

Self-Assessment Questionnaire

Colored Gemstones Working Group Self-Assessment Questionnaire

Note: Please fill out the fields that apply to your company. You may skip fields that do not apply or write "N/A" if preferred.

Overview

Company name

City

Country

Name and title of the responsible person completing this questionnaire.

What gemstones does your company supply to customers?

Sapphires

Emeralds

Rubies

Amethyst

Tourmaline

Tanzanite

Aquamarine

Other

Please specify the gemstones not covered above

What types of business activities does your company carry out?

Mining

Rough exporting

Rough trading

Cutting and polishing

Polished trading

Jewellery manufacturing

Wholesale

Other

Please specify the business activities not covered above

In which countries does your company operate?

Does your company have any subsidiaries or branches?

Yes

No

Where are your company's subsidiaries or branches located?

Does your company publish an annual report that covers any of the following topics?

Environmental performance

Human rights performance

Due diligence findings and activities

General ESG performance

None

Has your company been audited, assured, or certified by any of the following?

RJC

ISO

Client audit

IRMA

None of the above

List the name of the certification, year of certification, and certification or member number (if relevant).

How many workers does your company have?

Less than 10

10-49

50-249

More than 250

Responsible Business Practices

Does your company have all relevant permits and licenses required to operate in the countries where you are located?

Yes

No

Who holds beneficial ownership of your company?

Does your company have policies that explicitly prohibit all forms of child or forced labor, and prohibit all forms of corruption, bribery, facilitation payments, money laundering, terrorism funding, and any other relevant illicit financial activities?

Yes

No

Does your company pay all required taxes, royalties, or other fees in the countries where you operate, including all legally required financial reporting to authorities?

Yes

No

Does anyone associated with ownership or management in your company hold a prominent public position (e.g., government official, diplomat, military officer, judge, etc.) either in the country where you operate, or in a foreign country?

Yes

No

Please provide name, position, and organization

Has your company set up a grievance mechanism?

Yes

No

Share the link to your company's grievance mechanism if it is publicly available.

Do you collect information about your business partners and confirm their identities through a Know-Your-Counterparty procedure?

Yes

No

Do you have a code of conduct for your business partners?

Yes

No

How do you communicate the Code of Conduct to business partners and how do you enforce it?

Has your company identified external stakeholders? (Government, communities, multistakeholder groups, etc)?

Yes

No

How do you engage with the stakeholders you have identified?

Has your company been investigated by relevant authorities for any legal violations such as bribery, embezzlement or tax evasion, or has your company been subject to a fine, penalty, or legal judgment against it regarding non-compliance with legal requirements in the last two years?

Yes

No

Does your company employ security guards?

Yes

No

Workforce Profile and Working Conditions

Number of male employees

Number of female employees

Does your company have procedures to check the age of each person hired by your company?

Yes

No

What is your minimum hiring age?

Does your company retain your workers' government-issued identification documents (passports, ID cards, etc)?

Yes

No

How do you recruit workers at your company?

Direct hire

Recruitment agency

What is the age of your youngest worker?

Are contracts signed between the company and all workers?

Yes

No

Does your company hire any homeworkers?

Yes

No

Does your company hire any migrant workers or temporary workers?

Yes

No

What countries do migrant or temporary workers at your company come from?

Does your company provide housing or accommodations for any workers?

Yes

No

How many workers are housed by your company and where are they housed?

Does your company have in place policies against discrimination in the workplace?

Yes No

How are workers at your company paid?

Monthly salary Hourly wage Piece rate

Does your company keep complete records about all workers, including off wages paid and hours worked?

Yes No

Are the workers at your company organized into a union or other kind of collective bargaining agreement?

Yes No

Has your company been associated with any negative allegations about its relations with workers' unions?

Yes No

Describe the issues with the workers' union

Does your company have policies against harassment at the workplace?

Yes No In development

What measures do you use to discipline workers?

Physical punishment Monetary fines or wage reductions Warnings
Verbal or written reprimands Dismissal
All of the above None of the above

Do you provide worker training on policies and rights?

Yes No

Health and Safety

Do you have a staff member responsible for health and safety?

Yes

No

Does your company have health and safety policies and procedures that meet the requirements of local regulations?

Yes

No

Have you conducted a risk assessment of workplace hazards?

Yes

No

Does your company train all workers on health and safety procedures at the workplace?

Yes

No

Does your company provide all workers with all necessary personal protective equipment free of charge?

Yes

No

Do workers need to pay for any equipment they receive from your company?

Yes

No

Does your company keep a record of health and safety accidents and incidents?

Yes

No

Does your company use any known hazardous substance or chemical in its operations?

Yes

No

Which known hazardous substances or chemicals do you use?

Does your company have emergency response plans and necessary equipment to deal with emergencies (for example, in case of fire is your company equipped with fire-fighting equipment which is marked, unobstructed and inspected, are emergency exits and evacuation paths clearly marked, unobstructed and unlocked)?

Yes

No

Is equipment and machinery at your company equipped with guards and safety guarding devices?

Yes

No

Does your company have a health and safety committee, or another way for workers to raise concerns about health and safety in the workplace?

Yes

No

Environment

Does your company have an environmental management system and policies?

Yes

No

Does your company know what its most important environmental impacts are?

Yes

No

Partially

Does your company measure its most important environmental impacts? (For example, energy or water use.)

Yes

No

Partially

Has your company put in place any measures to minimize its identified environmental impacts?

Yes

No

Does your company separate its waste?

Yes

No

Has your company been associated with any specific environmental allegations?

Yes

No

Supply Chain Traceability

Does your company have procedures to trace the gemstones it provides?

Yes

No

Describe the process you use to trace your gemstones.

Can you identify the country of origin of all the gemstones you provide?

Yes

No

Partially

For what percentage of the gemstones you provide can you identify both the country and the mine of origin?

From what countries do the gemstones you provide originate?

What types of suppliers does your company have?

Trader in my country

International trader

Traders at gem fairs

Mining company representative

Mining cooperative representative

Cutter and polisher

Other

Please specify the types of suppliers not covered above

Does your company purchase rough gemstones other than those mined directly by your company?

Yes

No

Please specify the types of suppliers that you source from

Large-scale mining company

Artisanal or Small Scale Mining organisation

Other

Please specify the names of the suppliers if known

Does your company require warranties from all the suppliers from whom you procure gemstones?

Yes

No

If so, please indicate which type of warranty?

Declarative

Invoice

Desktop audit

On-site audit

Ad-hoc visits

How do you make sure that no gemstones from unknown origins enter your supply chain?

If you cannot confirm the origin of a gemstone you acquire from a supplier, what steps do you do take?

Supply Chain Due Diligence

Does your company have a supply chain due diligence procedure that covers human rights and environmental risks?

Yes

No

Does your company implement the UN Guiding Principles on Business and Human Rights?

Yes

No

Does your company implement the OECD Due Diligence Guidance for Responsible Business Conduct (or Responsible Mineral Supply Chains from Conflict-Affected and High-Risk Areas)?

Yes

No

Does your company have a team member responsible for supply chain due diligence?

Yes

No

Does your company have procedures to identify, prioritize, and mitigate potential or actual human rights and environmental risks in its supply chain?

Yes

No

Has your company identified any human rights or environmental risks in its supply chain in the past 5 years?

Yes

No

What actions did your company take to deal with the risks you identified?

Is your company's senior management involved in due diligence?

Yes

No

Does your company investigate whether your gemstones come from or transit through conflict-affected and high-risk areas (CAHRAs)?

Yes

No

Has your company identified any gemstones mined by artisanal and small-scale or other informal miners in your supply chain?

Yes

No

If you know that your company's gemstones may come from artisanal and small-scale or other informal miners, do you take any specific actions to check human rights and environmental risks related to the miners?

Additional local stakeholder engagement

Human rights risk assessment

Environmental risk assessment

Community investment or development activities

Formalization activities

None

Other

Please specify the actions not covered above

Mining: Responsible Mining Practices

Describe the key operations of your company.

List the mining titles relevant to your operations, and the date of validity.

Does your company have a human rights policy?

Yes

No

Has your company carried out an environmental and social impact assessment – including of human rights - that covers the entire project scope and mine life cycle?

Yes

No

Partially

Does your company's environmental and social impact assessment include potential adverse impacts on community health and safety, including for marginalized and vulnerable groups, with appropriate mitigation measures?

Yes

No

Partially

Does your company have in place a mine closure and rehabilitation plan?

Yes

No

Has your company identified stakeholders impacted by its operations and established robust policies and procedures to engage these stakeholders throughout the life cycle of its operations?

Yes

No

Does your company engage in continuous dialogue with identified stakeholders, including through reporting to stakeholders, awareness raising regarding stakeholders' rights, and by implementing a grievance mechanism?

Yes

No

Does your company operate in an area home to Indigenous Peoples?

Yes

No

I don't know

If so, has your company engaged in a Free, Prior and Informed Consent (FPIC) process?

Yes

No

Not applicable

Does your company publish its annual accounts and tax payments?

Yes

No

Does your company support the Extractives Industry Transparency Initiative (EITI), if operating in an EITI-implementing country?

Yes

No

Does your company employ any security personnel?

Yes

No

If so, are security guards hired from public or private forces?

Yes

No

Are your company's guards trained on and hired in accordance with the Voluntary Principles on Security and Human Rights?

Yes

No

Has your company identified the presence of artisanal and small-scale mining (ASM) operations in its zone of operations?

Yes

No

Mining: ASM-LSM Relationship

What measures does your company have in place to determine whether gemstones mined by ASM enter its supply chain?

Has your company carried out an on-the-ground assessment with regards to human rights, governance, and environmental risks that may arise in ASM mining contexts?

Yes

No

What risks have been identified?

Biodiversity impacts

Pollution of soil and water

Child labour

Forced labour

Weak remuneration terms

Gender-based issues and violence

Interference of public or private security officials

Corruption, bribery, or facilitation payments

Money laundering

Chain of custody

Other

Please specify the risks not covered above

Has your company engaged with ASM as a distinct stakeholder group, including through the promotion of formalization and development opportunities for ASM communities?

Yes

No

Partially

Mining: Environmental and Community Impacts

Does your company have in place policies and procedures to manage any significant impacts on soil erosion and degradation as a result of operations, including engagement with affected stakeholders and reporting?

Yes No Partially

Does your company have policies and procedures in place to assess risks related to tailings and other mining waste?

Yes No

In case of mine establishment or expansion, does your company have policies and procedures in place to minimize the need for resettlement, and responsibly engage affected communities where resettlement is required?

Yes No

Does your company have in place policies, procedures, and dedicated personnel responsible for managing and progressing toward reduced water use?

Yes No

Does your company have in place policies and procedures to avoid, minimize, and rehabilitate impacts on biodiversity?

Yes No

Does your company have in place an emergency response plan that is regularly practiced, disseminated to all impacted stakeholders, and reviewed at least annually?

Yes No

Does your company operate in proximity to any World Heritage sites, other protected areas, or cultural heritage items?

Yes No I don't know

Does your company have in place policies and procedures to ensure that its operations meet all relevant national and international regulations regarding protection of World Heritage and other protected areas?

Yes No I don't know