

# SELF- ASSESSMENT

## Frequently Asked Questions

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RESPONSIBLE  
JEWELLERY  
COUNCIL





## 1.0 INTRODUCTION

In this document you will find frequently asked questions from our members regarding the self-assessment workbooks.

The self-assessment workbooks are a tool for evaluating your company's performance against either the 2019 Code of Practices (COP) or the 2017 Chain of Custody (CoC). It's the first step towards certification where members carry out a self-assessment of their organisation and its facilities.

A self-assessment is similar to an internal audit or a pre-assessment to review your performance and is the first step in your certification journey prior to engaging with the auditor.

The self-assessment enables members to:

- Define the certification scope, by identifying those parts of their business which actively contribute to the jewellery supply chain.
- Review their business practices against the requirements of the COP. This provides the opportunity to identify any areas of non-conformance and address them in advance of auditing.
- Assemble the relevant information to enable the auditor(s) to work efficiently and effectively.

If you did not conduct self-assessments, audits can be more time consuming and have a much greater likelihood of finding non-conformances, it is recommended to complete the self-assessment workbook diligently and thoroughly.

Please note that whilst members must carry out a self-assessment and submit this to their auditor ahead of their audit, the use of the self-assessment workbook is not mandatory.



## 2.0 FAQ'S

### 2.1 How long does it take to complete the self-assessment?

The self-assessment is carried out internally by the member to evaluate their own performance against the requirements of the Code of Practices. The time required to complete a self-assessment will depend on the nature, scale and level of complexity of the member's business.

You should approach the self-assessment in a way that you consider the most efficient and effective, based on your company's individual needs and circumstances. The more time spent conducting an effective self-assessment will enable the auditors to work more efficiently and effectively. RJC members have two years after they join to become certified, RJC recommends members begin the self-assessment process soon after they join.

### 2.2 Do I need to send my completed self-assessment to RJC?

No, you do not need to send your self-assessment to the RJC, a self-assessment is like an internal audit or a pre-assessment to review your performance against the provisions of the Code of Practices, prior to engaging with the auditor, once completed you will need to submit this to your chosen auditor ahead of your audit.

### 2.3 Can RJC review my completed self-assessment document?

The RJC is unable to review your self-assessment document, members are best placed to complete and objectively review their own self-assessment due to their knowledge of their own operations, procedures, policies, knowledge of local applicable law, etc.

In addition, the COP Guidance document is a great resource for helping members to implement the COP provisions and requirements. The guidance also includes a variety of templates and checklists. We also have a toolkit resource page that includes all our toolkits to support you in implementing the COP, also containing a variety of tools, checklists and templates.

If you do have any specific questions around certain provisions or non-conformances, please reach out to [training@responsiblejewellery.com](mailto:training@responsiblejewellery.com) and indicate the key areas you need support on and we can suggest some steps, provide some resources and guidance to support you.

### 2.4 Can I send my auditor my self-assessment with our planned corrective actions that will be implemented ahead of our audit? Or do I have to close out any non-conformances before sending?

Yes, you can and should send your auditor your self-assessment and detail the measures you will be implementing before the audit in the 'Corrective Action Plan' tab of the workbook. At the audit your auditor will assess whether these non-conformances have been addressed.

If you've not contacted an auditor already, we recommend doing so as soon as possible and booking in advance, a full list of RJC accredited auditors can be found on the RJC website.

## 2.5 How do I determine what type of business I am within the self-assessment document?

Your type of business is determined by what area of your business generates the most Annual Relevant Sales, you can find further information on “Choosing Your Membership Forum” in our [Membership Application Guidance](#).

In cases where a member’s business activities cut across multiple sectors of the jewellery and watch supply chain, the member must choose the one forum (sector) from which it derives the most significant portion of its Annual Relevant Sales (ARS). For example, if you are engaged in both manufacturing and retail activities but you derive more income from your manufacturing activities than from your retail activities, then you should select ‘jewellery manufacturer’ as your membership category.

## 2.6 Must I conform to every provision?

You only need to confirm to those provisions that apply to your business, some provisions may not be relevant. You can find out which are applicable by completing the ‘define the certification scope’ tab within the self-assessment. Please note that even if your risks are low for a particular provision that does not mean the provision is not applicable to your company.

## 2.7 How detailed do our answers need to be, and how should we measure our ratings against each provision?

The self-assessment is a voluntary tool for RJC members to assess their own compliance against the 2019 Code of Practices. Therefore, RJC does not specify how much evidence you should include for each provision, but it would be beneficial to collate and list all evidence ahead of your RJC audit and look for any potential gaps.

Each section of the self-assessment (columns K & L) includes guidance on the provision itself and examples of evidence to demonstrate conformance. Your answer should describe your process relating to each provision and a list of any applicable evidence. When rating your own performance, you must assess whether you feel you have conformed to each provision and can provide evidence of this to an auditor.

## 2.8 What evidence can I use to support that we meet the requirements?

A rating of performance must be based on relevant objective evidence. Objective evidence is typically based on interviews, examination of documents, observation of activities and conditions, existing results of measurements or tests, or other means within the scope of the assessment and specifically relevant to the requirement.

Objective evidence must meet all of the following:

- Relevant to the time period for the scope of the assessment;
- Relevant to what is being assessed or verified;
- Traceable;
- Clear and unambiguous.

Examples of evidence include, but are not limited to:

- Organisational charts, outlining structure, responsibilities and authorities ;
- Details describing the Member’s products and processes;
- Legal permits, licences or other authorisations and related documents and correspondence;
- Reviews of previous assessments;
- Audit reports from relevant certifications under other recognised systems;
- Risk assessment registers.