



RJC Monitoring and Evaluation (M&E) Program 2011

Draft 1 – October 2010

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1. Background

The RJC launched its Member Certification system in December 2009. The first certification deadline for Commercial Members is December 2011.

A Monitoring and Evaluation (M&E) Program is being designed to assess the impact of RJC Certification. It is proposed to formally commence the M&E program, including stakeholder consultation, in early 2011. This document has been prepared to meet the requirements of the ISEAL Impacts Code, 2010.

The objectives of RJC's M&E program are to:

1. Improve the RJC Certification system and its effectiveness in achieving its stated social, environmental and economic objectives;
2. Build capacity by learning from experience, not only for the RJC as an institution, but also for Members, Auditors and stakeholders;
3. Inform strategy regarding policy decisions;
4. Provide accountability to Members, consumers, civil society and towards those who are affected by, and those who are meant to benefit from, the activities of standards systems;
5. Earn credibility through willingness to be open about the results (good or bad) of the RJC Certification system; and
6. Enhance societal learning by feeding results into the standards landscape to understand the cumulative impacts of voluntary standards systems. (Adapted from ISEAL Impacts Code, 2010).

Confidential Member or Auditor information will not be disclosed as part of the M&E program. Indicators will be reported in an aggregate form to conform with the RJC's Confidentiality Policy: http://www.responsiblejewellery.com/downloads/RJC_Confidentiality_Policy_Oct_2008.pdf

2. Scope of M&E Program - Overview

The broad scope of the RJC M&E Program is summarised as follows:

Sectors	Gold and diamond jewellery supply chain, covering: <ul style="list-style-type: none">• Production (diamond, gold and platinum metals mining and laboratory-grown diamonds)• Gold and platinum metals trading, hedging and refining• Diamond trading, cutting and polishing
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	<ul style="list-style-type: none"> • Diamond, gold and platinum metals jewellery manufacturing • Diamond, gold and platinum metals jewellery wholesaling • Diamond, gold and platinum metals jewellery retailing • Service industries (e.g assayers and laboratories)
Geographies	<p>International. Major regions include:</p> <ul style="list-style-type: none"> • Europe and UK • North America • India • Rest of the world
Sustainability Issues (Section 7)	<p>Selected issues to commence M&E program in 2011:</p> <ul style="list-style-type: none"> • Labour rights • Working hours • Energy • Waste and emissions • Remuneration • Business Partners <p>Further issues may be added in future years, following evaluation.</p>
Supporting Strategies (Section 8)	<ul style="list-style-type: none"> • Guidance and toolkits • Auditor Accreditation • Training • Communications and engagement
Indicators (Section 9 and 10)	<p>Quantitative</p> <ul style="list-style-type: none"> • Percentage of non-conformances for Sustainability Issues • Growth in RJC Membership, Certifications and estimated annual relevant sales of Commercial Members • Growth in RJC Accredited Auditors • Training participation rates • Complaints mechanism • Media coverage and citations <p>Qualitative</p> <ul style="list-style-type: none"> • Corrective action information • Feedback on RJC Certification system and training • Review of consistency of Auditor Summary Reports • Participation in / contribution to related standards initiatives

Table 1 – Scope of RJC M&E Program

3. Responsibilities and allocations

Responsibilities will be apportioned as follows:

Manager – Director Standards Development:

- *Overall development and management of the programme;*
- *Stakeholder engagement processes;*
- *Defining the intended change;*
- *Data analysis;*
- *Reporting;*
- *Organisational learning.*

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Support - Administration Manager or delegate, Communications Manager:

- *Data collection;*
- *Data processing; and contributions towards:*
- *Data analysis;*
- *Reporting;*
- *Organisational learning.*

Approximately £5000 is allocated under a new M&E budget line for 2011, with a view to increasing this in 2012 for a formal evaluation process. Staff time is estimated as 10% FTE Manager's time, 10% FTE Administrative support, and external resources as required.

4. Co-operation and co-ordination

Opportunities for collaborating with others will be identified from among:

- RJC Commercial Members
- Trade Associations
- Stakeholders
- Other standards organisations

5. Procedures for stakeholder involvement in the M&E system

The RJC will liaise with the RJC Board, Executive Committee, Standards Committee, and Consultative Panel of stakeholders during the design and implementation of the M&E program.

Input will be sought at different points in the development and implementation of the RJC's M&E program, including:

- Defining impact areas to be assessed and indicators to be measured;
- Determining unintended consequences or other effects as part of a risk assessment;
- During the monitoring process, where some stakeholders may be able to contribute data;
- Sharing results and seeking feedback on the findings of evaluations and impact assessments.

6. Defining the Intended Change

The intended impacts of the RJC Member Certification system is described in general terms in the RJC 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."*

The ISEAL Impacts Code (2010) proposes that two key questions inform the assessment of how successful a standards system will be in achieving its intended impacts:

1. To what extent does compliance with the standards lead to the intended impacts?
2. How effective are the strategies employed by the standards system at increasing the use of standards-compliant practices?

These questions underpin the proposed RJC M&E program commencing in 2011, as outlined in the sections below.

7. Sustainability Issues and Desired Impacts

The following issues are proposed as the key focus to the M&E program in 2011. They have been selected as critical 'consumer confidence' issues among the many topics addressed by the RJC Code of Practices (COP). These 6 issues touch upon various stakeholder concerns at the mining, manufacturing, and through to retail stages of the jewellery supply chain. There are 2 each from the social, environmental and economic dimensions of sustainable development.

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By focusing on a subset of priority issues, the RJC M&E program aims to focus its limited resources on consistent and reliable data collection for these priorities, along with strategies to achieve the desired impacts and outcomes.

Sustainability Issue	Impact (adapted from ISEAL Impacts Code 2010)	Desired Outcomes
Labour rights	Rights enshrined in the ILO Declaration on Fundamental Principles & Rights at Work (relating to Freedom of association and collective bargaining, Forced labour, Child labour, and Discrimination).	<i>The ILO Fundamental Rights at Work (as addressed in RJC COP 2.2, 2.3, 2.4, 2.5) are upheld in facilities of RJC Certified Members.</i>
Working Hours	Working hours, overtime and leave as defined in applicable law, or where no legal requirements exist, ILO Conventions 1, 14 and 132.	<i>Employees working hours, overtime and leave are in compliance with applicable law in facilities of RJC Certified Members.</i>
Energy	Efficient energy use, including reduction in total use and associated greenhouse gas emissions.	<i>Energy efficiency is being increased in facilities of RJC Certified Members.</i>
Waste and Emissions	Reduction and effective management and disposal of waste and emissions. Specific requirements on mine wastes and tailings for Members with Mining Facilities.	<i>Wastes and emissions are being decreased, and being responsibly managed in facilities of RJC Certified Members.</i>
Remuneration	Provision of the higher of applicable minimum wage or prevailing industry standard; and required payment procedures.	<i>Employees receive minimum wage or higher in facilities of RJC Certified Members.</i>
Business partners	Advancing responsible business practices with business partners – contractors, customers, suppliers and partners.	<i>RJC Certified Members are promoting responsible business practices among their business partners.</i>

Table 2 – Sustainability Issues, Impacts and Outcomes

8. Supporting Strategies and Intended Outcomes

The RJC is using the following supporting strategies to increase the use of standards-compliant practices among its Members. The table below summarises the RJC’s strategies and the desired short and medium-term outcomes.

Supporting Strategies for Compliance Outcomes	Desired Outcomes
<p><u>Guidance and Tools</u> The RJC has developed an extensive Standards Guidance document to assist Members to comply with the requirements of the RJC Code of Practices. It has also developed an Assessment Workbook that is to be used by Members for Self Assessments, and by Auditors for Verification Assessments. The Workbook is supported by an Assessment Manual.</p>	<p><i>Increased use of standards-compliant practices.</i></p> <p><i>Consistency of application of RJC</i></p>

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<p>http://www.responsiblejewellery.com/downloads/boxed_set_2009/G002_2009_RJC_Standards_Guidance.pdf</p> <p>http://www.responsiblejewellery.com/downloads/boxed_set_2009/T006_2009_RJC_Assessment_Workbook.xls</p> <p>http://www.responsiblejewellery.com/downloads/boxed_set_2009/T001_2009_RJC_Assess_Manual.pdf</p>	<p>system.</p>
<p>Auditor Accreditation</p> <p>The RJC Auditor Accreditation process seeks to ensure that CABs and their Auditors have appropriate experience and expertise and that there is no conflict of interest when undertaking Verification Assessments for individual Members. The RJC Accreditation process is aligned with relevant requirements outlined in ISO17011. Auditors are required to undertake RJC-provided training on the RJC Certification system. The Application Process and Criteria, along with an Application Form, are available at: http://www.responsiblejewellery.com/auditors.html</p>	<p><i>Increased availability of RJC Accredited Auditors to RJC Members seeking certification.</i></p> <p><i>Consistency of application of RJC system.</i></p>
<p>Training</p> <p>The RJC also offers free online training to all Members. A range of modules have been developed (each running for approximately 1 hour), including:</p> <ul style="list-style-type: none"> • Introduction to the RJC System • Developing and Implementing Management Systems • Ethical, Social and Environmental Issues in the Gold and Diamond Jewellery Supply Chain • Preparing for and Conducting Self Assessments • Preparing for the RJC Verification Assessment • Compliance Guidance – Small Businesses • Guidance for Implementation of the RJC System • Compliance Guidance- Diamond Trading, Cutting and Polishing and Manufacturing • Compliance Guidance – Diamond and Gold Jewellery Retail • Compliance Guidance – Mining Producers <p>A training calendar for Members (and Auditors) is circulated monthly providing links to online registration. Different time zones etc are accommodated by rotation.</p>	<p><i>Increased knowledge, awareness and uptake of RJC Certification among RJC Members.</i></p> <p><i>Increased use of standards-compliant practices.</i></p>
<p>Communications</p> <p>The RJC promotes the standard through outreach to the industry and consumers through participation in jewellery trade shows, press releases, newsletters, and regular messages to a growing database of interested parties.</p> <p>See: http://www.responsiblejewellery.com/news.html</p>	<p><i>Increased knowledge, awareness and uptake of RJC Certification among the industry and stakeholders.</i></p>

Table 3 – Supporting Strategies and Intended Outcomes

9. Indicators for Sustainability Issues and Supporting Strategies

Indicators for the identified Sustainability Issues and Supporting Strategies have been proposed below. These indicators have been selected to initiate a cost-effective M&E program on the basis that:

- Data is already being collected and recorded via Auditor Summary Reports, Membership statistics, training statistics, and feedback; and
- The additional indicator data can be collected efficiently via surveys and observations.

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Impact Issue	Labour Rights
Desired Outcome	The ILO Fundamental Rights at Work are upheld in facilities of RJC Certified Members.
Indicator	1. <i>Percentage of non-conformances against COP provisions 2.2, 2.3, 2.4, 2.5.</i> 2. <i>Corrective action information in Auditors Summary Reports.</i>
Impact Issue	Working Hours
Desired Outcome	Employees working hours, overtime and leave are in compliance with applicable law in facilities of RJC Certified Members.
Indicator	3. <i>Percentage of non-conformances against COP provision 2.8.</i> 4. <i>Corrective action information in Auditors Summary Reports.</i>
Impact Issue	Energy
Desired Outcome	Energy efficiency is being increased in facilities of RJC Certified Members.
Indicator	5. <i>Percentage of non-conformances against COP provision 3.4.</i> 6. <i>Corrective action information in Auditors Summary Reports.</i>
Impact Issue	Waste and Emissions
	Wastes and emissions are being decreased, and being responsibly managed in facilities of RJC Certified Members.
	7. <i>Percentage of non-conformances against COP provision 3.3.</i> 8. <i>Corrective action information in Auditors Summary Reports.</i>
Impact Issue	Remuneration
Desired Outcome	Employees receive minimum wage or higher in facilities of RJC Certified Members.
Indicator	9. <i>Percentage of non-conformances against COP provision 2.9.</i> 10. <i>Corrective action information in Auditors Summary Reports.</i>
Impact Issue	Business Partners
Desired Outcome	RJC Certified Members are promoting responsible business practices among their business partners.
Indicator	11. <i>Percentage of non-conformances against COP provision 4.3.</i> 12. <i>Corrective action information in Auditors Summary Reports.</i>
Supporting Strategy	Guidance and Tools
Desired Outcome	Increased use of standards-compliant practices. Consistency of application of RJC system.
Indicator	13. <i>Increase in RJC Certifications.</i> 14. <i>Feedback on Certification documentation (impromptu and survey).</i> 15. <i>Feedback in Auditor Summary Reports</i> 16. <i>Review of consistency of Auditor Summary Reports.</i> 17. <i>Complaints mechanism processes.</i>
Supporting Strategy	Auditor Accreditation
Desired Outcome	Increased availability of RJC Accredited Auditors to RJC Members seeking certification. Consistency of application of RJC system.
Indicator	18. <i>Growth in Accredited Auditors.</i> <i>Also Indicators 15, 16, 19, 20.</i>
Supporting Strategy	Training
Desired Outcome	Increased knowledge, awareness and uptake of RJC Certification among RJC Members. Increased use of standards-compliant practices.
Indicator	19. <i>Training participation rates.</i>

	20. <i>Feedback on training (impromptu and survey).</i>
Supporting Strategy	Communications and Engagement
Desired Outcome	Increased knowledge, awareness and/or uptake of RJC Certification among the industry and stakeholders.
Indicator	21. <i>Growth in RJC Membership.</i> 22. <i>Growth in estimated aggregate annual relevant sales of RJC Commercial Members.</i> 23. <i>Media coverage.</i> 24. <i>Citations in published literature.</i> 25. <i>Participation in / contribution to related standards initiatives.</i>

Table 4 – Indicators

10. Data Collection Protocols

A Monitoring and Evaluation (M&E) database has been established on the RJC Standards Development Workspace. The M&E database will track qualitative and quantitative data for the above 25 indicators which are not already being logged in existing databases (as identified in the table below).

Indicators	Unit of Measure	Source and frequency of data	Collected and recorded by:
Percentage of non-conformances ... (Indicators 1, 3, 5, 7, 9, 11) Baseline: First Cert reports 2010-2011.	Percentage of Members with non-conformances against identified provisions as proportion of total Certified Members.	Auditors Summary Reports. 1 or 3 year Certification Period.	Accredited Auditors. Entered into M&E database by RJC Administration Manager.
Corrective action information ... (Indicators 2, 4, 6, 8, 10, 12) Baseline: First Cert reports 2010-2011.	Qualitative information. - Issues requiring improved strategies for compliance.	Auditors Summary Reports. 1 or 3 year Certification Period.	Accredited Auditors. Entered into M&E database by RJC Administration Manager.
Growth in RJC Membership, Certifications, Estimated sales (Indicators 13, 21, 22). Baselines: July 2005 (CRJP established); January 2010 (Estimated sales).	Growth in RJC Membership figures, including numbers of Members, total and per forum and geography, and estimated aggregate annual relevant sales.	RJC Member Applications. As received.	RJC Management Team. Entered in RJC Member database by RJC Administration Manager.
Growth in RJC Certifications (Indicator 13). Baselines: September 2010 (First Certification)	Growth in RJC Certifications.	Auditors Summary Reports. As received.	RJC Management Team. Entered in RJC Member database by RJC Administration Manager.
Growth in RJC Accredited Auditors (Indicator 18)	Growth in RJC Accredited Auditor figures including numbers of auditors, country presence, scope.	RJC Accredited Auditor Applications. As received.	RJC Management Team. Entered in RJC Auditor database by RJC Administration Manager.
Feedback (Indicators 14,15,20)	Qualitative and quantitative:	Auditor Summary Reports.	RJC Director – Standards Development to design

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Baseline: 2010	- Positive feedback - Opportunities for improvement identified - Negative feedback	Impromptu feedback. Training feedback. Survey designed by RJC.	survey for late 2011. Other feedback to be entered in M&E database by RJC Administration Manager.
Review of consistency of Auditor Summary Reports (Indicator 16) Baseline: First Cert reports 2010-2011.	Percentage and types of variations on required reporting format.	Commission expert review of sample of reports, when sufficient sample size available.	Consultant, working in collaboration with RJC team, to conduct in early 2012.
Complaints mechanism processes (Indicator 17). Baseline: 2010	Qualitative and quantitative: - Numbers and types of complaints received and resolved - Feedback on complaints mechanism	Complaints forms lodged. As received.	RJC Complaints Officer. Entered and tracked in Complaints database by RJC Complaints officer.
Training participation rates (Indicator 19) Baseline: 2009	Tracking training participation rates over time.	Training records. Monthly.	Entered in RJC Training Records database by RJC Administration Manager.
Media coverage (Indicator 23) Baseline: 2010	Published media articles per press release. Other media coverage per annum.	Google alerts.	Entered in RJC Press database by RJC Communications Manager.
Citations (Indicator 24) Baseline: 2010	Citations in non-media publications.	Citation search. Annual.	Entered in RJC M&E database by RJC Standards Development Manager.
Participation in / contribution to related standards initiatives (Indicator 25) Baseline: 2009	Type and details of involvement with related standards initiatives.	Updated as required.	Entered in M&E database by RJC Standards Development Manager.

Table 5 – Data Collection Protocols

11. Influencing factors – risk assessment

In 2011, the RJC will conduct a risk assessment to identify the external factors most likely to influence (both positively and negatively) the achievement of desired results for each sustainability issue and for each strategy. The risk assessment will identify and/or assess:

- Risks or influencing factors, level of influence, probability of occurrence, and measures being taken to address these factors.
- Potential barriers or supports, and the policies, actors, or other factors that could affect the strategies.
- Potential unintended consequences of RJC Certification.
- Recommendations, where appropriate, to adjust strategies and/or to mitigate the risks.

The risk assessment will be reviewed by the RJC Standards Committee and Consultative Panel to provide further stakeholder input. The recommendations will then reviewed by the RJC Executive Committee and Board for implementation.

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12. Evaluation

Data will be logged and organised in the relevant database/s as it is received. The information is stored on a secure workspace accessible to all the RJC Management Team.

Commencing 2011:

- Quarter 1:
 - Risk assessment – initiate as per section 11.
 - Monthly Indicators Report (MIR) – establish systems and reporting.
- Quarter 3
 - Member, Auditor and stakeholder survey for feedback on documentation.

Commencing 2012:

- Quarter 1:
 - Commission expert review of consistency of Auditor Summary Reports.
 - Formal Evaluation: Commission an external study for some (or possibly all) of RJC's first formal evaluation, to be conducted in conformance with the ISEAL Impacts Code.
- Quarter 3:
 - Feed results of M&E program into scheduled review of RJC standards.
 - Formal Evaluation recommendations to be reviewed by the RJC Executive Committee or other Committee/s as appropriate.

13. Reporting

The RJC intends to publicly report on its M&E program, commencing from early 2011.

Monthly:

A Monthly Indicators Report (MIR) is being established, with appropriate data logging and reporting procedures. The MIR is intended to publicly report each month on selected quantitative indicators for the RJC's Supporting Strategies:

- Growth in RJC Membership
- Estimated Annual Sales of Commercial Members
- Increase in RJC Certifications
- Accredited Auditors
- Training participation
- Complaints Mechanism processes

Informal (continuous) evaluation during logging of other incoming data will also trigger notice of items for discussion or action among the RJC team and/or relevant Committees and/or the Consultative Panel and/or Board.

Annual:

The RJC intends to publish an Annual report on all Indicators for both Sustainability Issues and Supporting Strategies. The first Annual report is planned for early 2012, after the first Certification deadline for Members of 31 December 2011.

Actions – 2010 to 2012

1. Circulate draft M&E program to RJC Executive Committee, Standards Committee and Consultative panel for comment.
2. Prepare information on M&E program for website, including:

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- Contact information;
 - Procedures for stakeholder involvement in the M&E system;
 - Description of the goals, impact areas, strategies and intended outcomes
 - List of all indicators chosen and those currently being monitored
3. Establish procedures for M&E database to track indicators not already being logged in existing RJC management systems.
 4. Establish Monthly Indicators Report (MIR) framework and procedures. First published MIR in January 2011.
 5. Conduct risk assessment on influencing factors on achieving desired impacts, as outlined in section 11 of this document.
 6. Member, Auditor and Stakeholder survey – late 2011.
 7. Review of consistency of Auditor Summary Reports – late 2011-early 2012.
 8. First RJC Annual Report on all M&E Indicators in January 2012.
 9. Identify potential providers and commission a formal outcome evaluation/ impact assessment, which conform to the requirements of the ISEAL Impacts Code –early 2012.

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