

Monitoring & Evaluation System Report

Version 1: 30 June 2014

Submitted to ISEAL Alliance for full compliance
with the Impacts Code

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Foreword

RJC's Monitoring and Evaluation (M&E) program began development in 2010, and RJC continues to take steps to expand, improve and mature the program. This public M&E Systems Report aims to provide an overview into the design and operation of RJC's M&E systems, as well as further plans for increasing understanding of RJC's long-term impacts.

RJC's work in this area is governed by the *ISEAL Code of Good Practice for Assessing the Impacts of Social and Environmental Standards Systems 2010* ("Impacts Code"). This report is part of RJC's compliance requirements as a full ISEAL Alliance Member, and provides technical detail on RJC's approach to interested stakeholders. Questions and feedback are welcome.

This report will be submitted to the ISEAL Alliance in June 2014 and is published on the RJC website at:

<http://www.responsiblejewellery.com/monitoring-and-evaluation/>

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Photo credit cover page: Platinum, one 66.43-carat carved rubellite, onyx, brilliants. The jeweller checks the flexibility of the joints on the bracelet. Gérard Uféras © Cartier 2013

1. Introduction to scope of RJC M&E Program (*Impacts Code Provision 6.2/6.5*)

RJC's M&E program focuses on the certification program for the Code of Practices (COP), which is the mandatory standard for RJC Members active in the diamond, gold and platinum group metals (platinum, palladium and rhodium) supply chain, as well as the Chain-of-Custody (CoC) Standard, which is a voluntary standard for RJC Members applicable to precious metals.

RJC Certification is unique in its scope as it is aimed at the whole jewellery and watch supply chain for these materials globally, from mine to retail. Commercial Members of the RJC are categorised into six different forums:

- Diamond, gold and/or platinum group metals producer;
- Gold and/or platinum group metals trader, refiner or hedger;
- Diamond trader, cutter or polisher;
- Jewellery manufacturer or wholesaler;
- Jewellery retailer;
- Service industry.

The RJC Certification process results in improvements to RJC Members' management systems and business practices for ethical, social and environmental performance, providing assurance to stakeholders that responsible practices are being followed. At June 2014, RJC had more than 490 Members, of which 337 have achieved Certification and 25 have been re-certified. The RJC Certification Scope covers whole Entities, which often have multiple operating locations and Facilities. More than 5900 Facilities are currently covered by RJC Certifications in more than 53 countries, and these include mines, refineries, retail stores, factories, laboratories and offices. Nine RJC Certified Members have achieved Chain-of-Custody Certification for precious metals, predominantly gold refiners and alloyers.

The RJC's M&E program is where RJC can evaluate whether the intended changes through its initiative are happening, and where strategies need adjusting or additional focus. The objectives of the RJC M&E program are therefore to collect data, analysis and research that can be used to:

- Analyse trends, successes and challenges;
- Reflect on and adjust RJC's broad strategies and priorities;
- Improve the RJC's programs and their effectiveness in achieving the desired impacts;
- Understand and support the roles played by all stakeholders in improving practices;
- Enhance capacity in RJC, Members, Auditors and stakeholders by learning from experience.

The RJC Theory of Change (further explained in section 3, 'Defining the Intended Change' on page 9) has been developed as a visual representation to reflect the specific issues the RJC program covers, as well as the strategies, outputs, outcomes and desired impacts that we use to achieve them.

Highlights of RJC's M&E program over the past twelve months include:

- RJC's Theory of Change has been developed in collaboration with the RJC Standards Committee and Board, and has undergone a 2 month public consultation period.
- The revised RJC Code of Practices was launched in November 2013, incorporating a number of changes to expand the M&E program and further implement the ISEAL Impacts Code.
- Significant increase to financial and human resources dedicated to M&E in 2014, including a new staff member focused on capacity building, one of three key strategies in the RJC's Theory of Change.
- Transition to an integrated cloud-based RJC-designed database built on the WORK[etc] platform. This platform is a fully customisable CRM and project management system, and has enabled a complete transformation of M&E data collection, workflows and analyses.
- In June 2014, publication of RJC's first [Impacts Report](#), setting out a baseline for future evaluations and including independently commissioned research. Overall, it shows that RJC appears to be an effective catalyst for change, helping companies meet compliance needs and build a better business.

2. Institutional structure of RJC M&E Program (*Impacts Code Provision 6.3-6.7*)

2.1 Roles, Responsibilities and Competencies

The RJC currently has a small team of eight staff, with six located in the registered office in London and two working from individual offices in Australia and Canada. Under this structure, the RJC M&E program is integrated into the roles of many staff rather than sitting within a dedicated person or department. This enables a deep connection with related work programs, and fortnightly team teleconferences always include discussions on M&E questions.

RJC staff time is estimated as:

- 10% FTE Director – Standards Development
- 30% FTE Standards Coordinator
- 20% FTE Training Coordinator
- 20% FTE Membership Coordinator
- 10% FTE Communications Coordinator and
- 10% FTE Administration support.

This equates to 1 FTE total and 12.5% of RJC's total staff time. Roles and responsibilities are apportioned in the table below:

Table 1 – RJC M&E and Research Staff

Name, title and contact	Roles and Responsibilities	Background
Fiona Solomon Director – Standards Development fiona.solomon@responsiblejewellery.com	<u>Leadership responsibility for M&E program</u> <ul style="list-style-type: none"> • Overall development and management of the M&E program • Development of the RJC IT platform (WORK[etc]) and data strategies • Authoring Annual Progress Report, Impacts Report and M&E System Report • Stakeholder engagement processes • Defining the intended change • Analysis and internal reporting • Organisational learning through facilitation of team discussions, analyses and projects 	PhD, Philosophy of Technology, Bachelor of Engineering (Hons I) 20 years experience in corporate social responsibility, sustainable development, certification and assurance and technology governance in society, particularly in the mining industry and downstream jewellery and watch supply chains
Marieke van der Mij Standards Coordinator marieke.vandermijn@responsiblejewellery.com	<u>Management and Coordination</u> <ul style="list-style-type: none"> • Executing ongoing management and development of the M&E program • Data collection and analysis through review of Certification reports and other inputs • Evaluation and reporting on level 1/2/3 	MA Environment, Development and Policy, MSc Social Anthropology, BSc Social Anthropology 3 years experience in standards and

Name, title and contact	Roles and Responsibilities	Background
	indicators against all 3 Desired Outcomes in the RJC database (WORK[etc]) <ul style="list-style-type: none"> • Co-authoring Impacts Report and M&E System Report • Development of case studies • Organisational learning through participation in ISEAL Impacts community and team projects 	certification, 6 years experience in sustainable development, corporate social responsibility, impact evaluation, qualitative research and fieldwork
Maria Mursell Training Coordinator maria.mursell@responsiblejewellery.com	<u>Coordination and Support</u> <ul style="list-style-type: none"> • Data collection and analysis through review of training and survey data • Training on RJC Standards and Certification to Members and Auditors, including M&E data collection through Certification reports • Evaluation and reporting on indicators on level 1 and 2 against Desired Outcomes 1 and 2 in the RJC database (WORK[etc]) • Organisational learning through participation in ISEAL Impacts community and team projects 	MA International Relations and Development, BA International Relations 3 years experience in responsible sourcing and SMEs, and 5 years in sustainable development and corporate social responsibility, including in responsible investment, company evaluations & assessments and research
Chinelo Etiaba Membership Coordinator chinelo.etiaba@responsiblejewellery.com	<u>Support</u> <ul style="list-style-type: none"> • Data collection and analysis through review of Membership data; • Evaluation and reporting on level 1 indicators against Desired Outcome 1 in the RJC database (WORK[etc]) • Organisational learning through team projects 	Chartered Management Institute (CMI) Level 5 Diploma in Management, MSc Development Studies, BSc Political Science
Madalina Grigorie Communications Coordinator madalina.grigorie@responsiblejewellery.com	<u>Support</u> <ul style="list-style-type: none"> • Data collection and analysis through review of communications data • Evaluation and reporting on level 1 indicators against Desired Outcome 3 in the RJC database (WORK[etc]) • Organisational learning through team projects 	Chartered Institute of Public Relations (CIPR) Diploma, MA in Project Management, BA in International Studies and Political Science
Natasha Drennan Administration Manager natasha.drennan@responsiblejewellery.com	<u>Support</u> <ul style="list-style-type: none"> • Streamlining of administration systems • Evaluation and reporting on level 1 indicators against Desired Outcome 1 the RJC database (WORK[etc]) • Organisational learning through team projects 	Bachelor of Commerce, Business Marketing

The [RJC website](http://www.responsiblejewellery.com) contact for the M&E program is consultation@responsiblejewellery.com, and this address is monitored by the RJC Standards Coordinator (Marieke van der Mijl). Contact details of all RJC staff can also be found on the RJC website at: <http://www.responsiblejewellery.com/contact-us/>.

RJC continues to devote increasing attention to M&E activities, with an expanded operating budget of GBP £35,000 in FY 2014, which is 3% of RJC's GBP £1.2M total budget and 6% of its operating budget (excluding salaries). This has been allocated for direct expenditure on regional case studies and collaborative projects, as well as publication of RJC's first Impacts Report. As outlined further in section 4, the RJC WORK[etc] platform is another critical component of the M&E program with a yearly subscription cost of GBP £2,500. In addition, team travel resources in the order of GBP £30,000 are also earmarked to include M&E-related project work in India and Peru. In aggregate, GBP £67,500 (5.6%) of RJC's budget goes towards M&E activities, not including costs of the staff time above.

This expanded budget and the associated focus on developing staff resources and competencies has enabled RJC to develop and implement a robust M&E system in 2014 that meets the requirements of the ISEAL Impacts Code. RJC's revenue model is sound and based on Membership fees, so as Members and the scale of the program grows, budget allocations to M&E will also grow proportionally. Ongoing resourcing commitments for M&E, along with the development of new partnerships described in the next section, will enable RJC to continue to mature and expand its M&E system.

2.2 Cooperation, Coordination and Partnerships

RJC is highly committed to harmonisation and partnership in its work across supply chains and sectors, and indeed this is a core strategy and output indicator in RJC's Theory of Change. Current active organisational collaborations include:

- **International initiatives:** [OECD](#) Due Diligence Guidance for Responsible Supply Chains of Minerals from Conflict-Affected and High-Risk Areas – RJC is implementing a program for [refiner audits](#), and a cross-recognition agreement with London Bullion Market Association (LBMA) and Conflict Free Sourcing Initiative (CFSI);
- **Supply chain initiatives:** [Swiss Better Gold](#) Initiative, [Solidaridad](#) Gold Programme – RJC is implementing a program for mine site certification, refiner audits, and chain-of-custody;
- **Artisanal mining programs:** Fairmined Gold, Fairtrade Gold – RJC developed recognition of these [ASM producer standards](#) under the RJC Chain-of-Custody standard;
- **Proprietary programs:** De Beers Best Practice Principles, Signet Responsible Sourcing Program – harmonised audit programs such that RJC Certification satisfies their proprietary requirements;
- **Research institutions:** University of Coventry, Graduate Institute of Geneva – [research](#) into experience, impacts and/or barriers of RJC Certification in UK and Europe;
- **Research & Development initiatives:** [Historic Futures](#) – development of pilot IT platform for Chain-of-Custody standard and M&E data collection.

M&E data and analysis exchange is already underway for some of the above, though mostly still in early stages, and further projects are planned as the various programs or collaborations mature. Progress, outcomes and impact evaluations will be reported in annual Impacts Reports at appropriate junctures. This year in the 2014 Impacts Report, short reports from both Solidaridad and the University of Coventry have been included, discussing progress and issues and signalling the direction of future work.

RJC also values the opportunity to connect with other ISEAL Members in their 'M&E journey' through ISEAL conferences and workshops. RJC's Standards Coordinator Marieke van der Mijn arranged meetings with M&E staff of other ISEAL Members in the Netherlands, the Aquaculture Stewardship Council, UTZ Certified and the Union for Ethical Bioproducts, to share learning and best practice on data collection and impact evaluation. In

addition, UTZ Certified and Bonsucro have provided constructive advice at various stages during the development of RJC's M&E system.

3. Defining the Intended Change (*Impacts Code Provision 8.1-8.6*)

The long term goals and desired impacts are set out by the RJC Vision and Mission and the RJC's Theory of Change, as set out below.

RJC Vision and Mission

RJC Vision

Our vision is a responsible world-wide supply chain that promotes trust in the global fine jewellery and watch industry.

RJC Mission

We strive to be the recognized standards and certification organization for supply chain integrity and sustainability in the global fine jewellery and watch industry.

Values

These values guide our decisions and actions:

- *We are respectful and fair*
- *We practice honesty, integrity and accountability*
- *We engage in open collaboration*

RJC Theory of Change

The RJC's intended change is defined in the visual representation of RJC's Theory of Change, featured on the following page. Three key Strategies of *capacity building, robust standards and certification tools, and support for supply chain initiatives* are designed to set the foundation for the consequent flow of Outputs, Outcomes and Desired Impacts. The three Desired Impacts are:

- **The global fine jewellery and watch industry respects human rights, the environment and stakeholder expectations**
- **Supply chains build commitment to, and reward, responsible practices**
- **Business customers and consumers have confidence and trust in diamond, gold and platinum group metals products.**

Within the Theory of Change, RJC's three Desired Outcomes have been used to set the framework for indicator development and data collection (see section 4 for RJC's list of indicators) and include measurable metrics of both outputs and outcomes. The 2014 [Impacts Report](#) evaluates and presents the available data to date for indicators under RJC's Desired Outcomes, which are:

- *Building critical mass through increased uptake in key regions and sectors*
- *Effective implementation of standards and continuous improvement*
- *Increased demand for RJC Certified Members, B2B and by consumers*

The base of the Theory of Change graphic aims to highlight the following key points about RJC's approach:

- **Broad set of issues for responsible practices:** The RJC Code of Practices has always covered a very wide range of sustainability and CSR issues in the jewellery supply chain. The 2013 revision has placed these in a new framework to highlight the standard's key themes. Most of the standard applies to everyone, though there are specific provisions for sectors and activities such as mining.

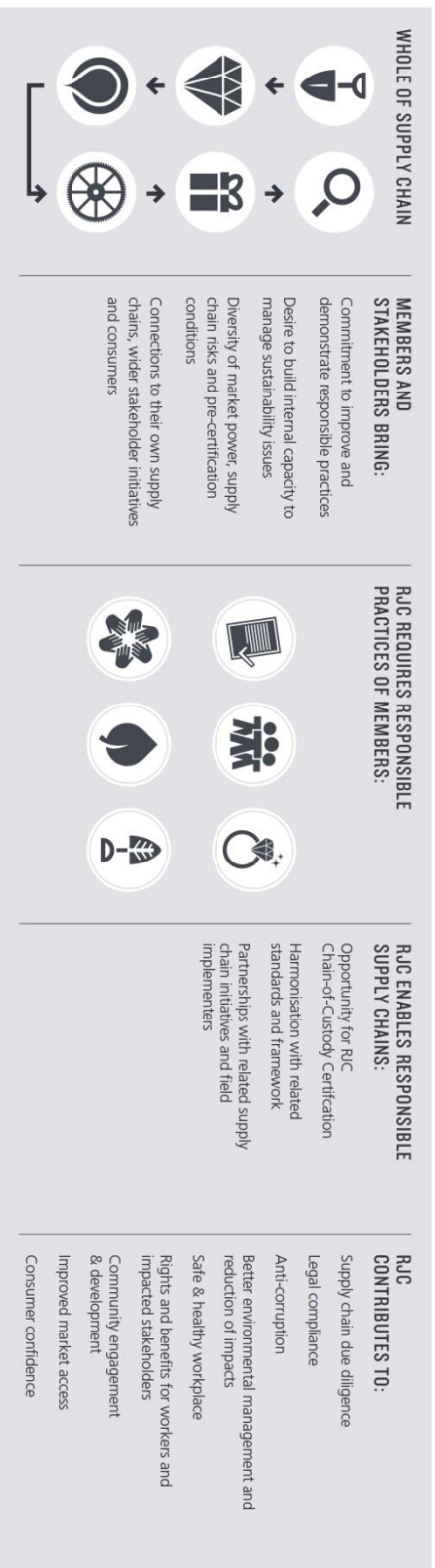
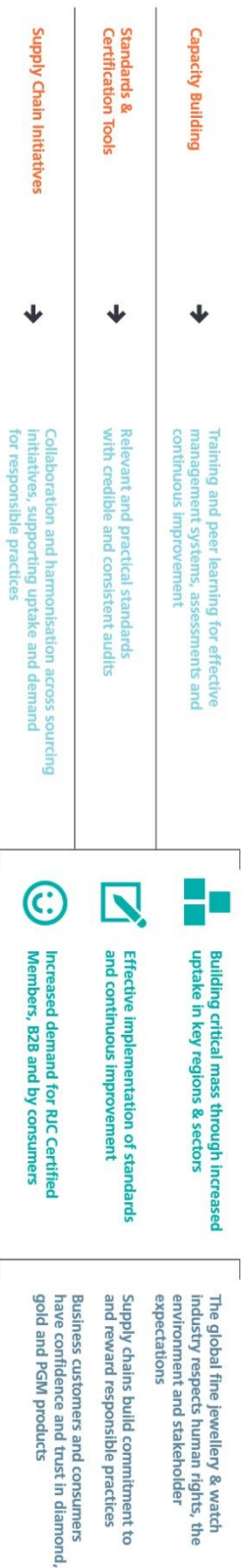
- **A standard that is supply chain wide:** While many voluntary standards focus mainly on production, RJC's Certification is aimed at every sector in the diamonds, gold and platinum group metals jewellery supply chain from mine to retail. This recognises the important role that every supply chain actor can play in improving practices and also creates B2B incentives for uptake.
- **RJC helps individual Members catalyse broader supply chain change:** With each Member that takes on the RJC standard, new connections to their own supply chains are formed. This is firstly driven from within the Code of Practices with the various requirements in the 'Responsible Supply Chains and Human Rights' section. Then drawing on the experience of their own Certification process, Members can in turn reach through their supply chains to create greater awareness and improvements.
- **Collaboration, harmonisation and partnerships are essential:** There are many organisations and initiatives working towards change in the jewellery supply chain. RJC is collaborating with a range of partners to harmonise between standards programs for mutual recognition, support implementation of international norms and supply chain initiatives, and build capacity.

The strategies, outputs, outcomes and desired impacts in RJC's Theory of Change have been framed in the context of these points. It is important to note that as well as RJC's ongoing development and implementation of these strategies as an institution, each RJC Member is an individual actor in a complex supply chain dynamic and a range of other actors play key roles in creating drivers (and barriers). Thus effecting change is never solely attributable to the interventions of RJC, but also depends on the internal commitment of companies, and the many efforts of supporting organisations and initiatives.

Table 2 – RJC Theory of Change

The [RJC Theory of Change](http://www.responsiblejewellery.com/monitoring-and-evaluation/) can be found on the following page and is also available on the RJC website at: <http://www.responsiblejewellery.com/monitoring-and-evaluation/>.

RJC THEORY OF CHANGE



3.1 Influencing Factors

Previous RJC risk assessments in 2008, 2011 and 2013 have identified the following risk factors, which were considered in developing RJC's Theory of Change:

- Audits failing to identify major non-conformances, which is an inherent risk for a program based on audits to a reasonable assurance level;
- Conformance being achieved through limited or superficial efforts, which has been a key consideration in improvements to some standards requirements in the recent review of the Code of Practices;
- General improvements may already be occurring, and cannot be attributed to the certification program, which requires a greater understanding of the added benefit and impact for individual companies as well as the supply chains they are part of;
- Achievement of the Desired Impacts depends on the penetration of RJC Certified Members within specific sectors such as mining, particularly those who operate in lesser developed countries where greater positive impacts are more likely to be achieved. This is acknowledged in Desired Outcome 1 in the RJC Theory of Change.

These issues have been extensively discussed in Standards Committee and Executive Committee/Board meetings, particularly as part of the RJC Code of Practices Review in 2013 and finalisation of the Theory of Change in early 2014. They continue to be monitored and controls put in place include training of auditors, training of Members, efforts to better understand and articulate the 'business case' of certification, and efforts to encourage uptake in key sectors and regions.

3.2 Possible Unintended Consequences

The M&E program continues to be a driver for reflection on possible unintended results of the RJC's Certification program, including potential barriers to entry. The recent Code of Practices review addressed a number of important regional and sector interpretation issues, particularly in India, and the revised standard aims to more clearly understand business benefits of the program via the new M&E indicators structure.

Unintended consequences may include:

- Significant increase in business costs of compliance such that Certification is not economic in some markets or sectors (Indicators: resignations by sector and by year, resignation reasons, and/or lack of re-certifications, lack of uptake in key sectors)
- Creating barriers to entry for small to medium enterprises, due to perception or reality of challenges of achieving certification (Indicator: SMEs uptake)
- Poor practices being displaced to sub-contractors and other non-certified entities in the supply chain (indicators: surveys and case studies of Members' reach into their supply chains).

These issues were considered in the development of the RJC Theory of Change, and the 2014 RJC Impacts Report, which includes sections on India implementation, SMEs and collaboration activities towards responsible supply chains. Continued research and guidance development on these issues aims to help minimise such outcomes.

4. Ongoing monitoring program (Impacts Code Provision 9, 10.1)

4.1 Indicators

[RJC's Indicator list](#) has been redesigned in 2014 to align with the Desired Outcomes outlined in RJC's Theory of Change. Some indicators will only begin data collection with the roll-out of the 2013 Code of Practices, which is in a transition year during 2014.

The indicators have been grouped under the 3 Desired Outcomes identified in the RJC Theory of Change, and provide insight into progress of the various supporting strategies and direct outputs.

Table 3 – List of RJC Indicators

Impact Areas	Desired Outcomes	Indicators – Level 1	Data since	Focus areas for Level 2/3 studies	Timeframe
<p>In the RJC Theory of Change, the following Impact Areas are the results of all three Desired Outcomes:</p> <p>The global fine jewellery and watch industry respects human rights, environment and stakeholder expectations.</p> <p>Supply chains build commitment to and reward responsible practices.</p> <p>Business customers and consumers</p>	<p>1. <i>Building critical mass through increased uptake in key regions and sectors.</i></p>	Growth in overall Members per year.	2006		
		Growth in Members by sector per year.	2006		
		Growth in overall Certifications.	2009		
		Growth in Certifications by sector.	2009	<i>Challenges for Certification uptake for mining sector.</i>	2014-
		Growth in Members by sector and turnover (ARS).	2006		
		Distribution of Members and Certified Members by economic size/turnover.	2006	<i>Challenges for Certification uptake for SMEs.</i>	2014-
		Total employees covered by Certifications.	2009		
		Employees covered by Certifications by sector.	2009		
		Employees by covered by Certifications by country.	2014 (new for COP 2013)		
		Growth in	2009	<i>Challenges for</i>	2014-

Impact Areas	Desired Outcomes	Indicators – Level 1	Data since	Focus areas for Level 2/3 studies	Timeframe
have confidence and trust in diamond, gold and PGM products.		Certifications by country.		<i>Certification uptake in India.</i>	
		Re-certifications by sector and by year.	2010		
		Resignations by sector and by year.	2009		
		Resignation reasons.	2009		
	2. <i>Effective implementation of standards and continuous improvement.</i>	All non-conformance data – by standards and by sector.	2009		
		Member’s systems for money laundering and finance of terrorism.	2009		
		Member’s systems for anti-bribery.	2009		
		Member’s systems for legal compliance.	2009		
		Member’s systems for safe and healthy workplaces.	2009		
		Member’s systems for managing working hours.	2009		
		Member’s systems for working with business partners.	2009	<i>Survey of Members on supply chain outreach.</i>	2014-
		Multiple Certifications and effectiveness of harmonization.	2014 (new COP 2013)	<i>Survey of Members on harmonisation questions.</i>	2014-
		Certification outcomes in	2009	<i>Case studies and impact evaluations</i>	2014-

Impact Areas	Desired Outcomes	Indicators – Level 1	Data since	Focus areas for Level 2/3 studies	Timeframe	
		mining sector.		<i>of mines with artisanal mining on concession.</i>		
		Certification outcomes in India.	2009	<i>Case studies and independent impact evaluations in India.</i>	2014-	
		Certification outcomes for SMEs.	2009	<i>Case studies and independent research into SME experiences.</i>	2014-	
		Distribution of audits by Audit Firms and Individual Auditors.	2010			
		Audit report clarifications by frequency and type: RJC quality control measures.	2010			
		Training of Members and Auditors by year and by sector.	2010			
		Frequency of Suggested Business Improvements.	2014			
		RJC Complaints Mechanism.	2010			
	3. <i>Increased demand for RJC Certified Members, B2B and by consumers.</i>	Frequency of use of RJC logos by Members.			<i>Use of RJC Certification in marketing and communications – survey of Members.</i>	2014-
		Level of demand for RJC Certification.			<i>Enquiries/demand for RJC Certifications – survey of Members.</i>	2014-
					<i>Growth in trade of CoC precious metals.</i>	2014-
		Use of RJC Certification in supply chain			<i>RJC Certification in supply chain initiatives -survey</i>	2014-

Impact Areas	Desired Outcomes	Indicators – Level 1	Data since	Focus areas for Level 2/3 studies	Timeframe
		initiatives.		<i>of Members and key stakeholders, case studies</i>	
		Media coverage of RJC	2009	<i>Analysis of trade/consumer interest in RJC</i>	2015
		Research citations.	2010		
		RJC website traffic.	2014		

4.2 Data Collection

The RJC M&E program looks to collect data and information that enables us to evaluate our progress towards RJC's goals.

The ISEAL Impacts Code differentiates between 3 levels of data collection. Level 1 is characterised by data that is collected regularly through existing systems (such as audit reports) and from all certified entities. Level 2 is characterised by more of a sampling approach of selected certified entities: this enables a focus on particular issues, for example those which may emerge from trends identified through Level 1 data, or to address key topics from the Theory of Change. Level 3 relates to broader impact evaluations, conducted by external researchers, and with various methodologies, which can include comparisons between certified and non-certified entities.

- Level 1:** RJC has been collecting and monitoring level 1 data through audit reports for all Certified entities, and through member application forms for all Members that join the RJC. Development of the cloud database WORK[etc] (see also next section 4.3) has enabled RJC to log and more easily drill down into audit data by sectors and issues, as well as identify data gaps where we would like to know more. The database development fed into the recent review of the Code of Practices and the 2013 standard now requires submission of additional M&E data in audit reports. Ongoing development of the cloud database to support additional analyses will continue in 2014.
- Level 2:** RJC also collects additional data and evaluations through surveys, information requests from selected Members, and through studies that are commissioned or we are collaborating with. Additional data collection of this type is now mostly via the RJC WORK[etc] platform, with the establishment of web-forms and automated filing of responses increasing accuracy and efficiency. The 2014 Impacts Report includes information on several case studies in the mining sector that have been developed with partner organisations; as well as early research into SMEs that will continue and expand in the coming years. Later in 2014, RJC will commence a survey of all RJC Members relating to demand for certification, to report on in 2015. RJC also works with individual Members to develop [case studies](#) of their certification experience and outcomes.
- Level 3:** Finally, RJC commissions and supports impact evaluations by external researchers to evaluate the effectiveness of RJC Standards and better understand outcomes and impacts on the ground. As noted in section 2.2, RJC is engaged in a number of partnerships and collaborations, each with opportunities for current and future M&E-relevant research. In the [2014 Impacts](#)

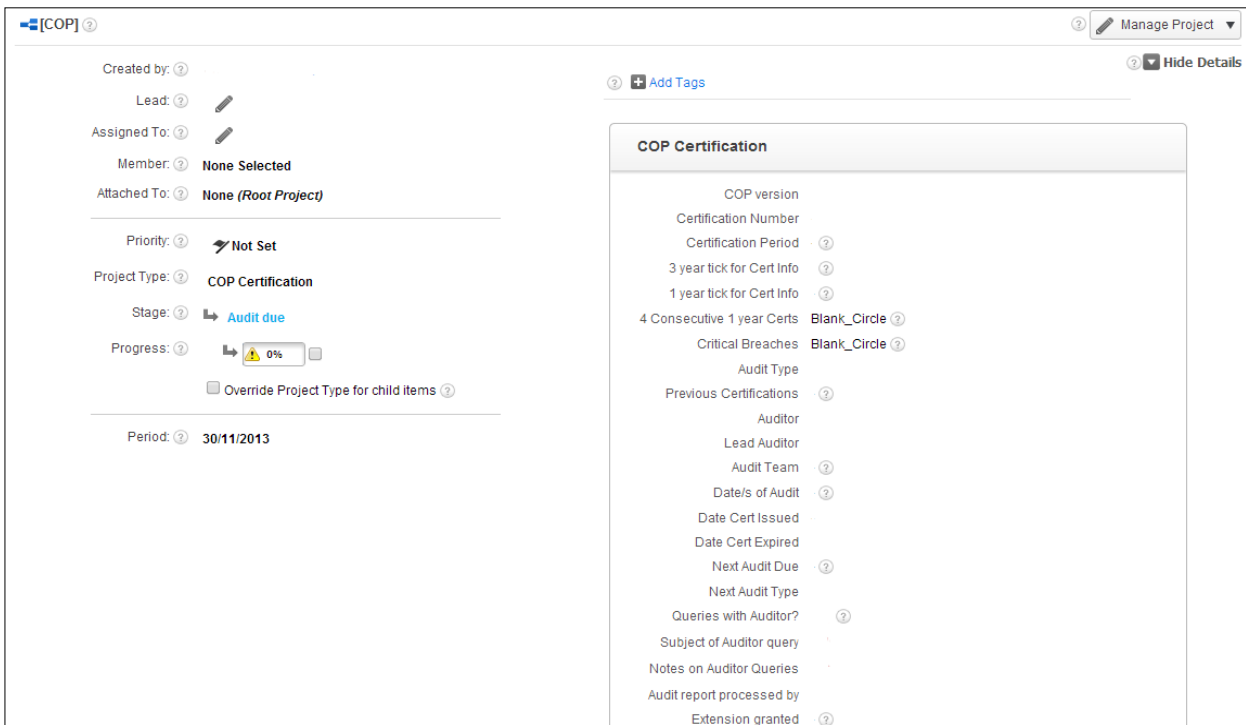
[Report](#), we include some analyses from external researchers at the University of Coventry who have looked at the perspectives of small to medium enterprises (SMEs) and from an independent development consultancy Dalberg who completed a baseline evaluation of the diamond sector in India. These initial studies are the first step in ongoing work and research in these and other areas, which RJC is very keen to grow and is already in discussion with relevant partners for early planning. Future RJC Impacts Reports will report on developments in, and results from, level 3 research.

4.3 Data management, analysis, confidentiality of data

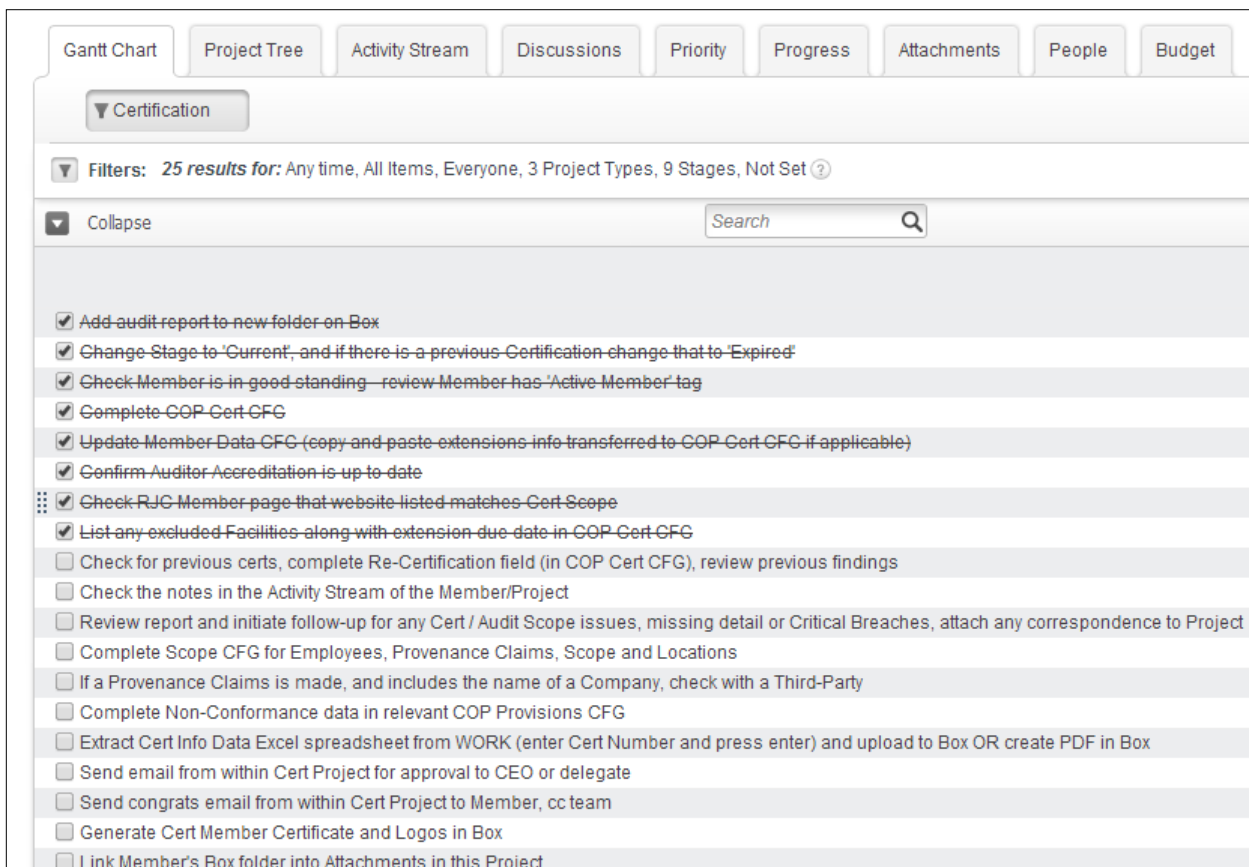
In 2013, RJC transitioned to a cloud-based database system using the [WORK\[etc\]](#) platform. This platform is an innovative, fully customisable CRM, project management and collaboration system which has enabled a complete transformation of RJC's M&E data collection, workflows and analyses. As it is a cloud-based system, log-in is via a web browser and it is available to staff in their various offices and on the road, including via a mobile app. WORK[etc] is a 'software as a service' model, such that ongoing development of the platform is funded by a subscription model and prioritisation of users' requests for new features.

With the initial support of the WORK[etc] team, RJC has carried out in-house development of a whole system of 'tags', 'custom fields' and 'project templates' in the platform in which to log M&E indicators and other data against Contacts (including Members, Auditors and other stakeholders) and Projects (Certifications). The combination of tags and custom fields enables sophisticated searches of the data and corresponding analyses. Selected data can be exported to spreadsheets for further analyses and reporting. Email correspondence relating to audit reports, data collection, or issues arising, are automatically logged against the relevant company and certification 'project' and are fully searchable. The goal is to achieve maximum integration and accessibility of the various types of data that RJC manages.

Internal data logging and reporting includes Certification report data, which includes the types of non-conformances found during audits, the status of corrective actions, the number of employees in facilities covered by the Certification (where available), and the supply chain sector and location. This data is logged as each auditor's Certification report is reviewed as part of the RJC's quality control procedure. The procedure itself is now integrated into the WORK[etc] Project via a 'To-Do's' list, which is checked off as each stage is completed, recording the relevant staff member who completed each action for traceability purposes.



WORK[etc] template example (above): screen shot of part of a Code of Practices ([COP]) 'Project' that records details of each Certification report. The question marks show where customised user instructions have been developed.



WORK[etc] template example (above): screen shot of part of a Gantt-chart based 'to-do' list in each Code of Practices ([COP]) 'Project', which sets out the procedure that staff carry out in their quality control review of an Auditor's

Certification Report and logging of M&E data. Once a 'to-do' task is completed it is ticked off as complete by the logged-in staff member, as shown in the example above.

Further customisation work and development projects are planned on this platform in future, including for M&E purposes, as the system holds great potential for further improvements in internal procedures and data control. For example in 2014, RJC will be implementing a 'support case' logging system in the WORK[etc] platform to better track topic enquiries and identify new training and capacity building needs. Development of additional custom fields in the platform is ongoing, as opportunities for streamlining data collection and reporting are identified.

Reporting processes have been greatly simplified in WORK[etc] with the use of 'smart lists', a type of saved search that is customisable to a single or combination of data points. Saved searches have been set up for the majority of the indicators listed in the table of indicators in section 4. This has greatly expedited data analysis and reporting, where previously this was more laborious due to different data sets being stored in different spreadsheets.

☆	COP Certifications - 2010	Projects	Fiona Solomon	05/05/2014	
☆	COP Certifications - 2011	Projects	Fiona Solomon	29/04/2014	
☆	COP Certifications - 2012	Projects	Fiona Solomon	29/04/2014	
☆	COP Certifications - 2013	Projects	Fiona Solomon	28/04/2014	
☆	COP Certifications - 2014	Projects	Fiona Solomon	08/04/2014	
☆	COP Certifications - All Current	Projects	Fiona Solomon	19/12/2013	
☆	COP Certifications - Expired	Projects	Fiona Solomon	19/12/2013	
☆	COP Certifications - Re-Certifications	Projects	Fiona Solomon	05/05/2014	
☆	COP Certifications - tagging test date issued	Projects	Use this to check for certs that are mis... Fiona Solomon	24/02/2014	
☆	COP Certifications - tagging test expired certs	Projects	Use this to check for certs that should... Fiona Solomon	19/12/2013	
☆	Countries - Belgian Certified Members	Projects	Fiona Solomon	20/12/2013	
☆	Countries - Belgian Members and Supporters	Contacts	Fiona Solomon	20/12/2013	
☆	Countries - Certified Facilities in Europe	Projects	Fiona Solomon	25/02/2014	
☆	Countries - German Certified Members	Contacts	Madalina Grigorie	21/01/2014	
☆	Countries - Indian Certified Members	Projects	Fiona Solomon	13/03/2014	
☆	Countries - Indian Members and Supporters	Contacts	Fiona Solomon	20/12/2013	
☆	Countries - Swiss Certified Members	Projects	Marieke van der Mijn	20/12/2013	
☆	Countries - Swiss Members and Supporters	Contacts	Fiona Solomon	20/12/2013	

WORK[etc] 'smart lists' (above): screen shot of a few of the saved searches in the RJC WORK[etc] platform, where a combination of regular and custom fields and tags can be used to quickly compile up-to-date data sets for viewing or export. Note the 'tagging test' searches in the centre of the screen shot that enable regular checks for data quality.

RJC uses a related system for managing files and documents, [Box.com](#), which integrates with the WORK[etc] platform. It is similarly a browser-accessed, cloud-based system for secure file sharing and online collaboration, enabling version histories and comments to be tracked and archived within a document link. It also has a powerful search engine, and the ability to assign tasks and record sign-offs alongside relevant documents. A mobile app also enables access for staff travelling via their phones and devices.

The screenshot shows the Box web interface. At the top, there's a navigation bar with the 'box' logo, icons for chat, globe, folder, people, and cloud, and a search bar labeled 'Search Files'. Below the navigation bar, the breadcrumb trail reads 'All Files > COP Certification - Detail (Confide... > COP Certifications 350-399'. The main content area features an 'Upload' button, 'New...' and 'More' dropdowns, and a document icon. Below this, there's a list of five folders, each with a 'Share' button and a checkbox. The folders are:

- 350. Fine Jewellery Manufacturing Ltd (Updated May 19, 2014 by Chinelo Etiaba, 18 items)
- 351. Hasuna Co. Ltd (Updated Apr 25, 2014 by Chinelo Etiaba, 17 items)
- 352. Continental Jewellery (UK) (Updated May 19, 2014 by Chinelo Etiaba, 18 items)
- 353. Lasbleiz-Fournier-Vitiello (Updated May 19, 2014 by Chinelo Etiaba, 17 items)
- 354. Brown and Newirth Ltd (Updated May 20, 2014 by Chinelo Etiaba, 18 items)

Box platform example of data management (above): Files in order of Certification number of RJC Certified Members. These can be directly linked into the WORK[etc] Certification 'Project' for that Member, integrating the two platforms.

The screenshot shows the Box web interface for a specific document. The breadcrumb trail is 'All Files > Committee Meet... > 2014 > 02 6 February Standards Com...'. The document is 'RJC Stds telcon 6February2014.pptx', updated on Feb 28, 2014 by Fiona Solomon, with a size of 2.7 MB and 21 versions. Below the document name, there's a 'Comment - Assign Task' section with 3 comments and 1 task assigned. The comment history is as follows:

- Task Completed!** By: Fiona Solomon (Completed)
- Marieke van der Mijn** (Jan 30, 2014 at 02:39 PM): I have added a few small edits and a couple of bullet points :-)
- Marieke van der Mijn** (Feb 3, 2014 at 04:43 PM): @Fiona Solomon Hi Fiona, I adapted the slide and order a bit, see what you think :-)
- Fiona Solomon** (Feb 4, 2014 at 11:20 AM): Looks good - made a few more minor changes and we're all set. Thanks for the new slide!!

At the bottom, there's a 'View version history' link and a text input field for 'Enter a comment or assign a task'.

Box platform example of document tracking (above): Individual tracking of document development and sign-off for circulation – this example is the presentation for a February 2014 Standards Committee teleconference discussing the draft outline of the RJC Impacts Report for 2014. Comments, tasks and version history (11 versions in this case) are fully archived for each document.

Confidentiality of data is a key principle, and RJC's [Confidentiality Policy](#) is available on the RJC website. Different staff members have different levels of access to data both within WORK[etc] and Box, with financial data in particular restricted to a small number of team members due to its commercially sensitive nature.

Member surveys are also carried out to gather information about their experience with the Certification process, including how Certification has impacted their business and the types of changes Members have made as a result of the Certification program. This information can now be collected via web-based forms in the WORK[etc] platform (where previously it was collected via Survey Monkey and stored in spreadsheets).

The screenshot shows the 'Settings > Web Forms' interface in the WORK[etc] platform. The main title is 'RJC Conference 2014 Feedback Members' with a subtitle 'We'd appreciate your feedback on our inaugural conference. Many thanks in advance!'. The form is titled 'Conference Feedback' and contains five questions, each with a corresponding text input field:

- Did you find the RJC Conference useful?
- What was the most valuable portion of the conference for you and why?
- What additional topics would you have liked it to cover?
- Did you have any immediate questions that remain unanswered?
- Can the RJC team help you in answering them?

On the left side, there are four categories of fields available for selection:

- Blank Fields:** Single Line Text, Numbers Only, Multi Line Text, Drop Down, Single Choice, Multi Choice, Upload File.
- Formatted Fields:** Names, Addresses, Email, Phone Numbers, Date, Web Site URL.
- Layout Elements:** Horizontal Rule, Field Set.
- Text Areas:** Headline1, Headline2, Paragraph of Text, Place Image.

WORK[etc] web-based form example (above): The back-end build of a customised web-based form can be completed in WORK[etc], with the relevant html code then copied across to the RJC website to create a web-survey interface into WORK[etc] for online access by respondents. Data entered via the webpage is then automatically compiled and stored in the WORK[etc] platform, where it can be integrated into relevant records, reviewed for action or exported for further analysis and reporting.

Additional ad hoc data collection is carried out with individual Members and Auditors to develop case studies or follow-up on data gaps or cross-checking of collected data. These are now tagged, tracked and wherever possible integrated via the connections between the WORK[etc] and Box platforms.

4.4 Unsubstantiated Claims

RJC has senior management review controls in place to ensure there are no unsubstantiated claims made by persons in, or working for the RJC about information drawn from analysis of M&E data. Published and circulated information requires senior management sign-off, as evidenced in the previous section with the document sign-offs procedures in Box.com.

Data related to supporting strategies, Member's compliance outcomes and achievement of Certification carries low risk of unsubstantiated claims being made by the RJC. Such information is factual in nature and must be evidence-based. RJC's database platforms mean all staff has visibility of relevant data, and cross-checking and testing of data analyses regularly occurs.

Annual publications, including the RJC Progress Report and RJC Impacts Report may contain analysis of such data. As noted above, review and approval of the content by senior RJC managers of any such external communications is required, and these staff members are highly qualified to determine whether any claims being made are supported and substantiated.

Outcome and impact evaluations are expected to draw conclusions that relate to impacts. Due care will be taken to ensure that the assessments are undertaken by qualified personnel, that the design of the assessments and any assumptions made are transparent, and that any data limitations are identified. Any conclusions reached will therefore be based on robust and visible substantiation. These assessments will also be available for review in draft form by the multi-stakeholder RJC Standards Committee, and other stakeholders as appropriate, before being published.

For example, preliminary findings of the Dalberg research in India were presented to a group of Indian stakeholders at a meeting in April 2014 in Mumbai for preliminary feedback, and a draft of their report discussed with the RJC Standards Committee and Board at a meeting in May 2014 in London, before publication on the RJC website in June 2014.

5. Outcome and impact evaluation (*Impacts Code Provision 10*)

Now that the RJC WORK[etc] platform for M&E is in a more mature stage of development, as discussed in section 4, RJC will be turning its attention in 2014-2015 to Level 3 data collection via partnerships and independently commissioned research. RJC outcome and impact evaluations will take a multi-annual perspective and will start with a baseline study, where possible. All outcome and impact evaluations will be made publicly available on the RJC website once they are finalised.

Outcome and impact evaluations will enable RJC to:

- Understand RJC Members' journey towards Certification and whether it contributes to continuous improvement of their business practices;
- Understand the direct and indirect impact of the RJC Certification on Members' business: the business case;
- Manage its training programme and support to RJC Members, focusing on areas where compliance is difficult or where technical expertise is needed;
- Support and review the effective implementation of RJC's Standards and identify where additional guidance is needed;
- Support the ongoing improvement of RJC's data collection procedures in WORK[etc];
- Evaluate the value of RJC Certification to stakeholders, including B2B, consumers, regulators, civil society and other users;
- Review progress and priorities for collaboration and harmonisation initiatives for responsible supply chains.

RJC has been establishing research partnerships for outcome and impact evaluations since 2012. As the RJC covers so many sectors, outcome evaluation has so far focused on three highly topical areas: the gold mining sector in Latin America, the diamond cutting and polishing sector in India, and small-to-medium enterprises (SMEs) with annual turnover of US\$50 million or less. These topic areas are further described in the [2014 Impacts Report](#).

RJC has commissioned independent research with Dalberg Global Development Advisors, the University of Coventry and the Graduate Institute of Geneva in order to understand issues and impact of RJC Certification on these key areas of the global jewellery supply chain. RJC and Solidaridad have worked together on developing a case study on a medium-scale gold mine in Peru and will continue collaboration on commissioning an independent impact evaluation on the same mine in 2015. Other research areas of interest will be prioritised by RJC through discussions with the RJC Standards Committee in the second half of 2014.

Table 4 - Baseline impact evaluation already conducted, and plans for future outcome and impact evaluations

Forum/topic	Country	Author/Institute/Organisation	Year	Title
Diamond trading, cutting and polishing	India	Dalberg Global Development Advisors Ashta Kapoor, Shyam Sundaram and Gaurav Gupta	2014	Independent assessment of the uptake and impact of RJC certification scheme in India. <i>Additional research planned for 2015.</i>
Small and Medium-scale Enterprises (SMEs)	United Kingdom	University of Coventry	2014	Keeping it Precious: Managing the Social and Environmental Responsibility Complexities of Business Practices in the UK Fine Jewellery Industry
Small and Medium-scale Enterprises (SMEs)	Switzerland, France, Germany and Italy	Graduate Institute of Geneva	2015	Small to medium enterprises (SMEs): uptake, access and impact of certification in the jewellery supply chain
Mining	Peru	Solidaridad	2015	Independent impact evaluation of Minera Yanaquihua RJC Certification

The value of such research lies in the opportunity to implement improvements to strategies and systems as a result of findings and recommendations. For example, in the Dalberg report on the India diamond sector, one recommendation was to look at encouraging existing Members to broaden their 'certification scope' to cover additional related operations. As a result, RJC has developed a new guidance document on Certification Scope that uses examples from the Indian context of family businesses to assist with this process.

6. Use of results for internal discussion and learning (*Impacts Code 10.1, 11.1-11.3*)

The RJC's M&E data is discussed regularly by RJC management and referenced in reports to the RJC's various governance committees, including the Board as well as Standards, Communications, and Membership committees. Fortnightly team teleconferences include M&E items on the agenda for discussion and action. This includes:

- Reporting on a six-weekly basis to the Executive Committee on indicators of uptake in key regions and sectors for discussion on management strategies;
- Reporting to the Standards Committee 4-5 times per year on M&E activities for discussion of progress and ideas for further focus or new priorities. [Minutes](#) of all RJC Standards Committee meetings can be found on the RJC website;
- Analysis of non-conformance data to identify priorities for new training development and delivery programs and identification of Members that would benefit from further capacity building support;
- Case studies, surveys and research are feeding into work underway to better articulate the business case for RJC Certification, including reports, website profiles, and public events.

Planning and pre-transition work for the WORK[etc] platform began in mid-2013, co-inciding with the finalisation of the Code of Practices review. This enabled the design of the RJC assessment toolkits to be aligned with the WORK[etc] system, in particular the submission of some M&E data from auditors for the COP 2013 in a format to enable direct import into the database. An export function for a customised .csv file has also been developed to merge into InDesign for the desktop publishing of RJC Certificates for COP 2013, based on submitted auditor data. This ensures total consistency between recorded and published information and reduces risks of manual error or omission of key data in database records.

The RJC team has spent significant time during January-June 2014 further developing the various systems and procedures in the WORK[etc] platform, which has been a major collaborative effort across all team members. This has included a large amount of 'data cleaning', as data previously stored on a variety of different spreadsheets was imported and integrated into the platform. For example, inconsistent naming of data in different spreadsheets (eg 'Company Ptd Ltd' in one spreadsheet and 'Company' in another) presented integration challenges during the transition, and triggered line by line review of existing data as well as many test searches to ensure accurate compilations across different metrics once imported into WORK[etc]. The development of new custom fields with multiple choice options and integration with Member records now ensures that data entry is consistent and will yield accurate analyses. Saved 'test searches' in WORK[etc] have been set up to enable regular cross-checking of RJC's data entry processes.

The process of transitioning data management from spreadsheets into WORK[etc] was a major culture change for the team, which required energy, patience and cross-functional support. Through RJC's WORK[etc] subscription, the RJC team has benefited from ongoing access to free training (live and recorded) and a help desk. The whole team has undertaken customised group and individual training with WORK[etc] experts on various features of the platform, including 'tagging', 'custom fields', 'contacts', 'email lists', 'email campaigns', 'activity streams', 'smart lists', 'sales leads', 'projects', 'web-forms', and 'support cases', to enable further in-house development of internal systems. Several requests for fixes and new features have been actioned by the WORK[etc] development team for RJC.

The process of building and customising RJC's WORK[etc] platform has thus catalysed significant organisational learning about how data is generally managed and analysed within RJC. The whole team has developed valuable skills in developing new coding and data logging techniques, and learnt how to interact with and evolve a whole new IT platform to meet RJC's needs. A wide range of procedures and activities have been evaluated during integration into the platform, and the transition process continues to drive identification of appropriate M&E data collection and reporting approaches. WORK[etc] is now at the core of RJC's day-to-day management, meaning that M&E is integrated into all of RJC's activities, from membership, communications, certification, accreditation, training and stakeholder engagement.

7. Transparency and Stakeholder involvement *(Impacts Code Provision 7, 6.7)*

The RJC liaises primarily with the multi-stakeholder Standards Committee regarding the design and implementation of the M&E program. Input is sought at different points in the development and implementation of the program, including:

- Defining impact areas to be evaluated and indicators to be measured;
- Determining unintended consequences or other effects as part of a risk assessment;
- Identifying collaborative opportunities where stakeholders may be able to contribute data;
- Sharing results and seeking feedback on the findings of evaluations and impact assessments.

A range of stakeholders have identified the importance of increasing the scale of RJC membership, particularly in developing countries, and this has been reflected in the RJC Theory of Change. This objective is supported by ongoing collaboration and harmonisation efforts, including via RJC's own outreach, with other sourcing initiatives, and through participation in key international forums such as the OECD.

RJC has created an RJC-India Forum in which to discuss the design and results of impacts-related research in India. The first meeting was held in April 2014, and researchers from Dalberg presented preliminary findings for comment and feedback. Additional survey data was also collected during the meeting from company participants.

RJC makes a range of reports and analyses publicly available. RJC's Progress and Impacts Reports are published on the RJC website, and the [Progress Report](#) is a printed publication that is distributed to stakeholders at key events and on request. Additional commissioned research is also published, for example the [Dalberg research](#) in India. RJC has also developed a relationship with the Graduate Institute of Geneva, with funding support from Compagnie Financière Richemont SA. In 2013, research into [coloured stones supply chains](#) was carried out by a team of postgraduate students at the Institute, which has been published on the RJC website. In 2014, research will be undertaken by another team into uptake of RJC Certification by SMEs in Europe, focusing on Switzerland, France, Germany and Italy.

During the design phase of M&E projects, RJC makes minutes of Standards Committee meetings publicly available and has also undertaken an online public consultation on its [draft Theory of Change](#) in 2014, promoted through the RJC monthly newsletter and on the website. Feedback is sought during meetings of relevant Committees and the Board, and via email for other interested parties, where a time for additional discussion by phone or in person can also be arranged. RJC also operates a [Complaints Mechanism](#), where any stakeholder concerns can be raised.

RJC warmly invites Members, stakeholders and interested party to the Monitoring & Evaluation webpage to give feedback and comments on its Progress, Impacts and M&E System Reports, and can be sent to consultation@responsiblejewellery.com. All feedback and comments will be taken into account during the further development and implementation of the RJC M&E system.