性组成部分的当地利用者应被赋予足够的权力，并对利用相关资源负有责任和义务；

实用原则3 应当确定并去除或弱化那些导致市场失灵，使栖息地退化，或是产生负面影响，破坏对生物多样性的保护和可持续利用的国际、国内政策、法律和规章；

Practical principle 4 Adaptive management should be practiced, based on:

a) Science and traditional and local knowledge;

b) Iterative, timely and transparent feedback derived from monitoring the use, environmental, socio-economic impacts, and the status of the resource being used; and

c) Adjusting management based on timely feedback from the monitoring procedures.

实用原则4 依据以下几项，开展适应性管理:

a) 科学知识、传统知识及乡土知识；

b) 监测被使用资源的状况、环境、环境与社会经济影响，并进行反复、及时和透明的反馈；

c) 根据来自监测过程的适时反馈调整管理对策。

Practical principle 5 Sustainable use management goals and practices should avoid or minimize adverse impacts on ecosystem services, structure and functions as well as other components of ecosystems.

实用原则5 可持续利用的管理目标和实践应避免或最小化对生态系统的服务、结构和功能及生态系统其他组成部分的负面影响。

Practical principle 6 Interdisciplinary research into all aspects of the use and conservation of biological diversity should be promoted and supported.

实用原则6 鼓励和支持在利用和保护生物多样性的各个方面开展跨学科研究。

Practical principle 7 The spatial and temporal scale of management should be compatible with the ecological and socio-economic scales of the use and its impact.

实用原则7 管理的空间和时间尺度应与利用活动及其影响的生态和社会经济尺度保持一致。

Practical principle 8 There should be arrangements for international cooperation where multinational decision-making and coordination are needed.

实用原则8 当需要多国间的决策制定与协调时，应就国际合作做出安排。

Practical principle 9 An interdisciplinary, participatory approach should be applied at the appropriate levels of management and governance related to the use.

实用原则9 在利用活动相关的经营与管理工作的适当层次中，应采用多学科和共享的方法。

Practical principle 10 International, national policies should take into account:

a) Current and potential values derived from the use of biological diversity;

b) Intrinsic and other non-economic values of biological diversity; and

c) Market forces affecting the values and use.

实用原则10 国际与国内政策应考虑以下方面:

a) 来自生物多样性利用的现有与潜在价值；

b) 生物多样性的内在价值与其他非经济价值；及

c) 影响价值与利用的市场力量；

Practical principle 11 Users of biodiversity components should seek to minimize waste and adverse environmental impact and optimize benefits from uses.	实用原则11 生物多样性组成部分的使用者应寻求浪费和负面环境影响的最小化，并利用获得的益处的最大化。
Practical principle 12 The needs of indigenous and local communities who live with and are affected by the use and conservation of biological diversity, along with their contributions to its conservation and sustainable use, should be reflected in the equitable distribution of the benefits from the use of those resources.	实用原则12 那些与生物多样性共处并受到生物多样性利用与保护活动影响的原住民和当地社区的需求，及他们对保护与可持续利用的贡献，应当通过公正分配利用资源所获利益得到反映。
Practical principle 13 The costs of management and conservation of biological diversity should be internalized within the area of management and reflected in the distribution of the benefits from the use.	实用原则13 管理与保护生物多样性的成本应当在管理方面内部化，并反映在其使用所获利益的分配当中。
Practical principle 14 Education and public awareness programmes on conservation and sustainable use should be implemented and more effective methods of communications should be developed between and among stakeholders and managers.	实用原则14 应实施关于保护和可持续利用的教育和公众意识项目，并应提出促进利益相关者和管理者沟通的更有效的方法。

Annex 2

Recommendations of the Animals and Plants Committees concerning the Addis Ababa Principles and Guidelines for the Sustainable Use of Biodiversity

1. Whereas CBD provides general guidance to Parties on how to address a broad range of biodiversity issues through national implementation, CITES is regulatory in nature, species-specific, and focuses on international trade in wildlife.

2. Although CITES does not have a definition of sustainable use, the case studies show that the elements of the Addis Ababa Principles and Guidelines for the Sustainable Use of Biodiversity that are generally relevant to CITES are either already implicit in the language of CITES or are promoted by CITES. This for instance, refers to practical Principles 1, 2, 4, 7, 9 and 12, elements of which are incorporated in the Checklist to assist in making non-detriment findings for Appendix-II exports.

3. From the case studies presented at the joint session of the 16th meeting of the Plants Committee and 22nd meeting of the Animals Committee (Lima, July 2006), it is evident that the Addis Ababa Principles and Guidelines are not always immediately applicable to the decision-making process under CITES, particularly with respect to making non-detriment findings (NDF).

4. It is recognized that the Addis Ababa Principles and Guidelines are, on a case-by-case basis, relevant to the work of CITES (in addition to the Principles referred to in paragraph 3, e.g. Principles 5, 6, 8, 11), and may be considered for possible development of further taxa-specific NDF guidelines

5. The Animals and Plants Committees propose the amendment of Resolution Conf. 10.4 (Rev. CoP14) to acknowledge the use of the Addis Ababa Principles and Guidelines for the Sustainable Use of Biodiversity as a voluntary additional tool that can be used in making NDFs.

6. Additionally, questions were raised concerning the work still required by the scientific committees on this matter, and the

附件 2

动物和植物委员会关于《生物多样性可持续利用的亚的斯亚贝巴原则与指南》的建议

1. CBD 给缔约方提供了如何通过国内履约来处理广泛的生物多样性问题的一般指南，CITES 本质上是监管性的、针对关注特定物种，重点是野生动植物的国际贸易。

2. 尽管 CITES 并没有关于可持续利用的定义，案例研究表明，《生物多样性可持续利用的亚的斯亚贝巴原则与指南》中那些与 CITES 普遍相关的要素，要么已在 CITES 的文字中体现出来，要么受到 CITES 的推广。这方面的例子包括实用原则 1、2、4、7、9 和 12，其要素包含在《帮助对附录Ⅱ物种出口做出非致危性判定的文献清单》中。

3. 根据提交给第 16 次植物委员会和 22 次动物委员会联席会议(利马，2006 年 7 月)的案例研究，显然，《亚的斯亚贝巴原则与指南》并不总是能立即适用于 CITES 的决策过程，特别是关于非致危性判定(NDF)方面。

4. 会议认识到，视情况而言，《亚的斯亚贝巴原则与指南》与 CITES 的工作是相关的(除第 3 款提到的原则，还包括原则 5、6、8、11)，原则与指南可能会进一步考虑制定特定类的非致危性判定指南。

5. 动植物委员会提议修改 Conf. 10.4 (Rev. CoP14)号决议，以认可在做出非致危性判定时，可将《生物多样性可持续利用的亚的斯亚贝巴原则与指南》作为一个自愿的附加工具。

6. 此外，会议还提出了科学委员会应就本事宜继续开展的工作，及在做出非致危

possible complications of using socio-economic aspects of the Addis Ababa Principles and Guidelines in the making of non-detrimental findings.

性判定时使用《亚的斯亚贝巴原则与指南》的社会经济要素有可能导致问题复杂化。

7. It was further noted that the Addis Ababa Principles and Guidelines could support the existing IUCN guidance for the making of non-detrimental findings, and would be valuable for the development of taxa-specific guidelines in this regard, for instance for tree species.

7. 会议进一步注意到，《亚的斯亚贝巴原则与指南》可以支持现有的 IUCN 指南做出非致危性判定，并对于制定特定类(如树木物种)的指南颇有价值。

8. Finally it was recognized that the Addis Ababa Principles and Guidelines, which had been developed over many years and received broad international support, were of global importance but that not all principles were of relevance to CITES.

8. 最后，会议认识到，被提出多年并受到广泛国际支持的《亚的斯亚贝巴原则与指南》具有全球重要性，但并非所有原则均与 CITES 相关。