# Tool 5.1: Annual Reporting template – Checklist

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| **Company Name:** | *[Insert company name]* |
| **Date:** | *[DD/MM/YYYY]* |
| **Reporting period:** | *[MM/YYYY] to [MM/YYYY]* |
| **OECD Due Diligence Guidance** | **Action taken** |
| ***Step 1: Establish strong company management systems*** | |
| **1.A** Adopt, and clearly communicate to suppliers and the public, a company policy for the supply chain of minerals originating from conflict**-**affected and high-risk areas. | *Includes details about your policies, and how it is communicated to suppliers and other stakeholders.* |
| **1.B** Structure internal management systems to support supply chain due diligence. | *Describe how you have structured internal management and other segments of your business to support due diligence and who is the individual responsible for due diligence.* |
| **1.C** Establish a system of controls and transparency over the minerals supply chain. | *Describe your approach for identifying suppliers and sources of your diamonds/coloured gemstones and how this has strengthened your due-diligence efforts, and for record keeping.* |
| **1.D** Strengthen company engagement with suppliers. | *Describe the steps you have taken to strengthen engagement with suppliers to e.g. establishing long-term relationships, communicating your expectations and helping suppliers to build capacity for due diligence.* |
| **1.E** Establish a company-level, or industry wide, grievance mechanism as an early warning risk-awareness system. | *Provide details of your grievance mechanism, including where it can be accessed and who is responsible for it.* |
| ***Step 2: Identify and assess risk in the supply chain*** | |
| Identify and assess risks in the supply chain and assess risks of adverse impacts. | *Describe how you have assessed the risks of your upstream suppliers (discovered during your due-diligence activities) and disclose any actual or potential risks or impacts you have identified. Describe how you have assessed your suppliers due-diligence practices. You do not need to disclose the names of specific suppliers here but rather the overall risks. For example, “we have identified a risk of child labour related to 3 suppliers sourcing from country X”.* |
| ***Step 3: Design and implement a strategy to respond to identified risks (if applicable)*** | |
| Report findings of the supply chain risk assessment to the designated senior management of the company. | *Say who in your company receives the findings of risk assessments (provide position titles e.g. Managing Director)* |
| Devise and adopt a risk management plan. | *Describe the steps you have taken to design and implement a strategy to respond to the risks and impacts identified.* |
| Implement the risk management plan and monitor performance of risk mitigation efforts. | *Disclose your efforts to monitor and track the effectiveness of your mitigation measures, including the results of your follow-up activities after six months to evaluate significant and measurable improvement.* |
| Internal training | *Include the detail of any applicable training provided to staff or contractors.* |
| Communications | *Describe how you engage with stakeholders on your due-diligence activities.* |
| ***OPTIONAL INFORMATION ON Step 4: Carry out independent third-party audit*** | |
| RJC COP audit | *Consider including a summary of your RJC COP audit, including the date of the audit, the audit activities and methodology and the findings.* |
| Grievances and remediation | *Detail a summary of any grievances received and how you handled them.* |