



# Responsible Jewellery Council Monitoring & Evaluation System Report – 2015 (Version 2)

---

*(Updated from Version 1: 30 June 2014)*  
*Submitted to ISEAL Alliance – June 30, 2015*

---

## Contents

### Table of Contents

Executive summary .....	3
Scope and Boundaries of the M&E System .....	4
Roles & Responsibilities .....	8
Cooperation and Coordination .....	10
Defining the Intended Change .....	10
Performance Monitoring .....	12
Data Management .....	16
Outcome & Impact Evaluation .....	21
Improving the Effectiveness of the M&E System .....	24
Publicly Available Information about the M&E System .....	25

## 1. Executive summary

Our Impacts work in 2015 has been built upon our 2014 work, which was the official launch of our first M&E System Report and our first Impact Report. The 2014 M&E System Report and 2014 Impacts Report have set out the precedent of how we plan to monitor and evaluate our work, measure our impact, and report to our stakeholders and the public at large. Our plan is to continue to update our reporting on an annual basis and publish these reports on our website. Our 2015 Impacts report is in development and will be published in autumn of 2015.

Building on our foundation from 2014, we are continuing to measure compliance and to better understand our impact. We have three “deep dive” research pieces to present to our stakeholders in 2015: a study on Small to Medium-Sized Enterprises (SMEs) on the uptake, access and impact of certification in the jewellery supply chain; a formal evaluation in collaboration with the NGO Solidaridad of the impact of RJC certification for a Peruvian mine and surrounding communities; and continued research into RJC’s impact on the diamond cutting and polishing sector in India.

We have an established data collection and analysis system called WORK[etc] that allows us to track compliance indicators and run queries to analyse data. In addition to the continual monitoring and evaluation activities of compliance indicators and leveraging our existing baseline reporting for our Code of Practices, will also be monitoring and evaluating new elements to RJC certification, such as Provenance Claims which are a part of our Chain of Custody certification.

At the time of this writing, we are restructuring and recruiting for a new team that will lead our M&E and impact efforts for 2015 and beyond. We have heightened the role of impact in the new job descriptions: what was once a “Standards Director” title is now a “Standards and Impact Director” title. This reflects a new job description where the role of impact is a more central mandate to leadership and recognizes the link between standards development, standards implementation via certification, and impact. We have also introduced a new role at a manager level with an impact focus: “Certification & Impact Manager”. This new team member will have accountability for running our M&E and impact-reporting program. This demonstrates our continued strengthening of focus and investment in impact management.

Our Standards Committee continues to be the stakeholder body that provides guidance and insight on our M&E and impact activities, bringing their multi-stakeholder expertise and professional advice to the team to ensure best practice, transparency and accountability in our impact activities. Our new team will liaise closely with the Standards Committee on continuing to evolve our M&E activities and our impact studies. We will count on this committee to continue to bring multi-stakeholder perspective into our work.

Our M&E work influences other areas of our activities. In particular it helps us address areas of non-compliance through training. Our Training & Assurance Manager uses the M&E data to determine useful

trainings for Members. It also influences our selection of Topic Experts who can consult with our RJC Members directly and are a useful resource for the entire RJC community.

We continue to maintain transparency of all of our M&E activities. We publish all of our external reports on our website on our Monitoring & Evaluation page and will continue to do so in the future. We have also held forums with constituents to discuss our impact. We encourage feedback from stakeholders and provide an email address on our M&E page, which is monitored by our team.

Our plan is to continue to strengthen our M&E and impact measurement activities and use them to continuously improve our standard, our support activities, and engage in meaningful dialogue with our Members and stakeholders.

## 2. Scope and Boundaries of the M&E System

### *[Baseline (5.2.1); Improvement (5.2.2)]*

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

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

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

The RJC Certification process results in improvements to RJC Members' management systems and business practices for ethical, social and environmental performance, providing assurance to stakeholders that responsible practices are being followed. At June 2015, RJC had more than 638 Members, of which 410 have achieved Certification and 130 have been re-certified. The RJC Certification Scope covers whole Entities, which often have multiple operating locations and Facilities. More than 7500 Facilities are currently covered by RJC Certifications in more than 66 countries, and these include mines, refineries, retail stores, factories, laboratories and offices. Twenty-five RJC Certified Members have achieved Chain-of-Custody Certification for precious metals, predominantly gold refiners and alloyers.




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












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

The RJC Theory of Change has been developed as a visual representation to reflect the specific issues the RJC program covers, as well as the strategies, outputs, outcomes and desired impacts that we use to achieve them. The [RJC Theory of Change](http://www.responsiblejewellery.com/monitoring-and-evaluation/) can be found on the following page and is also available on the RJC website at: <http://www.responsiblejewellery.com/monitoring-and-evaluation/>.

# RJC THEORY OF CHANGE



Capacity Building	→	Training and peer learning for effective management systems, assessments and continuous improvement		Building critical mass through increased uptake in key regions & sectors
Standards & Certification Tools	→	Relevant and practical standards with credible and consistent audits		Effective implementation of standards and continuous improvement
Supply Chain Initiatives	→	Collaboration and harmonisation across sourcing initiatives, supporting uptake and demand for responsible practices		Increased demand for RJC Certified Members, B2B and by consumers
				<div>The global fine jewellery &amp; watch industry respects human rights, the environment and stakeholder expectations</div> <div>Supply chains build commitment to and reward responsible practices</div> <div>Business customers and consumers have confidence and trust in diamond, gold and PGM products</div>

WHOLE OF SUPPLY CHAIN	MEMBERS AND STAKEHOLDERS BRING:	RJC REQUIRES RESPONSIBLE PRACTICES OF MEMBERS:	RJC ENABLES RESPONSIBLE SUPPLY CHAINS:	RJC CONTRIBUTES TO:
     	Commitment to improve and demonstrate responsible practices Desire to build internal capacity to manage sustainability issues Diversity of market power, supply chain risks and pre-certification conditions Connections to their own supply chains, wider stakeholder initiatives and consumers	    	Opportunity for RJC Chain-of-Custody Certification Harmonisation with related standards and framework Partnerships with related supply chain initiatives and field implementers	Supply chain due diligence Legal compliance Anti-corruption Better environmental management and reduction of impacts Safe & healthy workplace Rights and benefits for workers and impacted stakeholders Community engagement & development Improved market access Consumer confidence

## ***RJC Theory of Change***

The RJC's intended change is defined in the visual representation of RJC's Theory of Change, featured on page 6. Three key Strategies of *capacity building*, *robust standards and certification tools*, and *support for supply chain initiatives* are designed to set the foundation for the consequent flow of Outputs, Outcomes and Desired Impacts. The three Desired Impacts are:

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

Within the Theory of Change, RJC's three Desired Outcomes have been used to set the framework for indicator development and data collection (see section 6 for RJC's list of indicators) and include measurable metrics of both outputs and outcomes. The 2015 Impacts Report when published will evaluate and present the available data to date for indicators under RJC's Desired Outcomes, which are:

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

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

- **Broad set of issues for responsible practices:** The RJC Code of Practices has always covered a very wide range of sustainability and CSR issues in the jewellery supply chain. The 2013 revision has placed these in a new framework to highlight the standard's key themes. Most of the standard applies to everyone, though there are specific provisions for sectors and activities such as mining.
- **A standard that is supply chain wide:** While many voluntary standards focus mainly on production, RJC's Certification is aimed at every sector in the diamonds, gold and platinum group metals jewellery supply chain from mine to retail. This recognises the important role that every supply chain actor can play in improving practices and also creates B2B incentives for uptake.
- **RJC helps individual Members catalyse broader supply chain change:** With each Member that takes on the RJC standard, new connections to their own supply chains are formed. This is firstly driven from within the Code of Practices with the various requirements in the 'Responsible Supply Chains and Human Rights' section. Then drawing on the experience of their own Certification process, Members can in turn reach through their supply chains to create greater awareness and improvements.
- **Collaboration, harmonisation and partnerships are essential:** There are many organisations and initiatives working towards change in the jewellery supply chain. RJC is collaborating with a range of partners to harmonise between standards programs for mutual recognition, support implementation of international norms and supply chain initiatives, and build capacity.

The strategies, outputs, outcomes and desired impacts in RJC's Theory of Change have been framed in the context of these points. It is important to note that as well as RJC's on-going development and implementation of these strategies as an institution, each RJC Member is an individual actor in a complex

supply chain dynamic and a range of other actors play key roles in creating drivers (and barriers). Thus effecting change is never solely attributable to the interventions of RJC, but also depends on the internal commitment of companies, and the many efforts of supporting organisations and initiatives.

### 3. Roles and Responsibilities

*[Baseline (5.5.1); Baseline (5.5.2)]*

The RJC has undergone a restructuring in 2015. Under this new structure, the RJC M&E and Impacts program will be featured more prominently in two key roles: The Standards & Impact Director and the Certification & Impact Manager. M&E is also integrated into the roles of other staff. This enables a deep connection with related programs, and internal team meetings will oftentimes include discussions on M&E questions.

RJC staff time is estimated as:

- 30% FTE Director – Standards & Impact Director
- 40% FTE Certification & Impact Manager
- 20% FTE Training & Assurance Manager
- 20% FTE Membership Manager
- 10% other team members.

This equates to more than 1 FTE total. Roles and responsibilities are apportioned in the table below:

**Table 1 – RJC M&E and Research Staff**

Name, title and contact	Roles and Responsibilities	Background
Standards & Impact Director	<u>Leadership responsibility for M&amp;E program</u> <ul style="list-style-type: none"> <li>• Overall development and management of the M&amp;E program</li> <li>• Development of the RJC IT platform (WORK[etc]) and data strategies</li> <li>• Authoring Annual Progress Report, Impacts Report and M&amp;E System Report</li> <li>• Stakeholder engagement processes</li> <li>• Defining the intended change</li> <li>• Analysis and internal reporting</li> <li>• Organisational learning through facilitation of team discussions, analyses and projects</li> </ul>	TBC
Certification & Impact Manager	<u>Management and Coordination</u> <ul style="list-style-type: none"> <li>• Executing ongoing management and development of the M&amp;E program</li> <li>• Data collection and analysis through review of Certification reports and other inputs</li> <li>• Evaluation and reporting on level 1/2/3 indicators against all 3 Desired Outcomes in the RJC database (WORK[etc])</li> </ul>	TBC



Name, title and contact	Roles and Responsibilities	Background
	<ul style="list-style-type: none"> <li>• Co-authoring Impacts Report and M&amp;E System Report</li> <li>• Development of case studies</li> <li>• Organisational learning through participation in ISEAL Impacts community and team projects</li> </ul>	
Maria Mursell Training & Assurance Manager <a href="mailto:maria.mursell@responsiblejewellery.com">maria.mursell@responsiblejewellery.com</a>	<u>Coordination and Support</u> <ul style="list-style-type: none"> <li>• Data collection and analysis through review of training and survey data</li> <li>• Training on RJC Standards and Certification to Members and Auditors, including M&amp;E data collection through Certification reports</li> <li>• Evaluation and reporting on indicators on level 1 and 2 against Desired Outcomes 1 and 2 in the RJC database (WORK[etc])</li> <li>• Organisational learning through participation in ISEAL Impacts community and team projects</li> </ul>	MA International Relations and Development, BA International Relations  3 years experience in responsible sourcing and SMEs, and 5 years in sustainable development and corporate social responsibility, including in responsible investment, company evaluations & assessments and research
Chinelo Etiaba Membership Manager <a href="mailto:chinelo.etiaba@responsiblejewellery.com">chinelo.etiaba@responsiblejewellery.com</a>	<u>Support</u> <ul style="list-style-type: none"> <li>• Data collection and analysis through review of Membership data;</li> <li>• Evaluation and reporting on level 1 indicators against Desired Outcome 1 in the RJC database (WORK[etc])</li> <li>• Organisational learning through team projects</li> </ul>	Chartered Management Institute (CMI) Level 5 Diploma in Management, MSc Development Studies, BSc Political Science

Other staff, such as Kinjal Shah-- Country Head for India, are involved in specific M&E and impact projects. Kinjal is in particular working as our local resource in the coordination of our 2015 Impact Evaluation on the Diamond Cutting & Polishing Sector in India.

In 2015, while our Standards & Impact Director and Certification & Impact Manager roles are being filled, RJC has contracted a consultant to help coordinate the information needed for our 2015 Impact Report and continue running our key M&E projects and impact studies.

The [RJC website](#) contact for the M&E program is [consultation@responsiblejewellery.com](mailto:consultation@responsiblejewellery.com), and this address is monitored by a dedicated team member (currently Maria Mursell). Any queries that come through that email are handled by either Maria Mursell herself or in collaboration with the aforementioned consultant. Contact details of all RJC staff can also be found on the RJC website at: <http://www.responsiblejewellery.com/contact-us/>.

RJC and its members continue to devote increasing financial resources to M&E activities. This has included funding for two major external impact evaluations in 2015: one on a mine in Peru in collaboration with Solidaridad and a follow-up piece of work on the impact of RJC on the diamond cutting and polishing sector in India. This is in addition to funding our core M&E activities such as our data management system and staff costs.

## 4. Cooperation and Coordination

### [Aspirational (5.9.1)]

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

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

M&E data and analysis exchange is already underway for some of the above, though mostly still in early stages, and further projects are planned as the various programs or collaborations mature. Progress, outcomes and impact evaluations will be reported in annual Impacts Reports at appropriate junctures, especially as we see uptake in our Chain of Custody (CoC) Certification which has a component of recognizing other initiatives.

## 5. Defining the Intended Change

### [Baseline (7.1.2); Improvement (7.2.1); Improvement (7.2.2); Improvement (7.3.1); Aspirational (7.4.1)]

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

#### **RJC Vision and Mission**

##### **RJC Vision**

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

##### **RJC Mission**

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

##### **Values**

*These values guide our decisions and actions:*

- *We are respectful and fair*
- *We practice honesty, integrity and accountability*

### •We engage in open collaboration

*For our intended impacts, expected outcomes and strategies, please see section 2 for our Theory of Change and supporting explanation.*

### **Possible Unintended Consequences**

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

Unintended consequences may include:

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

These issues were considered in the development of the RJC Theory of Change, and the 2014 RJC Impacts Report, which includes sections on India implementation, SMEs and collaboration activities towards responsible supply chains. They are also considerations in our 2015 research, especially in relation to our pending evaluation work in India relating to sub-contractors in the diamond cutting and polishing sector. Continued research and guidance development on these issues aims to help minimise such outcomes.

### **Influencing Factors**

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

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

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

## 6. Performance Monitoring

*[Improvement (8.1.1); Improvement (8.2.1); Improvement (8.2.2); Improvement (8.3.1)]*

### Our Approach

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

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

- **Level 1:** RJC has been collecting and monitoring level 1 data through audit reports for all Certified entities, and through member application forms for all Members that join the RJC. Development of the cloud database WORK[etc] has enabled RJC to log and more easily drill down into audit data by sectors and issues, as well as identify data gaps where we would like to know more. The database development fed into the recent review of the Code of Practices and the 2013 standard now requires submission of additional M&E data in audit reports.
- **Level 2:** RJC also collects additional data and evaluations through surveys, information requests from selected Members, and through studies that are commissioned or we are collaborating with. Additional data collection of this type is now mostly via the RJC WORK[etc] platform, with the establishment of web-forms and automated filing of responses increasing accuracy and efficiency.

The 2014 (and pending 2015) Impacts Reports include information on several case studies in the mining sector that have been developed with partner organisations; as well as research into SMEs that will continue and expand in the coming years. RJC in 2015 has also conducted a survey of all RJC Members relating to demand for certification, which will be reported on in the publication of the 2015 Impacts Report. RJC also works with individual Members to develop [case studies](#) of their certification experience and outcomes.

- **Level 3:** Finally, RJC commissions and supports impact evaluations by external researchers to evaluate the effectiveness of RJC Standards and better understand outcomes and impacts on the ground. As noted under Section 4, RJC is engaged in a number of partnerships and collaborations, each with opportunities for current and future M&E-relevant research. In the [2014 Impacts Report](#), we include some analyses from external researchers at the University of Coventry who have looked at the perspectives of small to medium enterprises (SMEs) and from an independent

development consultancy Dalberg who completed a baseline evaluation of the diamond sector in India. In 2015, we have worked with Solidaridad and hired an external evaluation firm, Avance, to conduct research on RJC Certification in the mining sector in Peru. We will also be hiring a consultant to build on our baseline evaluation of the diamond sector in India. Future RJC Impacts Reports will report on developments in, and results from, level 3 research.

## Indicators

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

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

**Table 3 – List of RJC Indicators**

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

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

Impact Areas	Desired Outcomes	Indicators – Level 1	Data since	Focus areas for Level 2/3 studies	Timeframe
		and effectiveness of harmonization.	COP 2013)	questions.	
		Certification outcomes in mining sector.	2009	Case studies and impact evaluations of mines with artisanal mining on concession.	2014-
		Certification outcomes in India.	2009	Case studies and independent impact evaluations in India.	2014-
		Certification outcomes for SMEs.	2009	Case studies and independent research into SME experiences.	2014-
		Distribution of audits by Audit Firms and Individual Auditors.	2010		
		Audit report clarifications by frequency and type: RJC quality control measures.	2010		
		Training of Members and Auditors by year and by sector.	2010		
		Frequency of Suggested Business Improvements.	2014		
		RJC Complaints Mechanism.	2010		
	3. Increased demand for RJC Certified Members, B2B and by consumers.	Frequency of use of RJC logos by Members.		Use of RJC Certification in marketing and communications – survey of Members.	2014-
		Level of demand for RJC Certification.		Enquiries/demand for RJC Certifications – survey of Members.	2014-
				Growth in trade of	2014-

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

Our main source of data collection is our audit reports, which are quality controlled in-house by designated RJC staff. Thus, data collection is ongoing and there is a review of non-conformities at the time of issuing a certificate. Our aggregate analysis (as well as analysis by sector, size, country, etc.) takes place at a minimum on an annual basis in preparation for our annual impacts report. In our annual report we break down non-conformities by sector and analyse areas of focus (e.g.—India diamond cutting and polishing). We also have the ability to access and analyse data throughout the year on a regular basis as the data is stored and managed in-house.

## 7. Data Management

### *[Improvement (5.6.1)]*

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

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

Internal data logging and reporting includes Certification report data, which includes the types of non-conformances found during audits, the status of corrective actions, the number of employees in facilities



covered by the Certification (where available), and the supply chain sector and location. This data is logged as each auditor's Certification report is reviewed as part of the RJC's quality control procedure. The procedure itself is now integrated into the WORK[etc] Project via a 'To-Do's' list, which is checked off as each stage is completed, recording the relevant staff member who completed each action for traceability purposes.

The screenshot displays the WORK[etc] interface for a Code of Practices (COP) project. The left sidebar contains the following fields:

- Created by: ?
- Lead: ?
- Assigned To: ?
- Member: ? None Selected
- Attached To: ? None (Root Project)
- Priority: ? Not Set
- Project Type: ? COP Certification
- Stage: ? Audit due
- Progress: ? 0%
- ☐ Override Project Type for child items ?
- Period: ? 30/11/2013

The main area on the right is titled "COP Certification" and contains a checklist of tasks:

- COP version
- Certification Number
- Certification Period ?
- 3 year tick for Cert Info ?
- 1 year tick for Cert Info ?
- 4 Consecutive 1 year Certs Blank\_Circle ?
- Critical Breaches Blank\_Circle ?
- Audit Type
- Previous Certifications ?
- Auditor
- Lead Auditor
- Audit Team ?
- Date/s of Audit ?
- Date Cert Issued
- Date Cert Expired
- Next Audit Due ?
- Next Audit Type
- Queries with Auditor? ?
- Subject of Auditor query
- Notes on Auditor Queries
- Audit report processed by
- Extension granted ?

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

Gantt Chart | Project Tree | Activity Stream | Discussions | Priority | Progress | Attachments | People | Budget

Certification

Filters: 25 results for: Any time, All Items, Everyone, 3 Project Types, 9 Stages, Not Set

Collapse Search

- ☒ Add audit report to new folder on Box
- ☒ Change Stage to 'Current', and if there is a previous Certification change that to 'Expired'
- ☒ Check Member is in good standing—review Member has 'Active Member' tag
- ☒ Complete COP Cert CFG
- ☒ Update Member Data CFG (copy and paste extensions info transferred to COP Cert CFG if applicable)
- ☒ Confirm Auditor Accreditation is up to date
- ☒ Check RJC Member page that website listed matches Cert Scope
- ☒ List any excluded Facilities along with extension due date in COP Cert CFG
- ☐ Check for previous certs, complete Re-Certification field (in COP Cert CFG), review previous findings
- ☐ Check the notes in the Activity Stream of the Member/Project
- ☐ Review report and initiate follow-up for any Cert / Audit Scope issues, missing detail or Critical Breaches, attach any correspondence to Project
- ☐ Complete Scope CFG for Employees, Provenance Claims, Scope and Locations
- ☐ If a Provenance Claims is made, and includes the name of a Company, check with a Third-Party
- ☐ Complete Non-Conformance data in relevant COP Provisions CFG
- ☐ Extract Cert Info Data Excel spreadsheet from WORK (enter Cert Number and press enter) and upload to Box OR create PDF in Box
- ☐ Send email from within Cert Project for approval to CEO or delegate
- ☐ Send congrats email from within Cert Project to Member, cc team
- ☐ Generate Cert Member Certificate and Logos in Box
- ☐ Link Member's Box folder into Attachments in this Project

**WORK[etc] template example (above):** screen shot of part of a Gantt-chart based 'to-do' list in each Code of Practices ([COP]) 'Project', which sets out the procedure that staff carry out in their quality control review of an Auditor's Certification Report and logging of M&E data. Once a 'to-do' task is completed it is ticked off as complete by the logged-in staff member, as shown in the example above.

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

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

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

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

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

The screenshot shows the Box.com web interface. At the top is a navigation bar with the Box logo and icons for chat, search, folders, people, and cloud storage. Below the navigation bar is a breadcrumb trail: 'All Files > COP Certification - Detail (Confide... > COP Certifications 350-399'. Under the breadcrumb trail are buttons for 'Upload', 'New...', 'More', and a document icon. To the right of these buttons is a view toggle (eye icon) and a checkbox. The main content area displays a list of five files, each with a folder icon, the file name, the update date, the user who updated it, and a 'Share' button with a dropdown arrow and a checkbox. The files are: 350. Fine Jewellery Manufacturing Ltd (Updated May 19, 2014 by Chinelo Etiaba), 351. Hasuna Co. Ltd (Updated Apr 25, 2014 by Chinelo Etiaba), 352. Continental Jewellery (UK) (Updated May 19, 2014 by Chinelo Etiaba), 353. Lasbleiz-Fournier-Vitiello (Updated May 19, 2014 by Chinelo Etiaba), and 354. Brown and Newirth Ltd (Updated May 20, 2014 by Chinelo Etiaba).

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

The screenshot displays the Box web interface. At the top, there's a navigation bar with the Box logo, icons for notifications (3), a globe (20), a folder, a group of people, and a cloud. A search bar labeled 'Search Files' is on the right. Below this is a breadcrumb trail: 'All Files' > 'Committee Meet...' > '2014' > '02 6 February Standards Com...'. The main content area shows a file named 'RJC Stds telcon 6February2014.pptx' (PPTX icon) with a version history indicator 'v11' and details 'Updated Feb 28, 2014 by Fiona Solomon · 2.7 MB · 21'. To the right of the file name are 'Share', a plus icon, and a lock icon. Below the file name is a section titled 'Comment · Assign Task' with a comment count of 3 and a task count of 1. A status bar indicates 'Task Completed! By: Fiona Solomon' with a 'Completed' label. The comment history shows three entries:
 

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

 Below the comments is a version history entry: 'v11 Created on Feb 4, 2014 at 11:23 AM by Fiona Solomon' with a 'View version history' link. At the bottom is a text input field with the placeholder 'Enter a comment or assign a task'.

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

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

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

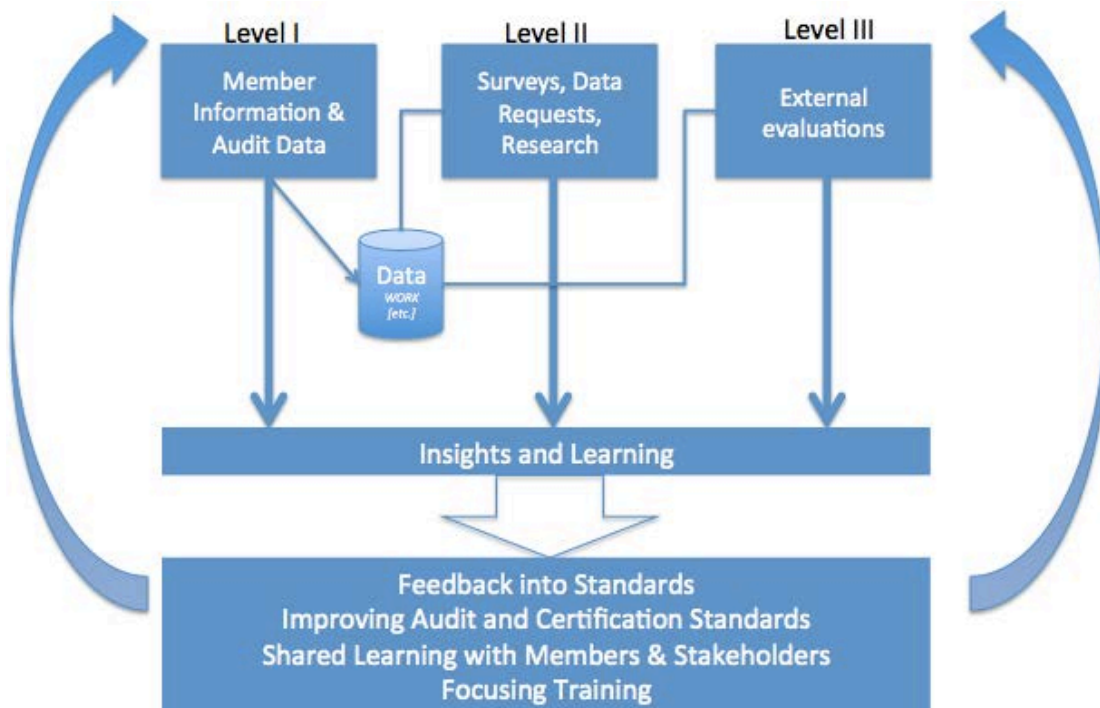
**WORK[etc] web-based form example (above):** The back-end build of a customised web-based form can be completed in WORK[etc], with the relevant html code then copied across to the RJC website to create a web-survey interface into WORK[etc] for online access by respondents. Data entered via the webpage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

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

## 8. Outcome and impact evaluation

**[Improvement (8.1.1); Improvement (8.5.1); Aspirational (8.9.1); Aspirational (8.10.1)]**

The following graphic depicts our evaluation activities and how they influence our work.



We use the three levels of impact to analyse our progress against our Theory of Change. This analysis helps us to understand what is / is not working with the standard, where there are opportunities to change or improve our auditing and certification process, where training is needed, as well as provide insights to share with our Members and stakeholders about our progress. This is a cycle of continuous improvement, so any learnings will then be fed influence areas of focus in our Level 1, 2, and 3 impacts.

Now that the RJC WORK[etc] platform for M&E is in a more mature stage of development to capture Level 1 data, RJC will be turning its attention in 2014-2015 to Level 3 data collection via partnerships and independently commissioned research. RJC outcome and impact evaluations will take a multi-annual perspective and will start with a baseline study, where possible. All outcome and impact evaluations will be made publicly available on the RJC website once they are finalised.

Outcome and impact evaluations will enable RJC to:

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

- Review progress and priorities for collaboration and harmonisation initiatives for responsible supply chains.

RJC has been establishing research partnerships for outcome and impact evaluations since 2012. As the RJC covers so many sectors, outcome evaluation has so far focused on three highly topical areas: the gold mining sector in Latin America, the diamond cutting and polishing sector in India, and small-to-medium enterprises (SMEs) with annual turnover of US\$50 million or less. These topic areas are further described in the 2014 Impacts Report and will be followed up in the 2015 Impacts Report based on the research commissioned. RJC has commissioned independent research with the Graduate Institute of Geneva in order to understand issues and impact of RJC Certification on SME. RJC and Solidaridad have commissioned an independent impact evaluation on the same mine in 2015. A Terms of Reference has been developed for a further study building on our baseline in the diamond and cutting sector in India.

Forum/topic	Country	Author/Institute/Organisation	Year	Title
Diamond trading, cutting and polishing	India	Dalberg Global Development Advisors  Ashta Kapoor, Shyam Sundaram and Gaurav Gupta	2014	<a href="#">Independent assessment of the uptake and impact of RJC certification scheme in India.</a> <i>Additional research planned for 2015.</i>
Small and Medium-scale Enterprises (SMEs)	Switzerland, France, Germany and Italy	Graduate Institute of Geneva	2015	Small to medium enterprises (SMEs): uptake, access and impact of certification in the jewellery supply chain
Mining	Peru	Avance (work commissioned with Solidaridad)	2015	Independent impact evaluation of Minera Yanaquihua RJC Certification

Feeding back to stakeholders and study participants is paramount. Dalberg socialized the findings of its report with the India Forum and Avance will be sharing the findings with Minera Yanaquihua and the surrounding communities. We seek out ways to communicate findings with the materially-affected stakeholders.

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

We continue to look for ways to seek out learning events, share good practices and our research findings.



## 9. Improving the Effectiveness of the M&E System

### *[Improvement (9.2.1)]*

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

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

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

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

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

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

RJC has created an RJC-India Forum in which to discuss the design and results of impacts-related research in India. The first meeting was held in April 2014, and researchers from Dalberg presented preliminary findings for comment and feedback. Additional survey data was also collected during the meeting from company participants. We again liaised with the India Forum in April 2015 to get more insight on our impact, and



members of the Standards Committee joined that discussion, which is influencing the Terms of Reference for our pending study in India.

## 10. Publicly Available Information about the M&E System

*[Baseline (10.1.1); Aspirational (10.4.1); Baseline (10.2.1); Aspirational (10.4.3)]*

RJC makes a range of reports and analyses publicly available.

The following reports and information are available on the RJC website at <http://www.responsiblejewellery.com/monitoring-and-evaluation/>.

- Theory of Change
- Theory of Change Draft for Consultation
- RJC Indicators
- M&E System Report 2014
- Impacts Report 2014
- Graduate Institute of Geneva study on Small to Medium-Sized Enterprises (SMEs) on the uptake, access and impact of Certification in the jewellery supply chain
- Dalberg study on the diamond cutting and polishing sector in India.

As a result of our commitment to publish our M&E System Report, all of our descriptions of our system, strategy, indicators, and measurement systems, and evaluations are in the public domain. Furthermore, future commitments are outlined in our Impacts Report.

RJC invites Members, stakeholders and interested party to the Monitoring & Evaluation webpage to give feedback and comments on its Progress, Impacts and M&E System Reports, and can be sent to [consultation@responsiblejewellery.com](mailto:consultation@responsiblejewellery.com). The link to this email address is on our M&E page. All feedback and comments will be taken into account during the further development and implementation of the RJC M&E system.