

Responsible Jewellery Council – Chain of Custody Standard Consultation Round 2

Draft Standard

November 2023

Introduction

The Responsible Jewellery Council (RJC) is the world's leading standard-setting organisation for the jewellery and watch industry. We bring together over 1700 companies of all sizes, across the global watch and jewellery supply chain, from retail to mining. What unites us is our shared belief that responsible business, without causing harm to people or the planet, is good business and that this can only be achieved by working together, in partnership with others.

The RJC is the only ISEAL Code Compliant member for sustainable standards and practices in the jewellery industry. Our Code of Practices (COP) and Chain of Custody (CoC) standards are a foundation for positive change that promote trust and confidence in our industry. As part of our compliance with the [ISEAL standard setting code](#), the RJC revises its Standards at least every five years. Transparently reviewing and updating the Standards ensures us to remain accountable to all stakeholders, and allows for the incorporation of changes in best practice to provide a global responsible jewellery and watches supply chain.

This document is the latest draft standard being proposed. RJC is seeking feedback on the changes being proposed to the standard as shown in this document. This draft standard has taken into consideration multistakeholder comments received in round 1 consultation as well as input from the RJC Standards Committee.

Timeline

In 2022, the RJC started a major review of the CoC, the voluntary standard against which RJC members must demonstrate independently verified conformance to achieve certification. The first round of consultation was successfully completed in December 2022.

This second round of consultation has will be open from 16th November 2023 to 19th January 2024. RJC will then produce a summary of the received comments, provide a response to that summary, and make this publicly available on the RJC website. An optional third round of 30-day consultation will be held in Q2 2023 if there are issues unresolved.

How to provide comments

We are now inviting all stakeholders to have their say on the second round of public consultation. We kindly ask that all comments are submitted via an online form, which can be accessed: [here](#).

All comments will be considered carefully and will be available on the RJC website after the consultation period ends.

Enquiries

If you have any enquiries or questions on how you can engage in the consultation, or would like to know more about the consultation process, please go to the RJC website: [here](#) or email us on: consultation@responsiblejewellery.com

Key for the below table:

Red text: round 1 proposed amendments to provisions

Blue text: round 2 proposed amendments to provisions

~~Strike through text:~~ removed text

Underlined: additional wording

Draft proposed standard

Provision Number	Current CoC wording	Round 1 proposed amendments to provisions	Round 2 proposed amendments to provisions
SECTION: DUE DILIGENCE AND KNOW YOUR COUNTERPARTY FOR RESPONSIBLE SOURCING			
Provision: Due Diligence			
1.1	Entities shall adopt and communicate to their suppliers and the public a supply chain policy for sourcing gold and PGM from conflict-affected and high-risk areas. The policy shall be consistent with Annex II of the OECD Due Diligence Guidance for Responsible Supply Chains of Minerals from Conflict-Affected and High-Risk Areas ('the OECD Guidance').	Entities shall adopt and communicate to their suppliers and the public a supply chain policy for sourcing gold and PGM from conflict-affected and high risk areas. The policy shall be consistent with Annex II of the OECD Due Diligence Guidance for Responsible Supply Chains of Minerals from Conflict Affected and High Risk Areas ('the OECD Guidance'). <i>Note: provision removed</i>	No amendments
1.2	Entities shall exercise due diligence over the supply chains of gold and PGM in ways appropriate to their size and circumstances: a. Entities in the gold value chain shall adhere to the OECD Guidance and the recommendations of its Supplement on Gold as applicable to their operations. b. Entities in the PGM value chain shall adhere to the OECD Guidance	Entities shall exercise due diligence over the supply chains of gold and PGM in ways appropriate to their size and circumstances: a. Entities in the gold value chain shall adhere to the OECD Guidance and the recommendations of its Supplement on Gold as applicable to their operations. b. Entities in the PGM value chain shall adhere to the OECD Guidance <i>Note: provision removed</i>	No amendments

1.3	Refiner entities shall maintain internal material control systems that allow for the reconciliation of movement of inventory in and out over a given time. Gold refiners shall additionally collect and, with due regard to business confidentiality, share information on the mine of origin of mined gold received with the RJC each year.	Refiner entities shall maintain internal material control systems that allow for the reconciliation of movement of inventory in and out over a given time. Gold refiners shall additionally collect and, with due regard to business confidentiality, share information on the mine of origin of mined gold received with the RJC each year. <i>Note: provision removed</i>	No amendments
Provision: Know Your Counterparty (KYC)			
2.4	The entity shall document a KYC policy and procedures for business partners. Business partners include suppliers or customers of gold and PGM or jewellery products containing these materials. The policy and procedures shall include: a. Establishing the identity and, where triggered by a risk assessment or applicable law, the beneficial ownership and principals of the counterparty. b. Verifying that the counterparty and, if applicable, their beneficial owners are not named on relevant government lists for individuals or organisations implicated in money laundering, fraud or involvement with prohibited organisations and/or those financing conflict. c. Maintaining an understanding of the nature of their business, finances and sources of materials. d. Monitoring relevant transactions for unusual or suspicious activity and reporting suspicious	The entity shall document a KYC policy and procedures for business partners. Business partners include suppliers or customers of gold and PGM or jewellery products containing these materials. The policy and procedures shall include: a. Establishing the identity and, where triggered by a risk assessment or applicable law, the beneficial ownership and principals of the counterparty. b. Verifying that the counterparty and, if applicable, their beneficial owners are not named on relevant government lists for individuals or organisations implicated in money laundering, fraud or involvement with prohibited organisations and/or those financing conflict. c. Maintaining an understanding of the nature of their business, finances and sources of materials. d. Monitoring relevant transactions for unusual or suspicious activity and reporting suspicious	No amendments

	transactions to the relevant authorities as applicable. e. Maintaining adequate records for a minimum of five years or for as long as defined by national legislation, whichever is longer.	transactions to the relevant authorities as applicable. e. Maintaining adequate records for a minimum of five years or for as long as defined by national legislation, whichever is longer.	
2.2	The entity shall nominate an individual to be responsible for implementing the KYC policy and procedures.	The entity shall nominate an individual to be responsible for implementing the KYC policy and procedures. <i>Note: provision removed</i>	No amendments
2.3	The entity shall carry out a regular review of its KYC policy and procedures to ensure they are up to date and appropriate	The entity shall carry out a regular review of its KYC policy and procedures to ensure they are up to date and appropriate <i>Note: provision removed</i>	No amendments
SECTION: CHAIN OF CUSTODY MANAGEMENT			
Provision: Management Systems and Responsibilities			
3.1 1.1	The entity shall have documented management systems that address all applicable requirements of the standard in all facilities under its control that have custody of CoC material.	No amendments	No amendments
3.2 1.2	The entity shall assign authority and responsibility to a senior staff member for the entity's compliance with all applicable requirements of the standard.	No amendments	No amendments
3.3 1.3	The entity shall establish and implement communications and training measures that make relevant personnel aware of, and	No amendments	No amendments

	competent in, their responsibilities under the standard.		
3.4 1.4	The entity shall maintain records covering all applicable requirements of the standard and shall retain them for a minimum of five years or for as long as defined by national legislation, whichever is longer.	No amendments	No amendments
3.5 1.5	The entity shall have systems in place that enable it to respond to reasonable requests for verification of the CoC transfer documents it issues.	No amendments	No amendments
3.6 1.6	The entity shall carry out regular reviews at least every two years to ensure that its management systems are appropriate and up to date.	No amendments	No amendments
3.7 1.7	The entity seeking CoC certification shall be an RJC member, or under the control of an RJC member, in good standing, thereby committing to uphold responsible business practices as defined in the RJC's COP.	No amendments	The entity seeking CoC certification shall be an RJC member, or under the control of an RJC member, in good standing, thereby committing <u>certified to the RJC's COP 2019 or later and thereby be committed</u> to uphold responsible business practices as defined in the RJC's COP.
Provision: Internal Material Controls			
4.4 2.1	The entity shall identify each point at which there is an opportunity for eligible and/or CoC material in its custody to become mixed with non-eligible and/or non-CoC material and shall put controls in place to ensure segregation.	No amendments	No amendments

4.2.2.2	The entity's internal systems shall be able to reconcile the total weight of eligible and/or CoC material in its custody with movements in and out of the inventory over a given time. If the entity has custody of jewellery products containing CoC material, reconciliation may be by item count rather than weight.	No amendments	No amendments
4.3.2.3	If the entity issues a CoC transfer document for CoC material identified as having a certain provenance or other characteristic, the entity's internal systems shall ensure that the requirements for segregation and reconciliation as set out in provisions 4.1 and 4.2 apply to help segregate that CoC material.	If the entity issues a CoC transfer document for CoC material identified as having a certain provenance or other characteristic, the entity's internal systems shall ensure that the requirements for segregation and reconciliation as set out in provisions 2.1 and 2.2 apply to help segregate that CoC material.	No amendments
4.4.2.4	The entity's internal systems shall verify and document that the contents of each shipment of CoC material received from, or dispatched to, other certified entities, outsourcing contractors or service companies are accurately described by the applicable CoC transfer document for that shipment. If an error is discovered after CoC material has been shipped, the entity and the other party shall document the error and take the agreed steps to correct it.	No amendments	No amendments
2.5		Refiner entities, cutters and polishers shall maintain internal material control systems that allow for the reconciliation of movement of inventory in and out over a given time. Gold refiners shall additionally collect and, with due regard to business confidentiality, share	Refiner entities shall additionally, cutters and polishers shall maintain internal material control systems that <u>can uniquely identify the origin of each material including date received, quantity and assay, and reconcile</u> allow for the reconciliation of movement of inventory in and out over a given time.

		information on the mine of origin of mined gold received with the RJC each year.	Gold refiners shall additionally collect and annually publicly report , with due regard to business confidentiality, share information on the <u>quantity, source and characteristics of the materials handled.</u> collect and annually publicly report, with due regard to business confidentiality, information on the mine of origin of mined gold received, with the RJC each year.
Provision: Outsourcing Contractors and Service Companies			
5.4 3.1	<p>The entity shall not transfer CoC material to an outsourcing contractor or service company unless the following conditions have been met:</p> <p>a. The entity shall have, and shall not relinquish, legal ownership of any CoC material transferred to the outsourcing contractor or service company.</p> <p>b. The entity shall assess the risk of potential non-conformance with this standard resulting from engaging each outsourcing contractor or service company that takes custody of the entity's CoC material, and determine, based on that risk assessment, that the risk is acceptable.</p> <p>c. Any outsourcing contractor that takes custody of an entity's CoC material shall be included in the entity's certification scope and shall have a management system in place</p>	<p>The entity shall not transfer CoC material to an outsourcing contractor or service company unless the following conditions have been met:</p> <p>a. The entity shall have, and shall not relinquish, legal ownership of any CoC material transferred to the outsourcing contractor or service company.</p> <p>b. The entity shall assess the risk of potential non-conformance with this standard resulting from engaging each outsourcing contractor or service company that takes custody of the entity's CoC material, and determine, based on that risk assessment, that the risk is acceptable.</p> <p>c. Any outsourcing contractor that takes custody of an entity's CoC material shall be included in the entity's certification scope and shall have a management system in place</p>	No amendments



	that conforms with provision 4 of this standard (on internal material control). d. Any outsourcing contractor included in the entity's certification scope shall not outsource any processing of CoC material to any other contractor.	that conforms with provision 2 of this standard (on internal material control). d. Any outsourcing contractor included in the entity's certification scope shall not outsource any processing of CoC material to any other contractor.	
5.2 3.2	For the return of CoC material from an outsourcing contractor or service company: a. The entity shall verify and record that each transfer it receives for the return of CoC material is consistent with the CoC transfer document that it issued when the CoC material was shipped to the outsourcing contractor or service company, subject to any changes to the CoC material expected as a result of the outsourcing contractor's processing or manufacturing activities	For the return of CoC material from an outsourcing contractor or service company: a. The entity shall verify and record that each transfer it receives for the return of CoC material is consistent with the CoC transfer document that it issued when the CoC material was shipped to the outsourcing contractor or service company, subject to any changes to the CoC material expected as a result of the outsourcing contractor's processing or manufacturing activities. b. If there are inconsistencies, the entity shall not issue any subsequent CoC transfer documents for that material. c. Where material has been provided to an outsourced contractor without a transfer document and surplus material is being returned, the member shall have systems in place to verify that the material being returned has come from an original consignment, and that it is still identifiable either through the items or components being	No amendments



		of a unique nature or the packaging remaining intact.	
5.3.3.3	If there are inconsistencies, the entity shall not issue any subsequent CoC transfer documents for that material.	If there are inconsistencies, the entity shall not issue any subsequent CoC transfer documents for that material. <i>Note: provision removed</i>	No amendments
3.3			<u>Where the entity transfers finished products to the final customers through owned or affiliated distribution entities, the following conditions shall be met:</u> <u>a.No further processing or transformation of the finished products shall be undertaken from the point at which the products have been transferred to the legal ownership or custody of the affiliated entity.</u> <u>b.The entity shall assess the risk of potential non-conformance with this standard resulting from the operations of an affiliated entity involved in the distribution, logistics and retail of CoC material, and determine, based on that risk assessment, that the risk is acceptable.</u> <u>c.Any affiliated entity involved in the logistics, distribution or retail of finished products shall not outsource the distribution, logistics or</u>

			retail to any external contractor or service company other than as described in provision 3.1.
SECTION: SYSTEMS TO CONFIRM ELIGIBILITY OF MATERIAL			
Provision: Eligible Mined Material			
6.4 4.1	<p>An entity shall have systems in place to ensure that eligible mined material declarations are only issued for material sourced from the following:</p> <ul style="list-style-type: none"> a. Mines that are within its CoC certification scope or in which it holds a legal interest and where the mines are within the CoC certification scope of another CoC certified entity. b. Artisanal and small-scale mining (ASM) producers operating on the entity's mining concessions that have participated in initiatives to professionalise and formalise ASM and with documented due diligence confirming that the material comes from such ASM producers and not from illegitimate sources. c. Mines or producers certified under an RJC-recognised responsible ASM standard, with documented due diligence that confirms that the material comes from such mines or producers. d. Mines that are subject to an RJC-accepted responsible mining assurance scheme and validated to conform with the RJC COP requirements as defined in provision 6.2. 	<p>An entity shall have systems in place to ensure that eligible mined material declarations are only issued for material sourced from the following:</p> <ul style="list-style-type: none"> a. Mines that are within its CoC certification scope or in which it holds a legal interest and where the mines are within the CoC certification scope of another CoC certified entity. b. Artisanal and small-scale mining (ASM) producers operating on the entity's mining concessions that have participated in initiatives to professionalise and formalise ASM and with documented due diligence confirming that the material comes from such ASM producers and not from illegitimate sources. c. Mines or producers certified under an RJC-recognised responsible ASM standard, with documented due diligence that confirms that the material comes from such mines or producers. d. Mines that are subject to an RJC-accepted responsible mining assurance scheme and validated to conform with the RJC COP requirements as defined in provision 4.2. e. Processing residues that contain trace precious metals from which mining by-product can be 	<p>An entity shall have systems in place to ensure that eligible mined material declarations are only issued for material sourced from the following:</p> <ul style="list-style-type: none"> a. Mines that are within its CoC certification scope or in which it holds a legal interest and where the mines are within the CoC certification scope of another CoC certified entity. b. Artisanal and small-scale mining (ASM) producers operating on the entity's mining concessions that have participated in initiatives to professionalise and formalise ASM and with documented due diligence confirming that the material comes from such ASM producers and not from illegitimate sources. c. Mines or producers certified under an RJC-recognised responsible ASM standard, with documented due diligence that confirms that the material comes from such mines or producers. d. Mines that are subject to an RJC-accepted responsible mining assurance scheme and validated to conform with the RJC COP requirements as defined in provision 4.2. e. Processing residues that contain traces of precious metals from which mining by-product



	e. Processing residues that contain trace precious metals from which mining by-product can be extracted, for which an eligible material declaration may only be issued by the refiner.	extracted, for which an eligible material declaration may only be issued by the refiner.	can be extracted, for which an eligible material declaration may only be issued by the refiner. f. Tailings whether ceased or currently active, from which precious metals can be extracted, for which an eligible material declaration may only be issued by the refiner.
6.2 4.2	<p>An entity sourcing eligible material from mines subject to an RJC-accepted responsible mining assurance scheme under provision 6.1d shall have documentation of having carried out the following validation process:</p> <p>a. Enhanced KYC for each mine using the RJC enhanced KYC checklist.</p> <p>b. A desktop review of the mine's conformance with the COP using the RJC Self-Assessment workbook and taking into account RJC-accepted mining assurance schemes.</p> <p>c. Additional research on assurance reports and legal compliance, covering labour rights, working conditions, legal requirements in the country of operations and an assessment of the mine's compliance.</p> <p>d. An in-person verification of all applicable COP provisions, or third-party audit.</p> <p>e. Confirmation of CoC eligibility</p>	<p>An entity sourcing eligible material from mines subject to an RJC-accepted responsible mining assurance scheme under provision 4.1d shall have documentation of having carried out the following validation process:</p> <p>a. Enhanced KYC for each mine using the RJC enhanced KYC checklist.</p> <p>b. A desktop review of the mine's conformance with the COP using the RJC Self-Assessment workbook and taking into account RJC-accepted mining assurance schemes.</p> <p>c. Additional research on assurance reports and legal compliance, covering labour rights, working conditions, legal requirements in the country of operations and an assessment of the mine's compliance.</p> <p>d. An in-person verification of all applicable COP provisions, or third-party audit.</p> <p>e. Confirmation of CoC eligibility.</p>	No amendments

6.3 4.3	<p>An entity issuing an eligible material declaration for mined material shall have documented due diligence in conformance with provision 1 that can confirm one of the following:</p> <ul style="list-style-type: none"> a. The mine(s) from which the mined material is produced, and its transportation routes, is not located in conflict-affected and high-risk areas; or b. The mine(s) from which the mined material is produced, and its transportation routes, is located in conflict-affected and high-risk areas, but the production, processing and transportation of the material is confirmed as not having adverse impacts related to those areas; or c. The material is mining by-product with suppliers screened according to the KYC systems and procedures described in provision 2. 	<p>An entity issuing an eligible material declaration for mined material shall have documented due diligence in conformance with provision 7 of the RJC Code of Practices standard that can confirm one of the following:</p> <ul style="list-style-type: none"> a. The mine(s) from which the mined material is produced, and its transportation routes, is not located in conflict-affected and high-risk areas; or b. The mine(s) from which the mined material is produced, and its transportation routes, is located in conflict-affected and high-risk areas, but the production, processing and transportation of the material is confirmed as not having adverse impacts related to those areas; or c. The material is mining by-product with suppliers screened according to the KYC systems and procedures described in provision 12 of the RJC Code of Practices standard. 	No amendments
Provision: Eligible Recycled <u>and Reprocessed</u> Material			
7.4 5.1	<p>7.1 An entity shall have systems in place to ensure that eligible recycled material declarations are only issued for material sourced from the following:</p> <ul style="list-style-type: none"> a. High-value gold or PGM: scrap and waste precious metals from the jewellery and manufacturing process, or post-consumer precious metal products, such as jewellery 	<p>An entity shall have systems in place to ensure that eligible recycled material declarations are only issued for material sourced from the following:</p> <ul style="list-style-type: none"> a. High-value gold, silver or PGM: scrap and waste precious metals from the jewellery and manufacturing process, or post-consumer precious metal products, such as jewellery and ornaments. 	<p>An entity shall have systems in place to ensure that eligible recycled material declarations are only issued for <u>material sourced from the following:</u></p> <ul style="list-style-type: none"> a. <u>Gold sourced from sources of less than 2% of the eligible material by weight, destined to be discarded.</u> <p>High-value gold, silver or PGM: scrap and waste precious metals from the jewellery and manufacturing process, or post-consumer</p>



	<p>and ornaments. This does not include investment products.</p> <p>b. Industrial gold or PGM: waste electrical and electronic equipment, or industrial components such as spent catalysts and fuel cells.</p>	<p>b. bullion and investment products that have been reprocessed to a customer or industry standard. This does not include investment products.</p> <p>b. Industrial gold, silver or PGM: waste electrical and electronic equipment, or industrial components such as spent catalysts and fuel cells.</p> <p>c. By-product from the mining of other ore(s) which have undergone further refining or processing to extract eligible material</p>	<p>precious metal products, such as jewellery and ornaments. <u>This does not include investment products.</u></p> <p>b. bullion and investment products that have been reprocessed to a customer or industry standard.</p> <p>b. Industrial gold, silver or PGM: waste electrical and electronic equipment, or industrial components such as spent catalysts and fuel cells.</p> <p>c. By-product from the mining of other ore(s) which have undergone further refining or processing to extract eligible material</p>
<u>5.2</u>			<p><u>An entity shall have systems in place to ensure that eligible reprocessed material declarations are only issued for gold from any source containing more than 2% in weight with the purpose of changing its state.</u></p>
7.2 <u>5.3</u>	<p>The entity shall provide documented criteria for acceptable sources and types of recycled precious metals to counterparties, including:</p> <p>a. Companies seeking approval to become commercial suppliers to the entity.</p> <p>b. Private individuals and estates who wish to sell private materials to the entity.</p> <p>c. CoC certified customers purchasing CoC material from the entity.</p>	<p>No amendments</p>	<p>The entity shall provide documented criteria for acceptable sources and types of recycled <u>and reprocessed</u> precious metals to counterparties, including:</p> <p>a. Companies seeking approval to become commercial suppliers to the entity.</p> <p>b. Private individuals and estates who wish to sell private materials to the entity.</p> <p>c. CoC certified customers purchasing CoC material from the entity.</p>

<p>7.3 5.43</p>	<p>The entity shall have documented procedures and records to approve new commercial suppliers, which shall include:</p> <ul style="list-style-type: none"> a. Conducting KYC as described in provision 2 to establish the beneficial ownership and principals for all suppliers, not just high-risk suppliers. b. Reasonable determination of the origin of the recyclable material. c. Conducting human rights and environmental due diligence of the supply chain to the point of origin of recyclable materials, as described in provision 1. d. Denying the supplier if information acquired through the approval process provides reasonable evidence to suspect any adverse human rights impacts in the supply chain, or the legitimacy of the supplier and/or its sources 	<p>The entity shall have documented procedures and records to approve new commercial suppliers, which shall include:</p> <ul style="list-style-type: none"> a. Conducting KYC as described in provision 12 of the RJC Code of Practices standard to establish the beneficial ownership and principals for all suppliers, not just high-risk suppliers. b. Reasonable determination of the origin of the recyclable material. c. Conducting human rights and environmental due diligence of the supply chain to the point of origin of recyclable materials, as described in provision 1. Ensuring that the due diligence process as described in provision 7 of the RJC Code of Practices standard covers the supply chain to a sufficient depth to provide confidence on the point of origin of recycled materials. d. Denying the supplier if information acquired through the approval process provides reasonable evidence to suspect any adverse human rights impacts in the supply chain, or the legitimacy of the supplier and/or its sources. 	<p>The entity shall have documented procedures and records to approve new commercial suppliers, which shall include:</p> <ul style="list-style-type: none"> a. Conducting KYC as described in provision 12 of the RJC Code of Practices standard to establish the beneficial ownership and principals for all suppliers, not just high-risk suppliers. b. Reasonable determination of the origin of the recyclable <u>or reprocessable</u> material <u>to establish that any material described as “scrap” or “waste” can legitimately be accepted to meet those definitions.</u> c. Ensuring that the due diligence process as described in provision 7 of the RJC Code of Practices Standard covers the supply chain to a sufficient depth to provide confidence on the point of origin of recycled <u>or reprocessed</u> materials. d. Denying the supplier if information acquired through the approval process provides reasonable evidence to suspect any adverse human rights impacts in the supply chain, or the legitimacy of the supplier and/or its sources.
<p>7.4 5.54</p>	<p>The entity shall have documented procedures and records for monitoring commercial suppliers. In addition to due diligence and KYC as described in provisions 1 and 2, this shall include:</p> <ul style="list-style-type: none"> a. Maintaining an understanding of the origin of the recyclable material. 	<p>The entity shall have documented procedures and records for monitoring commercial suppliers. In addition to due diligence and KYC as described in provisions 7 and 12 of the RJC Code of Practices, this shall include:</p> <ul style="list-style-type: none"> a. Maintaining an understanding of the origin of the recyclable material. 	<p>The entity shall have documented procedures and records for monitoring commercial suppliers. In addition to due diligence and KYC as described in provisions 7 and 12 of the RJC Code of Practices <u>Standard</u>, this shall include:</p> <ul style="list-style-type: none"> a. Maintaining an understanding of the origin of the recyclable <u>or reprocessable</u> material.

	<p>b. Reviewing the due diligence and KYC policy and procedures of the commercial supplier if they are identified as representing a high risk of introducing illegitimate sources into the supply chain. Site visits to verify the supplier's systems and records should be undertaken proportionate to the risk level.</p> <p>c. Excluding the supplier from producing any CoC material if there is reasonable evidence to suspect the legitimacy of the supplier and/or its sources (such as unusual or suspicious transactions, activities or associations) and if, upon investigation, these cannot be cleared of suspicion. Suspicious transactions, activities or associations identified should be reported to the relevant authorities, in accordance with the local law.</p>	<p>b. Reviewing the due diligence and KYC policy and procedures of the commercial supplier if they are identified as representing a high risk of introducing illegitimate sources into the supply chain. Site visits to verify the supplier's systems and records should be undertaken proportionate to the risk level.</p> <p>c. Excluding the supplier from producing any CoC material if there is reasonable evidence to suspect the legitimacy of the supplier and/or its sources (such as unusual or suspicious transactions, activities or associations) and if, upon investigation, these cannot be cleared of suspicion. Suspicious transactions, activities or associations identified should be reported to the relevant authorities, in accordance with the local law.</p>	<p>b. Reviewing the due diligence and KYC policy and procedures of the commercial supplier if they are identified as representing a high risk of introducing illegitimate sources into the supply chain. Site visits to verify the supplier's systems and records should be undertaken proportionate to the risk level.</p> <p>c. Excluding the supplier from producing any CoC material if there is reasonable evidence to suspect the legitimacy of the supplier and/or its sources (such as unusual or suspicious transactions, activities or associations) and if, upon investigation, these cannot be cleared of suspicion. Suspicious transactions, activities or associations identified should be reported to the relevant authorities, in accordance with the local law.</p>
7.5.5.56	<p>For recyclable materials sourced directly from private individuals or estates:</p> <p>a. The entity shall have documented procedures and records for obtaining proof of:</p> <ul style="list-style-type: none"> • the identity of the seller; and • the identification of the jewellery product or other product containing recyclable materials. <p>b. The entity shall make reasonable enquiry and efforts to determine the seller's ownership of the recyclable material to ensure it is not from an illegitimate source.</p>	No amendments	<p>For recyclable <u>or reprocessable</u> materials sourced directly from private individuals or estates:</p> <p>a. The entity shall have documented procedures and records for obtaining proof of:</p> <ul style="list-style-type: none"> • the identity of the seller; and • the identification of the <u>jewellery product or other</u> product containing recyclable <u>or reprocessable</u> materials. <p>b. The entity shall make reasonable enquiry and efforts to determine the seller's ownership of the recyclable <u>or reprocessable</u> material to ensure it is not from an illegitimate source.</p>
Provision: Eligible Grandfathered <u>(Legacyed)</u> Material			



8.1 6.1	The entity shall have systems in place to ensure that eligible grandfathered material declarations are only issued for material refined before 1 January 2012.	The entity shall have systems in place to ensure that eligible grandfathered material declarations are only issued for <ul style="list-style-type: none"> material gold and platinum group metals refined before 1 January 2012 silver refined before 1 January 2018. 	The entity shall have systems in place to ensure that eligible grandfathered <u>legacied</u> material declarations are only issued for: <ul style="list-style-type: none"> <u>material gold and platinum group metals</u> refined before 1 January 2012 <u>silver refined before 1 January 2018.</u>
8.2 6.2	If the refining date does not appear as a permanent part of the item of eligible grandfathered material, the entity shall ensure it obtains and maintains documented evidence of the year the item was produced or minted based on records matched to a serial number or refiner's mark stamped on the item or to some other permanent mark or physical characteristic.	No amendments	If the refining date does not appear as a permanent part of the item of eligible grandfathered <u>legacied</u> material, the entity shall ensure it obtains and maintains documented evidence of the year the item was produced or minted based on records matched to a serial number or refiner's mark stamped on the item or to some other permanent mark or physical characteristic.
Provision: Eligible Investment Material			
7.1		The entity shall have systems in place to ensure that investment material declarations are only issued for precious metals investment bars and coins with a verifiable date of production as defined in 6.1 above.	The entity shall have systems in place to ensure that investment material declarations are only issued for precious metals investment bars and coins with a verifiable date of production as defined in 6.1 above. Note: provision removed
7.2		The entity shall provide documented criteria for acceptable sources and types of investment material to counterparties, including: <ul style="list-style-type: none"> a. Companies seeking approval to become commercial suppliers to the entity. b. Private individuals and estates who wish to sell private materials to the entity. 	The entity shall provide documented criteria for acceptable sources and types of investment material to counterparties, including:— <ul style="list-style-type: none"> a. Companies seeking approval to become commercial suppliers to the entity.— b. Private individuals and estates who wish to sell private materials to the entity.—



RESPONSIBLE
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			<i>Note: provision removed</i>
7.3		<p>The entity shall have documented procedures and records to approve new commercial suppliers, which shall include:</p> <ul style="list-style-type: none">a. Conducting KYC as described in provision 12 of the RJC Code of Practices Standard to establish the beneficial ownership and principals for all suppliers, not just high-risk suppliers.b. Determination of the origin of the investment material.c. Denying the supplier if information acquired through the approval process provides reasonable evidence to suspect any adverse human rights impacts in the supply chain, or the legitimacy of the supplier and/or its sources.	<p>The entity shall have documented procedures and records to approve new commercial suppliers, which shall include:—</p> <ul style="list-style-type: none">a. Conducting KYC as described in provision 12 of the RJC Code of Practices Standard to establish the beneficial ownership and principals for all suppliers, not just high-risk suppliers.—b. Determination of the origin of the investment material.—c. Denying the supplier if information acquired through the approval process provides reasonable evidence to suspect any adverse human rights impacts in the supply chain, or the legitimacy of the supplier and/or its sources.— <p><i>Note: provision removed</i></p>
7.4		<p>The entity shall have documented procedures and records for monitoring commercial suppliers. In addition to due diligence and KYC as described in the RJC Code of Practices Standard, this shall include:</p> <ul style="list-style-type: none">a. Maintaining an understanding of the origin of the investment material.b. Reviewing the due diligence and KYC policy and procedures of the commercial supplier if they are identified as representing a high risk of introducing illegitimate sources into the supply chain. Site visits to verify the supplier's systems and records should be undertaken proportionate to the risk level.	<p>The entity shall have documented procedures and records for monitoring commercial suppliers. In addition to due diligence and KYC as described in the RJC Code of Practices Standard, this shall include:—</p> <ul style="list-style-type: none">a. Maintaining an understanding of the origin of the investment material.—b. Reviewing the due diligence and KYC policy and procedures of the commercial supplier if they are identified as representing a high risk of introducing illegitimate sources into the supply chain. Site visits to verify the supplier's systems and records should be undertaken proportionate to the risk level.—



		<p>c. Excluding the supplier from delivering any CoC material if there is reasonable evidence to suspect the legitimacy of the supplier and/or its sources (such as unusual or suspicious transactions, activities or associations) and if, upon investigation, these cannot be cleared of suspicion. Suspicious transactions, activities or associations identified should be reported to the relevant authorities, in accordance with the local law.</p>	<p>c. Excluding the supplier from delivering any CoC material if there is reasonable evidence to suspect the legitimacy of the supplier and/or its sources (such as unusual or suspicious transactions, activities or associations) and if, upon investigation, these cannot be cleared of suspicion. Suspicious transactions, activities or associations identified should be reported to the relevant authorities, in accordance with the local law.</p> <p><i>Note: provision removed</i></p>
7.5		<p>For investment materials sourced directly from private individuals or estates:</p> <p>a. The entity shall have documented procedures and records for obtaining proof of:</p> <ul style="list-style-type: none">• the identity of the seller; and• the identification of the investment materials. <p>b. The entity shall make reasonable enquiry and efforts to determine the seller's ownership of the material to ensure it is not from an illegitimate source.</p>	<p>For investment materials sourced directly from private individuals or estates:</p> <p>a. The entity shall have documented procedures and records for obtaining proof of:</p> <ul style="list-style-type: none">• the identity of the seller; and• the identification of the investment materials. <p>b. The entity shall make reasonable enquiry and efforts to determine the seller's ownership of the material to ensure it is not from an illegitimate source.</p> <p><i>Note: provision removed</i></p>
SECTION: ISSUING CHAIN-OF-CUSTODY DOCUMENTATION			
			<p><u>A transfer document shall be issued for each shipment or transfer of CoC material dispatched to other certified entities or certified service companies, in accordance with provisions 7 and 8.- This document is used as an eligible material</u></p>



			declaration to initiate the CoC chain or to record subsequent movement. <i>Note: introductory language added</i>
Provision: Eligible Material Declarations			
9.1 8.1	The entity issuing an eligible material declaration in a CoC transfer document shall document the eligible material as one of the following: a. Mined, in conformance with provision 6 of this standard. b. Recycled, in conformance with provision 7 of this standard. c. Grandfathered, in conformance with provision 8 of this standard. d. Mix of mined, recycled and/or grandfathered, each in conformance with the applicable provisions of this standard.	The entity issuing an eligible material declaration in a CoC transfer document shall document the eligible material as one of the following: a. Mined, in conformance with provision 46 of this standard. b. Recycled, in conformance with provision 57 of this standard. c. Grandfathered, in conformance with provision 68 of this standard. d. Investment material, in conformance with provision 7 of this standard. e. Mix of mined, recycled, and/or grandfathered and/or investment, each in conformance with the applicable provisions of this standard.	The entity issuing an eligible material declaration in a CoC transfer document shall document the eligible material as one of the following: a. Mined, in conformance with provision 4 of this standard. b. Recycled or reprocessed , in conformance with provision 5 of this standard. c. Grandfathered Legacied , in conformance with provision 6 of this standard. d. Investment material, in conformance with provision 7 of this standard.— de. Mix of mined, recycled, reprocessed and/or legacied grandfathered and/or investment , each in conformance with the applicable provisions of this standard.

9.2 87.2	For eligible mined material, the entity shall include in the CoC transfer document: a. A conflict-free declaration that identifies if provision 6.3a, b or c applies. b. If provision 6.3b applies (the material is located in conflict-affected or high-risk areas but is confirmed as not having adverse impacts), an appendix summarising the entity's due diligence for that material. c. If the material is mined, the country or countries where it was extracted. d. If the material is mining by-product, the country or countries where it was refined	For eligible mined material, the entity shall include in the CoC transfer document: a. A conflict-free declaration that identifies if provision 64.3a , b or c applies. b. If provision 46.3b applies (the material is located in conflict-affected or high-risk areas but is confirmed as not having adverse impacts), an appendix summarising the entity's due diligence for that material. c. If the material is mined, the country or countries where it was extracted. d. If the material is mining by-product, the country or countries where it was refined.	No amendments
9.3 87.3	When initiating a CoC for material that will be mixed with existing CoC material before transfer to another entity, the entity shall record an eligible material declaration in an internal CoC transfer document.	No amendments	When initiating a CoC for material that will be mixed with existing CoC material before transfer to another entity, the entity shall record an eligible material declaration in an internal CoC transfer document <u>or maintain such evidence that proves the eligibility of the material.</u>
Provision: CoC Consignments-Shipments and Transfer Documents			
<u>8.1</u>			<u>Where the member retains ownership but is sending components to outsourced contractors, the use of the transfer document may be suspended as long as the details are recorded and traceable in the member's internal systems.</u>

10.1 9.1 8.2	The entity shall ensure that a CoC transfer document accompanies and, wherever possible, is physically attached to each shipment or transfer of CoC material dispatched to other certified entities, outsourcing contractors or service companies.	No amendments	The entity shall ensure that a CoC transfer document accompanies and, wherever possible, is physically attached <u>or as a minimum, digitally linked</u> to each shipment or transfer of CoC material dispatched to other certified entities; outsourcing contractors or <u>certified</u> service companies.
10.2 9.2 8.3	The entity shall ensure that CoC transfer documents include all the required information outlined in the template in Annex 1 of this standard.	No amendments	No amendments
10.3 9.3 8.4	If the CoC transfer document includes supplementary information about the entity, the eligible material or its provenance, the entity shall ensure the supplementary information can be supported by objective evidence.	No amendments	No amendments
Provision: Product Claims and Intellectual Property			
11.1 10.1 9.1	If the entity makes claims or representations about CoC material in a jewellery product, these shall be described in written form and shall not include information that is inconsistent with the CoC transfer document(s) supplying the CoC material. The entity shall provide an unambiguous indication of how to access the description, which may be on a website, at the point of sale or through any other publicly available communication medium. Claims shall comply with all applicable law.	If the entity makes claims or representations about CoC material in a jewellery product, these shall be described in written form and shall not include information that is inconsistent with the CoC transfer document(s) supplying <u>supplied with</u> the CoC material. The entity shall provide an unambiguous indication of how to access the description, which may be on a website, at the point of sale or through any other publicly available communication medium. Claims shall comply with all applicable law.	If the entity makes claims or representations about CoC material in a jewellery product, these shall be described in written form and shall not include information that is inconsistent with the CoC transfer document(s) supplied with the CoC material. The entity <u>making claims to a consumer</u> shall provide an unambiguous indication of how to access the description, which may be on a website, at the point of sale or through any other publicly available communication medium. Claims shall comply with all applicable law.
11.2 10.2 9.2	Claims can be made on jewellery products that include non-CoC components identified for	No amendments	Claims can be made on jewellery products that include non-CoC components identified for

	exclusion by the RJC. A description of the CoC components within the product must be made available to the customer or consumer.		exclusion by the RJC. A clear and unambiguous description of the CoC components or components that are non-CoC within the product must be made available to the customer or consumer.
11.3 109.3	The entity shall have systems in place to ensure all relevant employees, including sales associates, do not make verbal claims or representations to consumers about CoC material that are inconsistent with the claims or representations described in written form.	No amendments	No amendments
11.4 109.4	If the entity uses the RJC logo, it shall ensure that it abides by the rules for use of the logo, trademarks and intellectual property. If the entity uses the RJC logo and/or CoC certification stamps in association with jewellery products containing CoC material, it shall ensure that such use clearly applies only to the CoC material.	No amendments	No amendments
Provision: Return And Reintegration of CoC Materials			
104.1		The entity shall have systems in place to verify that material sold as CoC and being returned and accepted for reintegration into the CoC pipeline is traceable to specific transactions and transfer documents and that there is no risk that the material being returned has been substituted, modified or adulterated by the inclusion of non-CoC material. The requirements apply whether ownership of the material has passed to the consignee or whether material has been supplied on approval or similar arrangement.	The entity shall have systems in place to verify that material sold as CoC and being returned and accepted for reintegration into the CoC pipeline is traceable to specific transactions and transfer documents and that there is no risk that the material being returned has been substituted, modified or adulterated by the inclusion of non-CoC material. The requirements apply whether ownership of the material has passed to the



			consignee-counterparty or whether material has been supplied on approval or similar arrangement.
104.2		<p>In the event that all or part of a consignment is returned the member must verify that the material is the same and retain records of the checks made which will include:</p> <p>Due diligence of the counterparty.</p> <p>Assessment of risk of substitution/modification or adulteration (this would mean that where the verification relied on tamper evident packaging, only sealed packs can be accepted).</p> <p>Verification of how material was stored while with the counterparty.</p> <p>Dates of all relevant transactions.</p> <p>Identification numbers (or other means of identification).</p> <p>Photographic evidence.</p> <p>Any other evidence including records of the reasons for the return.</p>	<p>In the event that all or part of a shipment is returned the member must verify that the material is the same and retain records of the checks made which will include:</p> <p>Due diligence of the counterparty.</p> <p>Assessment of risk of substitution/modification or adulteration (this would mean that where the verification relied on tamper evident packaging, only sealed packs can be accepted).</p> <p>Verification of how material was stored while with the counterparty.</p> <p>Dates of all relevant transactions.</p> <p>Identification numbers (or other means of identification).</p> <p>Visual identification, including drawings, photographs, Photographic evidence, markings etc.</p> <p>Any other evidence including records of the reasons for the return.</p>
104.3		<p>Returns from a CoC certified member shall be accompanied by a transfer document with clear reference to the original consignment and stating that this is a return of all or part of the material supplied, together with a warranty that the material has been in the physical possession of the entity making the return from the time of the original consignment until the point of return.</p>	<p>Returns from a CoC certified member shall be accompanied by a transfer document with clear reference to the original consignment-transaction and stating that this is a return of all or part of the material supplied, together with a warranty that the material has been in the physical possession of the entity making the return from the time of the original consignment until the point of return.</p>



10.4		<p>For returns from a non-COC certified member, the member must apply the checks above and additionally be able to provide evidence that:</p> <ul style="list-style-type: none">the original consignment was made up of CoC eligible material;individual items, packages etc. were identifiable when dispatched;conditions concerning segregation at the counterparty's premises were assessed including a risk assessment of the entity's systems in relation to segregation of material. This may include the need to audit the entity's ability to comply with the member's segregation requirements.	<p>For returns from a non-CoC certified member, the member must apply the checks above in provision 10.2 and additionally be able to provide evidence that:</p> <ul style="list-style-type: none">the original consignment shipment was made up of CoC eligible material;individual items, packages etc. were identifiable when dispatched;conditions concerning segregation at the counterparty's premises were assessed including a risk assessment of the entity's systems in relation to segregation of material. This may include the need to audit the entity's ability to comply with the member's segregation requirements.
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