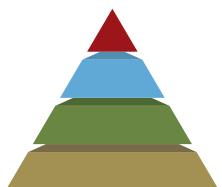




Responsible Jewellery Council

# Assessment Workbook



FORMS AND TOOLKITS

## Assessment Workbook

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November 2008

T003\_2008 – Assessment Workbook

# 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 this Assessment Workbook

The RJC Assessment Workbook provides Members with the Assessment Questions (T002\_2008) laid out in a table format for the use by Members, with additional prompts and guidance on Objective Evidence. The Workbook also prompts Members to define the Certification Scope, by identifying those parts of their business which actively contribute to the Diamond and/or Gold Jewellery supply chain.

This is a 'living document' and the RJC reserves the right to revise this Workbook 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

No guarantee, warranty or representation is made as to the accuracy or completeness of the *Assessment Workbook* (hereinafter the "Workbook") and other documents or information sources referenced in the *Workbook*. Compliance with the *Workbook* is not intended to, nor does it replace, contravene or otherwise alter the requirements of any applicable national, state or local governmental statutes, laws, regulations, ordinances, or other requirements.

Please note this *Workbook* gives general guidance only and should not be regarded as a complete and authoritative statement on the subject matter contained herein.

Compliance with the *Workbook* by non-members is entirely voluntary and is neither intended to, nor does it create, establish, or recognise any legally enforceable obligations or rights against the RJC and/or its Members or signatories. *Workbook* does not create, establish, or recognise any legally enforceable obligations of the RJC and/or its Members or signatories to non-members. Non-members shall have no legal cause of action against the RJC and/or its Members or signatories for failure to comply with the *Workbook*.

## Inquiries or feedback

The RJC welcomes feedback on this Workbook. Please contact the Responsible Jewellery Council by email, telephone or post:

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UNITED KINGDOM

*Responsible Jewellery Council is a trading name of the Council for Responsible Jewellery Practices. The Council for Responsible Jewellery Practices Ltd is registered in England and Wales with company number 05449042. 20-22 Bedford Row, London, WC1R 4JS, United Kingdom.*

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# Section 1 Member Information

## Part 1.1 Member contact details

<b>Member name</b>				
<b>Membership Forum</b>	<input type="checkbox"/> Diamond Trading Cutting or Polishing		<input type="checkbox"/> Mining	
	<input type="checkbox"/> Gold Refining, Hedging or Trading		<input type="checkbox"/> Retail	
	<input type="checkbox"/> Jewellery Manufacturing or Wholesale		<input type="checkbox"/> Service Industry	
<b>Head Office</b>	Address			
	City			
	State/province			
	Country			
	Telephone number			
	Fax number			
	E-mail address (if applicable)			
<b>Name of designated RJC Coordinator</b>	Name			
	Position			
	Address			
	Telephone number			
	Fax number			
	E-mail address (if applicable)			
<b>Name and position of person(s) completing Self Assessment</b>  *NOTE: Person 1 should be the designated contact person for monitors and RJC in the event of a query or follow up	Person	Name	Position	Contact (Phone or Email)
	1			
	2			
	3			
	4			
	5			
	6			
<b>Other information or comments</b>				

# Section 1 Member Information

## Part 1.2 Certification Scope

Please list the details associated with the Facilities which make up the Certification Scope. Facilities that must be included within the Certification Scope are all of the premises that are owned by or under the control of a Member and involved with Diamonds and/or Gold with potential for use in Jewellery.

Facility Name	Location (Address/City/Country)	Number of Employees (E) & Contractors (C)		Description of Business	Description of Activities (include information about Business Partners and Contractors on site, and details of ownership/lease and changes since the last Self Assessment)
<hr/> <hr/> <hr/>	<hr/> <hr/> <hr/>	E	C	<hr/> <hr/> <hr/>	<hr/> <hr/> <hr/>
<hr/> <hr/> <hr/>	<hr/> <hr/> <hr/>	E	C	<hr/> <hr/> <hr/>	<hr/> <hr/> <hr/>
<hr/> <hr/> <hr/>	<hr/> <hr/> <hr/>	E	C	<hr/> <hr/> <hr/>	<hr/> <hr/> <hr/>
<hr/> <hr/> <hr/>	<hr/> <hr/> <hr/>	E	C	<hr/> <hr/> <hr/>	<hr/> <hr/> <hr/>
<hr/> <hr/> <hr/>	<hr/> <hr/> <hr/>	E	C	<hr/> <hr/> <hr/>	<hr/> <hr/> <hr/>
<hr/> <hr/> <hr/>	<hr/> <hr/> <hr/>			<hr/> <hr/> <hr/>	<hr/> <hr/> <hr/>

## Section 2 Assessment Questions

The Member is required to complete the Assessment Questions in this section and provide responses, evidence and findings that demonstrate how the Member's business performs against the provisions in the Code of Practices.

The Assessment Questions cover the following Code of Practices:

### **Business Ethics**

- 1.1 Bribery and Facilitation Payments
- 1.2 Money Laundering and Finance of Terrorism
- 1.3 Kimberley Process
- 1.4 Product Security
- 1.5 Product Integrity

### **Human Rights and Social Performance**

- 2.1 Human Rights
- 2.2 Child Labour and Young Persons
- 2.3 Forced Labour
- 2.4 Freedom of Association and Collective Bargaining
- 2.5 Discrimination
- 2.6 Health and Safety
- 2.7 Discipline and Grievance Procedures
- 2.8 Hours of Work
- 2.9 Remuneration
- 2.10 General Employment Terms
- 2.11 Community Development
- 2.12 Use of Security Personnel

### **Environmental Performance**

- 3.1 Environmental Protection
- 3.2 Hazardous Substances
- 3.3 Waste and Emissions
- 3.4 Use of Energy and Natural Resources

### **Management Practices**

- 4.1 Legal Compliance
- 4.2 Policy
- 4.3 Business Partners – Contractors, Customers, Suppliers and Partners

***Please see the Assessment Manual (T001\_2008) for additional instructions for completing this Workbook.***

# Section 2 Assessment Questions

<b>Name (Member, Facility or other reference):</b>	<b>Date:</b>
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Code of Practices Provisions	Assessment Questions	Types of evidence	Objective evidence in support of findings	Observations and findings	Responsibility	Performance rating
<b>1.1 BRIBERY AND FACILITATION PAYMENTS</b>						
<p>Members will prohibit Bribery in all business practices and transactions that are carried out by them, or on their behalf by Business Partners. They will not offer, accept or countenance any 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; to influence the course of the business or governmental decision-making process.</p>	<p>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.</p>	<ul style="list-style-type: none"> <li>Policy and procedures</li> <li>Relevant job descriptions</li> <li>Training materials and records</li> </ul>	<input type="checkbox"/> Documentation <input type="checkbox"/> Observation <input type="checkbox"/> Testimonial <input type="checkbox"/> None	<hr/> <hr/> <hr/> <hr/> <hr/> <hr/> <hr/> <hr/> <hr/> <hr/>	<input type="checkbox"/> Head office <input type="checkbox"/> Divisional/ Business unit <input type="checkbox"/> Facility <input type="checkbox"/> None Details: <hr/> <hr/> <hr/> <hr/>	<input type="checkbox"/> Conformance <input type="checkbox"/> Minor NC <input type="checkbox"/> Major NC <input type="checkbox"/> Not Applicable  Reason: <hr/> <hr/> <hr/> <hr/>
	<p>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.</p>	<ul style="list-style-type: none"> <li>Training materials and records</li> <li>Interviews with managers, buyers, contracting personnel and other relevant staff</li> </ul>	<input type="checkbox"/> Documentation <input type="checkbox"/> Observation <input type="checkbox"/> Testimonial <input type="checkbox"/> None	<hr/> <hr/> <hr/> <hr/> <hr/> <hr/> <hr/> <hr/> <hr/> <hr/>	<input type="checkbox"/> Head office <input type="checkbox"/> Divisional/ Business unit <input type="checkbox"/> Facility <input type="checkbox"/> None Details: <hr/> <hr/> <hr/> <hr/>	<input type="checkbox"/> Conformance <input type="checkbox"/> Minor NC <input type="checkbox"/> Major NC <input type="checkbox"/> Not Applicable  Reason: <hr/> <hr/> <hr/> <hr/>

## Section 2 Assessment Questions

Name (Member, Facility or other reference):						Date:
Code of Practices Provisions	Assessment Questions	Types of evidence	Objective evidence in support of findings	Observations and findings	Responsibility	Performance rating
Members will consider Bribery Risk as it applies to their organisation (including agents) to identify which areas pose high Risks. Members will develop appropriate methods to monitor conduct of Employees and agents and eliminate Bribery based on this understanding.	3. Confirm that the risk of bribery has been considered by the business and that any areas considered high risk have been identified.	<ul style="list-style-type: none"> <li>Risk assessment procedures</li> <li>Risk assessment records (e.g. a risk register)</li> <li>Risk management action plans</li> <li>In-country risk assessment especially where bribery is known to exist</li> <li>Training materials and records</li> </ul>	<input type="checkbox"/> Documentation <input type="checkbox"/> Observation <input type="checkbox"/> Testimonial <input type="checkbox"/> None	<hr/> <hr/> <hr/> <hr/> <hr/> <hr/> <hr/> <hr/> <hr/> <hr/>	<input type="checkbox"/> Head office <input type="checkbox"/> Divisional/ Business unit <input type="checkbox"/> Facility <input type="checkbox"/> None Details: <hr/> <hr/> <hr/> <hr/>	<input type="checkbox"/> Conformance <input type="checkbox"/> Minor NC <input type="checkbox"/> Major NC <input type="checkbox"/> Not Applicable  Reason: <hr/> <hr/> <hr/> <hr/>
	4. Confirm whether there is a system to monitor conduct of employees and agents to eliminate Bribery.	<ul style="list-style-type: none"> <li>In-country risk assessment especially where bribery is known to exist</li> <li>Recording and monitoring system for facilitation payments, bribery attempts and sanctions applied</li> </ul>				
Members will facilitate the reporting of incidences of attempted Bribery or inappropriate gifts within their organisation and will apply the appropriate sanctions for Bribery and attempted Bribery in all forms.	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.	<ul style="list-style-type: none"> <li>Recording and monitoring system for facilitation payments, bribery attempts and sanctions applied</li> <li>Last financial audit report and auditor qualifications</li> <li>Training materials and records</li> <li>Interviews with managers, buyers, contracting personnel and other relevant staff</li> </ul>	<input type="checkbox"/> Documentation <input type="checkbox"/> Observation <input type="checkbox"/> Testimonial <input type="checkbox"/> None	<hr/> <hr/> <hr/> <hr/> <hr/> <hr/> <hr/> <hr/> <hr/> <hr/>	<input type="checkbox"/> Head office <input type="checkbox"/> Divisional/ Business unit <input type="checkbox"/> Facility <input type="checkbox"/> None Details: <hr/> <hr/> <hr/> <hr/>	<input type="checkbox"/> Conformance <input type="checkbox"/> Minor NC <input type="checkbox"/> Major NC <input type="checkbox"/> Not Applicable  Reason: <hr/> <hr/> <hr/> <hr/>



# Section 2 Assessment Questions

<b>Name (Member, Facility or other reference):</b>	<b>Date:</b>
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Code of Practices Provisions	Assessment Questions	Types of evidence	Objective evidence in support of findings	Observations and findings	Responsibility	Performance rating
<p>Members will clearly communicate to their Employees that no Employee will 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.</p>	<p>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.</p>	<ul style="list-style-type: none"> <li>Interviews with managers, buyers, contracting personnel and other relevant staff</li> </ul>	<input type="checkbox"/> Documentation <input type="checkbox"/> Observation <input type="checkbox"/> Testimonial <input type="checkbox"/> None	<hr/> <hr/> <hr/> <hr/> <hr/> <hr/> <hr/> <hr/> <hr/> <hr/>	<input type="checkbox"/> Head office <input type="checkbox"/> Divisional/ Business unit <input type="checkbox"/> Facility <input type="checkbox"/> None Details: <hr/> <hr/> <hr/> <hr/>	<input type="checkbox"/> Conformance <input type="checkbox"/> Minor NC <input type="checkbox"/> Major NC <input type="checkbox"/> Not Applicable  Reason: <hr/> <hr/> <hr/> <hr/>
<p>Where Members have not yet been able to eliminate Facilitation Payments, they will implement appropriate controls to monitor, oversee and fully account for all Facilitation Payments made. They will work to ensure that they are of limited nature and scope, with an ultimate objective to eliminate all Facilitation Payments.</p>	<p>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.</p>	<ul style="list-style-type: none"> <li>Policy and procedures</li> <li>Training materials and records</li> <li>Clear information on legal requirements and a system for updating</li> <li>Policy and procedures</li> <li>Relevant job descriptions</li> <li>Training materials and records</li> <li>Recording and monitoring system for facilitation payments, bribery attempts and sanctions applied</li> </ul>	<input type="checkbox"/> Documentation <input type="checkbox"/> Observation <input type="checkbox"/> Testimonial <input type="checkbox"/> None	<hr/> <hr/> <hr/> <hr/> <hr/> <hr/> <hr/> <hr/> <hr/> <hr/>	<input type="checkbox"/> Head office <input type="checkbox"/> Divisional/ Business unit <input type="checkbox"/> Facility <input type="checkbox"/> None Details: <hr/> <hr/> <hr/> <hr/>	<input type="checkbox"/> Conformance <input type="checkbox"/> Minor NC <input type="checkbox"/> Major NC <input type="checkbox"/> Not Applicable  Reason: <hr/> <hr/> <hr/> <hr/>

# Section 2 Assessment Questions

<b>Name (Member, Facility or other reference):</b>	<b>Date:</b>
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Code of Practices Provisions	Assessment Questions	Types of evidence	Objective evidence in support of findings	Observations and findings	Responsibility	Performance rating
<b>1.2 MONEY LAUNDERING AND FINANCE OF TERRORISM</b>						
Members must maintain financial accounts of all business transactions where required by Applicable Law and in accordance with national or international accounting standards. These accounts must be independently certified and/or audited by a properly qualified auditor who is appointed free of any bias or influence.	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.	<ul style="list-style-type: none"> <li>Clear information on legal requirements and a system for updating</li> <li>Policy and procedures</li> <li>Relevant job descriptions</li> <li>Last financial audit report and auditor qualifications</li> <li>Customer identification procedures</li> <li>Transaction monitoring and recording system, including any correspondence with authorities</li> </ul>	<input type="checkbox"/> Documentation <input type="checkbox"/> Observation <input type="checkbox"/> Testimonial <input type="checkbox"/> None	_____ _____ _____ _____ _____ _____ _____ _____	<input type="checkbox"/> Head office <input type="checkbox"/> Divisional/ Business unit <input type="checkbox"/> Facility <input type="checkbox"/> None Details: _____ _____ _____ _____	<input type="checkbox"/> Conformance <input type="checkbox"/> Minor NC <input type="checkbox"/> Major NC <input type="checkbox"/> Not Applicable Reason: _____ _____ _____ _____
	9. Determine whether the financial accounts are annually independently certified and/or audited.	<ul style="list-style-type: none"> <li>Policy and procedures</li> <li>Last financial audit report and auditor qualifications</li> <li>Training materials and records</li> <li>Interviews with managers, buyers, contracting personnel and other relevant staff</li> </ul>	<input type="checkbox"/> Documentation <input type="checkbox"/> Observation <input type="checkbox"/> Testimonial <input type="checkbox"/> None	_____ _____ _____ _____ _____ _____ _____ _____	<input type="checkbox"/> Head office <input type="checkbox"/> Divisional/ Business unit <input type="checkbox"/> Facility <input type="checkbox"/> None Details: _____ _____ _____ _____	<input type="checkbox"/> Conformance <input type="checkbox"/> Minor NC <input type="checkbox"/> Major NC <input type="checkbox"/> Not Applicable Reason: _____ _____ _____ _____

# Section 2 Assessment Questions

<b>Name (Member, Facility or other reference):</b>	<b>Date:</b>
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Code of Practices Provisions	Assessment Questions	Types of evidence	Objective evidence in support of findings	Observations and findings	Responsibility	Performance rating
<p>Members must maintain financial accounts of all business transactions where required by Applicable Law and in accordance with national or international accounting standards. These accounts must be independently certified and/or audited by a properly qualified auditor who is appointed free of any bias or influence.</p>	<p>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.</p>	<ul style="list-style-type: none"> <li>Last financial audit report and auditor qualifications</li> <li>Auditor selection process and records</li> </ul>	<input type="checkbox"/> Documentation <input type="checkbox"/> Observation <input type="checkbox"/> Testimonial <input type="checkbox"/> None	<hr/> <hr/> <hr/> <hr/> <hr/> <hr/> <hr/> <hr/> <hr/> <hr/>	<input type="checkbox"/> Head office <input type="checkbox"/> Divisional/ Business unit <input type="checkbox"/> Facility <input type="checkbox"/> None Details: <hr/> <hr/> <hr/> <hr/>	<input type="checkbox"/> Conformance <input type="checkbox"/> Minor NC <input type="checkbox"/> Major NC <input type="checkbox"/> Not Applicable  Reason: <hr/> <hr/> <hr/> <hr/>
<p>Members should be aware that international transactions may be subject to more than one regulatory jurisdiction.</p> <p>Where no Applicable Law exists, Members should comply with the provisions in the Financial Action Task Force (FATF) 40 Recommendations and 9 Special Recommendations as applicable to dealers in Precious Metals and gemstones under the Designated Non-Financial Business Professions (DNFBP).</p>	<p>11 Determine whether there is a system to identify the various jurisdictions encountered with each transaction, and the associated regulatory requirements.</p>	<ul style="list-style-type: none"> <li>Clear information on legal requirements and a system for updating</li> <li>Policy and procedures</li> <li>Relevant job descriptions</li> </ul>	<input type="checkbox"/> Documentation <input type="checkbox"/> Observation <input type="checkbox"/> Testimonial <input type="checkbox"/> None	<hr/> <hr/> <hr/> <hr/> <hr/> <hr/> <hr/> <hr/> <hr/> <hr/>	<input type="checkbox"/> Head office <input type="checkbox"/> Divisional/ Business unit <input type="checkbox"/> Facility <input type="checkbox"/> None Details: <hr/> <hr/> <hr/> <hr/>	<input type="checkbox"/> Conformance <input type="checkbox"/> Minor NC <input type="checkbox"/> Major NC <input type="checkbox"/> Not Applicable  Reason: <hr/> <hr/> <hr/> <hr/>



# Section 2 Assessment Questions

<b>Name (Member, Facility or other reference):</b>	<b>Date:</b>
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Code of Practices Provisions	Assessment Questions	Types of evidence	Objective evidence in support of findings	Observations and findings	Responsibility	Performance rating
Members must operate according to the principles of “know your customer” so as to establish the identity of all organisations with which they deal, have a clear understanding of their business relationships and have a reasonable ability to identify and react to transaction patterns appearing out of the ordinary or suspicious.	14. Determine whether there is a system for checking the identity of all suppliers and customers, and monitoring for unusual transactions.	<ul style="list-style-type: none"> <li>Customer identification procedures</li> <li>Interviews with managers, buyers, contracting personnel and other relevant staff</li> </ul>	<input type="checkbox"/> Documentation <input type="checkbox"/> Observation <input type="checkbox"/> Testimonial <input type="checkbox"/> None	_____ _____ _____ _____ _____ _____ _____ _____	<input type="checkbox"/> Head office <input type="checkbox"/> Divisional/ Business unit <input type="checkbox"/> Facility <input type="checkbox"/> None Details: _____ _____ _____ _____	<input type="checkbox"/> Conformance <input type="checkbox"/> Minor NC <input type="checkbox"/> Major NC <input type="checkbox"/> Not Applicable  Reason: _____ _____ _____ _____
	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.	<ul style="list-style-type: none"> <li>Interviews with managers, buyers, contracting personnel and other relevant staff</li> <li>Records of customer reviews</li> </ul>	<input type="checkbox"/> Documentation <input type="checkbox"/> Observation <input type="checkbox"/> Testimonial <input type="checkbox"/> None	_____ _____ _____ _____ _____ _____ _____ _____	<input type="checkbox"/> Head office <input type="checkbox"/> Divisional/ Business unit <input type="checkbox"/> Facility <input type="checkbox"/> None Details: _____ _____ _____ _____	<input type="checkbox"/> Conformance <input type="checkbox"/> Minor NC <input type="checkbox"/> Major NC <input type="checkbox"/> Not Applicable  Reason: _____ _____ _____ _____









# Section 2 Assessment Questions

<b>Name (Member, Facility or other reference):</b>	<b>Date:</b>
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Code of Practices Provisions	Assessment Questions	Types of evidence	Objective evidence in support of findings	Observations and findings	Responsibility	Performance rating
<b>1.4 PRODUCT AND MATERIALS SECURITY</b>						
Members will establish product security measures within the premises and during shipments to protect against product theft, damage or substitution.	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.	<ul style="list-style-type: none"> <li>Quality and/or security systems in place including policy and procedures</li> <li>Relevant job descriptions</li> <li>Interviews with management</li> <li>Incident reports focussing on below satisfactory physical integrity of product shipment and/or related breaches to security (e.g. tampering, theft, etc)</li> <li>Insurance premiums (e.g. an increasing trend (over time) from claims submitted because of security incidents)</li> </ul>	<input type="checkbox"/> Documentation <input type="checkbox"/> Observation <input type="checkbox"/> Testimonial <input type="checkbox"/> None	_____ _____ _____ _____ _____ _____ _____ _____ _____ _____	<input type="checkbox"/> Head office <input type="checkbox"/> Divisional/ Business unit <input type="checkbox"/> Facility <input type="checkbox"/> None Details: _____ _____ _____ _____	<input type="checkbox"/> Conformance <input type="checkbox"/> Minor NC <input type="checkbox"/> Major NC <input type="checkbox"/> Not Applicable  Reason: _____ _____ _____ _____
The security and well being of Employees, Visitors and other relevant Business Partners shall be prioritised when establishing product security measures.	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.	<ul style="list-style-type: none"> <li>Policy and procedures</li> <li>Interviews with management</li> <li>Risk Assessments and controls regarding security and wellbeing of Employees, Contractors, visitors including customers to the Facilities, and other affected stakeholders,</li> </ul>	<input type="checkbox"/> Documentation <input type="checkbox"/> Observation <input type="checkbox"/> Testimonial <input type="checkbox"/> None	_____ _____ _____ _____ _____ _____ _____ _____ _____ _____	<input type="checkbox"/> Head office <input type="checkbox"/> Divisional/ Business unit <input type="checkbox"/> Facility <input type="checkbox"/> None Details: _____ _____ _____ _____	<input type="checkbox"/> Conformance <input type="checkbox"/> Minor NC <input type="checkbox"/> Major NC <input type="checkbox"/> Not Applicable  Reason: _____ _____ _____ _____

# Section 2 Assessment Questions

Name (Member, Facility or other reference):	Date:
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Code of Practices Provisions	Assessment Questions	Types of evidence	Objective evidence in support of findings	Observations and findings	Responsibility	Performance rating
<b>1.5 PRODUCT INTEGRITY</b>						
<p><i>General: Members will at all times comply with relevant trading standards legislation and, where they exist, specific national and/or local regulations applicable to Diamond and Gold Jewellery products. Where no specific trading standards or product integrity regulations apply, Members must comply with the requirements listed below.</i></p>	<p>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.</p>	<ul style="list-style-type: none"> <li>Up to date register or list (database) of legal &amp; other requirements</li> <li>Access to legal advice through subscriptions or legal firms regarding trading practices</li> <li>Periodic compliance evaluation assessments</li> </ul>	<input type="checkbox"/> Documentation <input type="checkbox"/> Observation <input type="checkbox"/> Testimonial <input type="checkbox"/> None	<hr/> <hr/> <hr/> <hr/> <hr/> <hr/> <hr/> <hr/> <hr/> <hr/>	<input type="checkbox"/> Head office <input type="checkbox"/> Divisional/ Business unit <input type="checkbox"/> Facility <input type="checkbox"/> None Details: <hr/> <hr/> <hr/> <hr/>	<input type="checkbox"/> Conformance <input type="checkbox"/> Minor NC <input type="checkbox"/> <i>Major NC (= Critical Breach)</i> <input type="checkbox"/> Not Applicable Reason: <hr/> <hr/> <hr/> <hr/>
	<p>24. Confirm that the business adopts the Code of Practices 'Product Integrity' provisions where there is no local applicable law.</p>	<ul style="list-style-type: none"> <li>Implementation of CIBJO regulations in policies and procedures</li> </ul>	<input type="checkbox"/> Documentation <input type="checkbox"/> Observation <input type="checkbox"/> Testimonial <input type="checkbox"/> None	<hr/> <hr/> <hr/> <hr/> <hr/> <hr/> <hr/> <hr/> <hr/> <hr/>	<input type="checkbox"/> Head office <input type="checkbox"/> Divisional/ Business unit <input type="checkbox"/> Facility <input type="checkbox"/> None Details: <hr/> <hr/> <hr/> <hr/>	<input type="checkbox"/> Conformance <input type="checkbox"/> Minor NC <input type="checkbox"/> <i>Major NC (= Critical Breach)</i> <input type="checkbox"/> Not Applicable Reason: <hr/> <hr/> <hr/> <hr/>



















# Section 2 Assessment Questions

Name (Member, Facility or other reference):	Date:
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Code of Practices Provisions	Self Assessment	Types of evidence	Objective evidence in support of findings	Observations and findings	Responsibility	Performance rating
<b>2.2 CHILD LABOUR AND YOUNG PERSONS</b>						
<p><u>Members shall not engage in or support the employment of Children (younger than 15 years, or 14 years where the law of the country permits) beyond those circumstances defined in ILO Convention 138 and Recommendation 146 unless sanctioned by national and/or local government or as part of a recognised apprentice scheme, in accordance with the guidelines laid down in the Global Compact.</u></p>	<p>38. 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).</p>	<ul style="list-style-type: none"> <li>Policy and procedures</li> <li>Relevant job descriptions</li> </ul>	<input type="checkbox"/> Documentation <input type="checkbox"/> Observation <input type="checkbox"/> Testimonial <input type="checkbox"/> None	<hr/> <hr/> <hr/> <hr/> <hr/> <hr/> <hr/> <hr/> <hr/> <hr/>	<input type="checkbox"/> Head office <input type="checkbox"/> Divisional/ Business unit <input type="checkbox"/> Facility <input type="checkbox"/> None Details: <hr/> <hr/> <hr/> <hr/>	<input type="checkbox"/> Conformance <input type="checkbox"/> Minor NC <input type="checkbox"/> <i>Major NC (= Critical Breach)</i> <input type="checkbox"/> Not Applicable Reason: <hr/> <hr/> <hr/> <hr/>
	<p>39. 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.</p>	<ul style="list-style-type: none"> <li>Policy and procedures</li> <li>Site visits and observations</li> <li>Interviews with management, workers, labour contractors and management and other stakeholders</li> <li>Recruitment records</li> <li>Evidence of age</li> <li>Interviews with management, and contractors</li> </ul>	<input type="checkbox"/> Documentation <input type="checkbox"/> Observation <input type="checkbox"/> Testimonial <input type="checkbox"/> None	<hr/> <hr/> <hr/> <hr/> <hr/> <hr/> <hr/> <hr/> <hr/> <hr/>	<input type="checkbox"/> Head office <input type="checkbox"/> Divisional/ Business unit <input type="checkbox"/> Facility <input type="checkbox"/> None Details: <hr/> <hr/> <hr/> <hr/>	<input type="checkbox"/> Conformance <input type="checkbox"/> Minor NC <input type="checkbox"/> <i>Major NC (= Critical Breach)</i> <input type="checkbox"/> Not Applicable Reason: <hr/> <hr/> <hr/> <hr/>



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Code of Practices Provisions	Self Assessment	Types of evidence	Objective evidence in support of findings	Observations and findings	Responsibility	Performance rating
<p><u>Members shall promote education for Children covered under ILO recommendation 146 and Young Persons who are subject to local compulsory education laws or attending school, including means to ensure that no such Child or Young Person is employed during school hours and that combined hours of daily transportation (to and from work and school), school and work time does not exceed 10 hours a day.</u></p>	<p>41. 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.</p>	<ul style="list-style-type: none"> <li>Interviews with management, workers, labour contractors and management and other stakeholders</li> <li>Where applicable, evidence for budgeted funds towards education programs</li> <li>Contributions to Community development programs</li> </ul>	<input type="checkbox"/> Documentation <input type="checkbox"/> Observation <input type="checkbox"/> Testimonial <input type="checkbox"/> None	<hr/> <hr/> <hr/> <hr/> <hr/> <hr/> <hr/> <hr/> <hr/> <hr/>	<input type="checkbox"/> Head office <input type="checkbox"/> Divisional/ Business unit <input type="checkbox"/> Facility <input type="checkbox"/> None Details: <hr/> <hr/> <hr/> <hr/>	<input type="checkbox"/> Conformance <input type="checkbox"/> Minor NC <input type="checkbox"/> <i>Major NC (= Critical Breach)</i> <input type="checkbox"/> Not Applicable Reason: <hr/> <hr/> <hr/> <hr/>
<p><u>Members shall not expose a Child or Young Person to work, which by its nature or the circumstances in which it is carried out, is likely to jeopardise the Health, Safety or morals of persons younger than 18 years (or 16 years subject to authorisation in Applicable Law and the receipt of adequate and specific instruction or vocational training in the relevant branch of activity).</u></p>	<p>42. 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'.</p>	<ul style="list-style-type: none"> <li>Regulatory requirements</li> <li>Personnel records – evidence of age</li> <li>Rosters and records of working hours and wages</li> <li>Labour contractors' policies and/or contracts</li> <li>Specific documents relating to hazardous work</li> </ul>	<input type="checkbox"/> Documentation <input type="checkbox"/> Observation <input type="checkbox"/> Testimonial <input type="checkbox"/> None	<hr/> <hr/> <hr/> <hr/> <hr/> <hr/> <hr/> <hr/> <hr/> <hr/>	<input type="checkbox"/> Head office <input type="checkbox"/> Divisional/ Business unit <input type="checkbox"/> Facility <input type="checkbox"/> None Details: <hr/> <hr/> <hr/> <hr/>	<input type="checkbox"/> Conformance <input type="checkbox"/> Minor NC <input type="checkbox"/> <i>Major NC (= Critical Breach)</i> <input type="checkbox"/> Not Applicable Reason: <hr/> <hr/> <hr/> <hr/>





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Code of Practices Provisions	Assessment Questions	Types of evidence	Objective evidence in support of findings	Observations and findings	Responsibility	Performance rating
<b>2.4 FREEDOM OF ASSOCIATION AND COLLECTIVE BARGAINING</b>						
Members will not prevent Employees from associating freely. Where laws prohibit these freedoms, Members will support parallel means for independent and free association and bargaining.	45. 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.	<ul style="list-style-type: none"> <li>Processes in place for workforce consultation</li> <li>List of workers by employment type and contract</li> <li>Interviews with management, workers, and union representatives</li> </ul>	<input type="checkbox"/> Documentation <input type="checkbox"/> Observation <input type="checkbox"/> Testimonial <input type="checkbox"/> None	_____ _____ _____ _____ _____ _____ _____ _____	<input type="checkbox"/> Head office <input type="checkbox"/> Divisional/ Business unit <input type="checkbox"/> Facility <input type="checkbox"/> None Details: _____ _____ _____ _____	<input type="checkbox"/> Conformance <input type="checkbox"/> Minor NC <input type="checkbox"/> Major NC <input type="checkbox"/> Not Applicable Reason: _____ _____ _____ _____
Members will not prevent collective bargaining and shall adhere to collective bargaining agreements, where such agreements exist.	46. Determine whether workers are afforded the freedom and means to collectively bargain and to participate in collective bargaining agreements in place.	<ul style="list-style-type: none"> <li>Collective agreement/s in negotiation and/or in force</li> <li>Interviews with management, workers, and union representatives</li> </ul>	<input type="checkbox"/> Documentation <input type="checkbox"/> Observation <input type="checkbox"/> Testimonial <input type="checkbox"/> None	_____ _____ _____ _____ _____ _____ _____ _____	<input type="checkbox"/> Head office <input type="checkbox"/> Divisional/ Business unit <input type="checkbox"/> Facility <input type="checkbox"/> None Details: _____ _____ _____ _____	<input type="checkbox"/> Conformance <input type="checkbox"/> Minor NC <input type="checkbox"/> Major NC <input type="checkbox"/> Not Applicable Reason: _____ _____ _____ _____



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Code of Practices Provisions	Assessment Questions	Types of evidence	Objective evidence in support of findings	Observations and findings	Responsibility	Performance rating
	47. Where collective agreements exist, confirm that they are adhered to.	<ul style="list-style-type: none"> <li>Records of grievance procedures</li> <li>Interviews with management, workers, and union representatives</li> </ul>	<input type="checkbox"/> Documentation <input type="checkbox"/> Observation <input type="checkbox"/> Testimonial <input type="checkbox"/> None	<hr/> <hr/> <hr/> <hr/> <hr/> <hr/> <hr/> <hr/> <hr/> <hr/>	<input type="checkbox"/> Head office <input type="checkbox"/> Divisional/ Business unit <input type="checkbox"/> Facility <input type="checkbox"/> None Details: <hr/> <hr/> <hr/> <hr/>	<input type="checkbox"/> Conformance <input type="checkbox"/> Minor NC <input type="checkbox"/> Major NC <input type="checkbox"/> Not Applicable  Reason: <hr/> <hr/> <hr/> <hr/>

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Code of Practices Provisions	Assessment Questions	Types of evidence	Objective evidence in support of findings	Observations and findings	Responsibility	Performance rating
<b>2.5 DISCRIMINATION</b>						
Members shall not practice or condone any form of discrimination in the workplace in terms of hiring, remuneration, overtime, access to training, promotion, termination or retirement based on race, ethnicity, caste, national origin, religion, disability, gender, sexual orientation, union membership, political affiliation, marital status, pregnancy status, physical appearance, HIV status, or age, or any other applicable prohibited basis, such 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	48. 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.	<ul style="list-style-type: none"> <li>Policy and procedures</li> <li>Relevant job descriptions</li> <li>List of workers by gender (and other relevant diversity issues), role and pay</li> <li>Site visits and observations</li> <li>Interviews with management, targeted selection of workers and contractors</li> <li>Records of training and awareness programs</li> <li>Procedure for confidential raising of grievances associated with discrimination or harassment</li> </ul>	<input type="checkbox"/> Documentation <input type="checkbox"/> Observation <input type="checkbox"/> Testimonial <input type="checkbox"/> None	_____ _____ _____ _____ _____ _____ _____ _____ _____ _____	<input type="checkbox"/> Head office <input type="checkbox"/> Divisional/ Business unit <input type="checkbox"/> Facility <input type="checkbox"/> None Details: _____ _____ _____ _____ _____ _____	<input type="checkbox"/> Conformance <input type="checkbox"/> Minor NC <input type="checkbox"/> Major NC <input type="checkbox"/> Not Applicable  Reason: _____ _____ _____ _____ _____
	49. Confirm that the systems are communicated to and understood by personnel, and are effectively implemented.	<ul style="list-style-type: none"> <li>Site visits and observations</li> <li>Interviews with management, targeted selection of workers and contractors</li> </ul>	<input type="checkbox"/> Documentation <input type="checkbox"/> Observation <input type="checkbox"/> Testimonial <input type="checkbox"/> None	_____ _____ _____ _____ _____ _____ _____ _____ _____ _____	<input type="checkbox"/> Head office <input type="checkbox"/> Divisional/ Business unit <input type="checkbox"/> Facility <input type="checkbox"/> None Details: _____ _____ _____ _____ _____ _____	<input type="checkbox"/> Conformance <input type="checkbox"/> Minor NC <input type="checkbox"/> Major NC <input type="checkbox"/> Not Applicable  Reason: _____ _____ _____ _____ _____

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Code of Practices Provisions	Assessment Questions	Types of evidence	Objective evidence in support of findings	Observations and findings	Responsibility	Performance rating
<b>2.6 HEALTH AND SAFETY</b>						
Members will provide safe and healthy working conditions for all Employees in accordance with Applicable Law and other relevant industry standards. These conditions include:	50. 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.	<ul style="list-style-type: none"> <li>• Site visits and workplace inspections</li> <li>• Interviews with management, workers, contractors and stakeholders</li> <li>• Policy and procedures</li> <li>• Relevant job descriptions for health and safety, emergency, and first aid personnel</li> <li>• Appropriately qualified senior manager responsible, for the health and safety of all employees at work</li> </ul>	<input type="checkbox"/> Documentation <input type="checkbox"/> Observation <input type="checkbox"/> Testimonial <input type="checkbox"/> None	_____ _____ _____ _____ _____ _____ _____ _____ _____ _____	<input type="checkbox"/> Head office <input type="checkbox"/> Divisional/ Business unit <input type="checkbox"/> Facility <input type="checkbox"/> None Details: _____ _____ _____ _____ _____ _____	<input type="checkbox"/> Conformance <input type="checkbox"/> Minor NC <input type="checkbox"/> Major NC <input type="checkbox"/> Not Applicable  Reason: _____ _____ _____ _____ _____
a. minimising, so far as reasonably practicable, the causes of workplace Hazards.	51. Determine whether there is an effective method to identify and minimise, so far as reasonably practicable, workplace hazards.	<ul style="list-style-type: none"> <li>• Risk assessments</li> <li>• Site visits and workplace inspections</li> <li>• Interviews with management, workers, contractors and stakeholders</li> </ul>	<input type="checkbox"/> Documentation <input type="checkbox"/> Observation <input type="checkbox"/> Testimonial <input type="checkbox"/> None	_____ _____ _____ _____ _____ _____ _____ _____ _____ _____	<input type="checkbox"/> Head office <input type="checkbox"/> Divisional/ Business unit <input type="checkbox"/> Facility <input type="checkbox"/> None Details: _____ _____ _____ _____ _____ _____	<input type="checkbox"/> Conformance <input type="checkbox"/> Minor NC <input type="checkbox"/> Major NC <input type="checkbox"/> Not Applicable  Reason: _____ _____ _____ _____ _____

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b. appropriate safeguards and isolation between Employees and all machinery including mobile equipment.	52. Confirm that sufficient and appropriate machine safety guards and isolation measures are installed and used correctly.	<ul style="list-style-type: none"> <li>• Policy and procedures</li> <li>• Machine guards</li> <li>• Isolation methods including permitting procedures</li> <li>• Inspections and audits.</li> </ul>	<input type="checkbox"/> Documentation <input type="checkbox"/> Observation <input type="checkbox"/> Testimonial <input type="checkbox"/> None	<hr/> <hr/> <hr/> <hr/> <hr/> <hr/> <hr/> <hr/> <hr/> <hr/> <hr/> <hr/>	<input type="checkbox"/> Head office <input type="checkbox"/> Divisional/ Business unit <input type="checkbox"/> Facility <input type="checkbox"/> None Details: <hr/> <hr/> <hr/> <hr/>	<input type="checkbox"/> Conformance <input type="checkbox"/> Minor NC <input type="checkbox"/> Major NC <input type="checkbox"/> Not Applicable Reason: <hr/> <hr/> <hr/> <hr/>
c. adequate and appropriate labelling and storage of all chemicals and cleaning materials.	53. Confirm that chemicals including cleaning materials have been identified, and adequately labelled and stored.	<ul style="list-style-type: none"> <li>• Manifest of all hazardous substances</li> <li>• Clear signage and labels on all containers</li> </ul>	<input type="checkbox"/> Documentation <input type="checkbox"/> Observation <input type="checkbox"/> Testimonial <input type="checkbox"/> None	<hr/> <hr/> <hr/> <hr/> <hr/> <hr/> <hr/> <hr/> <hr/> <hr/> <hr/> <hr/>	<input type="checkbox"/> Head office <input type="checkbox"/> Divisional/ Business unit <input type="checkbox"/> Facility <input type="checkbox"/> None Details: <hr/> <hr/> <hr/> <hr/>	<input type="checkbox"/> Conformance <input type="checkbox"/> Minor NC <input type="checkbox"/> Major NC <input type="checkbox"/> Not Applicable Reason: <hr/> <hr/> <hr/> <hr/>

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d. methods to protect Employees from exposure to airborne particles and chemical fumes.	54. 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.	<ul style="list-style-type: none"> <li>Dust/fume extraction systems</li> <li>Masks and respirators (as required)</li> <li>Dust suppression controls</li> </ul>	<input type="checkbox"/> Documentation <input type="checkbox"/> Observation <input type="checkbox"/> Testimonial <input type="checkbox"/> None	<hr/> <hr/> <hr/> <hr/> <hr/> <hr/> <hr/> <hr/> <hr/> <hr/>	<input type="checkbox"/> Head office <input type="checkbox"/> Divisional/ Business unit <input type="checkbox"/> Facility <input type="checkbox"/> None Details: <hr/> <hr/> <hr/> <hr/>	<input type="checkbox"/> Conformance <input type="checkbox"/> Minor NC <input type="checkbox"/> Major NC <input type="checkbox"/> Not Applicable Reason: <hr/> <hr/> <hr/> <hr/>
e. identifying and providing appropriate Personal Protective Equipment (PPE) free of charge and verifying that it is current, worn and used correctly.	55. Confirm that basic PPE is available free of charge for employees and on-site contractors, and that it is current, properly used and worn.	<ul style="list-style-type: none"> <li>Gloves, safety footwear, goggles, helmets, hearing protection, etc</li> <li>PPE compliance assessments</li> <li>PPE storage facilities</li> </ul>	<input type="checkbox"/> Documentation <input type="checkbox"/> Observation <input type="checkbox"/> Testimonial <input type="checkbox"/> None	<hr/> <hr/> <hr/> <hr/> <hr/> <hr/> <hr/> <hr/> <hr/> <hr/>	<input type="checkbox"/> Head office <input type="checkbox"/> Divisional/ Business unit <input type="checkbox"/> Facility <input type="checkbox"/> None Details: <hr/> <hr/> <hr/> <hr/>	<input type="checkbox"/> Conformance <input type="checkbox"/> Minor NC <input type="checkbox"/> Major NC <input type="checkbox"/> Not Applicable Reason: <hr/> <hr/> <hr/> <hr/>

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f. providing work stations that are designed as appropriate to the task performed, to minimise occupational Health Risks such as repetitive strain.	56. 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.	<ul style="list-style-type: none"> <li>Workspace design codes and reviews</li> <li>Safety measures include lifting devices, ergonomic setup adequate space and storage, as required</li> <li>Records of occupational illness especially repetitive strains and injuries</li> <li>Site visits and workplace inspections including housekeeping checks</li> </ul>	<input type="checkbox"/> Documentation <input type="checkbox"/> Observation <input type="checkbox"/> Testimonial <input type="checkbox"/> None	<hr/> <hr/> <hr/> <hr/> <hr/> <hr/> <hr/> <hr/> <hr/> <hr/>	<input type="checkbox"/> Head office <input type="checkbox"/> Divisional/ Business unit <input type="checkbox"/> Facility <input type="checkbox"/> None Details: <hr/> <hr/> <hr/> <hr/>	<input type="checkbox"/> Conformance <input type="checkbox"/> Minor NC <input type="checkbox"/> Major NC <input type="checkbox"/> Not Applicable Reason: <hr/> <hr/> <hr/> <hr/>
g. adequate lighting, ventilation and air quality; safe noise levels and temperatures.	57. Determine whether workplace temperature, noise, light, cleanliness, vibration and ventilation levels are appropriate to perform tasks safely (given the requirements of the operation).	<ul style="list-style-type: none"> <li>Building approvals or regulator certifications</li> <li>Site visits and workplace inspections including housekeeping checks</li> <li>Facilities for extracting and or neutralising dust and fumes</li> <li>Background and task lighting, as appropriate</li> <li>Functional, heating &amp; cooling equipment</li> <li>System for identifying, accessing and checking compliance with regulatory requirements</li> </ul>	<input type="checkbox"/> Documentation <input type="checkbox"/> Observation <input type="checkbox"/> Testimonial <input type="checkbox"/> None	<hr/> <hr/> <hr/> <hr/> <hr/> <hr/> <hr/> <hr/> <hr/> <hr/>	<input type="checkbox"/> Head office <input type="checkbox"/> Divisional/ Business unit <input type="checkbox"/> Facility <input type="checkbox"/> None Details: <hr/> <hr/> <hr/> <hr/>	<input type="checkbox"/> Conformance <input type="checkbox"/> Minor NC <input type="checkbox"/> Major NC <input type="checkbox"/> Not Applicable Reason: <hr/> <hr/> <hr/> <hr/>

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h. maintaining adequate workplace hygiene at all times by conducting regular routine cleaning, providing safe and accessible potable drinking water and sanitary facilities for food storage, and clean and hygienic washing and toilet facilities commensurate with the number and gender of staff employed.	58. Confirm that the entire workforce has access to an appropriate standard of hygiene by providing: <ul style="list-style-type: none"> <li>• a regular and effective cleaning regime</li> <li>• safe drinking water and adequate means of safely storing food are easily accessible to all employees; and</li> <li>• 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.</li> </ul>	<ul style="list-style-type: none"> <li>• Cleaning regimes</li> <li>• Site visits and workplace inspections</li> <li>• Ablution facilities</li> <li>• Kitchens and food storage facilities</li> <li>• Potable water in work areas</li> </ul>	<input type="checkbox"/> Documentation <input type="checkbox"/> Observation <input type="checkbox"/> Testimonial <input type="checkbox"/> None	<hr/> <hr/> <hr/> <hr/> <hr/> <hr/> <hr/> <hr/> <hr/> <hr/> <hr/> <hr/>	<input type="checkbox"/> Head office <input type="checkbox"/> Divisional/ Business unit <input type="checkbox"/> Facility <input type="checkbox"/> None Details: <hr/> <hr/> <hr/> <hr/>	<input type="checkbox"/> Conformance <input type="checkbox"/> Minor NC <input type="checkbox"/> Major NC <input type="checkbox"/> Not Applicable Reason: <hr/> <hr/> <hr/> <hr/>
i. providing adequately constructed and maintained workplaces that meet local building regulations.	59. Determine whether workplaces are adequately constructed and maintained to meet local building and occupational health & safety regulations.	<ul style="list-style-type: none"> <li>• Building approvals or regulator certifications</li> <li>• Site visits and workplace inspections</li> </ul>	<input type="checkbox"/> Documentation <input type="checkbox"/> Observation <input type="checkbox"/> Testimonial <input type="checkbox"/> None	<hr/> <hr/> <hr/> <hr/> <hr/> <hr/> <hr/> <hr/> <hr/> <hr/> <hr/> <hr/>	<input type="checkbox"/> Head office <input type="checkbox"/> Divisional/ Business unit <input type="checkbox"/> Facility <input type="checkbox"/> None Details: <hr/> <hr/> <hr/> <hr/>	<input type="checkbox"/> Conformance <input type="checkbox"/> Minor NC <input type="checkbox"/> Major NC <input type="checkbox"/> Not Applicable Reason: <hr/> <hr/> <hr/> <hr/>

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j. ensuring that if Employees are provided with on-site housing by Members, such housing will be maintained to a reasonable standard of Safety, repair and hygiene; and provided with sufficient and proper sanitation facilities, potable water and access to adequate power supply.	60. 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.	<ul style="list-style-type: none"> <li>• Building approvals or regulator certifications</li> <li>• Site visits and workplace inspections</li> </ul>	<input type="checkbox"/> Documentation <input type="checkbox"/> Observation <input type="checkbox"/> Testimonial <input type="checkbox"/> None	<hr/> <hr/> <hr/> <hr/> <hr/> <hr/> <hr/> <hr/> <hr/> <hr/>	<input type="checkbox"/> Head office <input type="checkbox"/> Divisional/ Business unit <input type="checkbox"/> Facility <input type="checkbox"/> None Details: <hr/> <hr/> <hr/> <hr/>	<input type="checkbox"/> Conformance <input type="checkbox"/> Minor NC <input type="checkbox"/> Major NC <input type="checkbox"/> Not Applicable Reason: <hr/> <hr/> <hr/> <hr/>
Members who are engaged in the cutting and polishing of Diamonds will use cobalt-free Diamond-impregnated scaifes.	61. For processes engaged in the cutting and polishing of diamonds, ensure that cobalt-free diamond-impregnated scaifes are used.	<ul style="list-style-type: none"> <li>• Material Data Safety Sheets</li> <li>• Policies and Procedures</li> </ul>	<input type="checkbox"/> Documentation <input type="checkbox"/> Observation <input type="checkbox"/> Testimonial <input type="checkbox"/> None	<hr/> <hr/> <hr/> <hr/> <hr/> <hr/> <hr/> <hr/> <hr/> <hr/>	<input type="checkbox"/> Head office <input type="checkbox"/> Divisional/ Business unit <input type="checkbox"/> Facility <input type="checkbox"/> None Details: <hr/> <hr/> <hr/> <hr/>	<input type="checkbox"/> Conformance <input type="checkbox"/> Minor NC <input type="checkbox"/> Major NC <input type="checkbox"/> Not Applicable Reason: <hr/> <hr/> <hr/> <hr/>



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Members will provide Employees with a mechanism, such as a joint Health and Safety committee, by which they can raise and discuss Health and Safety issues with management.	62. 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.	<ul style="list-style-type: none"> <li>Interviews with management, workers, contractors and stakeholders</li> <li>Minutes of Health &amp; Safety Committee meetings (or equivalent) showing employee and management participation</li> </ul>	<input type="checkbox"/> Documentation <input type="checkbox"/> Observation <input type="checkbox"/> Testimonial <input type="checkbox"/> None	<ul style="list-style-type: none"> <li>Site visits and workplace inspections</li> <li>Material Safety Data Sheets for hazardous substances on site</li> <li>Records relating to ozone depleting substances as defined in the Montreal Protocol</li> </ul>	<input type="checkbox"/> Head office <input type="checkbox"/> Divisional/ Business unit <input type="checkbox"/> Facility <input type="checkbox"/> None Details: _____ _____ _____ _____	<input type="checkbox"/> Conformance <input type="checkbox"/> Minor NC <input type="checkbox"/> Major NC <input type="checkbox"/> Not Applicable Reason: _____ _____ _____ _____
Members will make information about Health and Safety available to Employees in an understandable form and in an appropriate language. Material Safety Data Sheets (or equivalent necessary information) will be accessible where all Hazardous Substances are in use, and the Risks associated with use of Hazardous Substances must be clearly communicated to all Employees who work with them.	63. Determine whether personnel are aware of specific work place hazards and risks and the precautionary methods in place to avoid such hazards.	<ul style="list-style-type: none"> <li>Interviews with management, workers, contractors and stakeholders</li> <li>Workplace inspections</li> </ul>	<input type="checkbox"/> Documentation <input type="checkbox"/> Observation <input type="checkbox"/> Testimonial <input type="checkbox"/> None	_____ _____ _____ _____ _____ _____ _____ _____ _____	<input type="checkbox"/> Head office <input type="checkbox"/> Divisional/ Business unit <input type="checkbox"/> Facility <input type="checkbox"/> None Details: _____ _____ _____ _____	<input type="checkbox"/> Conformance <input type="checkbox"/> Minor NC <input type="checkbox"/> Major NC <input type="checkbox"/> Not Applicable Reason: _____ _____ _____ _____



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Members will provide access to adequate on-site Health and medical facilities, including clearly marked first aid provisions, and develop procedures for transportation of more serious Health concerns to local hospitals or medical facilities.	66. Determine whether there are clearly identifiable and sufficient first aid provisions and equipment.	<ul style="list-style-type: none"> <li>• Appropriately qualified first aid personnel</li> <li>• First aid equipment</li> <li>• Compliance assessments</li> <li>• Replenishment process</li> </ul>	<input type="checkbox"/> Documentation <input type="checkbox"/> Observation <input type="checkbox"/> Testimonial <input type="checkbox"/> None	<hr/> <hr/> <hr/> <hr/> <hr/> <hr/> <hr/> <hr/> <hr/> <hr/>	<input type="checkbox"/> Head office <input type="checkbox"/> Divisional/ Business unit <input type="checkbox"/> Facility <input type="checkbox"/> None Details: <hr/> <hr/> <hr/> <hr/>	<input type="checkbox"/> Conformance <input type="checkbox"/> Minor NC <input type="checkbox"/> Major NC <input type="checkbox"/> Not Applicable Reason: <hr/> <hr/> <hr/> <hr/>
	67. Determine whether there is information detailing how personnel can make ready use of medical facilities either on or offsite.	<ul style="list-style-type: none"> <li>• Policies and Procedures</li> <li>• Maps and locations of nearest medical facilities.</li> <li>• Interviews with management, workers, contractors and stakeholders</li> </ul>	<input type="checkbox"/> Documentation <input type="checkbox"/> Observation <input type="checkbox"/> Testimonial <input type="checkbox"/> None	<hr/> <hr/> <hr/> <hr/> <hr/> <hr/> <hr/> <hr/> <hr/> <hr/>	<input type="checkbox"/> Head office <input type="checkbox"/> Divisional/ Business unit <input type="checkbox"/> Facility <input type="checkbox"/> None Details: <hr/> <hr/> <hr/> <hr/>	<input type="checkbox"/> Conformance <input type="checkbox"/> Minor NC <input type="checkbox"/> Major NC <input type="checkbox"/> Not Applicable Reason: <hr/> <hr/> <hr/> <hr/>

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Members will install appropriate alarms, warning devices and fire Safety mechanisms. This includes fire fighting equipment; clearly marked, unlocked and unblocked emergency exits and escape routes; and emergency lighting in all Facilities.	68. 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.	<ul style="list-style-type: none"> <li>• Site visits and workplace inspections</li> <li>• Fire safety compliance audits</li> </ul>	<input type="checkbox"/> Documentation <input type="checkbox"/> Observation <input type="checkbox"/> Testimonial <input type="checkbox"/> None	<hr/> <hr/> <hr/> <hr/> <hr/> <hr/> <hr/> <hr/> <hr/> <hr/>	<input type="checkbox"/> Head office <input type="checkbox"/> Divisional/ Business unit <input type="checkbox"/> Facility <input type="checkbox"/> None Details: <hr/> <hr/> <hr/> <hr/>	<input type="checkbox"/> Conformance <input type="checkbox"/> Minor NC <input type="checkbox"/> Major NC <input type="checkbox"/> Not Applicable Reason: <hr/> <hr/> <hr/> <hr/>
Members will establish emergency procedures and evacuation plans for all reasonably foreseeable emergencies. Members will ensure that the procedures and plans are accessible or clearly displayed throughout their Facilities, are maintained, regularly tested including the conduct of evacuation drills, and are updated periodically.	69. Determine whether there are sufficient and appropriately placed emergency exits, and that they are clearly marked and are unlocked and unblocked.	<ul style="list-style-type: none"> <li>• Emergency Response Plans</li> <li>• Site visits and workplace inspections</li> <li>• Interviews with management, workers, contractors and stakeholders</li> <li>• Results of drills and emergency exercises.</li> <li>• Records of training, awareness programs and practice drills</li> </ul>	<input type="checkbox"/> Documentation <input type="checkbox"/> Observation <input type="checkbox"/> Testimonial <input type="checkbox"/> None	<hr/> <hr/> <hr/> <hr/> <hr/> <hr/> <hr/> <hr/> <hr/> <hr/>	<input type="checkbox"/> Head office <input type="checkbox"/> Divisional/ Business unit <input type="checkbox"/> Facility <input type="checkbox"/> None Details: <hr/> <hr/> <hr/> <hr/>	<input type="checkbox"/> Conformance <input type="checkbox"/> Minor NC <input type="checkbox"/> Major NC <input type="checkbox"/> Not Applicable Reason: <hr/> <hr/> <hr/> <hr/>

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Name (Member, Facility or other reference):					Date:	
Code of Practices Provisions	Assessment Questions	Types of evidence	Objective evidence in support of findings	Observations and findings	Responsibility	Performance rating
	70. 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.	<ul style="list-style-type: none"> <li>• Emergency Response Plans</li> <li>• Site visits and workplace inspections</li> <li>• Interviews with management, workers, contractors and stakeholders</li> <li>• Results of drills and emergency exercises.</li> <li>• Records of training, awareness programs and practice drills</li> </ul>	<input type="checkbox"/> Documentation <input type="checkbox"/> Observation <input type="checkbox"/> Testimonial <input type="checkbox"/> None	<hr/> <hr/> <hr/> <hr/> <hr/> <hr/> <hr/> <hr/> <hr/> <hr/>	<input type="checkbox"/> Head office <input type="checkbox"/> Divisional/ Business unit <input type="checkbox"/> Facility <input type="checkbox"/> None Details: <hr/> <hr/> <hr/> <hr/>	<input type="checkbox"/> Conformance <input type="checkbox"/> Minor NC <input type="checkbox"/> Major NC <input type="checkbox"/> Not Applicable Reason: <hr/> <hr/> <hr/> <hr/>



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Code of Practices Provisions	Assessment Questions	Types of evidence	Objective evidence in support of findings	Observations and findings	Responsibility	Performance rating
	72. Confirm that sufficient numbers of personnel are trained in first aid for the nature and scale of the business.	<ul style="list-style-type: none"> <li>• First aid provisions and equipment</li> <li>• Site visits and workplace inspections</li> <li>• First aid qualifications based on regulatory requirements or guidelines.</li> <li>• Ensure that all first aid qualifications are current</li> </ul>	<input type="checkbox"/> Documentation <input type="checkbox"/> Observation <input type="checkbox"/> Testimonial <input type="checkbox"/> None	<hr/> <hr/> <hr/> <hr/> <hr/> <hr/> <hr/> <hr/> <hr/> <hr/>	<input type="checkbox"/> Head office <input type="checkbox"/> Divisional/ Business unit <input type="checkbox"/> Facility <input type="checkbox"/> None Details: <hr/> <hr/> <hr/> <hr/>	<input type="checkbox"/> Conformance <input type="checkbox"/> Minor NC <input type="checkbox"/> Major NC <input type="checkbox"/> Not Applicable Reason: <hr/> <hr/> <hr/> <hr/>
Members will ensure that serious Health and Safety incidents, as well as the business' response and outcome from such incidents, are formally documented and investigated with the results of the investigation feeding into regular Health and Safety reviews and improvement plans.	73. 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.	<ul style="list-style-type: none"> <li>• Policies and procedures</li> <li>• Site visits and workplace inspections</li> <li>• Interviews with management, workers, contractors and stakeholders</li> </ul>	<input type="checkbox"/> Documentation <input type="checkbox"/> Observation <input type="checkbox"/> Testimonial <input type="checkbox"/> None	<hr/> <hr/> <hr/> <hr/> <hr/> <hr/> <hr/> <hr/> <hr/> <hr/>	<input type="checkbox"/> Head office <input type="checkbox"/> Divisional/ Business unit <input type="checkbox"/> Facility <input type="checkbox"/> None Details: <hr/> <hr/> <hr/> <hr/>	<input type="checkbox"/> Conformance <input type="checkbox"/> Minor NC <input type="checkbox"/> Major NC <input type="checkbox"/> Not Applicable Reason: <hr/> <hr/> <hr/> <hr/>

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	74. 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.	<ul style="list-style-type: none"> <li>Monitoring trends and assessment</li> <li>Corrective and preventive action plans</li> <li>Evidence of reviews based on incident trends</li> <li>Incident investigation reports</li> </ul>	<input type="checkbox"/> Documentation <input type="checkbox"/> Observation <input type="checkbox"/> Testimonial <input type="checkbox"/> None	<hr/> <hr/> <hr/> <hr/> <hr/> <hr/> <hr/> <hr/> <hr/> <hr/>	<input type="checkbox"/> Head office <input type="checkbox"/> Divisional/ Business unit <input type="checkbox"/> Facility <input type="checkbox"/> None Details: <hr/> <hr/> <hr/> <hr/>	<input type="checkbox"/> Conformance <input type="checkbox"/> Minor NC <input type="checkbox"/> Major NC <input type="checkbox"/> Not Applicable Reason: <hr/> <hr/> <hr/> <hr/>
Members will ensure that Employees and Contractors understand that they have the right and responsibility to stop work or refuse to work in situations that have Uncontrolled Hazards, and to immediately bring these situations to the attention of those at imminent Risk and to management.	75. 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.	<ul style="list-style-type: none"> <li>Policies and procedures</li> <li>Site visits and workplace inspections</li> <li>Interviews with management, workers, contractors and stakeholders</li> <li>Training programs</li> </ul>	<input type="checkbox"/> Documentation <input type="checkbox"/> Observation <input type="checkbox"/> Testimonial <input type="checkbox"/> None	<hr/> <hr/> <hr/> <hr/> <hr/> <hr/> <hr/> <hr/> <hr/> <hr/>	<input type="checkbox"/> Head office <input type="checkbox"/> Divisional/ Business unit <input type="checkbox"/> Facility <input type="checkbox"/> None Details: <hr/> <hr/> <hr/> <hr/>	<input type="checkbox"/> Conformance <input type="checkbox"/> Minor NC <input type="checkbox"/> Major NC <input type="checkbox"/> Not Applicable Reason: <hr/> <hr/> <hr/> <hr/>



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Name (Member, Facility or other reference):						Date:
Code of Practices Provisions	Assessment Questions	Types of evidence	Objective evidence in support of findings	Observations and findings	Responsibility	Performance rating
Diamond or Gold Jewellery products sold by Members to end consumers will be compliant with the applicable regulations for product Health and Safety.	76. 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.	<ul style="list-style-type: none"> <li>Product health &amp; safety legal compliance register</li> <li>Product information</li> <li>Interviews with management</li> </ul>	<input type="checkbox"/> Documentation <input type="checkbox"/> Observation <input type="checkbox"/> Testimonial <input type="checkbox"/> None	<hr/> <hr/> <hr/> <hr/> <hr/> <hr/> <hr/> <hr/> <hr/> <hr/>	<input type="checkbox"/> Head office <input type="checkbox"/> Divisional/ Business unit <input type="checkbox"/> Facility <input type="checkbox"/> None Details: <hr/> <hr/> <hr/> <hr/>	<input type="checkbox"/> Conformance <input type="checkbox"/> Minor NC <input type="checkbox"/> Major NC <input type="checkbox"/> Not Applicable Reason: <hr/> <hr/> <hr/> <hr/>

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Code of Practices Provisions	Assessment Questions	Types of evidence	Objective evidence in support of findings	Observations and findings	Responsibility	Performance rating
<b>2.7 DISCIPLINE AND GRIEVANCE PROCEDURES</b>						
<p><i>Members will not use corporal punishment under any circumstances, and will ensure that Employees are not subjected to harsh or degrading treatment, sexual or physical harassment, mental, physical or verbal abuse, coercion or intimidation in any circumstances.</i></p>	<p>77. Ensure that the business does not use corporal punishment.</p>	<ul style="list-style-type: none"> <li>Policy and procedures</li> <li>Interviews with Members and Employees</li> <li>Records of corporal punishment, including reports, CAR reports, etc</li> <li>Past, current and future legal proceedings</li> </ul>	<input type="checkbox"/> Documentation <input type="checkbox"/> Observation <input type="checkbox"/> Testimonial <input type="checkbox"/> None	<hr/> <hr/> <hr/> <hr/> <hr/> <hr/> <hr/> <hr/> <hr/> <hr/>	<input type="checkbox"/> Head office <input type="checkbox"/> Divisional/ Business unit <input type="checkbox"/> Facility <input type="checkbox"/> None Details: <hr/> <hr/> <hr/> <hr/>	<input type="checkbox"/> Conformance <input type="checkbox"/> Minor NC <input type="checkbox"/> <i>Major NC (= Critical Breach)</i> <input type="checkbox"/> Not Applicable Reason: <hr/> <hr/> <hr/> <hr/>
	<p>78. 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.</p>	<ul style="list-style-type: none"> <li>Policy and procedures</li> <li>Interviews with Members and Employees</li> <li>Records of corporal punishment, including reports, CAR reports, etc</li> <li>Past, current and future legal proceedings</li> </ul>	<input type="checkbox"/> Documentation <input type="checkbox"/> Observation <input type="checkbox"/> Testimonial <input type="checkbox"/> None	<hr/> <hr/> <hr/> <hr/> <hr/> <hr/> <hr/> <hr/> <hr/> <hr/>	<input type="checkbox"/> Head office <input type="checkbox"/> Divisional/ Business unit <input type="checkbox"/> Facility <input type="checkbox"/> None Details: <hr/> <hr/> <hr/> <hr/>	<input type="checkbox"/> Conformance <input type="checkbox"/> Minor NC <input type="checkbox"/> <i>Major NC (= Critical Breach)</i> <input type="checkbox"/> Not Applicable Reason: <hr/> <hr/> <hr/> <hr/>



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Code of Practices Provisions	Assessment Questions	Types of evidence	Objective evidence in support of findings	Observations and findings	Responsibility	Performance rating
	81. Verify that records are maintained of Employee grievances raised, investigation processes and outcomes.	<ul style="list-style-type: none"> <li>Interviews with management (including HR Department) and staff</li> <li>Meeting minutes</li> </ul>	<input type="checkbox"/> Documentation <input type="checkbox"/> Observation <input type="checkbox"/> Testimonial <input type="checkbox"/> None	_____ _____ _____ _____ _____ _____ _____ _____ _____	<input type="checkbox"/> Head office <input type="checkbox"/> Divisional/ Business unit <input type="checkbox"/> Facility <input type="checkbox"/> None Details: _____ _____ _____ _____	<input type="checkbox"/> Conformance <input type="checkbox"/> Minor NC <input type="checkbox"/> Major NC <input type="checkbox"/> Not Applicable  Reason: _____ _____ _____ _____



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	84. 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.	<ul style="list-style-type: none"> <li>• Policy and procedures (e.g. defining what is meant by “non-regular”)</li> <li>• Interviews with employees</li> <li>• Interviews with Human Resources and Payroll departments where applicable</li> <li>• Previous timesheet data if applicable</li> </ul>	<input type="checkbox"/> Documentation <input type="checkbox"/> Observation <input type="checkbox"/> Testimonial <input type="checkbox"/> None	<hr/> <hr/> <hr/> <hr/> <hr/> <hr/> <hr/> <hr/> <hr/> <hr/>	<input type="checkbox"/> Head office <input type="checkbox"/> Divisional/ Business unit <input type="checkbox"/> Facility <input type="checkbox"/> None Details: <hr/> <hr/> <hr/> <hr/>	<input type="checkbox"/> Conformance <input type="checkbox"/> Minor NC <input type="checkbox"/> Major NC <input type="checkbox"/> Not Applicable  Reason: <hr/> <hr/> <hr/> <hr/>
Members will provide Employees with all legally mandated leave, including maternity and paternity, compassionate and paid annual leave. Where no Applicable Law exists, paid annual leave will be provided in accordance with ILO Convention 132.	85. 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.	<ul style="list-style-type: none"> <li>• Policy and procedures</li> <li>• Human resources/ personnel records</li> <li>• Interviews with employees</li> <li>• Interviews with Human Resources and Payroll departments where applicable</li> </ul>	<input type="checkbox"/> Documentation <input type="checkbox"/> Observation <input type="checkbox"/> Testimonial <input type="checkbox"/> None	<hr/> <hr/> <hr/> <hr/> <hr/> <hr/> <hr/> <hr/> <hr/> <hr/>	<input type="checkbox"/> Head office <input type="checkbox"/> Divisional/ Business unit <input type="checkbox"/> Facility <input type="checkbox"/> None Details: <hr/> <hr/> <hr/> <hr/>	<input type="checkbox"/> Conformance <input type="checkbox"/> Minor NC <input type="checkbox"/> Major NC <input type="checkbox"/> Not Applicable  Reason: <hr/> <hr/> <hr/> <hr/>



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Code of Practices Provisions	Assessment Questions	Types of evidence	Objective evidence in support of findings	Observations and findings	Responsibility	Performance rating
<b>2.9 REMUNERATION</b>						
Members will pay all Employees a wage based on the higher of either the applicable legal minimum wage plus associated statutory benefits, or the prevailing industry standards.	87. 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.	<ul style="list-style-type: none"> <li>Interviews with employees</li> <li>Interviews with Payroll department</li> <li>Policy and procedures</li> <li>Financial records</li> </ul>	<input type="checkbox"/> Documentation <input type="checkbox"/> Observation <input type="checkbox"/> Testimonial <input type="checkbox"/> None	_____ _____ _____ _____ _____ _____ _____ _____	<input type="checkbox"/> Head office <input type="checkbox"/> Divisional/ Business unit <input type="checkbox"/> Facility <input type="checkbox"/> None Details: _____ _____ _____ _____	<input type="checkbox"/> Conformance <input type="checkbox"/> Minor NC <input type="checkbox"/> Major NC <input type="checkbox"/> Not Applicable Reason: _____ _____ _____ _____
Members will make payment to the Employee on a regular and pre-determined basis.	88. Ensure that the business makes payment to employees on a regular and pre-determined basis.	<ul style="list-style-type: none"> <li>Financial/ Accounting Management System</li> <li>Interviews with employees</li> <li>Interviews with Payroll department</li> <li>Policy and procedures</li> <li>Financial records (including consecutive wage slips from Employees if possible)</li> </ul>	<input type="checkbox"/> Documentation <input type="checkbox"/> Observation <input type="checkbox"/> Testimonial <input type="checkbox"/> None	_____ _____ _____ _____ _____ _____ _____ _____	<input type="checkbox"/> Head office <input type="checkbox"/> Divisional/ Business unit <input type="checkbox"/> Facility <input type="checkbox"/> None Details: _____ _____ _____ _____	<input type="checkbox"/> Conformance <input type="checkbox"/> Minor NC <input type="checkbox"/> Major NC <input type="checkbox"/> Not Applicable Reason: _____ _____ _____ _____



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Code of Practices Provisions	Assessment Questions	Types of evidence	Objective evidence in support of findings	Observations and findings	Responsibility	Performance rating
Members will provide payment by bank transfer or in cash or cheque form, in a manner and location convenient to the Employees.	89. Ensure that the business provides payment by bank transfer or in cash or cheque form in a manner and location convenient to employees.	<ul style="list-style-type: none"> <li>Financial/ Accounting Management System</li> <li>Interviews with Members and Employees</li> <li>Policy and procedures</li> <li>Financial records</li> </ul>	<input type="checkbox"/> Documentation <input type="checkbox"/> Observation <input type="checkbox"/> Testimonial <input type="checkbox"/> None	_____ _____ _____ _____ _____ _____ _____ _____	<input type="checkbox"/> Head office <input type="checkbox"/> Divisional/ Business unit <input type="checkbox"/> Facility <input type="checkbox"/> None Details: _____ _____ _____ _____	<input type="checkbox"/> Conformance <input type="checkbox"/> Minor NC <input type="checkbox"/> Major NC <input type="checkbox"/> Not Applicable Reason: _____ _____ _____ _____
Members will accompany all payments by a wage slip which clearly details wage rates, benefits and deductions where applicable.	90. Confirm that all payments are accompanied by a wage slip that clearly details wage rates, benefits and deductions where applicable.	<ul style="list-style-type: none"> <li>Interviews with employees and Payroll department</li> <li>Policy and procedures</li> <li>Wage slip that clearly details wage rates, benefits and deductions where applicable</li> </ul>	<input type="checkbox"/> Documentation <input type="checkbox"/> Observation <input type="checkbox"/> Testimonial <input type="checkbox"/> None	_____ _____ _____ _____ _____ _____ _____ _____	<input type="checkbox"/> Head office <input type="checkbox"/> Divisional/ Business unit <input type="checkbox"/> Facility <input type="checkbox"/> None Details: _____ _____ _____ _____	<input type="checkbox"/> Conformance <input type="checkbox"/> Minor NC <input type="checkbox"/> Major NC <input type="checkbox"/> Not Applicable Reason: _____ _____ _____ _____

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Code of Practices Provisions	Assessment Questions	Types of evidence	Objective evidence in support of findings	Observations and findings	Responsibility	Performance rating
Members will not make deductions from wages without following due process.	91. Confirm that due process is being followed if deductions from wages need to occur.	<ul style="list-style-type: none"> <li>Financial/ Accounting Management System</li> <li>Interviews with employees</li> <li>Interviews with Human Resources and Payroll departments where applicable</li> <li>Policy and procedures</li> <li>Legislation or other requirements from where "due process" was derived</li> </ul>	<input type="checkbox"/> Documentation <input type="checkbox"/> Observation <input type="checkbox"/> Testimonial <input type="checkbox"/> None	<hr/> <hr/> <hr/> <hr/> <hr/> <hr/> <hr/> <hr/> <hr/> <hr/>	<input type="checkbox"/> Head office <input type="checkbox"/> Divisional/ Business unit <input type="checkbox"/> Facility <input type="checkbox"/> None Details: <hr/> <hr/> <hr/> <hr/>	<input type="checkbox"/> Conformance <input type="checkbox"/> Minor NC <input type="checkbox"/> Major NC <input type="checkbox"/> Not Applicable  Reason: <hr/> <hr/> <hr/> <hr/>
Members will not force Employees to buy provisions from the Member's own business or Facilities.	92. Confirm that Employees are not forced to buy provisions from the business or its Facilities.	<ul style="list-style-type: none"> <li>Interviews with employees,</li> <li>Interviews with Human Resources and Payroll departments where applicable</li> <li>Policy and procedures</li> </ul>	<input type="checkbox"/> Documentation <input type="checkbox"/> Observation <input type="checkbox"/> Testimonial <input type="checkbox"/> None	<hr/> <hr/> <hr/> <hr/> <hr/> <hr/> <hr/> <hr/> <hr/> <hr/>	<input type="checkbox"/> Head office <input type="checkbox"/> Divisional/ Business unit <input type="checkbox"/> Facility <input type="checkbox"/> None Details: <hr/> <hr/> <hr/> <hr/>	<input type="checkbox"/> Conformance <input type="checkbox"/> Minor NC <input type="checkbox"/> Major NC <input type="checkbox"/> Not Applicable  Reason: <hr/> <hr/> <hr/> <hr/>

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Code of Practices Provisions	Assessment Questions	Types of evidence	Objective evidence in support of findings	Observations and findings	Responsibility	Performance rating
<b>2.10 GENERAL EMPLOYMENT TERMS</b>						
<p>Obligations to Employees under Applicable Law relating to labour or social security arising from the regular employment relationship will not be avoided through the use of labour-only contracting, sub-contracting, or home-working arrangements; or through apprenticeship schemes where there is no real intent to impart skills or provide regular employment; or through the excessive use of fixed-term contracts of employment.</p>	<p>93. 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.</p>	<ul style="list-style-type: none"> <li>Recognised employment relationship</li> <li>Employment contracts</li> </ul>	<input type="checkbox"/> Documentation <input type="checkbox"/> Observation <input type="checkbox"/> Testimonial <input type="checkbox"/> None	<hr/> <hr/> <hr/> <hr/> <hr/> <hr/> <hr/> <hr/> <hr/> <hr/>	<input type="checkbox"/> Head office <input type="checkbox"/> Divisional/ Business unit <input type="checkbox"/> Facility <input type="checkbox"/> None Details: <hr/> <hr/> <hr/> <hr/>	<input type="checkbox"/> Conformance <input type="checkbox"/> Minor NC <input type="checkbox"/> Major NC <input type="checkbox"/> Not Applicable  Reason: <hr/> <hr/> <hr/> <hr/>
	<p>94. 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.</p>	<ul style="list-style-type: none"> <li>Obligations to Employees under applicable Law relating to labour or social-security arising from the regular employment relationship</li> </ul>				

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Code of Practices Provisions	Assessment Questions	Types of evidence	Objective evidence in support of findings	Observations and findings	Responsibility	Performance rating
<p>Members will maintain appropriate Employee records, including records of piece rate and wage payments as well as working hours, for all staff employed, whether on a full time, part time or seasonal basis.</p>	<p>95. 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).</p>	<ul style="list-style-type: none"> <li>Employee records</li> <li>Policy and procedures</li> <li>Interviews with HR Department</li> </ul>	<p><input type="checkbox"/> Documentation</p> <p><input type="checkbox"/> Observation</p> <p><input type="checkbox"/> Testimonial</p> <p><input type="checkbox"/> None</p>	<p>_____</p> <p>_____</p> <p>_____</p> <p>_____</p> <p>_____</p> <p>_____</p> <p>_____</p> <p>_____</p>	<p><input type="checkbox"/> Head office</p> <p><input type="checkbox"/> Divisional/ Business unit</p> <p><input type="checkbox"/> Facility</p> <p><input type="checkbox"/> None</p> <p>Details:</p> <p>_____</p> <p>_____</p> <p>_____</p> <p>_____</p>	<p><input type="checkbox"/> Conformance</p> <p><input type="checkbox"/> Minor NC</p> <p><input type="checkbox"/> Major NC</p> <p><input type="checkbox"/> Not Applicable</p> <p>Reason:</p> <p>_____</p> <p>_____</p> <p>_____</p> <p>_____</p>

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Code of Practices Provisions	Assessment Questions	Types of evidence	Objective evidence in support of findings	Observations and findings	Responsibility	Performance rating
<b>2.11 COMMUNITY DEVELOPMENT</b>						
Members will seek to support the development of the communities in which they operate through support of community initiatives.	96. Determine whether the business supports the development of the community in which they operate through support of community initiatives.	<ul style="list-style-type: none"> <li>Community Management Plan</li> <li>Interviews with management</li> <li>Interviews with community (if possible)</li> <li>Meeting minutes, Internal memos, etc</li> <li>Records of support of community initiatives</li> </ul>	<input type="checkbox"/> Documentation <input type="checkbox"/> Observation <input type="checkbox"/> Testimonial <input type="checkbox"/> None	<hr/> <hr/> <hr/> <hr/> <hr/> <hr/> <hr/> <hr/> <hr/> <hr/>	<input type="checkbox"/> Head office <input type="checkbox"/> Divisional/ Business unit <input type="checkbox"/> Facility <input type="checkbox"/> None Details: <hr/> <hr/> <hr/> <hr/>	<input type="checkbox"/> Conformance <input type="checkbox"/> Minor NC <input type="checkbox"/> Major NC <input type="checkbox"/> Not Applicable  Reason: <hr/> <hr/> <hr/> <hr/>

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Code of Practices Provisions	Assessment Questions	Types of evidence	Objective evidence in support of findings	Observations and findings	Responsibility	Performance rating
<b>2.12 USE OF SECURITY PERSONNEL</b>						
<p>Members will use armed security personnel only when there is no acceptable alternative to manage Risk or to ensure the personal Safety of Employees, Contractors and Visitors to the Facility.</p>	<p>97. 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.</p>	<ul style="list-style-type: none"> <li>Interviews with management and workers</li> <li>Security Management System/Plan/Program including policy and procedures</li> <li>Meeting minutes, Internal memos, etc</li> <li>Incident/CAR reports</li> </ul>	<input type="checkbox"/> Documentation <input type="checkbox"/> Observation <input type="checkbox"/> Testimonial <input type="checkbox"/> None	<hr/> <hr/> <hr/> <hr/> <hr/> <hr/> <hr/> <hr/> <hr/> <hr/>	<input type="checkbox"/> Head office <input type="checkbox"/> Divisional/ Business unit <input type="checkbox"/> Facility <input type="checkbox"/> None Details: <hr/> <hr/> <hr/> <hr/>	<input type="checkbox"/> Conformance <input type="checkbox"/> Minor NC <input type="checkbox"/> Major NC <input type="checkbox"/> Not Applicable  Reason: <hr/> <hr/> <hr/> <hr/>
<p>Members will ensure that all security personnel respect the human rights and dignity of all people and use the minimum force proportionate to the threat.</p>	<p>98. Ensure that all armed personnel respect the human rights and dignity of all people and use the minimum force proportionate to the threat.</p>	<ul style="list-style-type: none"> <li>Interviews with managers, workers, security personnel and stakeholders</li> <li>Security Management System/Plan/Program including policy and procedures</li> <li>Meeting minutes, Internal memos, etc</li> <li>Incident/CAR reports</li> </ul>	<input type="checkbox"/> Documentation <input type="checkbox"/> Observation <input type="checkbox"/> Testimonial <input type="checkbox"/> None	<hr/> <hr/> <hr/> <hr/> <hr/> <hr/> <hr/> <hr/> <hr/> <hr/>	<input type="checkbox"/> Head office <input type="checkbox"/> Divisional/ Business unit <input type="checkbox"/> Facility <input type="checkbox"/> None Details: <hr/> <hr/> <hr/> <hr/>	<input type="checkbox"/> Conformance <input type="checkbox"/> Minor NC <input type="checkbox"/> Major NC <input type="checkbox"/> Not Applicable  Reason: <hr/> <hr/> <hr/> <hr/>

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Code of Practices Provisions	Assessment Questions	Types of evidence	Objective evidence in support of findings	Observations and findings	Responsibility	Performance rating
<p>Members will ensure that, in situations of ongoing unrest or conflict, security personnel will receive appropriate training in, and operate in accordance with, the standards and principles defined in the Voluntary Principles on Security and Human Rights (2000).</p>	<p>99. Ensure that security personnel receive appropriate training to ensure they operate in accordance with standards and principles defined in the Voluntary Principles on Security and Human Rights (2000).</p>	<ul style="list-style-type: none"> <li>Interviews with Security personnel and Training Coordinator/HR (where applicable)</li> <li>Signed training attendance</li> <li>Training register</li> <li>Code of Practices and the Voluntary Principles on Security and Human Rights (2000) readily available</li> </ul>	<p><input type="checkbox"/> Documentation</p> <p><input type="checkbox"/> Observation</p> <p><input type="checkbox"/> Testimonial</p> <p><input type="checkbox"/> None</p>	<p>_____</p> <p>_____</p> <p>_____</p> <p>_____</p> <p>_____</p> <p>_____</p> <p>_____</p>	<p><input type="checkbox"/> Head office</p> <p><input type="checkbox"/> Divisional/ Business unit</p> <p><input type="checkbox"/> Facility</p> <p><input type="checkbox"/> None</p> <p>Details:</p> <p>_____</p> <p>_____</p> <p>_____</p>	<p><input type="checkbox"/> Conformance</p> <p><input type="checkbox"/> Minor NC</p> <p><input type="checkbox"/> Major NC</p> <p><input type="checkbox"/> Not Applicable</p> <p>Reason:</p> <p>_____</p> <p>_____</p> <p>_____</p>





## Section 2 Assessment Questions

Name (Member, Facility or other reference):					Date:	
Code of Practices Provisions	Assessment Questions	Types of evidence	Objective evidence in support of findings	Observations and findings	Responsibility	Performance rating
<b>3.2 HAZARDOUS SUBSTANCES</b>						
<i>Members will not manufacture, trade, and/or use chemicals and Hazardous Substances subject to international bans due to their high toxicity to living organisms, environmental persistence, potential for bioaccumulation, or potential for depletion of the ozone layer.</i>	101. 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.	<ul style="list-style-type: none"> <li>• Site visits and workplace inspections</li> <li>• Current Material Safety Data Sheets for hazardous substances on site</li> <li>• Records relating to ozone depleting substances as defined in the Montreal Protocol</li> <li>• Risk assessments for use of hazardous substances</li> </ul>	<input type="checkbox"/> Documentation <input type="checkbox"/> Observation <input type="checkbox"/> Testimonial <input type="checkbox"/> None	<hr/> <hr/> <hr/> <hr/> <hr/> <hr/> <hr/> <hr/> <hr/> <hr/>	<input type="checkbox"/> Head office <input type="checkbox"/> Divisional/ Business unit <input type="checkbox"/> Facility <input type="checkbox"/> None Details: <hr/> <hr/> <hr/> <hr/>	<input type="checkbox"/> Conformance <input type="checkbox"/> Minor NC <input type="checkbox"/> <i>Major NC (= Critical Breach)</i> <input type="checkbox"/> Not Applicable Reason: <hr/> <hr/> <hr/> <hr/>
Members will employ alternatives to other Hazardous Substances used in production processes wherever technically and economically viable.	102. Confirm that where technically and economically viable the business substitutes hazardous substances used in production processes with alternatives that as less hazardous.	<ul style="list-style-type: none"> <li>• Reviews of alternatives less hazardous substances</li> <li>• Risk assessments</li> <li>• Site visits and workplace inspections</li> </ul>	<input type="checkbox"/> Documentation <input type="checkbox"/> Observation <input type="checkbox"/> Testimonial <input type="checkbox"/> None	<hr/> <hr/> <hr/> <hr/> <hr/> <hr/> <hr/> <hr/> <hr/> <hr/>	<input type="checkbox"/> Head office <input type="checkbox"/> Divisional/ Business unit <input type="checkbox"/> Facility <input type="checkbox"/> None Details: <hr/> <hr/> <hr/> <hr/>	<input type="checkbox"/> Conformance <input type="checkbox"/> Minor NC <input type="checkbox"/> Major NC <input type="checkbox"/> Not Applicable Reason: <hr/> <hr/> <hr/> <hr/>

# Section 2 Assessment Questions

<b>Name (Member, Facility or other reference):</b>	<b>Date:</b>
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Code of Practices Provisions	Assessment Questions	Types of evidence	Objective evidence in support of findings	Observations and findings	Responsibility	Performance rating
<p>All mining Members using cyanide in the recovery of Gold will comply with the International Cyanide Management Code, 2005 and will ensure applicable sites are certified to the International Cyanide Management Code within 3 years from the date of joining the RJC.</p>	<p>103. For mining businesses 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.</p>	<ul style="list-style-type: none"> <li>• International Cyanide Management Code compliance audits and certification, if applicable</li> <li>• Site visits and workplace inspections</li> <li>• Interviews with management, workers, contractors and stakeholders</li> <li>• Procedures and plans</li> </ul>	<p><input type="checkbox"/> Documentation</p> <p><input type="checkbox"/> Observation</p> <p><input type="checkbox"/> Testimonial</p> <p><input type="checkbox"/> None</p>	<p>_____</p> <p>_____</p> <p>_____</p> <p>_____</p> <p>_____</p> <p>_____</p> <p>_____</p> <p>_____</p>	<p><input type="checkbox"/> Head office</p> <p><input type="checkbox"/> Divisional/ Business unit</p> <p><input type="checkbox"/> Facility</p> <p><input type="checkbox"/> None</p> <p>Details:</p> <p>_____</p> <p>_____</p> <p>_____</p> <p>_____</p>	<p><input type="checkbox"/> Conformance</p> <p><input type="checkbox"/> Minor NC</p> <p><input type="checkbox"/> Major NC</p> <p><input type="checkbox"/> Not Applicable</p> <p>Reason:</p> <p>_____</p> <p>_____</p> <p>_____</p> <p>_____</p>



# Section 2 Assessment Questions

<b>Name (Member, Facility or other reference):</b>	<b>Date:</b>
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Code of Practices Provisions	Assessment Questions	Types of evidence	Objective evidence in support of findings	Observations and findings	Responsibility	Performance rating
	106. Confirm that waste disposal decision-making processes consider environmental impacts and not just cost.	<ul style="list-style-type: none"> <li>Records indicating waste levels are reducing</li> <li>Procurement policy for waste disposal</li> <li>Risk assessments</li> <li>Cost benefit assessments</li> </ul>	<input type="checkbox"/> Documentation <input type="checkbox"/> Observation <input type="checkbox"/> Testimonial <input type="checkbox"/> None	<hr/> <hr/> <hr/> <hr/> <hr/> <hr/> <hr/> <hr/> <hr/> <hr/> <hr/> <hr/>	<input type="checkbox"/> Head office <input type="checkbox"/> Divisional/ Business unit <input type="checkbox"/> Facility <input type="checkbox"/> None Details: <hr/> <hr/> <hr/> <hr/>	<input type="checkbox"/> Conformance <input type="checkbox"/> Minor NC <input type="checkbox"/> Major NC <input type="checkbox"/> Not Applicable Reason: <hr/> <hr/> <hr/> <hr/>
Members will seek to decrease emissions to air, water and land relative to production output.	107. Determine that the business seeks to reduce emissions to air, water and land relative to production output.	<ul style="list-style-type: none"> <li>Records indicating waste levels are reducing</li> <li>Waste management plan</li> <li>Waste reduction targets</li> </ul>	<input type="checkbox"/> Documentation <input type="checkbox"/> Observation <input type="checkbox"/> Testimonial <input type="checkbox"/> None	<hr/> <hr/> <hr/> <hr/> <hr/> <hr/> <hr/> <hr/> <hr/> <hr/> <hr/> <hr/>	<input type="checkbox"/> Head office <input type="checkbox"/> Divisional/ Business unit <input type="checkbox"/> Facility <input type="checkbox"/> None Details: <hr/> <hr/> <hr/> <hr/>	<input type="checkbox"/> Conformance <input type="checkbox"/> Minor NC <input type="checkbox"/> Major NC <input type="checkbox"/> Not Applicable Reason: <hr/> <hr/> <hr/> <hr/>





# Section 2 Assessment Questions

<b>Name (Member, Facility or other reference):</b>	<b>Date:</b>
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Code of Practices Provisions	Assessment Questions	Types of evidence	Objective evidence in support of findings	Observations and findings	Responsibility	Performance rating
<b>4.2 POLICY</b>						
Members must adopt a policy that is endorsed by senior management, supports achievement of this Code of Practices and make the policy publicly available.	111. 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.	<ul style="list-style-type: none"> <li>• Policy documentation</li> </ul>	<input type="checkbox"/> Documentation <input type="checkbox"/> Observation <input type="checkbox"/> Testimonial <input type="checkbox"/> None	_____ _____ _____ _____ _____ _____ _____ _____	<input type="checkbox"/> Head office <input type="checkbox"/> Divisional/ Business unit <input type="checkbox"/> Facility <input type="checkbox"/> None Details: _____ _____ _____ _____	<input type="checkbox"/> Conformance <input type="checkbox"/> Minor NC <input type="checkbox"/> Major NC <input type="checkbox"/> Not Applicable Reason: _____ _____ _____ _____
	112. Confirm that this Policy is made available to the public.	<ul style="list-style-type: none"> <li>• Interviews with management, workers, contractors and stakeholders</li> <li>• Available on websites or other public forums</li> </ul>	<input type="checkbox"/> Documentation <input type="checkbox"/> Observation <input type="checkbox"/> Testimonial <input type="checkbox"/> None	_____ _____ _____ _____ _____ _____ _____ _____	<input type="checkbox"/> Head office <input type="checkbox"/> Divisional/ Business unit <input type="checkbox"/> Facility <input type="checkbox"/> None Details: _____ _____ _____ _____	<input type="checkbox"/> Conformance <input type="checkbox"/> Minor NC <input type="checkbox"/> Major NC <input type="checkbox"/> Not Applicable Reason: _____ _____ _____ _____

# Section 2 Assessment Questions

<b>Name (Member, Facility or other reference):</b>	<b>Date:</b>
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Code of Practices Provisions	Assessment Questions	Types of evidence	Objective evidence in support of findings	Observations and findings	Responsibility	Performance rating
<b>4.3 BUSINESS PARTNERS</b>						
Members will consider Risks related to business ethics, human rights, social and environmental business practices of significant Business Partners in the Gold and Diamond Jewellery supply chain, which have the potential to impact the Members' own practices arising from such business relationships. Based on this Risk Assessment, Members will use their best endeavours, commensurate with their ability to influence, to promote responsible business practices among their Business Partners.	113. Verify that the Member has identified those Business Partners that have the potential to constitute a significant risk to the Members.	<ul style="list-style-type: none"> <li>• List of Business Partners</li> <li>• Risk assessment</li> </ul>	<input type="checkbox"/> Documentation <input type="checkbox"/> Observation <input type="checkbox"/> Testimonial <input type="checkbox"/> None	_____ _____ _____ _____ _____ _____ _____ _____	<input type="checkbox"/> Head office <input type="checkbox"/> Divisional/ Business unit <input type="checkbox"/> Facility <input type="checkbox"/> None Details: _____ _____ _____ _____	<input type="checkbox"/> Conformance <input type="checkbox"/> Minor NC <input type="checkbox"/> Major NC <input type="checkbox"/> Not Applicable Reason: _____ _____ _____ _____
	114. Determine whether the Member has conducted a risk assessment to understand the risks associated with these significant Business Partners.	<ul style="list-style-type: none"> <li>• Risk assessment</li> </ul>	<input type="checkbox"/> Documentation <input type="checkbox"/> Observation <input type="checkbox"/> Testimonial <input type="checkbox"/> None	_____ _____ _____ _____ _____ _____ _____ _____	<input type="checkbox"/> Head office <input type="checkbox"/> Divisional/ Business unit <input type="checkbox"/> Facility <input type="checkbox"/> None Details: _____ _____ _____ _____	<input type="checkbox"/> Conformance <input type="checkbox"/> Minor NC <input type="checkbox"/> Major NC <input type="checkbox"/> Not Applicable Reason: _____ _____ _____ _____





## Section 3 Additional Findings and Suggested Business Improvements

Please provide the following details as appropriate.

**Please note any additional general findings made during the Self Assessment.**

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**Please provide details of planned changes to the Member's business that may occur in 2008 – 2010.**

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**Please provide details of suggested Business Improvements.**

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## Section 4 Request for Verification Assessment

Based on the results of the Self Assessment, the Member(s) requests a Verification Assessment from an Accredited Auditor(s) to verify the information contained herein. This request is made acknowledging:

- The information is provided is true and accurate to the best knowledge of the Member(s) preparing the Self Assessment.
- If identified, all Critical Breaches have been brought to the attention of the RJC Management Team and have been rectified.
- If identified, all Major Non-Conformances have been corrected or are subject to a Corrective Action plan. The Corrective Action Plan details the Corrective and Preventive Actions, and the means, resources and timeframe for their implementation.
- The information in the Self Assessment, Corrective Action Plan(s) (if applicable) and accompanying documentation is authorised for use by the Auditor to establish a program for the Verification Assessment.

**Authorised Person:** \_\_\_\_\_

**Position:** \_\_\_\_\_

**Member Name:** \_\_\_\_\_

**Signature:** \_\_\_\_\_

**Date:** \_\_\_\_\_

*When the Self Assessment is complete, it should be forwarded to the Accredited Auditor(s) engaged by the Member.*

***DO NOT send your Self Assessment to the RJC Management Team.***

# 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>Applicable Law</b>	The relevant national and/or state and/or local laws of the country or countries in which the Member operates.
<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>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 younger than the age(s) specified in the above definition of a Child, except as provided for by ILO Recommendation 146. 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>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 service for a Member. This includes sub-contractors.
<b>Control</b>	Control by a Member is defined as: <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>	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>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>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>
<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.
<b>ICMM</b>	International Council on Mining and Metals
<b>ILO</b>	International Labour Organisation
<b>ISO</b>	International Organisation for Standardisation
<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>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;</li> <li>(ii) commits to the prevailing RJC Principles on business ethics, social, human rights and environmental performance; and</li> <li>(iii) undertakes the payment of the annual RJC commercial membership fee; is eligible to become a RJC Commercial Member.</li> </ol> <p>The Member may consist of one or more Entities and/or Facilities. 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 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>	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: <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
<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>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>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 miner</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>• Bank or other service industry to the Diamond and/or Gold industry (e.g. shipper, broker)</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>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>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>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>Young Person</b>	Any worker over the age of a Child as defined above and under the age of 18 years.