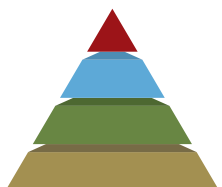




Responsible Jewellery Council

# Assessment Questions



FORMS AND TOOLKITS

## Assessment Questions

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December 2009

T002\_2009 – Assessment Questions

# The Responsible Jewellery Council

The Responsible Jewellery Council (RJC) is a not-for-profit organisation founded in 2005 with the following mission:

**To advance responsible ethical, social and environmental practices, which respect human rights, throughout the diamond and gold jewellery supply chain, from mine to retail.**

## About the Assessment Questions

The RJC Assessment Questions specify the relevant requirements of the Code of Practices for Members' business practices. Members and auditors use the same set of questions for Self Assessments and Verification Assessments. The Assessment Questions are also laid out in a table format, with additional prompts and guidance on Objective Evidence, in the Assessment Workbook (T003\_2008). General guidance on carrying out Assessments can be found in the Assessment Manual (T001\_2008).

This is a 'living document' and the RJC reserves the right to revise the *Assessment Questions* based on implementation experience and emerging good practice. The version posted on the RJC website supersedes all other versions. To verify this document is current, please visit: [www.responsiblejewellery.com](http://www.responsiblejewellery.com)

## Disclaimer

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## Inquiries or feedback

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# 1. Business Ethics

## 1.1 BRIBERY AND FACILITATION PAYMENTS QUESTIONS

1. Confirm that the Member has systems to prohibit involvement in Bribery of any form and ensure that these systems are communicated to and understood by personnel and others that conduct transactions on their behalf.
2. Determine whether these systems include measures that control not offering, accepting or countenancing any facilitation payments, gifts in kind, hospitality, expenses or promises as such that may compromise the principles of fair competition or constitute an attempt to obtain or retain business for or with, or direct business to, any person, or to influence the course of the business or governmental decision-making process.
3. Confirm that the risk of bribery has been considered by the business and that any areas considered high risk have been identified.
4. Confirm whether there is a system to monitor conduct of employees and agents to eliminate Bribery.
5. Determine whether the business encourages employees and contractors to report instances of attempted Bribery or inappropriate gifts, and that, in response to each report of Bribery and attempted Bribery in all forms, the appropriate investigation and subsequent sanctions are applied.
6. Confirm that employees who refuse to participate in bribery or facilitation payments are supported by the business, and that employees are aware that they will not suffer demotion, penalty or other adverse consequences for voicing a concern, or for refusing to pay a bribe or Facilitation payment even if this action may result in the enterprise losing business.
7. Confirm that the organisation endeavours to eliminate all facilitation payments, and that where they do occur, appropriate controls to monitor, oversee and fully account for the payments are implemented.

## 1.2 MONEY LAUNDERING AND FINANCE OF TERRORISM QUESTIONS

8. Determine whether the business maintains financial accounts of all relevant business transactions where required by Applicable Law, and in accordance with national, and where appropriate, international accounting standards.
9. Determine whether the financial accounts are annually independently certified and/or audited.
10. Confirm that audits are undertaken by an appropriately qualified auditor, and that the selection process appoints an auditor that is free of any bias or influence.
11. Determine whether there is a system to identify the various jurisdictions encountered with each transaction, and the associated regulatory requirements.
12. Confirm that the business complies with the relevant legislation relating to international transactions, or, where no Applicable Law exists, the provisions in the Financial Action Task Force (FATF) 40 Recommendations and 8 Special Recommendations as applicable to the Designated Non-Financial Business Professions (DNFBP) i.e. dealers in Precious metals and gemstones.
13. Confirm that cash or cash-like transactions always take place in compliance with Applicable Law and are lodged with the designated authority if above the relevant defined financial threshold.
14. Determine whether there is a system for checking the identity of all suppliers and customers, and monitoring for unusual transactions.
15. Confirm that there is a clear understanding of the business' relationships with these individuals and organisations, and that the operation has a reasonable ability to identify and react to transaction patterns appearing out of the ordinary or suspicious.

### 1.3 KIMBERLEY PROCESS

#### QUESTIONS

16. Determine whether there are procedures or systems in place to prevent the purchase or sale of rough diamonds by employees or agents, without appropriate Kimberley Process documentation. Procedures and systems must comply with the Kimberley Process and relevant national legislation. This includes preventing the purchase of Conflict Diamonds from countries or regions that have not implemented the Kimberley Process or are subject to a governmental advisory that exports from such regions are not in conformance with the Kimberley Process.
17. Determine whether there is a rigorous audit process to reconcile rough diamond trade records i.e. Kimberley Process Certificates (in and out). Confirm that audits are conducted no less than annually and by independent auditors.
18. Determine whether these records are sufficient to prove compliance with the Kimberley Process.
19. Determine whether there are procedures or systems in place including the need to keep records, to prevent the purchase or sale of diamonds, whether rough, polished or set in jewellery without appropriate warranties in accordance with the World Diamond Council System of Warranties.
20. Determine whether there is a system for educating employees that are involved in the buying and selling of diamonds. Verify that Employees have a satisfactory understanding of the Kimberley Process Certification Scheme and government restrictions on the trade in Conflict Diamonds and the WDC System of Warranties.

### 1.4 PRODUCT AND MATERIALS SECURITY

#### QUESTIONS

21. Confirm Members have implemented product security measures that protect products against theft, damage or substitution, whilst the products are on site or during shipments.
22. Confirm that the Member prioritises the security of Employees, Contractors working in the Facilities, visitors including customers to the Facilities, and other affected stakeholders, when implementing reasonable precautionary product security measures, to prevent product theft, damage or substitution, whilst on the premises and during shipments.

### 1.5 PRODUCT INTEGRITY

#### QUESTIONS

23. Determine that the business identifies and complies with relevant local, national and global trading standards and legislation that is specifically applicable to its diamond and gold jewellery products.
24. Confirm that the business adopts the Code of Practices 'Product Integrity' provisions where there is no local applicable law.
25. Confirm that gold, diamonds and gold and/or diamond jewellery products purchased or sold have appropriate product disclosure including applicable information on:
  - Mass/weight
  - Cut
  - Colour
  - Clarity/fineness.
26. Determine that information used for selling, advertising or distribution of Diamond and/or Gold products is not misleading, untruthful or deceptive, or that that material information has not been omitted.
27. Confirm that the gold fineness is accurately disclosed for gold products.
28. Confirm that when applying Gold Quality Marks to gold products, the Mark is authorised to be applied and accurately indicates gold quality.
29. Confirm that treated diamonds are properly disclosed as such, including to always have the word "diamond" preceded by the word "treated", the nature of the treatment and any special care requirements. Confirm that the treated diamond product information does not mislead or incorrectly represent the product.
30. Confirm that the term "treated diamond" is clearly associated with any use of the names of firms, manufacturers or trademarks used to describe treated diamonds.

31. Confirm that Synthetic diamonds (whether wholly or partially) are properly disclosed as such and always have the word “diamond” preceded by words such as:

- Synthetic
- Laboratory Created or Grown
- Man-made
- [Manufacturer name] created.

Confirm that there are effective procedures or systems that specifically prohibit the use of the terms including but not limited to the following when representing synthetic diamonds:

- Natural
- Real
- Genuine.

32. Confirm that synthetic diamond products are clearly identifiable and distinguishable by the product statements from ‘natural’ or ‘mined’ diamond products, and that terms are not used that may mislead the consumer in any way.

33. Confirm that diamond simulants are properly disclosed and always have the word “diamond” preceded by words such as:

- Simulant
- Imitation.

Confirm that there are effective procedures or systems that specifically prohibit the use of the terms including but not limited to the following when representing simulant diamonds:

- Real
- Genuine
- Naturally occurring mineral or compound.

34. Determine whether the business identifies and complies with recognised guidelines applicable to the description of cut and polished diamonds, in terms of:

- Weight
- Colour
- Clarity or
- Cut.

35. Confirm that there are effective procedures or systems that specifically prohibit the use of the terms “flawless” or “perfect” when representing diamond products that when viewed under magnification at 10 power, have any of the following imperfections:

- Flaws
- Cracks
- Inclusions
- Carbon spots
- Clouds
- Internal lasering
- Blemishes.

36. Confirm that these procedures or systems only permit the use of the terms “brilliant”, “brilliant cut” or “full cut” specifically for a round diamond that has at least 32 facets plus the table above the girdle, and at least 24 facets below it.

## **1.6 EXTRACTIVE INDUSTRIES TRANSPARENCY INITIATIVE QUESTIONS**

37. Verify that Members with Mining Facilities have committed to and support implementation of the Extractive Industries Transparency Initiative (EITI).

## 2. Human Rights and Social Performance

### 2.1 HUMAN RIGHTS QUESTIONS

38. Determine whether the business has identified, is knowledgeable of and complies with the articles from the United Nations Universal Declaration of Human Rights that are applicable to its business, to that ensure fundamental human rights and the dignity of the individual are respected at all times.

### 2.2 CHILD LABOUR AND YOUNG PERSONS QUESTIONS

39. Determine whether there is a policy and/or a system to prevent engaging in or supporting the employment of Children (younger than 15 years, or 14 years where the law of the country permits).
40. Confirm that there are effective systems supported by procedures, practices and written agreements with contractors that prevent the employment of Children, including an effective mechanism for verifying age prior to recruitment, maintaining copies of documentary evidence on file, and investigating potential discrepancies.

*Note that this Provision does not apply to situations where Children (younger than 15 years, or 14 years where the law of the country permits) were previously identified during previous Assessments AND the Member is conforming with, Provisions 2.2.2, 2.2.3 and 2.2.4 .*

41. Where children have been found to be working within the business, determine whether there is an effective phased remediation process that ensures the continued welfare of each Child employed and their family, that the work does not interfere with schooling, and that a structured educational program is supported. Confirm that any child workers found to be in employment receive fair payment for their work, at least 12 hours nightly rest time and weekly rest days, and do not work overtime.
42. Confirm that where young persons are employed, they are employed according to the requirements of Applicable Law, or if no such law exists, the provisions of ILO Convention 138 and Recommendation 146.
43. Determine whether hazardous work areas and activities have been identified, that workers are mapped against tasks by age, and that there are no young persons under the age of 18 (or 16 under strict conditions) engaged in 'hazardous work'.

### 2.3 FORCED LABOUR QUESTIONS

44. Confirm that the business does not use Forced Labour (including bonded, indentured or prison labour) or restrict the freedom of movement of employees.
45. Confirm that the business does not retain any original personal documentation belonging to workers (such as passports or other official proof of identity) during the course of their employment, other than by specific legal requirement, nor require any form of deposit, recruitment fee, or equipment advance from Employees either directly or through recruitment agencies

### 2.4 FREEDOM OF ASSOCIATION AND COLLECTIVE BARGAINING QUESTIONS

46. Determine whether Employees are afforded the freedom and means to associate freely through either unions or parallel means for independent and free association and bargaining.
47. Determine whether workers are afforded the freedom and means to collectively bargain and to participate in collective bargaining agreements in place.
48. Where collective agreements exist, confirm that they are adhered to.

### 2.5 DISCRIMINATION QUESTIONS

49. Determine whether there is a system to prevent discrimination in the workplace and a mechanism which ensures that all individuals who are Fit for Work are accorded equal opportunities and are not discriminated against on the basis of factors unrelated to their ability to perform their job.

50. Confirm that the systems are communicated to and understood by personnel, and are effectively implemented.

## 2.6 HEALTH AND SAFETY QUESTIONS

51. Confirm that the workplace environment complies with Applicable Law and relevant industry standards such that it is safe to conduct work related activities. Determine how effective systems and controls are to ensure that legal requirements relating to ambient workplace environment (chemical exposure, noise, air temperature, air quality, lighting, ventilation, etc) are adhered to.
52. Determine whether there is an effective method to identify and minimise, so far as reasonably practicable, workplace hazards.
53. Confirm that sufficient and appropriate machine safety guards and isolation measures are installed and used correctly.
54. Confirm that chemicals including cleaning materials have been identified, and adequately labelled and stored.
55. Determine whether workplaces are adequately constructed and maintained, with systems and controls in place to ensure that workers are protected from chemical exposure, air borne particles and chemical fumes.
56. Confirm that basic PPE is available free of charge for employees and on-site contractors, and that it is current, properly used and worn.
57. Confirm that all workspaces are fit for the job, and designed with appropriate safety measures, particularly with regard to minimise occupational health risks such as repetitive strain.
58. Determine whether workplace temperature, noise, light, cleanliness, vibration and ventilation levels are appropriate to perform tasks safely (given the requirements of the operation).
59. Confirm that the entire workforce has access to an appropriate standard of hygiene by providing:
- a regular and effective cleaning regime
  - safe drinking water and adequate means of safely storing food are easily accessible to all employees; and
  - sanitation facilities including ablution and bathrooms that are clean and well-maintained, and that these are sufficient for the number and gender of staff employed.
60. Determine whether workplaces are adequately constructed and maintained to meet local building and occupational health & safety regulations.
61. Confirm that on-site housing offered to employees are in a condition that is safe to occupy, clean and hygienic, has potable water, sufficient and proper sanitation facilities and adequate power supply.
62. For processes engaged in the cutting and polishing of diamonds, ensure that cobalt-free diamond-impregnated scaifes are used.
63. Determine whether there is a formal process for employees to discuss, review and manage health and safety issues, or to raise concerns with management, such as via a trade union or a health and safety committee.
64. Determine whether personnel are aware of specific work place hazards and risks and the precautionary methods in place to avoid such hazards.
65. Determine whether information about hazards and risks is available to all personnel and communicated in appropriate language. Confirm that communication includes:
- clear lines of responsibility in relation to management of hazards
  - information includes current Materials Safety Data Sheets (or equivalent necessary information), and that these are available at the place of work.
66. Determine that there are effective procedures or systems in place commensurate with the nature of work-related activities, to avoid accidents, injury and illness, to cover all activities in the workplace environment.

67. Determine whether there are clearly identifiable and sufficient first aid provisions and equipment.
68. Determine whether there is information detailing how personnel can make ready use of medical facilities either on or offsite.
69. Confirm that sufficient, appropriate and working fire safety devices are in place, including alarms and extinguishers, which are accompanied with instructions understandable by the workforce.
70. Determine whether there are sufficient and appropriately placed emergency exits, and that they are clearly marked and are unlocked and unblocked.
71. Confirm that evacuation and emergency response procedures are available to respond to all reasonably foreseeable emergency scenarios, and that these plans are accessible to all personnel, prominently displayed, understandable, regularly tested (including the conduct of drills) and updated.
72. Verify that, for Members with Mining Facilities, emergency response plans have been developed and maintained in collaboration with potentially affected communities, workers and their representatives, and relevant agencies, as described in the APELL guidelines.
73. Confirm that the appropriate level of training is offered to all personnel at commencement of employment (with the business or when reassigned) and that training records are maintained. Confirm that training covers:
  - Proper handling of hazardous substances
  - Use of Material Safety Data Sheets
  - Proper use of PPE
  - Fire safety and evacuation procedures
  - Emergency response in the event of an accident, including special training personnel with key responsibilities (e.g. wardens, incident/emergency response co-ordinators, etc)
  - Specific job related hazards, risks and the precautionary measures to avoid these risks.
74. Confirm that sufficient numbers of personnel are trained in first aid for the nature and scale of the business.
75. Determine whether there is a procedure or system for formally recording and investigating serious occupational accidents, incidents (including near misses), occupational diseases, and/or emergencies.
76. Confirm that results from incident investigations result in the implementation of effective corrective actions and improvement measures and that these are reviewed on a periodic basis.
77. Determine whether employees understand that they can stop work in situations that may cause serious harm or uncontrolled hazards, and that they have a responsibility to bring these situations to the attention of those at imminent risk and to management.
78. Demonstrate that the Member has effective systems in place to ensure that diamond and gold jewellery products sold to end-consumers (i.e. retail consumers) comply with health and safety regulations applicable to the products.

## **2.7 DISCIPLINE AND GRIEVANCE PROCEDURES**

### **QUESTIONS**

79. Ensure that the business does not use corporal punishment.
80. Confirm that the business prohibits its employees from being subjected to harsh or degrading treatment; sexual or physical harassment; mental, physical or verbal abuse; coercion or intimidation in any circumstances in the workplace.
81. Confirm that the business has clearly communicated to all personnel the business' disciplinary process and related standards on appropriate disciplinary procedures and Employee treatment, and that the process and standards apply equally to all management and staff.
82. Confirm that grievance procedures and investigation processes are clear, and that they are clearly explained to all Employees.
83. Verify that records are maintained of Employee grievances raised, investigation processes and outcomes.



## 2.8 HOURS OF WORK

### QUESTIONS

84. Confirm that the business applies normal working hours that comply with Applicable Law. Where no specific laws and regulations exist, confirm that working hours do not, on a regular basis, exceed a maximum of 48 hours per working week.
85. Confirm that the business has compensated overtime (based on business needs) to their Employees according to Applicable Law and Sector regulations.
86. Confirm that overtime is voluntary and except in special circumstances (for example on fly-in, fly-out sites), is limited to a maximum of 12 hours in a week.
87. Confirm that the business has provided Employees with all legally mandated leave including maternity and paternity, compassionate and paid annual leave. Where no Applicable Law exists, paid annual leave shall be provided in accordance with ILO Convention 132.
88. Confirm that appropriate weekly rest is provided in accordance with ILO Convention 14 (at least one rest day in seven consecutive working days). Where no specific laws and regulations exist the Member demonstrates compliance with prevailing Standards. Where this is not possible (for example on fly-in, fly-out sites) the leave allocation complies with the relevant laws and is planned so as to provide safe and humane working conditions. Ensure that all exceedances of the minimum one rest day in seven consecutive working days are planned so as to provide safe and humane working conditions.

## 2.9 REMUNERATION

### QUESTIONS

89. Confirm that employees are paid a wage based on the higher of either the applicable legal minimum wage or within the range of prevailing industry wages.
90. Ensure that the business makes payment to employees on a regular and pre-determined basis.
91. Ensure that the business provides payment by bank transfer or in cash or cheque form in a manner and location convenient to employees.
92. Confirm that all payments are accompanied by a wage slip that clearly details wage rates, benefits and deductions where applicable.
93. Confirm that due process is being followed if deductions from wages need to occur.
94. Confirm that Employees are not forced to buy provisions from the business or its Facilities.

## 2.10 GENERAL EMPLOYMENT TERMS

### QUESTIONS

95. Confirm that all work performed for the business is carried out under a recognised employment relationship established through Applicable Law and practice, and includes obligations to Employees relating to labour or social-security.
96. Confirm that obligations to Employees under Applicable Law relating to labour or social security are not avoided through use of labour-only contracting, sub-contracting, home-working arrangements, apprenticeship schemes or the presence of any excessive use of fixed-term contracts of employment.
97. Confirm the maintenance of appropriate Employee records (this includes records of piece rate and wage payments as well as working hours, for all staff employed, whether full time, part time or seasonal basis).

## 2.11 COMMUNITY ENGAGEMENT AND DEVELOPMENT

### QUESTIONS

98. Determine whether the business supports the development of the community in which they operate through support of community initiatives.
99. Determine whether the Mining Facility has appropriate skills, resources and implemented systems for early and ongoing engagement with affected communities and stakeholders throughout the project's lifecycle.

*Note that this Provision does not apply retrospectively, that is, before the 12 months prior to initial certification.*

100. Verify that these systems include mechanisms to consider the views and aspirations of affected communities when developing the mine project.

*Note that this Provision does not apply retrospectively, that is, before the 12 months prior to initial certification.*

101. Verify that broad support for major mining proposals is sought using engagement processes that are inclusive, equitable, culturally appropriate and rights-compatible manner.

*Note that this Provision does not apply retrospectively, that is, before the 12 months prior to initial certification.*

102. Determine how Members with Mining Facilities avoid involuntary resettlement, and verify that where it is unavoidable, the extent is minimised and it is carried out (including compensation) in accordance with the International Finance Corporation (IFC) Performance Standard 5.

*Note that this Provision does not apply retrospectively, that is, before the 12 months prior to initial certification.*

103. Ensure that the Members with Mining Facilities have a system for dealing with and resolving complaints and grievances, and that this system is understood and accessible to affected communities.

## **2.12 USE OF SECURITY PERSONNEL**

### **QUESTIONS**

104. Determine that the business uses a rigorous system to evaluate the need for armed security personnel and that armed security personnel are used only when there is no acceptable alternative to manage risk or to ensure the personal safety of Employees, Contractors and Visitors.
105. Ensure that all armed personnel respect the human rights and dignity of all people and use the minimum force proportionate to the threat.
106. Ensure that security risk assessments are conducted by Members with Mining Facilities.
107. Ensure that security personnel working for Members with Mining Facilities receive appropriate training to ensure they operate in accordance with standards and principles defined in the Voluntary Principles on Security and Human Rights (2000).

## **2.13 INDIGENOUS PEOPLES**

### **QUESTIONS**

108. Verify that Members with Mining Facilities respect the rights of Indigenous Peoples as defined in Applicable Law. Verify that the social, cultural, environmental and economic interests, including connection with lands and waters, of affected Indigenous Peoples, are understood and respected.
109. Verify that Members with Mining Facilities seek to obtain formally documented broad based support from affected Indigenous Peoples for mining operations. Ensure that this documentation includes any partnerships and/or programs to provide benefits and mitigate impacts benefits to the affected Indigenous Peoples.

## **2.14 ARTISINAL AND SMALL-SCALE MINING**

### **QUESTIONS**

110. Verify that Members with artisanal and small-scale mining within their areas of operation participate, as appropriate, in initiatives that enable the professionalisation and formalisation of artisanal and small-scale mining.
111. Verify that Members with Mining Facilities with artisanal and small-scale miners operating on their (the Members) concession, include them in Social and Environmental Impact Assessment (SEIA) and community engagement processes.

## 3. Environmental Performance

### 3.1 ENVIRONMENTAL PROTECTION QUESTIONS

112. Determine whether the business has introduced appropriate management and operating systems that:
- Identify and assess detrimental environmental impacts resulting from its business practice
  - Factor appropriate environmental considerations into new developments, processes and business practices.
  - Manage and minimise significant detrimental environmental impacts commensurate with the nature and scale of the Members business.

### 3.2 HAZARDOUS SUBSTANCES QUESTIONS

113. Confirm that the business does not manufacture, trade and/or use chemicals or hazardous substances that have been banned (locally or internationally) due to their high toxicity, environmental impact, persistence, potential for bioaccumulation or potential for depletion of the ozone layer.
114. Confirm that where technically and economically viable the business substitutes hazardous substances used in production processes with alternatives that are less hazardous.
115. For Members with Mining Facilities using cyanide in the recovery of gold, determine whether the applicable site(s) is certified to and complies with the International Cyanide Management Code (2005) within 3 years of joining the RJC.

### 3.3 WASTE AND EMISSIONS QUESTIONS

116. Determine that waste (hazardous and general) is disposed of in accordance with the requirements of Applicable Law, and that there are systems for keeping abreast of regulations. Where Applicable Law does not exist, determine whether the Member has identified and adopted prevailing international standards relating to waste management and disposal.
117. Determine whether the business seeks to avoid, or where avoidance is not possible, minimises the use of materials and processes that generate wastes relative to production output (hazardous and/or general) by using the principles of:
- Reduce
  - Recover
  - Reuse
  - Recycle.
118. Confirm that waste disposal decision-making processes consider environmental impacts and not just cost.
119. Determine that the business seeks to reduce emissions to air, water and land relative to production output.
120. Verify that when Members with Mining Facilities design, construct, monitor and maintain tailings facilities and waste rock facilities, this is done to ensure structural stability, and to protect the surrounding environment and local communities.
121. Verify that controls are monitored to ensure ongoing structural stability and protection of the environment and local communities
122. Verify that Members with Mining Facilities do not dispose tailings into rivers for any new Facilities.

*Mining Facilities that currently use riverine tailings disposal cannot be included in the Member's RJC Certification. These Facilities will be excluded from the Certification, but all other relevant COP provisions apply.*

123. Verify that Members with existing land based Mining Facilities do not practice submarine tailings disposal unless:
- A detailed assessment shows there are submarine tailings disposal is less risky and has lower environmental and social impacts than a land based tailings facility.
  - Scientific studies demonstrate that there are no significant adverse effect on coastal resources, and
  - tailings are released below the surface thermocline and euphotic zone.
124. Verify that Members with Mining Facilities have characterised mining waste to identify and manage the potential impacts for storage and or disposal of the waste. This include impacts from acid rock drainage and metal leaching.

### **3.4 USE OF ENERGY AND NATURAL RESOURCES QUESTIONS**

125. Determine whether the business has identified and quantified the energy and natural resources (including but not limited to water) used, and set initiatives to manage their business so as to use these resources efficiently.
126. Determine how the Member has identified and implemented practices that reduce fossil fuel usage and greenhouse gas emissions from its business practices, including the transportation of people, goods and materials.

### **3.5 BIODIVERSITY QUESTIONS**

127. Verify that Members with Mining Facilities do not carry out exploration or mining activities in World Heritage Sites, nor have negative impacts on World Heritage Sites adjacent to exploration or mining activities.
- Note that this Provision does not apply retrospectively to Mining Facilities already in operation before World Heritage or protected area status is designated.*
128. Determine how Members with Mining Facilities identify and keep informed about nearby legally designated protected areas.
129. Verify that Members with Mining Facilities comply with Applicable Laws, covenants and other commitments given in relation to legally designated protected areas.
130. Determine how Members with Mining Facilities consider and assess the actual and potential impacts of exploration, development, operational and closure activities on legally designated protected areas.
131. Determine how Members with Mining Facilities identify key biodiversity and implement measures to mitigate impacts and deliver measurable, commensurable biodiversity benefits.
132. Determine how Members with Mining Facilities ensure exploration, development, operational or closure activities do not result in or present a risk to the extinction or of a species listed by the IUCN Red List.
133. Verify that Members with Mining Facilities adopt recognised good rehabilitation practices.
134. Determine how Members with Mining Facilities establish post mining land use during mine closure planning. Verify that closure planning involves key stakeholders and consideration is given to establishing a sustainable native ecosystem once the mine operations cease.

## 4. Management Systems

### 4.1 LEGAL COMPLIANCE

#### QUESTIONS

135. Confirm that the business is aware of and complies with Applicable Law relating to its business conduct, human rights, social and environmental performance. Applicable Law includes but is not limited to:
- Bribery and facilitation payments;
  - Money laundering and finance of terrorism;
  - Corruption, smuggling, embezzlement, fraud, racketeering, transfer pricing and tax evasion;
  - Trading practices and consumer rights;
  - Human rights;
  - Child labour;
  - Employment terms and conditions including occupational health & safety;
  - Environmental management;
  - Community and social impact;
  - Consumer health safety and environmental product information;
  - Competition laws.

### 4.2 POLICY

#### QUESTIONS

136. Confirm that the business has developed a Policy suitable for the nature, scale and impacts of its business practices that supports the achievement of the Code of Practices.
137. Confirm that this Policy is made available to the public.

### 4.3 BUSINESS PARTNERS – CONTRACTORS, CUSTOMERS, SUPPLIERS AND PARTNERS

#### QUESTIONS

138. Verify that the Member has identified those Business Partners that have the potential to constitute a significant risk to the Members.
139. Determine whether the Member has conducted a risk assessment to understand the risks associated with these significant Business Partners.
140. Determine how the business encourages Business Partners to establish and maintain practices consistent with the Code of Practices.
141. Verify that relevant Business Partners (Contractors) working at the Facility, and visitors to the Facility, are aware of and follow the business' management policies, procedures and systems established to meet the Code of Practices that relate to the Member's certification scope.

### 4.4 IMPACT ASSESSMENT

#### QUESTIONS

142. Determine how Members with Mining Facilities consult and engage communities and stakeholders affected by exploration activities, new Mining Facilities or significant changes to operations at existing Facilities. Ensure that the scope of social impact assessments include an assessment of human rights, gender and conflict.

*This Provision does not apply retrospectively to impact assessments for existing Facilities formally commenced prior to 2010.*

### 4.5 MINE CLOSURE PLANNING

#### QUESTIONS

143. Verify that Members with Mining Facilities including new and proposed Mining Facilities, develop and maintain a closure plan for each Facility. Ensure that each plan includes defined objectives for closure.
144. Confirm that the plan includes the capacity and resources to achieve the closure objectives.

145. Verify that Members with Mining Facilities engage regularly with local stakeholders relating to each Facility, regarding mine closure and rehabilitation plans and workers. Stakeholders include communities, including ASM, Indigenous Peoples and workers, as appropriate.

#### **4.6 SUSTAINABILITY REPORTING QUESTIONS**

146. Verify that Members with Mining Facilities annually prepare and publish a sustainability report of the mines' performance, using the Global Reporting Initiative (GRI) Guidelines and GRI Mining and Metals Sector Supplement. Confirm that the company publishes an external assurance statement as defined under GRI.

# Glossary

Please refer to the following glossary for terms and acronyms used in the RJC System documents:

<b>Accreditation</b>	Recognition of an auditor's competence to carry out verification assessments and evaluate conformance against a standard.
<b>AML</b>	Anti-money laundering.
<b>APELL</b>	Awareness and Preparedness for Emergencies at the Local Level.
<b>Applicable Law</b>	The relevant national and/or state and/or local laws of the country or countries in which the Member operates.
<b>ASM</b>	Artisanal and Small-scale Mining.
<b>Assessment Manual</b>	Instructions for Members and Auditors on how to carry out Self Assessments and Verification Assessments.
<b>Assessment Questions</b>	A set of questions designed to assess a Member's performance against the Code of Practices and its Provisions. Members and Auditors use the same Assessment Questions.
<b>Assessment Tools</b>	Documents or software that provide guidance and/or record information and evidence required to carry out a Self Assessment or Verification.
<b>Assessor</b>	Employee(s) or person(s) commissioned by a Member to conduct a Self Assessment.
<b>Auditor</b>	An independent, third party person or organisation meeting the RJC's objective selection criteria and accredited to carry out Verification.
<b>Biodiversity</b>	The variability among living organisms from all sources including, inter alia, terrestrial, marine and other aquatic ecosystems and the ecological complexes of which they are part; this includes diversity within species, between species and of ecosystems.
<b>Bribery</b>	The offering, promising or giving, as well as demanding or accepting of any undue advantage, whether directly or indirectly, to or from: <ul style="list-style-type: none"> <li>• A public official;</li> <li>• A political candidate, party or official; or</li> <li>• Any private sector Employee (including a person who directs or works for a private sector enterprise in any capacity).</li> </ul>
<b>Business ethics</b>	Ethical rights and duties existing between businesses and society.
<b>Business Partners</b>	An organisation or business Entity with which an Entity has direct business relations (excluding end consumers, but including Contractors, customers, Suppliers and joint venture Partners) and that buys and/or sells a product or service that directly contributes to the extraction, manufacture or sale of Diamond and Gold Jewellery products.  For the avoidance of doubt, this does not include Entities that provide support products and services, for example, equipment, office supplies and utilities. Nor does it include Entities that provide separate components, not part of the Diamond and Gold supply chain, such as batteries, springs and similar items.
<b>Certification</b>	An attestation by the RJC, based on the results of a Verification Assessment by an accredited Auditor, that the Member has achieved the required level of Conformance against the Code of Practices.
<b>Certification Period</b>	The period of time that Certification is valid, after which time the Certification must be renewed through a new Verification Assessment. Certification Periods are for one year or three years duration based on the findings of the Verification Assessment.
<b>Certification Recommendation and Summary Report</b>	A summary report from the Lead Auditor to the RJC Management Team on a Member's overall performance against the Code of Practices and a recommendation for or against certification.
<b>Certification Scope</b>	The Certification Scope is defined by the Member and covers those parts of the Member's business (i.e. Facilities and activities) that actively contribute to the Diamond and/or Gold Jewellery supply chain.

<b>Certified Member</b>	A Member certified by the RJC that its business practices have been found, through Verification by an Auditor, to meet the required level of Conformance with the Code of Practices.
<b>CFT</b>	Combating the finance of terrorism.
<b>Child</b>	Any person less than 15 years of age, unless local national / local minimum age law stipulates a higher age for work or mandatory schooling, in which case the higher age would apply. If, however, the local national / local minimum wage is set at 14 years of age in accordance with the developing countries exceptions under ILO convention 138, the lower age would apply.
<b>Child Labour</b>	Any work by a Child, except as provided for by ILO Convention 138 (a lower minimum age of 13 (12 in developing countries) for 'light work' which neither harms a young person's development nor prejudices school attendance). Child Labour is work that deprives children of their childhood, their potential and their dignity, and is harmful to their social, physical and mental development.
<b>CIBJO</b>	World Jewellery Confederation
<b>Code of Practices (COP)</b>	A set of standards that define responsible ethical, human rights, social, and environmental practices, applicable to all RJC Members throughout the Diamond and/or Gold Jewellery supply chain.
<b>Collective bargaining</b>	A process through which employers (or their organisations) and workers' associations (or in their absence, freely designated workers' representatives) negotiate terms and conditions of work.
<b>Community</b>	Term generally applied to the inhabitants of immediate and surrounding areas who are affected in some way by a company's activities; these effects may be economic and social as well as environmental in nature.
<b>Community development</b>	Process whereby people increase the strength and effectiveness of their communities, improve their quality of life, enhance their participation in decision making and achieve greater long term control over their lives. It is done with, rather than for, communities, thereby reflecting local people's needs and priorities.
<b>Community engagement</b>	Two way information sharing and decision making process covering community issues and priorities as well as the concerns and needs of the business. Beyond just listening, the aim is to ensure mutual understanding and responsiveness by all parties to enable them to manage decisions that have the potential to affect all concerned.
<b>Conflict Diamond</b>	Rough Diamond used by rebel movements or their allies to finance conflict aimed at undermining legitimate governments, as described in relevant United Nations Security Council (UNSC) resolutions insofar as they remain in effect or in other similar UNSC resolutions which may be adopted in the future, and as understood as recognised in United Nations General Assembly (UNGA) Resolution 55/56, or in other similar UNGA resolutions which may be adopted in future.
<b>Conformance</b>	The Member's business practices, including the policies, systems, procedures and processes, perform in a manner that conforms to the Code of Practices.
<b>Continual improvement</b>	An ongoing process of enhancing performance and management systems against the Code of Practices.
<b>Contractor</b>	An individual, company or other legal Entity that carries out work or performs services pursuant to a contract for services for a Member. This includes sub-contractors.



<b>Control</b>	<p>Control by a Member is defined as:</p> <ol style="list-style-type: none"> <li>1. Direct or indirect ownership, or Control (alone or pursuant to an agreement with other Members) of 50% or more of the voting equities/rights (or equivalent) of the controlled business or Facility; and/or</li> <li>2. Direct or indirect (including pursuant to an agreement with other Members) power to remove, nominate or appoint at least half of the members of the Board of the directors or management (or equivalent of the controlled business or Facility; and/or</li> <li>3. Day-to-day or executive management of the controlled business or Facility; or</li> <li>4. Any legally recognised concept of 'Control' analogous to those described in (1) to (2) above in a relevant jurisdiction.</li> </ol> <p>Although the above defines 'Control' in a corporate context, the same principles will apply by analogy to other organisational arrangements, including Franchisees, Licensees and Control by an individual or a family, where applicable.</p>
<b>Corrective action</b>	An action implemented by a Member to eliminate the cause of a non-conformance in order to prevent a recurrence.
<b>Corrective Action Plans</b>	Plans with set milestones developed by Members to address non-conformances identified during the Self Assessment or Verification Assessment.
<b>Corruption</b>	The misuse of entrusted power for private gain.
<b>Critical Breach</b>	<p>A Major Non-Conformance against a Provision deemed to be critical to the integrity of the RJC system. Critical Provisions are identified in section 7.2 of the Certification Handbook.</p> <p>Identification of a Critical Breach requires Members and Auditors to immediately notify the RJC Management Team. Disciplinary proceedings against the Member will be automatically triggered if the RJC is notified by the Auditor.</p>
<b>Diamond</b>	A natural mineral consisting essentially of pure carbon crystallised with a cubic structure in the isometric system. Its hardness in the Mohs scale is 10; its specific gravity is approximately 3.52; it has a refractive index of 2.42 and it can be found in many colours.
<b>Discipline</b>	A means to correct or improve job-related behaviour or performance.
<b>Discrimination</b>	Where people are treated differently because of certain characteristics – such as race, colour, sex, religion, political opinion, national extraction or social origin – which results in the impairment of equality of opportunity and treatment.
<b>EITI</b>	Extractive Industries Transparency Initiative
<b>Emergency</b>	An abnormal occurrence that can pose a threat to the Safety or Health of Employees, Contractors, Visitors, customers, or local communities, or which can cause damage to assets or the Environment.
<b>Employee</b>	An individual who has entered into or works under a contract of employment or a contract of service or apprenticeship, whether express or implied, and (if it is express) whether oral or in writing, or as defined by Applicable Law, with a Member.
<b>Employment relationship</b>	The legal link between employers and Employees that exists when a person performs work or services under certain conditions in return for remuneration.
<b>Entity</b>	A business or similar which operates one or more Facilities where there is ownership or Control of that Entity by the Member. The Entity can constitute part or whole of the Member.
<b>Environment</b>	Surroundings in which the Facility operates, including air, water, land, natural resources, flora, fauna, habitats, ecosystems, biodiversity, humans (including human artefacts, culturally significant sites and social aspects) and their interaction. The Environment in this context extends from within an operation to the global system.
<b>Facilitation payments</b>	Facilitation payments are paid to receive preferential treatment for something that the payment receiver is otherwise still required to do.

<b>Facility</b>	A Facility is premises that is: <ul style="list-style-type: none"> <li>• Owned by or under the Control of a Member; and</li> <li>• Actively contributes to the Diamond and/or Gold Jewellery supply chain.</li> </ul> See also Mining Facility.
<b>FATF</b>	Financial Action Task Force
<b>Finance of terrorism</b>	Any kind of financial support to those who encourage, plan or engage in terrorism.
<b>Fit for Work</b>	“Fit for Work” means that an individual is in a state (physical, mental and emotional) which allows them to perform their assigned duties effectively and in a manner which does not threaten their own or others’ Safety and Health.
<b>Forced labour</b>	Any work or service exacted by governments, companies or individuals under the menace of penalty, and which a person has not offered voluntarily to do. It also refers to work or service that is demanded as a means of repayment of debt.
<b>Franchising/Licensing</b>	Arrangement whereby Member intellectual property rights are licensed to third parties not under the Control of the Member for the purposes of enabling those third parties to produce, market or sell all or part of products or services that contain a Member’s brand name, trademark or other intellectual property.
<b>Freedom of association</b>	The right of workers and employers to freely form and join groups for the promotion and defence of occupational interests.
<b>Gold</b>	A rare yellow metallic element with the chemical symbol ‘Au’. It is a mineral with specific hardness of 2.5-3 on the Mohs scale of hardness and the atomic number 79.
<b>Hazard</b>	A source of potential harm, injury or detriment.
<b>Hazardous Substance</b>	Any material that poses a threat to human Health and/or the Environment.
<b>Health</b>	A state of physical, mental and social well-being and not merely the absence of disease or infirmity.
<b>Health and safety</b>	The aim of health and safety initiatives is to prevent accidents and injury to personal wellbeing arising out of, linked with or occurring in the course of work. This is done by minimising, as far as is reasonably practicable, the causes of hazards inherent in the working environment.
<b>HIV/AIDS</b>	Human Immunodeficiency Virus/Acquired Immunodeficiency Syndrome.
<b>Human rights</b>	Universal rights and freedoms regarded as belonging to all people, above the laws of any individual nation. Human rights in the RJC System specifically include those articulated in the Universal Declaration of Human Rights, the ILO Declaration on Fundamental Principles and Rights at Work, and Applicable Law.
<b>Indigenous Peoples</b>	There is no universally accepted definition of “Indigenous Peoples”. The term is used here in a generic sense to refer to a distinct social and cultural group possessing the following characteristics in varying degrees: <ul style="list-style-type: none"> <li>• Self-identification as members of a distinct indigenous cultural group and recognition of this identity by others;</li> <li>• Collective attachment to geographically distinct habitats or ancestral territories in the project area and to the natural resources in these habitats and territories;</li> <li>• Customary cultural, economic, social, or political institutions that are separate from those of the dominant society or culture;</li> <li>• An indigenous language, often different from the official language of the country or region.</li> </ul>
<b>ICMM</b>	International Council on Mining and Metals
<b>IFC</b>	International Finance Corporation
<b>ILO</b>	International Labour Organisation
<b>ISO</b>	International Organisation for Standardisation
<b>IUCN</b>	International Union for the Conservation of Nature
<b>Jewellery</b>	For the application of the RJC system, an adornment made of Precious Metals (including Gold) and/or set with gem stones (including Diamonds). Jewellery includes, but is not limited to, bracelets, rings, necklaces, earrings and watches.

<b>Key Biodiversity Areas</b>	Key Biodiversity Areas (KBAs) are places of international importance for the conservation of biodiversity through protected areas and other governance mechanisms. They are identified nationally, based on their importance in maintaining species populations.
<b>Kimberley Process Certification Scheme (KPCS)</b>	A joint government, international diamond industry and civil society initiative to stem the flow of Conflict Diamonds.
<b>Lead Auditor</b>	A Lead Auditor is responsible for the efficient and effective conduct and completion of a Verification Assessment for a Member and may co-ordinate a team of Auditors.
<b>Legal compliance</b>	Acting within, or under the direction of, Applicable Law.
<b>Major Non-Conformance</b>	<p>The Member's business practices including the policies, systems, procedures and processes perform in a manner that is not conformant with the Code of Practices. Major Non-Conformances are defined as the occurrence of one or more of the following situations:</p> <ul style="list-style-type: none"> <li>• The total absence of implementation of a required provision;</li> <li>• A Member-wide systemic failure or total lack of controls required to manage business risks related to the RJC System;</li> <li>• A situation where the Member's business practices have not identified relevant legislative or regulatory requirements, or there is a non-compliance of legislative or regulatory requirements and/or inadequate attempt to rectify the non-complying condition;</li> <li>• A group of related, repetitive or persistent Minor Non-Conformances indicating inadequate implementation;</li> <li>• Any finding or observation supported with Objective Evidence to prove a Critical Breach, or which raises serious doubts as to whether the Member has the business practices to avoid any Critical Breach.</li> </ul>
<b>Management system</b>	Management processes and documentation that collectively prove a systematic framework for ensuring that tasks are performed correctly, consistently and effectively to achieve the desired outcomes, and to drive continual improvement in performance.
<b>Mark</b>	Any Mark, sign, device, imprint, stamp, brand, label, ticket, letter, word or figure.
<b>Member</b>	<p>Any business that:</p> <ol style="list-style-type: none"> <li>(i) is actively involved for commercial reasons in the Diamond and/or Gold Jewellery supply chain; and</li> <li>(ii) is exempt from the role of consultant, advisor or any other similar entity; and</li> <li>(iii) commits to the prevailing RJC Principles and Code of Practices on business ethics, social, human rights and environmental performance and management systems; and</li> <li>(iv) commits to a Verification Assessment by an Auditor under the RJC System; and</li> <li>(v) undertakes the payment of the annual RJC commercial membership fee;</li> </ol> <p>is eligible to become a RJC Commercial Member.</p> <p>The Member may consist of one or more Entities and/or Facilities.</p> <p>In RJC System documents, the term 'Member' refers specifically to RJC Commercial Members.</p>
<b>Member Verification Report</b>	A comprehensive report to the Member from the Lead Auditor on the findings of the Verification Assessment and an evaluation of the Member's conformance with the RJC Codes of Practice.

<b>Mining Facility</b>	<p>A Facility that extracts Diamonds or Gold, or minerals containing saleable quantities of Diamonds or Gold, from the earth.</p> <p>For the avoidance of doubt:</p> <ul style="list-style-type: none"> <li>• Facilities in the exploration to pre-commissioned stages of the mine lifecycle are not visited as part of the Verification Assessment. Business practices in these stages of the mine lifecycle can be evidenced, where necessary and appropriate, by desktop review of policies, systems, procedures and processes.</li> <li>• A Mining Facility is excluded from RJC Certification if riverine tailings disposal is used at that Facility. However all other COP provisions apply at that Facility and it can be included in the Verification Scope.</li> <li>• A Mining Facility is not included in the Certification Scope if there is no saleable Diamonds or Gold, for example where Gold is a trace element in mineral concentrate, process by-products, or wastes.</li> <li>• A Mining Facility producing multiple commodities or products, including Diamonds and/or Gold, can be excluded from the Certification Scope if there is a parallel certification system applicable to other commodities produced by the Mining Facility that is evaluated by the RJC to be technically equivalent to the RJC system.</li> </ul>
<b>Mining Supplement</b>	Additional mining-specific Standards under development, which will be incorporated into the Code of Practices. They will be applicable to Member's mining Facilities.
<b>Minor Non-Conformance</b>	<p>The Member's business practices including the policies, systems, procedures and processes perform in a manner that is not wholly conformant with the Code of Practices. Minor Non-Conformances are defined as the occurrence of one or more of the following situations:</p> <ul style="list-style-type: none"> <li>• An isolated lapse of either performance, discipline or control of the Member's business practices, which does not lead to a Major Non-Conformance of the RJC Code of Practices; and/or</li> <li>• A finding which may not be an actual breach of the RJC Code of Practices at this point in time, but is judged to be a potential inadequacy in the Member's business practices during the Certification Period.</li> </ul>
<b>Money laundering</b>	The process by which the financial proceeds of crime are disguised to conceal their illegal origin.
<b>NGOs</b>	Non-government organizations
<b>Non-Conformance</b>	A situation where the Member's business practices do not conform with the RJC Code of Practices.
<b>Objective Evidence</b>	Verifiable information, records, observations and/or statements of fact and can be qualitative or quantitative.
<b>OECD</b>	Organisation for Economic Co-operation and Development
<b>Overtime</b>	Hours worked in addition to those of a regular schedule.
<b>Partners</b>	Individuals or organisations, including joint venture partners, government agencies and other stakeholders and excluding Contractors, in commercial arrangements and/or executing projects or programs of work with Member(s).
<b>PPE</b>	Personal Protective Equipment. Refers to protective clothing and other garments such as gloves, protective footwear, helmets, goggles and ear plugs, all designed to protect the wearer from exposure to job related occupational hazards.
<b>Policy</b>	A statement of principles and intentions.
<b>Pollution</b>	The presence of a substance in the Environment that because of its chemical composition or quantity prevents the functioning of natural processes and produces undesirable environmental and Health effects.
<b>POPs</b>	Persistent organic pollutants
<b>Precious Metal</b>	Gold, palladium, platinum and silver and an alloy of any of those metals and any other metal and an alloy thereof that is designated by relevant regulations as a Precious Metal.
<b>Procedure</b>	A specified manner to conduct an activity or a process. Procedures can be documented or not.
<b>Provision</b>	A requirement stipulated in the Code of Practices.

<b>Quality Mark</b>	A Mark indicating or purporting to indicate the quality, quantity, fineness, weight, thickness, proportion or kind of Precious Metal in an article.
<b>Rehabilitation</b>	To return disturbed land to a safe, stable and self-sustaining condition.
<b>Rehabilitate</b>	To restore to a former condition or capacity.
<b>Remediation</b>	Putting in place a systemic change or solution to correct an identified problem or non-conformance.
<b>Remuneration</b>	Includes wages or salaries and any other benefits in cash or in kind, paid by employers to workers.
<b>RJC</b>	Responsible Jewellery Council.
<b>RJC Annual Membership Report</b>	A report prepared by the RJC Management Team on Members' aggregate progress under the RJC system. The report is to be prepared annually and made publicly available.
<b>RJC Co-ordinator</b>	A person designated by a Member who coordinates and oversees the Self Assessment, Verification Assessment, any Corrective Action Plans and liaison with the RJC Management Team for that Member.
<b>RJC Management Team</b>	The RJC staff who are employed to carry out the executive functions of the organisation.
<b>Responsible Jewellery Council System (RJC System)</b>	The Responsible Jewellery Council (RJC) System is a certification system that aims to promote responsible ethical, human rights, social and environmental practices throughout the Jewellery supply chain. The RJC system is defined in the Code of Practices, Guidance Documents and Assessment Tools.
<b>Rights-compatible</b>	A rights-compatible engagement approach or grievance mechanism is one that provides a vehicle for addressing issues – whether or not they relate to substantive human rights issues – in a manner that respects and supports Human Rights.
<b>Risk</b>	Exposure to the consequences of uncertainty. It has two dimensions: the likelihood of something happening and the consequences if it were to happen.
<b>Risk Assessment</b>	The systematic evaluation of the degree of Risk posed by an activity or operation. The process of using the results of Risk analysis to rank and/or compare them with acceptable Risk criteria or goals.
<b>Safety</b>	The condition of being safe and free from danger, Risks or injury.
<b>Sector</b>	A distinct part of the Gold and Diamond Jewellery supply chain. The RJC currently identifies the following Sectors amongst its Membership: <ul style="list-style-type: none"> <li>• Gold and/or Diamond producer</li> <li>• Gold trader, hedger or refiner</li> <li>• Diamond trader and/or cutter and polisher</li> <li>• Gold and/or Diamond Jewellery manufacturer</li> <li>• Gold and/or Diamond Jewellery wholesaler</li> <li>• Gold and/or Diamond Jewellery retailer</li> <li>• Service industry to the Diamond and/or Gold industry (excluding consultants, advisers and auditors)</li> <li>• Trade association involved in whole or part in any of the Sectors above.</li> </ul>
<b>Self Assessment</b>	The assessment carried out by Members describing their Entities and Facilities and evaluating their own performance against the requirements of the Code of Practices. Members can use the Self Assessment to gauge their preparedness for a Verification Assessment, improve practices and to identify Objective Evidence required during a Verification Assessment.
<b>Self Assessment Workbook</b>	A workbook designed for Members to use to carry out a Self Assessment.
<b>Simulant</b>	A diamond Simulant is any object or product used to imitate Diamond or some or all of its properties and includes any material which does not meet the requirements specified in the definition of Diamond in this glossary.
<b>SoW</b>	System of Warranties

<b>Stakeholder</b>	Those who have an interest in a particular decision, either as individuals or representatives of a group, including people who influence a decision, or can influence it, as well as those affected by it. Stakeholders include non-government organisations, governments, shareholders and workers, as well as local community members.
<b>Standard</b>	An objective practice, procedure or process that is recognised as integral to the integrity of an organisation's business and/or products and/or services. For the RJC System, the Code of Practices is the Standard relating to the Diamond and/or Gold Jewellery supply chain.
<b>Suggested Business Improvement</b>	A situation where the systems, procedures and activities are in Conformance with the relevant Provisions of the Code of Practices, but where an Assessor or Auditor determines that there is scope to improve these current processes. A Suggested Business Improvement is offered without prejudice, and its implementation is not mandatory. Subsequent Assessments shall not judge performance based on the implementation of a Suggested Business Improvement.
<b>Supplier</b>	A business entity that provides goods and/or services integral to, and utilised in or for the production of, a Member's Diamond and/or Gold products.
<b>Synthetic</b>	A Synthetic diamond is any object or product that has been either partially or wholly crystallised or re-crystallised due to artificial human intervention such that, with the exception of being non-natural, the product meets the requirements specified in the definition of the word "Diamond" in this glossary.
<b>Tailings</b>	Ground rock and effluents that are generated during processing of the ore.
<b>Third party</b>	A person or body independent of the person or organisation being evaluated, and of user interests in that person or organisation.
<b>Treated Diamond</b>	A Treated Diamond is any object or product that meets the requirements specified in the definition of the word "Diamond" or the word "Synthetic" as included in this glossary that has been subject to a "Treatment" as defined in this glossary.
<b>Treatment</b>	Treatment means any process, Treatment or enhancement changing, interfering with and/or contaminating the natural appearance or composition of a Diamond other than the historically accepted practices of cutting and polishing. It includes colour (and decolourisation) Treatment, fracture filling, laser and irradiation Treatment and coating.
<b>UDHR</b>	Universal Declaration of Human Rights
<b>UN</b>	United Nations
<b>UNEP</b>	United Nations Environment Program
<b>Uncontrolled Hazard</b>	An identified source of potential harm, injury or detriment (i.e. a Hazard) that lacks recognised and/or approved management, operational or technical controls.
<b>Verification (auditing)</b>	Confirmation by an Accredited Auditor, through the assessment of Objective Evidence, that the Provisions of the Code of Practices have been fulfilled. The results of Verification are used as the basis for a decision on Certification.
<b>Verification Assessment</b>	A Verification Assessment comprises the following: <ul style="list-style-type: none"> <li>• A preliminary desktop review of the Member's Self Assessment Questionnaire and other related information;</li> <li>• Selection of a representative set of the Member's Facilities and business practices to visit and assess;</li> <li>• Verification of the Member's Self Assessment through on-site review at the selected sample of Facilities.</li> </ul>
<b>Verification Plan (Audit Plan)</b>	A Verification Plan, also referred to as an 'audit plan', is developed by an Auditor to outline what of the Member's business practices will be reviewed, by whom and when and in which Facilities, and nominates which Member personnel should be involved. It is developed from the definition of the Verification Scope.
<b>Verification Reports</b>	Two kinds of reports are generated out of the verification process: <ul style="list-style-type: none"> <li>• A Member Verification Report to the Member;</li> <li>• A Certification Recommendation and Summary Report to the RJC Management Team.</li> </ul>

<b>Verification Scope</b>	The Verification Scope is defined by Auditors and includes a selection of Facilities from within the Certification Scope and a selection of Provisions from the Code of Practices that are considered to be the most relevant, taking into consideration the nature, scale and impact of the Member's business.
<b>Visitor</b>	A person visiting a Member Facility who is not an Employee or Contractor at that Facility.
<b>Waste</b>	Solid, liquid or gaseous material that is discarded or no longer needed. Waste can cause pollution and impact on the environment if not properly managed. In the Jewellery supply chain, the main forms of Waste include Hazardous Substances, air and water emissions, and general operational Waste.
<b>WDC</b>	World Diamond Council
<b>Workers</b>	Persons defined as Employees, Contractors.
<b>WGC</b>	World Gold Council
<b>Working hours</b>	The time during which the persons employed are at the disposal of the employer. Rest periods are time during which the persons employed are not at the disposal of the employer.
<b>World Heritage Sites</b>	Sites established under the World Heritage Convention of 1972.
<b>Young Person</b>	Any worker over the age of a Child as defined above and under the age of 18 years.