



SCS Certification Standard for Sustainability Rated Diamonds

SCS-007-1



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1. Introduction

1.1 Purpose

1.1.1 The purpose of this Standard is to establish a uniform and credible basis for independently assessing and certifying the environmentally and socially responsible production and handling of gemstone-quality diamonds, and for supporting business and consumer-facing claims for such diamonds.

1.2 Intended Users

1.2.1 This Standard is intended for use by Producers, Handlers, Retailers, Brokers, Wholesalers, and Distributors involved in the diamond chain of custody (CoC).

Producer: Entity that operates a production operation involved in either mining or creating gemstone-quality diamonds, referred to herein as industrial-scale mining (ISM) and laboratory grown diamond (LGD) producers, respectively. Production operations that only produce industrial grade diamonds are outside of the scope of this Standard.

Note: A Producer is also considered a Handler if it conducts handler functions. Examples include a vertically integrated Producer that also sells cut diamonds, or a Producer that handles a mix of Certified Diamonds or non-certified stones in addition to those stones it directly produces.

Handler:

- **Cutter and Polisher:** Entity involved in the physical diamond chain of custody that cuts and polishes individual Certified Diamonds.
- **Jewelry Manufacturer:** Entity that creates the jewelry item containing Certified Diamond(s).

Retailer: Entity that sells Certified Diamonds in business-to-consumer (B2C) transactions.

Broker: Entity that represents and sells Certified Diamonds in business-to-business (B2B) transactions, but that does not take physical possession of the stones.

Distributor or Wholesaler: Entity that takes ownership or possession of Certified Diamonds for resale after the stones are cut and polished. In this document, “Wholesaler” includes Wholesalers and Distributors

Note: Transporters are not considered distributors in this Standard.

1.2.2 This Standard is also intended for use by empirical testing providers seeking to conduct diamond origin testing in accordance with the Standard’s origin traceability provisions.

2. Scope, Structure, and Conformance

2.1 Scope and Limitations

2.1.1 The Standard covers the entire chain of custody (CoC), from diamond production to retail.

2.1.2 The requirements in this Standard apply to the following products:

2.1.2.1 Graded Certified Diamonds that are:

- a) Produced from rough Certified Diamonds;
- b) Cut by a certified Handler;
- c) Graded by an accredited Grading Laboratory and have a unique identifier (i.e., engraving or inscription on the girdle of Certified Diamond);
- d) Have been issued a publicly available grading certificate; and
- e) Have been issued a publicly available SCS-007-1 Sustainability Rated Diamond certificate.

2.1.2.2 Ungraded, cut diamonds produced from rough Certified Diamonds do not receive SCS-007-1 Sustainability Rated Diamond Certificates, but can be part of jewelry items that receive SCS-007-1 Sustainability Rated Diamond Certificates.

2.1.2.3 Jewelry items handled solely by SCS-007-1 certified Handlers that have been assessed against CoC requirements for ungraded stones, which:

- a) Contain only Certified Diamonds and/or Certified Diamond melee that are listed as Sustainability Rated in the SCS-007-1 stone tracking database; and
- b) Have a unique identifier (e.g., engraving or inscription on an earring post).

2.1.3 The requirements in this Standard do not apply to ancillary material.

2.1.4 Conformance to this Standard does not grant or imply conformance with any other external standard or guidance.

2.2 Structure and Conformance

2.2.1 The Standard's criteria fall under Sections 5-9 as shown in Table 1. Each section is divided into principles that contain one or more criteria. To achieve certification, an entity shall meet all applicable criteria. Producers and Handlers shall undergo an annual third-party audit conducted by an approved certification body. Retailers, Brokers, and Wholesalers shall sign and submit an annual attestation to the certification body confirming that they follow all applicable criteria.

Table 1. Summary of Applicable Criteria by Type of Entity

Section	#	Principles	Applicable Criteria by Type of Entity (Y = Yes; P = Partial; N = No)			
			ISM Producer	LGD Producer	Handler	Broker, Wholesaler, Retailer
5. Social Responsibility and Governance Criteria	5.1	Business Integrity	P	P	P	P
	5.2	Stakeholder Relations	Y	Y	P	P
	5.3	Human Rights	Y	Y	Y	P
	5.4	Free, Prior, and Informed Consent	P	N	N	N
	5.5	Community Engagement	Y	P	N	N
	5.6	Worker Rights	Y	P	P	P
	5.7	Occupational Health and Safety (OH&S)	P	P	P	N
	5.8	Security	Y	Y	Y	N
6. Environmental Criteria	6.1	Management of Water and Energy Resources	Y	P	P	N
	6.2	Minimization of Emissions, Effluents, Wastes, Noise, and Vibrations	P	P	P	N
	6.3	Ecosystem and Species Protection	Y	N	N	N
	6.4	Reclamation and Closure	Y	N	N	N
7. Sustainable Production and Investment Criteria	7.1	Life Cycle Performance	Y	Y	N	N
	7.2	Sustainability Investment	Y	Y	N	N
8. Diamond Origin Traceability Criteria	8.1	Producer Traceability Requirements	Y	Y	N	N
	8.2	Handler Traceability Requirements	N	N	Y	N
	8.3	Broker, Wholesaler, and Retailer Traceability Requirements	N	N	N	Y
9. Public Assertions Criteria	9.1	Truthfulness and Transparency	P	P	P	P

2.2.2 The certification period for Producers and Handlers is one year, with annual recertification audits to maintain certification. Diamonds derived from a certified production operation are designated as “Certified Diamonds.”

2.2.3 Criteria are categorized as Tier 1 or Tier 2. Compliance thresholds for Tier 1 and Tier 2 criteria are shown in Table 2 by certification year. As shown, the percentage of total Tier 2 criteria in the Standard that must be met scales up over time, from 70% at the time of initial certification to 100% in Year 3 and beyond.

Table 2. Compliance Thresholds by Certification Year

Certification Year	Compliance Thresholds for Applicable Tier 1 and Tier 2 Criteria	
	Tier 1	Tier 2
Initial certification (Year 0)	100%	70%
1 st recertification (Year 1)	100%	80%
2 nd recertification (Year 2)	100%	90%
3 rd recertification (Year 3 and beyond)	100%	100%

2.2.4 Rules for Non-Conformities

2.2.4.1 Tier 1 and all applicable Tier 2 non-conformities issued at an initial audit shall be “closed” (i.e., satisfactorily addressed) before a positive certification decision can be made or any diamond can be certified.

2.2.4.2 After initial certification, Tier 1 non-conformities shall be closed before a positive certification decision can be made and all applicable Tier 2 non-conformities shall be closed within 6 months of the applicable audit. If closure of the non-conformity(ies) has not occurred, either:

- a) A new audit to the full requirements shall be required; or
- b) The certificate shall be suspended until the non-conformity(ies) are closed. Suspension duration shall not exceed 6 months, after which time the certificate shall be terminated if the non-conformity(ies) have not been closed.¹

2.2.5 Handlers may choose a limited claim pathway as an interim step to meeting the full certification criteria. Handlers that only meet the Origin Traceability Assurance Requirements in Section 8.2 may make B2B claims that their operations meet the chain-of-custody requirements of the standard but may not make claims for specific Certified Diamonds until fulfilling the remaining requirements.

2.3 Public Assertions and Marketing Claims

2.3.1 Requirements related to public assertions and marketplace claims are provided in Section 9. B2B claims are supported, as well as B2C claims, when Certified Diamonds are handled in accordance with this Standard.

2.3.2 All marketplace claims and assertions are reviewed by an approved certification body to ensure conformity with the Standard.

¹ During the period of suspension, the entity cannot claim to produce, handle, or trade Certified Diamonds. If reinstated, those diamonds may be eligible for certification.

2.4 Complaints and Appeals

2.4.1 A certificate holder has the right to appeal a certification decision within 30 days of receiving the final report. Appeals shall be submitted to the certification body for evaluation and resolution.

2.4.2 Complaints shall be handled directly by the approved certification body. If a satisfactory resolution is not found, a complaint may be elevated to SCS Standards.

2.5 Language

2.5.1 The verb “shall” is used in criteria to indicate a requirement of the standard. The verb “can” is used to express an ability to perform an action. The verb “may” is used to express permission to perform an action that is not a requirement. The verb “might” is used to express a condition that could potentially exist. Word spellings are American English, unless referring to specific organizations or documents.

3. Normative References

Annexes A-F detail requirements pertaining to various aspects of the calculations and assessments required under the Standard. Annexes A-F are separate normative documents.

- **Annex A:** Approved Mechanisms to Achieve Net Zero Carbon Footprint
- **Annex B:** Supplemental Climate Reporting: Using the RF Protocol to Quantify Heat Reduction Potential of Producer Activities
- **Annex C:** Quantifying Life Cycle Assessment (LCA) Results for the Production Operation
- **Annex D:** Requirements for ISM Producers for Establishing Ecosystem Baseline Conditions
- **Annex E:** Assessing Industrial-Scale Mining (ISM) Impacts on Water Resources and Quality
- **Annex F:** Data Requirements for Certified Diamonds and Certified Diamond Jewelry

Information related to certification body auditing is contained in the document SCS-007-1 Certification Body Requirements and is normative to all approved certification bodies auditing against this Standard.

4. Terms and Definitions

The following abbreviations are used in the Standard:

B2B	Business-to-Business	ISM	Industrial Scale Mining
B2C	Business-to-Consumer	ISO	International Organization for Standardization
CAHRA	Conflict-Affected and High-Risk Areas	LCA	Life Cycle Assessment
CoC	Chain of Custody	LGD	Laboratory Grown Diamond
CVD	Chemical Vapor Deposition	KPCS	Kimberley Process Certification Scheme
EITI	Extractive Industries Transparency Initiative	MEDA	Mine Ecosystem Disturbance Area
EDA	Ecosystem Disturbance Area	OECD	Organization for Economic Co-operation and Development
FPIC	Free Prior and Informed Consent	OH&S	Occupational Health and Safety
IFC	International Finance Corporation	RF	Radiative Forcing
ILO	International Labour Organization	UN	United Nations
IRMA	Initiative for Responsible Mining Assurance		

Terms and definitions applicable to the Standard and its Annexes are provided in the table below.

Table 3. Terms and Definitions

Term	Definition
Accumulated Radiative Forcing	Radiative forcing from the amount of well-mixed greenhouse gas that remain in the atmosphere each year beyond the initial year of emission.
Acquisition	The act of obtaining a diamond (e.g., purchase, consignment).
Ancillary Material	A material used to produce laboratory grown diamonds that: <ol style="list-style-type: none"> contributes less than 1% of the production process in either total mass or energy use, or is used in a minor amount compared to its resource base (e.g., water); and does not cause either observed or measurable environmental or human health impacts during its production or use.
Annual Radiative Forcing	Radiative forcing from emissions of climate forcers in a given year.
Applicable Law	Laws of the country in which an organization is located. Host country law includes all applicable requirements, including but not limited to laws, rules regulations, and permit requirements, from any governmental or regulatory agency, including but not limited to applicable requirements at the federal/national, state, provincial, county or town/municipal levels, or their equivalents in the country where the facility is located. ² Where applicable law is more stringent than the requirements of this Standard, applicable law has precedence.

² IRMA, *Standard for Responsible Mining*: https://responsiblemining.net/wp-content/uploads/2018/07/IRMA_STANDARD_v.1.0_FINAL_2018.pdf.

Term	Definition
Bribery	The offering, promising, giving, accepting, or soliciting of an advantage as an inducement for an action which is illegal, unethical or a breach of trust. Inducements can take the form of gifts, loans, fees, rewards, or other advantages (e.g., taxes, services, donations, favors). ³
Broker	An entity that represents and sells Certified Diamonds in B2B transactions, but that does not take physical possession of the stone.
Business Partners	Organizations with direct business relationships, engaged in buying or selling of a product or service that directly contributes to the mining, growing, manufacture, or sale of diamonds and/or jewelry.
Certification Body	An SCS Standards-approved third-party organization authorized to conduct independent audits to assess conformance with this Standard.
Certified Diamond	Diamond derived from a certified production operation (also referred to as “Certified Sustainability Rated Diamond”). Certified Diamonds may or may not be graded. <i>Note: Certified Diamonds can be of all sizes, including melee.</i>
Certified Diamond Jewelry Item	Piece of jewelry that contains only Certified Diamonds. Such diamonds must be listed in the SCS-007-1 stone tracking database, must have a unique identifier, and must have an accompanying Sustainability Rated Diamond Jewelry Certificate.
Chain of Custody	The entities that take physical possession of a Certified Diamond from the time the stone is produced to the time it is sold to an end consumer.
Chain-of-Custody Documentation	Documentation that accompanies the shipment of a Certified Diamond when it passes into the physical possession or control of the next entity in the chain.
Collective Bargaining	All negotiations that take place between an employer, a group of employers, or one or more employers’ organizations, and one or more workers’ organizations, for: ⁴ a) determining working conditions and terms of employment; b) regulating relations between employers and workers; or c) regulating relations between employers or their organizations and a workers’ organization or workers’ organizations.
Conflict Affected and High-Risk Areas⁵	Areas identified by the presence of armed conflict, widespread violence, or other significant risks of violent harm to people. <i>Note: High-risk areas can include areas of political instability or repression, institutional weakness, insecurity, collapse of civil infrastructure and widespread violence. Such areas</i>

³ Transparency International, *Anti-Corruption Glossary*, <https://www.transparency.org/en/glossary>

⁴ ILO C154 Article 2.

⁵ The EU is expected to release a list of CAHRA countries – this will be added as a reference when available.

Term	Definition
	<i>are often characterized by widespread human rights abuses and violations of national or international law.</i> ⁶
Contractor	An individual or entity 1) hired by a Producer to perform a function that is directly in contact with Certified Diamonds or is an input used in the production of Certified Diamonds, or 2) hired by a Handler to perform a function that is directly related to the cutting, polishing, manufacturing, or provision of laboratory services for Certified Diamonds, whether on or off-site.
Corruption	The abuse of entrusted power for private gain. ⁷
Counterparty	The opposite party in a financial transaction.
Cut diamond	Diamond that has been cut and polished.
Cutter/Polisher	An entity responsible for cutting and polishing rough Certified Diamonds from a certified production operation, a process that also results in the creation of melee (< 0.2 carats) and other ungraded diamonds (≥ 0.2 carats).
Diamond	A mineral consisting essentially of pure crystallized carbon in the isometric system, with a hardness on the Mohs (scratch) scale of 10, a specific gravity of approximately 3.52, and a refractive index of 2.42. ⁸
Distributor or Wholesaler	Entities selling certified products in a B2B transaction that take physical possession of the stone without modifying it.
Due Diligence	<p>An on-going, proactive, and reactive process through which a company can identify, prevent, mitigate, and account for how it addresses its actual and potential adverse impacts as an integral part of business decision-making and risk management systems.</p> <p><i>Note: Due diligence can help a company ensure that it observes the principles of international law and complies with domestic laws, including those laws governing the illicit trade in minerals and UN sanctions.</i></p>
Effluent	Treated or untreated liquid waste or sewage discharged into the environment.
Emission	Discharge of a substance into the air, water, or ground, such as a gas, liquid, particulate, radiation, or solid material.
Energy Attribute Certificate	<p>A document that shows electricity was produced using renewable sources, with each certificate representing 1 MWh of renewable energy.</p> <p><i>EXAMPLES: Guarantee of Origin (EU); Renewable Energy Certificate system (RECs) (US, Canada); International Renewable Energy Standard (i-RECs) (other parts of world)</i></p>

⁶ OECD, *Due Diligence Guidance for Responsible Supply Chains of Minerals from Conflict-Affected and High-Risk Areas*: <https://www.oecd.org/daf/inv/mne/OECD-Due-Diligence-Guidance-Minerals-Edition3.pdf>.

⁷ Transparency International, *Anti-Corruption Glossary*: <https://www.transparency.org/en/what-is-corruption>.

⁸ Adapted from Kimberly Process, (November 2002), *Kimberly Process Certification Scheme*, Kimberly Process, <https://www.kimberlyprocess.com/en/system/files/documents/KPCS%20Core%20Document.pdf>.

Term	Definition
Environmental Release	Accidental or uncontrolled discharge of a potentially harmful emission or effluent to air, land, or water. (Also referred to simply as “release”)
Facilitation Payments	Money paid to expedite an administrative process or otherwise receive preferential treatment.
Gem Identification	A process that generates a combination of information that uniquely identifies a cut diamond, which includes a unique laser inscription, and measurement of physical attributes, including carat weight, cutting style and stone dimensions based on at least three measurements or proportions. ⁹
Gem Identification Laboratory	Entity that provides gem identification services, as defined in this Standard. (Gem identification laboratories can also be gemological or grading laboratories.)
Grading	Evaluation of a diamond’s cut, clarity grade, color, and carat weight, at a minimum.
Grading Laboratory	Independent entity that analyzes and provides detailed grading reports for individual cut diamonds.
Handler	An organization situated along the diamond chain of custody connecting the Producer to the retailer, broker, wholesaler, or distributor, and that takes physical custody of the diamond, including cutters and polishers, jewelry manufacturers, as well as vertically integrated producers. Grading laboratories are not considered Handlers.
Hazardous Environmental Contaminants	Substances that can cause adverse toxic (chronic or acute) effects in sensitive species when exposed to doses over safe thresholds, and which have the potential to expose living organisms (excluding humans) in receiving environment(s) at unsafe levels.
Hazardous Waste	Waste with properties (e.g., ignitability, corrosivity, toxicity, reactivity) that make it dangerous or capable of having a harmful effect on human health or the environment. Hazardous waste is typically subject to regulatory oversight as defined by the applicable jurisdiction or regulatory body (e.g., the United States Resource Conservation and Recovery Act).
Human Rights	A set of inalienable rights and freedoms endowed equally to all men and women, including all the articles of the 1948 UN Universal Declaration of Human Rights applicable to companies. ¹⁰
Human Rights Violation	Any event during which a person is prevented the ability to exercise a human right.
Indigenous People	A self-identified group of: (a) tribal peoples in independent countries whose social, cultural, and economic conditions distinguish them from other sections of the national

⁹ Carat weight should be expressed to two decimal places, to the nearest one-hundredth carat.

¹⁰ Articles 1-20, and 30 apply in the context of companies.

Term	Definition
	community, and whose status is regulated wholly or partially by their own customs or traditions or by special laws or regulations; or (b) peoples in independent countries who are regarded as indigenous on account of their descent from the populations which inhabited the country, or a geographical region to which the country belongs, at the time of conquest or colonization or the establishment of present state boundaries and who, irrespective of their legal status, retain some or all their own social, economic, cultural, and political institutions. <i>(adapted from ILO C169)</i>
Indigenous Sovereign Nation	A sovereign group of indigenous people (tribal or otherwise) that is self-governing.
Industrial-Scale Mining (ISM)	Formal surface or sub-surface diamond mining exploration, extraction, processing, and transportation operations, which are typically labor, technology, and capital intensive. Frequently but not always large-scale.
Jewelry Manufacturer	An entity that makes finished pieces of jewelry that are ready for retail sale.
Know Your Counterparty	The process of obtaining and maintaining sufficient information regarding the persons or organizations with whom one conducts business in order to avoid transactions that are in violation of laws, organization policies, or best practice.
Laboratory Grown Diamond (LGD)	Man-made diamond that has the same chemical, physical, and optical properties as a mined diamond.
LCA Impact Profile	The environmental and human health impacts associated with a diamond and its life cycle, from origin to the consumer.
Marketplace Claim	A public assertion made in connection with this Standard about a Certified Diamond, or a certified production or handling operation.
Melee	Very small diamonds, either single cut or full cut, weighing less than 0.2 carats.
Mined Diamond	A diamond that was geologically formed in the earth and extracted from a mine.
Net Zero Carbon Footprint	Achieving a net balance of carbon dioxide equivalence in the atmosphere by balancing out an organization’s carbon footprint with comparable reductions in climate pollutants, through direct investment in carbon-reducing activities supplemented as needed by carbon offsets.
Non-Certified Diamonds	Diamonds in the inventory of a Handler or Retailer that are not certified under this Standard.
Non-Hazardous Waste	Effluent and emission waste streams that are not classified as hazardous by a regulatory authority
Origin	The location where a diamond was originally produced, either extracted from the ground (for natural mined diamonds) or manufactured in a lab

Term	Definition
	(for laboratory grown diamonds). <i>Also referred to as “source” or “provenance.”</i> <i>Note: Origin refers to the site where the Certified Diamond is original produced or mined. Origin does not refer to a site of material transformation.</i>
Origin Traceability Assurance	Confirmation of the origin of a specific diamond throughout the chain of custody from the Producer to the consumer, attained through a combination of documentation, audit, and source signature testing protocols.
Parcel	A quantity of stones, especially as dealt with in a commercial transaction.
Parent Rough Diamond	Rough diamond from which a specific diamond was cut.
Physical Characteristics	Unique attributes of a diamond or a set of diamonds that can be physically or chemically tested.
Producer	An entity that finds or makes the rough diamond, whether mined or laboratory grown.
Production Operation	All industrial processes controlled by the Producer and its upstream suppliers that are connected to the mining or manufacturing of gemstone-quality diamonds, including extraction, production, processing, and maintenance activities. <i>Note: Ocean floor mining operations are not allowed within the scope of this Standard.</i>
Radiative Forcing (RF)	The change in the net, downward minus upward, radiative flux (expressed in W/m ²) at the tropopause or top of atmosphere due to a change in an external driver of climate change, such as a change in the concentration of carbon dioxide or the output of the Sun.
Receiving Environment	Environmental receptors, including surface water, groundwater, humans, air, wildlife, and/or vegetation that are potentially affected by stressor(s) including effluents, emissions, wastes, and activities associated with diamond production operations.
Reference Collection	A randomly selected set of diamonds collected from a verified mine or lab grower for the purpose of generating or updating a source signature.
Renewable Energy Instrument	An Energy Attribute Certificate or other instrument that demonstrates the use of renewable energy resources.
Retailer	An entity selling diamond or diamond jewelry merchandise directly to end consumers. A retailer might set Certified Diamonds into a manufactured jewelry piece.
Retrenchment	The elimination of a number of work positions or the dismissal or layoff of a number of workers by an employer, generally by reason of plant closing or for cost savings. Retrenchment does not cover isolated cases of termination of employment for cause or voluntary departure. Retrenchment is often a consequence of adverse economic circumstances

Term	Definition
	or as a result of a reorganization or restructuring. (Source: IFC. 2012. <i>Performance Standard 2</i> , Guidance Note GN 48.)
Rough Diamond	Diamond that is unworked or simply sawn, cleaved, or bruted.
Salient Human Rights Risk	The human rights at risk of the most severe negative impact through a company's activities and business relationships. They impact people (rather than businesses) and have the potential to actually occur. They include (but are not restricted to) security, child labor, forced labor and human trafficking, health and safety, freedom of association and the right to collective bargaining, discrimination and gender equality, disciplinary practices, working hours, remuneration, indigenous peoples and sourcing from artisanal and small-scale mining or conflict-affected areas. (<i>UN Guiding Principles Reporting Framework, Salient Human Rights Issues</i> : www.ungpreporting.org/resources/salient-human-rights-issues)
SCS-007-1 Sustainability Rated Diamond Program	The program under which the Standard is administered.
Shipment	Tamper-evident containers used to transport diamonds that physically change hands in the chain of custody.
Site of Production	The specific mine or lab growing production facility in which a diamond was produced (i.e., either created or extracted).
Source Signature	A combination of empirically measured physical characteristics of a specific diamond or group of diamonds that is used to verify origin from a specific production site.
Source Signature Verification	The examination of a diamond's physical characteristics and comparison to an existing source signature to confirm that it is from a specific production site.
Source Signature Verification Provider	Entity that generates a source signature and conducts verification of a stone's origin against the relevant signature.
Stakeholder	Individual or organization with an interest in a particular decision, including those who make or can influence a decision as well as those who are potentially affected by the decision. Stakeholders can include, for instance, non-government organizations, governments, rightsholders, indigenous peoples and sovereign nations, shareholders, and workers, as well as local community members.
Stone Tracking Database	A database, owned and maintained by the certification body, in which information about individual Certified Diamonds and Certified Diamond Jewelry Items is stored, with data sufficient to uniquely identify cut Certified Diamonds and Jewelry Items, and provide traceability back to the production source.
Supplier	An individual or entity hired by a Producer to supply a product used as an input in the production of a Certified Diamonds or hired by a Handler to

Term	Definition
	supply a product directly related to the cutting or polishing or manufacturing or providing laboratory services for Certified Diamonds, whether on or off-site.
Sustainability Investment	A financial investment or contribution that reduces climate impacts, benefits the environment, and/or benefits the health and well-being of workers and communities.
Sustainability Rated Diamond Certificate	A document generated to provide information about and accompany an individual Certified Diamond produced by a certified producer and handled by certified handlers, with corresponding data uploaded into the certification body's Stone Tracking Database.
Sustainability Rated Diamond Jewelry Certificate	A document generated to provide information about a Certified Diamond Jewelry Item, intended to accompany the item from a certified Jewelry Manufacturer, with corresponding data uploaded into the certification body's Stone Tracking Database.
Tamper-evident container	A container having one or more indicators or barriers to entry which, if breached or missing, can reasonably be expected to provide visible evidence to the unaided eye that tampering has occurred. ¹¹
Ton	Metric ton
Unit process	The smallest element considered in the life cycle inventory analysis for which input and output data are quantified. ¹²
Unique Tracking Number	Identification number or code assigned to an individual stone, parcel, or container used for the purpose of tracking Certified Diamonds.
Worker	Full-time, part-time, temporary, or contract employee who carries out work for compensation.

¹¹ Based on US Code of Federal Regulations Title 21, Volume 4. 21CFR211.132:
<https://www.accessdata.fda.gov/scripts/cdrh/cfdocs/cfCFR/CFRSearch.cfm?fr=211.132>

¹² ISO 14044:2006



SCS STANDARDS

Certification Requirements

5. Social Responsibility and Governance Criteria

5.1 Business Integrity

Principle: Conduct business with the highest degree of integrity, in compliance with applicable laws and international agreements.

Section # and Criteria		Tier	Type of Entity			
			ISM Producer	LGD Producer	Handler	Broker, Wholesaler, Retailer
5.1.1 Legal Compliance						
5.1.1.1	The entity shall comply with all host country laws and regulations that are relevant to its operations, or the requirements of this Standard, whichever is stricter. If compliance with this Standard conflicts with legal requirements in a given country, the entity shall provide evidence and ensure compliance with local laws.	1	√	√	√	N/A
5.1.1.2	The entity shall establish and implement documented procedures to maintain awareness of and ensure compliance with applicable law and international agreements, including: <ul style="list-style-type: none"> a. Identifying its legal obligations under relevant local and national laws; b. Monitoring relevant legal developments and areas of non-compliance risks; and c. Maintaining a list of relevant agreements, legislation, regulations, permitting, licensing, and disclosure requirements. 	2	√	√	√	N/A
5.1.1.3	The entity shall report to stakeholders on legal compliance failures and actions taken to address the non-compliance.	2	N/A	N/A	√	N/A
5.1.2 Responsible Business						
5.1.2.1	The entity shall commit to uphold the governance, environmental and social performance principles addressed in this Standard, including: <ul style="list-style-type: none"> a. Making this commitment publicly available (e.g., on a website); 	1	√	√	√	N/A

Section # and Criteria		Tier	Type of Entity			
			ISM Producer	LGD Producer	Handler	Broker, Wholesaler, Retailer
	b. Obtaining validated acknowledgement from workers, contractors, suppliers, and other business partners, of said principles; and c. Requiring contractors, suppliers, and business partners to agree in writing to abide by its environmental, social and governance principles.					
5.1.2.2	The entity shall have established and implemented environmental, social, and governance policies and procedures that apply to its own activities, as well as to work conducted on its behalf by contractors.	1	N/A	N/A	√	N/A
5.1.2.3	The entity shall implement quality assurance procedures to ensure that its management systems and procedures related to each section of the Standard are being followed.	1	√	√	√	N/A
5.1.2.4	If the entity identifies a non-conformity against this Standard, the entity shall remedy the non-conformity, conduct root cause analysis, take corrective action, and maintain records and documentation sufficient to demonstrate compliance.	1	√	√	√	N/A
5.1.2.5	The entity shall identify the Producer(s) and production operation(s) from whom they are obtaining Certified Diamonds or Certified Diamond Jewelry Items.	1	N/A	N/A	√	N/A
5.1.2.6	The entity's management systems, organizational structure and processes shall be documented and have sufficient resources to implement and enforce its environmental, social, and governance policies and procedures.	2	√	√	√	N/A
5.1.2.7	The entity shall assign at least one senior management member to have overall responsibility and authority for conformance with this Standard.	2	√	√	√	√
5.1.2.8	The entity shall undertake communications and conduct regular training to ensure that relevant personnel are aware of, and competent in, their responsibilities under the Standard.	2	√	√	√	√
5.1.2.9	The entity shall conform with national or international accounting standards regarding financial accounts associated with business transactions.	2	√	√	√	N/A

Section # and Criteria		Tier	Type of Entity			
			ISM Producer	LGD Producer	Handler	Broker, Wholesaler, Retailer
5.1.2.10	The entity shall undergo an annual financial audit or review by an independent accountant, in jurisdictions where such audits are allowed.	2	√	√	√	N/A
5.1.3 Record Keeping						
5.1.3.1	The entity shall maintain records, documentation, and data related to the fulfilment of the requirements of this Standard for a minimum duration of 5 (five) years.	1	√	√	√	√
5.1.3.2	The entity shall make records, documentation, and data available to the certification body for inspection upon request.	1	√	√	√	√
5.1.3.3	The entity shall make records available in English upon request from the certification body.	1	√	√	√	√
5.1.4 Anti-Corruption						
5.1.4.1	The entity shall establish and implement documented anti-corruption procedures to a. prohibit bribery, embezzlement, extortion, money laundering, facilitation payments and smuggling, and set criteria and approval process for offer or receipt of gifts or services; b. Identify and avoid potential conflicts of interest; c. Identify and avoid charitable and political contributions with potential corruption risk; d. Require workers to internally report suspected corruption and protect them from penalty or adverse consequences for doing so or for refusing to participate in corruption; e. Identify, monitor and manage the parts of its business with high corruption risk; f. Investigate suspected corruption and impose sanctions if found; and g. Report to the relevant authority corruption incidents or similar illegalities.	1	√	√	√	N/A

Section # and Criteria		Tier	Type of Entity			
			ISM Producer	LGD Producer	Handler	Broker, Wholesaler, Retailer
5.1.4.2	The entity shall train relevant workers in anti-corruption procedures.	1	√	√	√	N/A
5.1.4.3	The entity shall maintain records of all single cash or cash-like transactions (e.g., crypto currency, money orders, cashier checks).	2	√	√	√	N/A
5.1.5 Material Sourcing and Due Diligence Policies¹³						
5.1.5.1	The entity shall have a procedure to identify Conflict-Affected and High-Risk Areas (CAHRAs) within its supply chain.	1	√	√	N/A	N/A
5.1.5.2	The entity shall conduct due diligence on its diamond supply chain, including Certified Diamonds and non-certified diamonds, in accordance with the <i>OECD Due Diligence Guidance for Responsible Supply Chains of Minerals from Conflict-Affected and High-Risk Areas</i> (the 'OECD Guidance'), or for Cutters and Polishers, another due diligence framework suitable based on size and operations.	1	N/A	N/A	√	N/A
5.1.5.3	If the entity uses minerals from CAHRAs in its process as defined by the Dodd Frank Act Section 1502 and EU regulation 2017-821, the Producer shall: a. Designate a Senior Manager and Compliance Officer(s); b. Develop a material sourcing and due diligence policy for those materials in alignment with international best practices (e.g., Annex II of the OECD Due Diligence Guidance for Responsible Supply Chains of Minerals from Conflict-Affected and High-Risk Areas); and c. Publicly report its supply chain due diligence annually.	1	N/A	√	N/A	N/A
5.1.5.4	The entity shall comply with the Kimberley Process Certification Scheme.	1	√	N/A	N/A	N/A
5.1.5.5	The entity shall support the Extractive Industries Transparency Initiative (EITI) in EITI implementing countries.	1	√	N/A	N/A	N/A

¹³ Entities that have been independently certified to the OECD Due Diligence Guidance for Responsible Supply Chain of Minerals from Conflict-Affected and High-Risk Areas and associated Annexes (OECD Guidance) are recognized as conformant with Section 5.1.5 requirements. *Note: examples of programs to demonstrate conformance to OECD include Responsible Jewellery Council (RJC) or Signet Sourcing Protocol.*

Section # and Criteria		Tier	Type of Entity			
			ISM Producer	LGD Producer	Handler	Broker, Wholesaler, Retailer
5.1.5.6	The entity shall develop and communicate publicly a supply chain policy addressing sourcing of diamonds from conflict-affected and high-risk areas, consistent with Annex II of the OECD Guidance.	2	N/A	N/A	√	N/A
5.1.5.7	If the entity buys, sells or trades mined diamonds, the Handler shall: a. Comply with the Kimberley Process Certification Scheme (KPCS) and World Diamond Council (WDC) System of Warranties; b. Not knowingly buy or sell CAHRA diamonds nor help others to do so; and c. Train relevant workers to understand KPCS and the WDC System of Warranties.	2	N/A	N/A	√	N/A
5.1.5.8	If the entity determines that a supplier has a high risk of contributing to human rights violations, it shall conduct enhanced due diligence to determine if the violations are occurring and, if so, temporarily suspend or disengage business relationships with the supplier until such time as the violations are mitigated and potentially remediated.	2	N/A	N/A	√	N/A
5.1.6 Know Your Counterparty						
5.1.6.1	The entity shall establish and implement documented Know Your Counterparty procedures for its suppliers, contractors, other business partners and customers, including: a. Knowing the identity of its suppliers, contractors, other business partners and customers, and whether they are linked to high risk, conflict affected areas or money laundering, knowing the ultimate beneficiaries, structure, and ownership of their business; b. Verifying that business suppliers, contractors, other business partners and customers and ultimate beneficiaries are not on government or international lists of persons or organizations linked to money laundering, fraud, prohibited organizations, or linked to conflict; ¹⁴	1	√	√	√	N/A

¹⁴Indicative, non-exhaustive list of CAHRAs under Regulation (EU) 2017-821: <https://www.cahraslist.net/cahras>

Section # and Criteria		Tier	Type of Entity			
			ISM Producer	LGD Producer	Handler	Broker, Wholesaler, Retailer
	c. Monitoring financial transactions for suspected activities and reporting any suspicious transaction to relevant authorities; and d. Keeping records of this due diligence and its outcomes on counterparties.					
5.1.6.2	The entity shall designate a competent senior representative to manage the due diligence process.	2	√	√	√	N/A
5.1.6.3	The entity shall train relevant personnel in its due diligence policy and procedures.	2	√	√	√	N/A
5.1.6.4	The entity shall periodically review and publicly report on its due diligence policy and procedures to ensure they are up to date and sufficient.	2	√	√	√	N/A

5.2 Stakeholder Relations

Principle: Effectively engage with stakeholders.

Section # and Criteria		Tier	Type of Entity			
			ISM Producer	LGD Producer	Handler	Broker, Wholesaler, Retailer
5.2.1 Stakeholder Engagement						
5.2.1.1	The entity shall identify and analyze the range of stakeholders directly or potentially affected by the Producer’s production-related activities, such as local communities, indigenous populations, and business partners.	1	√	√	N/A	N/A
5.2.1.2	The entity shall provide stakeholders with relevant information about issues of concern relating to this Standard in a timely manner. The information shall provide sufficient detail and substance for stakeholders to engage effectively on such issues.	2	√	√	N/A	N/A

Section # and Criteria		Tier	Type of Entity			
			ISM Producer	LGD Producer	Handler	Broker, Wholesaler, Retailer
	<i>Note: If the entity deems that responding to the request would reveal proprietary information, the request shall be qualified as unreasonable, and an explanation shall be provided in writing to the concerned stakeholder.</i>					
5.2.1.3	The entity shall develop and document a stakeholder engagement process, which at a minimum: a. Includes participation by site management and subject-matter experts as needed when addressing stakeholder concerns in connection with this Standard; b. Is conducted respectfully, and free from manipulation, interference, coercion, or intimidation; c. Is open to feedback from stakeholders; and d. Provides transparency about the way in which stakeholder feedback has been taken into consideration in the decision-making process and how grievances have been resolved.	2	√	√	N/A	N/A
5.2.1.4	Documentation pertaining to stakeholder engagement shall be maintained.	2	√	√	N/A	N/A
5.2.1.5	The entity shall, if requested, provide full or partial funding to cover the costs of participation of independent subject matter experts in full or in part, under a mutually acceptable agreement with the stakeholder.	2	√	√	N/A	N/A
5.2.2 Stakeholder Grievances and Complaints						
5.2.2.1	The entity shall establish, implement, and make publicly available a grievance mechanism for stakeholders to lodge complaints or grievances with the entity that shall, at a minimum: ¹⁵ a. Establish how grievances are registered, acknowledged, assessed, addressed and documented, and what general timelines for each phase can be expected;	1	√	√	√	N/A

¹⁵ Refer to Principle 31 of the *United Nations Guiding Principles on Business and Human Rights* for effectiveness criteria for non-judicial grievance mechanisms including legitimacy, accessibility, predictability, equitability, and transparency.

Section # and Criteria		Tier	Type of Entity			
			ISM Producer	LGD Producer	Handler	Broker, Wholesaler, Retailer
	<p>b. Provide for both individual and group grievances, and for confidential and anonymous grievances;</p> <p>c. Be easily accessible (e.g., local languages);</p> <p>d. Provide a transparent and clear process to address complaints promptly, providing timely feedback and remedy to concerned parties;</p> <p>e. Provide sensitivity and response training to managers and other relevant personnel involved in the disposition of complaints and grievances (e.g., gender and discrimination issues);</p> <p>f. Explain the appeals process; and</p> <p>g. Allow access to other judicial or administrative remedies available under the law or through existing arbitration.</p>					
5.2.2.2	The entity shall maintain records of grievances filed and monitor the efficacy of its grievance mechanism.	2	√	√	√	N/A

5.3 Human Rights

Principle: Respect and protect human rights and prevent discrimination in compliance with international law and norms.

Section # and Criteria		Tier	Type of Entity			
			ISM Producer	LGD Producer	Handler	Broker, Wholesaler, Retailer
5.3.1 Human Rights Due Diligence						
5.3.1.1	The entity shall have: a. A zero-tolerance policy for human rights violations by its workers, contractors, suppliers and other business partners acting directly on its behalf; b. A process to remedy harm should a violation occur; and c. Public reporting on any identified violations and how they were addressed.	1	√	√	√	√
5.3.1.2	The entity shall establish and communicate its zero-tolerance policy for human rights violations within its supply chain.	1	√	√	√	N/A
5.3.1.3	The entity shall create or adopt a public policy affirming its commitment to respect for human rights, and describing how it protects human rights for all individuals affected by its operations and business relationships which: a. Is approved by the entity's highest senior management; b. Is relevant to the entity's size and sphere of operations; c. States the expectations of workers, contractors, suppliers and other business partners linked directly to business operations; d. Is publicly available; and e. Is communicated to workers, contractors, suppliers, and other business partners linked to the entity's business operations and is included in contracts or written agreements with suppliers.	1	√	√	√	N/A
5.3.1.4	The entity shall establish ongoing due diligence procedures to identify, prevent, mitigate, and monitor how it is addressing salient human rights risks,	1	√	√	√	N/A

Section # and Criteria		Tier	Type of Entity			
			ISM Producer	LGD Producer	Handler	Broker, Wholesaler, Retailer
	<p>weak or collapsing governance, or ongoing or emerging conflicts in conflict-affected and high-risk areas.¹⁶ This due diligence shall include:</p> <p>a. Adoption and establishment of a methodology aligned with international best practices (e.g., OECD Due Diligence Guidance), which addresses the identification of the relevant human rights, and their potential severity and impacts, relevant laws, approach to consulting with stakeholders, types of data collection, development of prevention and mitigation measures, and frequency of monitoring and evaluation of the efficacy of implemented measures.</p> <p>b. A screening assessment based on evidence from credible sources to determine if the operation is located in a CAHRA;¹⁷</p> <p>c. Analysis of the local human rights conditions, including identification of those persons, or groups of people, who might be vulnerable to human rights violations, the potential risks they might face;</p> <p>d. A listing of the entity's activities identified during the due diligence process that could lead to potential human rights violations; and</p> <p>e. Identification of the measures the entity is taking to monitor and prevent human rights violations, to mitigate and remediate if human rights have been violated.</p> <p><i>Note: Groups of people with vulnerability can include, but are not limited to, indigenous peoples, women, minorities, and others vulnerable based on gender identification or orientation.</i></p>					
5.3.1.5	If operating in a country with known widespread or state-sponsored human rights violations (e.g., as identified in the UN Human Rights Index), the entity	1	√	√	√	N/A

¹⁶ OECD, *Due Diligence Guidance for Responsible Supply Chains of Minerals from Conflict-Affected and High-Risk Areas*: <https://www.oecd.org/daf/inv/mne/OECD-Due-Diligence-Guidance-Minerals-Edition3.pdf>.

¹⁷ Companies may consult independently compiled lists, such as the *Indicative, Non-Exhaustive List of Conflict and High Risk Areas under Regulation (EU) 2017/821* (<https://www.cahraslist.net/cahras>), or the list published by The Dragonfly Institute (TDI) (<https://www.tdi-sustainability.com/tools/tdi-cahra/>). Note that there is no definitive, universal CAHRA list within the due diligence community. Ultimately, companies must make their own determination of CAHRA locations.

Section # and Criteria		Tier	Type of Entity			
			ISM Producer	LGD Producer	Handler	Broker, Wholesaler, Retailer
	shall undertake reasonable measures within its capabilities to protect its workers from gross human rights violations committed by the government or other parties.					
5.3.2	Human Rights Violations Monitoring, Prevention, Mitigation and Remediation					
5.3.2.1	If the entity finds out, through monitoring or evaluation of any of its activities, that human rights violations might be at risk to occur, it shall: a. Make a good faith effort to prevent such violations from occurring; b. If absolute prevention is not possible, the entity shall design a preemptive mitigation plan, whereby persons at risk shall have the opportunity to participate in the mitigation plan design; and c. When applicable, attempt to influence parties contributing to the violation to prevent human rights violations or mitigate their severity.	1	√	√	√	N/A
5.3.2.2	If the entity finds out that, through monitoring or evaluation of any of its contractor, supplier or other business partner relationships, there are risks of human rights violations, it shall attempt to influence responsible parties to prevent human rights violations or, if violations occur, mitigate their impact up to and including discontinuation of such relationships.	2	√	√	√	N/A
5.3.2.3	If the entity learns that a human rights violation has occurred in connection with a contractor, supplier, or other business partner relationship, it shall: a. Stop relevant activities and develop mitigation and remediation plans in consultation with affected persons or groups; b. If the entity and affected persons or groups cannot find agreement in an acceptable remedy, engage an independent, third-party mediator to mediate an agreement; and c. Cooperate with any legitimate process or proceedings related to human rights violations caused, contributed to, or linked to the producer.	1	√	√	√	N/A
5.3.2.4	The entity shall conduct monitoring to determine whether identified human rights risks and violations are being appropriately addressed.	2	√	√	√	N/A

Section # and Criteria		Tier	Type of Entity			
			ISM Producer	LGD Producer	Handler	Broker, Wholesaler, Retailer
5.3.3 No Child Labor¹⁸						
5.3.3.1	The entity shall not use or tolerate the use of child labor (any person under the age of 15, or below the minimum age stated by applicable law, whichever is higher) consistent with ILO conventions C138, C146, C182 and C190, and shall comply with pertinent national and international law. ¹⁹	1	√	√	√	√
5.3.3.2	The entity shall document and verify the age of workers at the time of their hiring.	1	√	√	√	N/A
5.3.3.3	The entity shall ensure that no workers below the age of 18 are employed in hazardous or heavy work, as per ILO convention C138.	1	√	√	√	N/A
5.3.3.4	If a child is found working in violation of 5.3.3.1, the entity shall remove the child from the job, institute remediation procedures to help the child transition to legal work or school, taking into consideration the child's welfare and family's financial situation, and conduct a systemic root cause analysis and implement procedures to address such causes.	1	√	√	√	N/A
5.3.3.5	The entity shall develop and implement procedures to monitor its contractors with high risk of use of child labor. <i>Note: If the entity is only seeking to make B2B claims for its rough diamonds, then it is exempted from this requirement to monitor contract cutters and polishers.</i>	2	√	√	√	N/A
5.3.3.6	If the entity identifies a case of child labor among its contractors, and remediation is not undertaken or possible, the entity shall stop working with	1	√	√	√	N/A

¹⁸ The OECD *Due Diligence Guidance for Responsible Supply Chains of Minerals from Conflict-Affected and High-Risk Areas* identifies the worst forms of child labour as a serious human rights abuse associated with the extraction, transport, or trade of minerals that companies should not tolerate, profit from, contribute to, assist with, or facilitate in the course of doing business. Although the Due Diligence Guidance recommends that companies implement a supply chain due diligence risk framework in order to respect human rights, there is little detail available on how companies can conduct due diligence of child labour-related risks.

¹⁹ For further information, organizations may wish to review the OECD's Practical actions for companies to identify and address the worst forms of child labour in mineral supply chains: <http://mneguidelines.oecd.org/Practical-actions-for-worst-forms-of-child-labour-mining-sector.pdf>

Section # and Criteria		Tier	Type of Entity			
			ISM Producer	LGD Producer	Handler	Broker, Wholesaler, Retailer
	that contractor until it can be demonstrated that the contractor is in conformity with this section of the Standard.					
5.3.4 No Forced Labor						
5.3.4.1	The entity shall ensure that all work is voluntary. Neither the entity nor its contractors or suppliers shall use or tolerate the use of forced, compulsory, bonded, trafficked or otherwise involuntary or deceptive labor or recruitment, consistent with ILO conventions C29 and C105.	1	√	√	√	√
5.3.4.2	The entity shall not: a. Unreasonably restrict the freedom of movement of workers in the workplace or in on-site housing; b. Retain originals of a worker's personal documentation (e.g., identity papers); c. Require workers to pay any deposits, equipment advances or recruitment fees as part of the recruitment process without timely reimbursement; d. Withhold any part of a worker's salary, benefits, or property to force a worker to continue working; and e. Prevent workers from terminating employment after reasonable notice or as established by applicable law.	1	√	√	√	N/A
5.3.4.3	The entity shall develop and implement procedures to monitor its contractors with high risk of forced labor. <i>Note: If the entity is only seeking to make B2B claims for its rough diamonds, then it is exempted from this requirement to monitor contract cutters and polishers.</i>	2	√	√	√	N/A
5.3.4.4	If the entity identifies a case of forced labor among its contractors, and remediation is not undertaken or possible, the entity shall stop working with that contractor until it can be demonstrated that the supplier is in conformity with this section of the Standard.	1	√	√	√	N/A

5.4 Free, Prior, and Informed Consent

Principle: Respect the rights and interests of indigenous peoples and of indigenous sovereign nations, and work to assure their free, prior, and informed consent (FPIC).

Section # and Criteria		Tier	Type of Entity			
			ISM Producer	LGD Producer	Handler	Broker, Wholesaler, Retailer
5.4.1 Respecting the Rights of Indigenous Peoples and Interests of Indigenous Sovereign Nations						
5.4.1.1	The entity shall identify indigenous individuals, communities or sovereign nations that might be directly affected by its operations. <i>Note: Only if such individuals or entities are identified will 5.4.1.2 – 5.4.1.4 apply.</i>	1	√	N/A	N/A	N/A
5.4.1.2	The entity shall have a published policy declaring its respect for the rights of indigenous peoples and the interests of indigenous sovereign nations, its recognition of the historical, traditional, and religious significance of the land on which its operations take place, and its recognition of the fauna and flora inhabiting this land. The entity shall have communicated this policy to indigenous peoples potentially affected by its activities and shall document its conformance with this policy on an ongoing basis. <i>Note: See, for instance, the UN Declaration of the Rights of Indigenous Peoples and the ILO C169.</i>	1	√	N/A	N/A	N/A
5.4.1.3	The entity shall confirm that its production operation is located in an area in which the applicable governmental jurisdiction has consulted with indigenous peoples (if any such communities are present in the region) and has gained FPIC regarding access to mineral resources and provide documentation.	1	√	N/A	N/A	N/A
5.4.1.4	If governmental consultation has not occurred and consent has not been obtained, the entity shall provide written evidence of its own actions taken to consult with the indigenous community (see, for instance, see UN FAO 2014, Respecting free, prior and informed consent: Practical guidance for	1	√	N/A	N/A	N/A

Section # and Criteria		Tier	Type of Entity			
			ISM Producer	LGD Producer	Handler	Broker, Wholesaler, Retailer
	governments, companies, NGOs, indigenous peoples and local communities in relation to land acquisition, Annex II).					
5.4.1.5	For any new production operation, the entity shall seek FPIC during the planning stages from indigenous peoples if their rights or interests could be affected. No new production operation is allowed to be opened unless such consent is granted (where applicable), on the basis of a mutually agreed upon decision-making process for obtaining consent that is democratic across the community.	1	√	N/A	N/A	N/A
5.4.1.6	The entity shall notify indigenous peoples if changes to diamond production related activities have the potential to impact their rights or interests.	1	√	N/A	N/A	N/A
5.4.1.7	The entity shall collaborate with indigenous peoples' representatives in monitoring of the implementation of free, prior, and informed consent agreements.	1	√	N/A	N/A	N/A
5.4.1.8	The entity shall operate in conformance with any existing FPIC until and unless a new FPIC is negotiated that supersedes it.	1	√	N/A	N/A	N/A
5.4.1.9	The entity shall document the FPIC process and publicly report its results.	1	√	N/A	N/A	N/A
5.4.1.10	The entity shall undertake steps to ensure meaningful communications and ongoing engagement with indigenous peoples, as might be applicable and to the extent practicable.	2	√	N/A	N/A	N/A

5.5 Community Engagement

Principle: Respect the rights and interests of local communities and work to assure that diamond production activities are aligned with these rights and interests.

Section # and Criteria		Tier	Type of Entity			
			ISM Producer	LGD Producer	Handler	Broker, Wholesaler, Retailer
5.5.1 Engagement with Local Communities						
5.5.1.1	The entity shall provide general support for the local community through donations or other local initiatives aimed at benefitting the local economy, community well-being, and environment.	1	√	√	N/A	N/A
5.5.1.2	The entity shall identify local communities that might be directly affected by its operations.	1	√	N/A	N/A	N/A
5.5.1.3	The entity shall have a published policy for meaningful engagement with local communities in the region within which its diamond production-related activities occur, supplemented with procedures and plans, aimed at benefitting the local economy, sensitivity to cultural values and protection of cultural heritage, and protection of the environment. The entity shall communicate this policy to the community and document its conformance with this policy on an ongoing basis.	2	√	N/A	N/A	N/A
5.5.1.4	The entity shall engage in, document, and maintain regular consultation and planning with representatives of local communities at least annually in support of community development, and demonstrate that it has earned broad community support for its diamond production-related activities, free from coercion or manipulation.	2	√	N/A	N/A	N/A
5.5.1.5	The entity shall assess the ways in which its operations might adversely impact community health and safety, and shall develop, implement, and monitor a plan to actively prevent any adverse impacts, or mitigate any impacts that cannot be prevented.	2	√	N/A	N/A	N/A

Section # and Criteria		Tier	Type of Entity			
			ISM Producer	LGD Producer	Handler	Broker, Wholesaler, Retailer
5.5.1.6	The entity shall periodically monitor the efficacy of its local engagement, and publicly document the outcomes.	2	√	N/A	N/A	N/A
5.5.1.7	The entity shall have a policy for preferentially hiring qualified individuals from the local area in which operations occur.	2	√	N/A	N/A	N/A
5.5.2 Resettlement						
5.5.2.1	The entity shall evaluate the potential need for resettlement in consideration of any mine expansion or new mining project. It shall: a. Only consider the need for local population resettlement as a last resort; b. Conduct a risk assessment prior to identifying the likelihood that forced resettlement would be required; c. Undertake good faith negotiations with all affected households, including offers of fair compensation; and d. Allow affected people to access independent legal counsel.	1	√	N/A	N/A	N/A
5.5.2.2	Pursuant to 5.5.2.1, any resettlement shall be allowed to proceed only after the entity has undertaken a process that is fairly adjudicated and that provides the resettled persons a chance to voice their objections to an impartial governmental authority. If resettlement occurs: a. Measures to mitigate its negative impacts shall be undertaken consistent with IFC Performance Standard 5; b. Loss of land or assets shall be compensated (for instance, in accordance with local law) in equal or higher value as the resettled persons determine in mutual agreement, either in terms of a choice of replacement property (land or assets) or cash compensation or equivalent (worth the full market value of the lost land or assets); and c. No forced resettlement shall be allowed.	1	√	N/A	N/A	N/A

5.6 Worker Rights

Principle: Respect and uphold worker rights and support worker well-being.

Section # and Criteria		Tier	Type of Entity			
			ISM Producer	LGD Producer	Handler	Broker, Wholesaler, Retailer
5.6.1 Human Resource and Labor Rights						
5.6.1.1	The entity shall establish policies and procedures for managing workers that respects their human rights, reflects their responsibilities, and is consistent with relevant laws in the jurisdiction in which it operates.	1	√	√	√	√
5.6.1.2	The entity shall communicate these policies and procedures to workers, contractors, and employment agencies using languages and channels that are understood and accessible.	2	√	√	√	N/A
5.6.2 Non-Discrimination						
5.6.2.1	The entity shall, consistent with ILO conventions C100 and C111: a. Establish and implement policies and procedures, and base employment relationships, on the principle of equal opportunity; b. Establish and implement policies and procedures that recognize the equal rights of every person it employs or does business with; and c. Not engage in or support discrimination in hiring, salary, promotion, training, advancement opportunities or termination of any worker on the basis of gender, race, national or social origin, religion, disability, gender identity, marital status, age, family responsibilities, parental or pregnancy status, health condition, political affiliation, caste, union membership or any other personal characteristic or condition that give rise to discrimination.	1	√	√	√	√
5.6.2.2	The entity shall have procedures in place to prevent and address harassment, intimidation, coercion, and exploitation.	1	√	√	√	N/A
5.6.2.3	The entity shall establish and implement policies and procedures that ensure respect for the rights and interests of women (e.g., aligned with the goals of	1	√	√	√	N/A

Section # and Criteria		Tier	Type of Entity			
			ISM Producer	LGD Producer	Handler	Broker, Wholesaler, Retailer
	the UN Convention on the Elimination of All Forms of Discrimination Against Women). ²⁰					
5.6.2.4	The entity shall provide training to managers and other key workers with respect to gender-based violence, including organizational policies, applicable laws, and potential indicators of such violence.	2	√	√	√	N/A
5.6.2.5	The entity shall have procedures in place for workers and their representatives to suggest improvements or changes to the workplace and working conditions without threat of reprisal, intimidation, or harassment.	2	√	√	√	N/A
5.6.3 Worker's Rights to Freedom of Association and Collective Bargaining						
5.6.3.1	The entity shall respect the rights of workers to associate freely, consistent with local labor laws, without interference and collectively bargain without discrimination or retaliation.	1	√	√	√	√
5.6.3.2	The entity shall participate in any collective bargaining process in good faith, adhere to collective bargaining agreements where such agreements exist, and refrain from using replacement workers, short-term contracts, or other measures to undermine collective bargaining agreements. <i>Note: The company may hire replacement workers to ensure critical maintenance, so long as they are not hired in order to break up a legal strike.</i>	1	√	√	√	N/A
5.6.3.3	Where national law restricts the right to freedom of association, collective bargaining and worker organizations, the entity shall respect and support legal alternative means for workers to associate.	2	√	√	√	N/A

²⁰ United Nations Convention on the Elimination of All Forms of Discrimination against Women: <https://www.ohchr.org/en/professionalinterest/pages/cedaw.aspx>

Section # and Criteria		Tier	Type of Entity			
			ISM Producer	LGD Producer	Handler	Broker, Wholesaler, Retailer
5.6.4 Terms of Employment and Working Hours						
5.6.4.1	The entity shall communicate to workers the terms of employment, including but not limited to: a. Wages, pay structure and pay periods; b. Hours of work, payment, overtime, compensation, benefits and other employment conditions; c. Resolution of workplace and compensation issues; d. Their right to join a worker's organization without any negative repercussions; e. Worker rights under national labor and employment law; and f. Their rights under applicable collective agreements, with a copy provided to them.	1	√	√	√	√
5.6.4.2	The entity shall communicate the terms of employment to workers at the beginning of the working relationship and when any material changes occur, using languages, methods and channels that are accessible and easily understood.	2	√	√	√	N/A
5.6.4.3	The entity shall maintain records of working hours and wage payments for all workers; such records shall be consistent with local laws if applicable.	2	√	√	√	N/A
5.6.4.4	The entity shall comply with applicable law on working time, and at a minimum, ensure that: a. Regular work weeks do not exceed 48 hours not including overtime, or 60 hours with overtime, except in extraordinary circumstances or contractual situations that are consensual and fair; b. Workers receive at least 24 consecutive hours off in every seven-day period except in extraordinary circumstances (per ILO C14 and C106) or contractual situations that are consensual and fair;	1	√	√	√	N/A

Section # and Criteria		Tier	Type of Entity			
			ISM Producer	LGD Producer	Handler	Broker, Wholesaler, Retailer
	c. Overtime work is allowed under applicable law, and if applicable, collective bargaining agreements; d. Overtime work is voluntary, such that workers are not forced to remain on the work premises, and are not subject to abuse, threats of punishment or retaliation if such work is refused.					
5.6.4.5	The entity shall not require workers to work on days of observance relevant to their religion, unless mutually agreed upon and documented in writing.	2	√	√	√	N/A
5.6.4.6	The entity shall ensure that all legally mandated workday breaks are provided to workers, or in countries where breaks are not mandated, shall conform with international laws and norms.	1	√	√	√	N/A
5.6.4.7	The entity shall ensure that all legally mandated leave (such as parental, compassionate and paid annual leave, and public holidays) is provided to workers.	1	√	√	√	N/A
5.6.4.8	The entity shall not use labor-only contracts, false apprenticeship schemes, excessive consecutive short-term employment contracts, subcontracting or homeworking arrangements in an effort to avoid fulfilling legal labor and social security obligations to workers.	2	√	√	√	N/A
5.6.5 Wages						
5.6.5.1	The entity shall pay wages that meet or exceed the legal minimum wage, or wages agreed through collective wage agreements, whichever is greater.	1	√	√	√	√
5.6.5.2	The entity shall pay overtime hours at a rate defined by applicable law, a collective bargaining agreement or, where none exists, at a premium rate at least 1.5 times the regular hourly wage except in contractual situations that are consensual and fair.	1	√	√	√	N/A
5.6.5.3	The entity shall pay wages in a manner consistent with the terms of employment, including being: a. Timely, regular and predetermined and not delayed or deferred;	2	√	√	√	N/A

Section # and Criteria		Tier	Type of Entity			
			ISM Producer	LGD Producer	Handler	Broker, Wholesaler, Retailer
	b. Accompanied by a wage statement detailing wage rates, benefits, and deductions when applicable; and c. By bank transfer, cash, or check.					
5.6.5.4	The entity shall only make deductions from wages: a. In a manner consistent with applicable law, and with collective bargaining agreements, if relevant; b. Through a documented process clearly communicated to workers; and c. If elective deductions do not result in pay below the applicable minimum wage unless agreed upon in writing by each worker affected.	1	√	√	√	N/A
5.6.5.5	The entity shall not deduct wages for disciplinary purposes.	1	√	√	√	N/A
5.6.5.6	The entity shall not deduct wages for payment of items needed by the worker to perform effectively and/or efficiently their job (e.g., tools or equipment), and shall provide such tools or equipment at no cost to the worker.	1	√	√	√	N/A
5.6.5.7	The entity shall ensure that the interest and repayment terms on any wage advances or loans made to workers are documented, transparent, fair, and not deceptive.	2	√	√	√	N/A
5.6.5.8	If the entity publicly compares its workers' wages to local prevailing wages or reports other economic metrics such as the number of jobs created or local economic activity generated, this information shall be accurate and not over-represent the entity's accomplishment.	2	√	√	N/A	N/A
5.6.6 Disciplinary Practices and Grievances						
5.6.6.1	The entity shall not engage in or tolerate the use of corporal punishment, harsh or degrading treatment, sexual or physical harassment, mental, physical, or verbal abuse, retaliation, coercion, or intimidation of workers.	1	√	√	√	√

Section # and Criteria		Tier	Type of Entity			
			ISM Producer	LGD Producer	Handler	Broker, Wholesaler, Retailer
5.6.6.2	The entity shall document, and clearly and actively communicate, its disciplinary process and policies regarding acceptable and unacceptable disciplinary procedures and worker treatment.	2	√	√	√	N/A
5.6.6.3	The entity shall document, investigate, and address all allegations of unacceptable worker treatment.	1	√	√	√	N/A
5.6.6.4	<p>The entity shall provide a grievance mechanism for workers to raise workplace concerns, with the right to remain anonymous, that is in conformance with the UN Principles on Business and Human Rights and Section 5.2.2 of this Standard. The entity shall, at a minimum:</p> <p>a. Establish a transparent process for how grievances will be registered, acknowledged, assessed, addressed and documented, and what general timelines for each phase can be expected;</p> <p>b. Provide for both individual and group grievances, and for confidential and anonymous grievances (e.g., workers can raise workplace concerns anonymously);</p> <p>c. Be easily accessible (e.g., in the local language, in a paper-based form);</p> <p>d. Ensure that no penalty, retribution or retaliation is suffered by workers making complaints;</p> <p>e. Involve an appropriate level of management;</p> <p>f. Provide a transparent and clear process to address complaints promptly, providing timely feedback and remedy to concerned parties;</p> <p>g. Provide sensitivity and response training to managers and other relevant personnel involved in the disposition of complaints and grievances (e.g., gender and discrimination issues);</p> <p>h. Explain the appeals process;</p> <p>i. If the concerned worker requests it, ensure that workers’ representatives are present;</p> <p>j. Maintain a record of all grievances and remedies; and</p>	2	√	√	√	N/A

Section # and Criteria		Tier	Type of Entity			
			ISM Producer	LGD Producer	Handler	Broker, Wholesaler, Retailer
	k. Allow access to other judicial or administrative remedies available under the law or through existing arbitration procedures, or collective agreements.					
5.6.6.5	The entity shall inform workers of the grievance mechanism and ensure that this process is easily accessible to them.	2	√	√	√	N/A
5.6.7 Worker Retrenchment						
5.6.7.1	The ISM Producer shall analyze alternatives to worker retrenchment. If no feasible alternative to retrenchment is found, a plan shall be developed aiming to minimize negative impacts on workers.	2	√	N/A	N/A	N/A
5.6.7.2	The ISM Producer shall notify workers affected by retrenchment in a timely manner, and all benefits, both legal and under a collective agreement, shall be paid according to the applicable law or a timeline agreed in a collective agreement.	1	√	N/A	N/A	N/A
5.6.8 Worker Housing						
5.6.8.1	<p>If the ISM Producer provides worker housing, it shall:</p> <ul style="list-style-type: none"> a. Be safe, adequately climate controlled, structurally sound, clean, and litter-free, with potable water, sanitary facilities, waste collection, sewage disposal, and sufficient fire exits; b. Not be overcrowded; c. Be located to prevent exposure to dangerous chemicals, noise levels, and physical disruptions; d. Include sanitary facilities for eating and storing food; e. Be equipped with fire safety equipment and alarms; f. Have clearly marked, unlocked, and unblocked emergency exits and escape routes; and g. Have adequate power supply and emergency lighting. 	1	√	N/A	N/A	N/A

Section # and Criteria		Tier	Type of Entity			
			ISM Producer	LGD Producer	Handler	Broker, Wholesaler, Retailer
5.6.8.2	If the ISM Producer provides worker housing, employer-provided housing safety and security policies shall not infringe upon workers' freedom of movement (i.e., ability to come and go), personal integrity, and basic rights.	1	√	N/A	N/A	N/A
5.6.8.3	The ISM Producer shall demonstrate that rent charged to workers living in employer-provided housing is not in excess of comparable housing in nearby communities.	1	√	N/A	N/A	N/A

5.7 Occupational Health and Safety (OH&S)

Principle: Identify potential workplace risks and provide safe and healthy working conditions for workers.

Section # and Criteria		Tier	Type of Entity			
			ISM Producer	LGD Producer	Handler	Broker, Wholesaler, Retailer
5.7.1 Ensuring Occupational Health and Safety						
5.7.1.1	The entity shall have a policy and target of zero incidents in the workplace involving bodily injury.	2	√	√	N/A	N/A
5.7.1.2	The entity shall take all practicable steps to assure that workplaces, machinery, equipment, and processes under its control are safe and do not represent an unreasonable risk to health. ²¹	1	√	√	N/A	N/A
5.7.1.3	The entity shall take all practicable steps to ensure that chemical and physical agents under its control do not represent an unreasonable risk to health when	1	√	√	√	N/A

²¹ Adapted from ILO C155 Article 16.

Section # and Criteria		Tier	Type of Entity			
			ISM Producer	LGD Producer	Handler	Broker, Wholesaler, Retailer
	<p>the appropriate measures or protection are taken. Such steps shall include, at minimum:</p> <ul style="list-style-type: none"> a. Maintain an inventory of hazardous substances at facilities; b. Ensure that hazardous substances are clearly marked in a means understandable to workers; c. Maintain safety data sheets on hazardous substances that are communicated and accessible to all relevant workers; and d. Use alternatives to hazardous substances when technically feasible and economically viable. 					
5.7.1.4	The entity shall not use any chemicals and hazardous substances that have been internationally banned.	1	√	√	√	N/A
5.7.1.5	The entity shall provide adequate protective clothing and equipment to prevent risk of accidents or of adverse effects on health at no charge to the worker.	1	√	√	√	N/A
5.7.1.6	The entity shall take additional protective measures if its procedures identify workers who have disclosed unique OH&S risks.	2	√	√	N/A	N/A
5.7.1.7	<p>The entity shall ensure that the worksite:</p> <ul style="list-style-type: none"> a. Has sanitary facilities for eating and storing food; b. Is equipped with fire safety equipment and alarms; c. Has clearly marked, unlocked and unblocked emergency exits and escape routes; d. Has adequate power supply and emergency lighting; e. Provides breastfeeding and childcare facilities in accordance with applicable law; and f. Provides suitable conditions for pregnant or nursing women, or alternatives as needed. 	2	√	√	√	N/A

Section # and Criteria		Tier	Type of Entity			
			ISM Producer	LGD Producer	Handler	Broker, Wholesaler, Retailer
5.7.1.8	The entity shall keep a basic first aid kit on the premises, and provide measures to deal with emergencies and accidents, including first aid, and when necessary, transportation to a relevant medical facility. At least one person on-site at all times shall be trained in first aid. ²²	1	√	√	√	N/A
5.7.1.9	The entity shall instigate a root cause investigation and analysis for any incidents that occur and shall undertake mitigation steps to prevent future such incidents.	2	√	√	N/A	N/A
5.7.1.10	The entity shall ensure the availability of clean drinking water in the facility. It shall be free of charge.	1	√	√	√	N/A
5.7.1.11	The entity shall ensure the availability of free, adequate, and clean lavatory facilities.	1	√	√	√	N/A
5.7.1.12	The entity shall prohibit the consumption of alcohol and illegal drugs in its facility (an exception is made for legal substances allowed at official company events).	2	√	√	N/A	N/A
5.7.1.13	The entity shall not require workers to pay for any measures to ensure their own occupational safety and health in the workplace. ²³	1	√	√	√	N/A
5.7.1.14	The entity shall not engage in or tolerate harsh or degrading treatment, physical harassment, mental, physical or verbal abuse, retaliation, coercion, or intimidation of workers reporting incidents of bodily injury or illness.	1	√	√	N/A	N/A
5.7.1.15	The entity shall ensure that workers have reasonable access to sufficient nutritious food.	1	√	N/A	N/A	N/A
5.7.1.16	The entity shall provide medical care onsite that is appropriate for the scale of the operation, and the risks of injury faced by workers, or access to appropriate off-site care within a reasonable distance.	2	√	N/A	N/A	N/A

²² Adapted from ILO C155 Article 18.

²³ Adapted from ILO C155 Article 21.

Section # and Criteria		Tier	Type of Entity			
			ISM Producer	LGD Producer	Handler	Broker, Wholesaler, Retailer
5.7.1.17	The Cutter or Polisher shall only use cobalt-free diamond-impregnated scaifes.	2	N/A	N/A	√	N/A
5.7.2 Occupational Health and Safety Policy, Risk Assessment and Management System						
5.7.2.1	<p>The entity shall establish and implement OH&S procedures consistent with ILO C155 and C176, national and local laws and regulations that:</p> <ul style="list-style-type: none"> a. Include OH&S objectives, including a goal of zero severe incidents; b. Apply to all relevant workers, contractors, suppliers, other business partners and visitors while on-site; c. Are communicated to all workers; d. Uphold the right of workers to refuse or stop unsafe work without penalty;²⁴ e. Uphold the right of workers to report incidents of bodily injury or illness without penalty; f. Cover the full scope of the facility's activities including non-routine activities; g. Assign responsibility and accountability for OH&S to senior management members; h. Identify, assess and monitor potential hazards and health risks to workers on an ongoing basis; i. Include input from relevant workers and/or worker's representatives; j. Identify and institute protective measures to prevent or mitigate accidents and incidents; k. Detail safety procedures and relevant standards; 	1	√	√	√	N/A

²⁴ Unsafe work is work that a worker considers in good faith to involve a real danger of serious injury or death, and that a reasonable person would agree involves such a risk.

Section # and Criteria		Tier	Type of Entity			
			ISM Producer	LGD Producer	Handler	Broker, Wholesaler, Retailer
	l. Document and report occupational accidents or incidents; m. Provide compensation for work-related injuries or illnesses, including in countries where such injuries or illness are not covered by a government scheme; and n. Ensure that all electrical and mechanical equipment is periodically and appropriately maintained.					
5.7.2.2	The entity shall train and educate workers on its OH&S policy and system, especially those that might be susceptible to particular hazards.	2	√	√	√	N/A
5.7.2.3	The entity shall provide workers with an effective, formal mechanism, such as a joint health and safety committee, by which they can report, raise, discuss, and participate in the identification and resolution of OH&S issues. That mechanism shall be communicated to workers.	2	√	√	√	N/A
5.7.2.4	The entity shall monitor, evaluate and record OH&S risks and performance.	2	√	√	√	N/A
5.7.3 Worker Engagement						
5.7.3.1	The entity shall inform workers of their rights regarding their safety at work, including but not limited to: a. The right to report safety related concerns to the entity and competent authorities when appropriate and with no reprisals; and b. The right to select OH&S representatives.	1	√	√	N/A	N/A
5.7.3.2	The entity shall allow workers or their representatives to participate in inspections, to monitor, and to request an independent expert opinion.	2	√	√	N/A	N/A
5.7.3.3	If an accident has occurred, the entity shall communicate to impacted workers in a timely manner.	1	√	√	N/A	N/A
5.7.3.4	The entity shall provide third parties entering the Producer's facility with relevant OH&S information and with appropriate protective equipment.	2	√	√	N/A	N/A

Section # and Criteria		Tier	Type of Entity			
			ISM Producer	LGD Producer	Handler	Broker, Wholesaler, Retailer
5.7.4 Inspections and Monitoring						
5.7.4.1	The entity shall ensure that competent professionals conduct and design OH&S monitoring. If a hazard is found, the entity shall notify affected worker(s) and review relevant procedures.	1	√	√	√	N/A
5.7.4.2	If an accident has occurred, the entity shall document and report it to a relevant authority in compliance with applicable laws and shall facilitate investigation.	1	√	√	√	N/A
5.7.4.3	The entity's representatives, together with workers' OH&S representatives, shall periodically perform inspections to identify potential hazards and the people who might be affected by them, and assess the effectiveness of current measures.	2	√	√	√	N/A
5.7.4.4	The entity shall review, and periodically update, procedures, measures, and education material.	2	√	√	√	N/A
5.7.4.5	The entity shall keep records of all accidents that occurred in its facility, and all inspections and monitoring results. Documentation shall be provided to the relevant authority and shall be made available to workers' OH&S representatives, except for confidential medical data.	2	√	√	√	N/A
5.7.5 Emergency Preparedness						
5.7.5.1	The entity shall establish and test an emergency response plan and procedures to avoid and minimize loss of life, injuries or damage to property, the environment, the health and well-being of workers, and the community in the case of potential health and safety risks, accidents, and emergencies. <i>Note: The ISM Producer should consider alignment with the UNEP Awareness and Preparedness for Emergencies at the Local Level (APELL).</i>	1	√	√	√	N/A
5.7.5.2	The entity shall train workers in emergency response plans and procedures annually.	1	√	√	√	N/A

Section # and Criteria		Tier	Type of Entity			
			ISM Producer	LGD Producer	Handler	Broker, Wholesaler, Retailer
5.7.5.3	The entity's emergency response plan shall be developed in consultation with potentially affected communities and workers or workers' representatives and incorporate this input.	2	√	√	N/A	N/A

5.8 Security

Principle: Ensure the security of all personnel, taking into special consideration the high value of diamonds and the risk of security breaches, theft, and violence.

Section # and Criteria		Tier	Type of Entity			
			ISM Producer	LGD Producer	Handler	Broker, Wholesaler, Retailer
5.8.1 Security Policies						
5.8.1.1	The entity shall have policies and procedures to ensure conformance with the security criteria of Section 5.8. ²⁵	2	√	√	√	N/A
5.8.1.2	The entity shall have a force and firearms policy, e.g., aligned with the UN Basic Principles on the Use of Force and Firearms by Law Enforcement Officials. ²⁶	2	√	√	√	N/A
5.8.2 Security Risk Assessment						
5.8.2.1	The entity shall, on an ongoing basis, assess and document security risks, including personal safety, intimidation, and theft, related to:	1	√	√	√	N/A

²⁵ See OECD, *Due Diligence Guidance for Responsible Supply Chains of Minerals from Conflict-Affected and High-Risk Areas* (especially Annex II, 3).

²⁶ Source: <https://www.ohchr.org/EN/ProfessionalInterest/Pages/UseOfForceAndFirearms.aspx>

Section # and Criteria		Tier	Type of Entity			
			ISM Producer	LGD Producer	Handler	Broker, Wholesaler, Retailer
	a. Its diamond inventory in terms of product theft, tampering, damage, or substitution; b. Workers, contractors, and other people involved in the handling of diamonds; c. Workers, contractors, and other people on-site or in Producer-controlled facilities; and d. Security arrangements (e.g., gaps in location of security personnel, security cameras, and security presence).					
5.8.2.2	The entity shall update its assessment of security risks every time the conditions change significantly, and shall follow a credible methodology that at least shall address: a. Security risks for workers; b. Security risks for persons in local communities, if relevant; and c. Assessment of the political and security context and current or potential conflicts on the host country or communities, if relevant.	2	√	√	√	N/A
5.8.2.3	The entity shall implement a security risk management and monitoring plan containing measures to ensure the prevention or mitigation of risks identified by the assessment.	2	√	√	√	N/A
5.8.3 Security Personnel²⁷						
5.8.3.1	Prior to hiring or contracting with security personnel, the entity shall perform due diligence (or a good faith effort if security personnel is provided by public security) to avoid hiring security providers or personnel who have been involved in human rights violations, breaches of international humanitarian law, or the use of excessive force.	1	√	√	√	N/A
5.8.3.2	The entity shall require that security personnel, whether internal or external, be trained on the expected ethical conduct, respect for human rights, and the entity's firearms policy prior to starting their duties. In addition, such training shall be	1	√	√	√	N/A

²⁷ See OECD, *Due Diligence Guidance for Responsible Supply Chains of Minerals from Conflict-Affected and High-Risk Areas* (especially Annex II, 5-10).

Section # and Criteria		Tier	Type of Entity			
			ISM Producer	LGD Producer	Handler	Broker, Wholesaler, Retailer
	repeated annually. If security is provided by public security forces, the entity shall facilitate training to personnel who do not have the appropriate training.					
5.8.3.3	If public or private security is used, the entity shall ask the security provider to sign a contract or Memorandum of Understanding aligned with the Voluntary Principles on Security and Human Rights ²⁸ and the entity's policy on firearms. The document shall specify each party's duties with regard to the security of the entity's activities and infrastructure, and the training of security personnel.	2	√	√	√	N/A
5.8.4 Security Incidents Management						
5.8.4.1	The entity shall implement a security incidents management plan which documents, investigates, and takes appropriate actions to prevent and stop abusive or unlawful behavior, or any behavior that goes against Producer's policies, by security personnel.	2	√	√	√	N/A
5.8.4.2	The entity shall report security incidents caused by security providers to the appropriate authority and local human rights institutions, and if applicable, to the International Code of Conduct for Private Security Service Providers Association. ²⁹	1	√	√	√	N/A
5.8.4.3	In case of an incident, the entity shall ensure the safety of the victim and provide the needed medical assistance to affected people, in line with the entity's occupational health and safety policies.	1	√	√	√	N/A
5.8.4.4	The entity shall notify relevant stakeholders of its firearms policy and its use of force policy upon request.	2	√	√	√	N/A

²⁸ Voluntary Principles on Security and Human Rights <https://www.voluntaryprinciples.org/>

²⁹ Complaints are registered at <https://icoca.ch/registering-a-complaint/>

6. Environmental Criteria

6.1 Management of Water and Energy Resources

Principle: Manage use of water resources to protect water quality and minimize depletion of water supply for other users.

Section # and Criteria		Tier	Type of Entity			
			ISM Producer	LGD Producer	Handler	Broker, Wholesaler, Retailer
6.1.1 Assessment and Management of Water Use						
6.1.1.1	The entity shall identify the sources from which it obtains water, for both current and potential future water uses.	2	√	√	√	N/A
6.1.1.2	The entity shall monitor and quantify annual water consumption.	1	√	√	√	N/A
6.1.1.3	The entity's water consumption at an existing operation shall meet applicable regulations and permit requirements.	1	√	√	√	N/A
6.1.1.4	The entity shall identify risks that the operation may pose to local water quantity or quality, taking into consideration all mining-related chemicals used, wastes generated, site facilities and operational activities.	1	√	N/A	N/A	N/A
6.1.1.5	The entity shall establish baseline water quality conditions in freshwater systems (see Annex E).	1	√	N/A	N/A	N/A
6.1.1.6	The entity shall create a water quality management plan that includes, at a minimum: a. A set of specific water quality criteria targets; b. A plan for water quality monitoring consistent with Annex E; and c. A plan for maintaining water quality within local regulatory requirements, or if such requirements do not exist, at levels comparable to or better than baseline conditions.	1	√	N/A	N/A	N/A

Section # and Criteria		Tier	Type of Entity			
			ISM Producer	LGD Producer	Handler	Broker, Wholesaler, Retailer
6.1.1.7	If the entity's water consumption at an existing production operation leads to a measurable water resource depletion (see Annex E), then the entity shall create and implement a water management plan that: a. Describes its approach to monitor and minimize its net water withdrawals; b. Considers all relevant social, regulatory, and economic issues pertaining to its water use; c. Maintains the ability of other users of the same water supply to consume water at the same amount and quality levels that existed before Producer operations began (Annex E); d. Regularly monitors the water supply and water quality, and the findings shall be used to inform the water management plan; and e. Includes a plan for emergency response for episodes where water availability for other users becomes too low to provide for their uses, as a result of seasonal or weather patterns.	2	√	N/A	N/A	N/A
6.1.1.8	The entity shall monitor water quality, and document trends at measurement sites, consistent with Annex E.	1	√	N/A	N/A	N/A
6.1.1.9	The entity shall develop mitigation measures to address any significant risks identified that could affect or are affecting water resources and evaluate their effectiveness at least annually.	2	√	N/A	N/A	N/A
6.1.1.10	The entity shall demonstrate that concentrations of target substances in waters downstream or downgradient of diamond production operations are maintained within regulatory limits, or if such requirements do not exist, at levels comparable to or better than baseline conditions (see Annex E).	1	√	N/A	N/A	N/A
6.1.1.11	The entity shall make water quality results publicly available on a quarterly or more frequent basis.	2	√	N/A	N/A	N/A
6.1.2 Assessment and Management of Energy Resources and Use						
6.1.2.1	The entity shall identify the sources from which it obtains energy.	1	√	√	√	N/A

Section # and Criteria		Tier	Type of Entity			
			ISM Producer	LGD Producer	Handler	Broker, Wholesaler, Retailer
6.1.2.2	The entity shall monitor and quantify the amount of energy it uses annually.	1	√	√	√	N/A
6.1.2.3	The entity shall develop and implement an energy conservation plan.	2	√	√	√	N/A
6.1.2.4	The entity shall monitor the effectiveness of its energy conservation efforts.	2	√	√	√	N/A

6.2 Minimization of Emissions, Effluents, Wastes, Noise, and Vibrations

Principle: Actively work to prevent negative impacts on human health and safety, the environment, and communities from emissions, effluents, wastes, noise, and vibrations.

Section # and Criteria		Tier	Type of Entity			
			ISM Producer	LGD Producer	Handler	Broker, Wholesaler, Retailer
6.2.1 Monitoring and Management of Emissions, Effluents and Wastes						
6.2.1.1	The entity shall, during the planning phase of a mining operation: a. Establish baseline physical, chemical, and biological conditions for water, air, soil, and sediment resources, including any seasonal variations; and b. Establish baseline terrestrial and aquatic ecosystem conditions, including threatened or endangered species populations (see Annex D).	1	√	N/A	N/A	N/A
6.2.1.2	The entity shall establish and implement pollution prevention procedures consistent with national law and international best practice.	2	N/A	N/A	√	N/A
6.2.1.3	The entity shall monitor emissions, effluents, and waste generation (hazardous and non-hazardous), and document trends at measurement sites.	1	√	√	N/A	N/A
6.2.1.4	The entity shall identify operational facilities or other areas potentially at risk of exceeding regulatory thresholds relevant to the emissions, effluents, or wastes	2	√	√	N/A	N/A

Section # and Criteria		Tier	Type of Entity			
			ISM Producer	LGD Producer	Handler	Broker, Wholesaler, Retailer
	they generate, or otherwise posing a recognized risk to human health and safety, the environment, or communities.					
6.2.1.5	The entity shall establish and implement measures for improved waste reduction and management for hazardous and non-hazardous wastes related to diamond production that apply a waste mitigation hierarchy (e.g., avoidance, recovery and reuse, recycling, composting, disposal) to reduce risks and negative impacts on humans and the environment.	2	√	√	√	N/A
6.2.1.6	The entity shall take steps to eliminate the risk of spills or contamination in the storage, transport, and treatment of liquid or solid hazardous waste and non-hazardous waste related to diamond production.	1	√	√	N/A	N/A
6.2.1.7	The entity shall train relevant workers about risks and control measures relevant to emissions, effluents and wastes at least annually.	2	√	√	√	N/A
6.2.1.8	The entity shall identify, evaluate, monitor, and mitigate risks of potential accidental releases of hazardous wastes, non-waste materials, and emergencies that could result in human health, safety, or environmental impacts. This usually requires special management procedures related to transport, storage, disposal, and treatment governed by applicable regulations (e.g., national, regional).	2	√	√	N/A	N/A
6.2.1.9	The entity shall identify local communities and stakeholders potentially impacted by production operations.	1	√	√	N/A	N/A
6.2.1.10	The entity shall have procedures, developed in consultation with local communities and stakeholders related to potential accidental releases or emergencies, including provisions for worker safety, emergency shut-down procedures, public notification on a timely basis, cooperation with relevant government agencies, accident mitigation and clean-up.	1	√	√	√	N/A
6.2.1.11	The entity's written policy and procedures for managing emissions, effluents and wastes shall be approved by senior management and communicated to relevant workers and stakeholders. It shall address all relevant emissions, effluents, and process wastes, and include monitoring, maintenance,	2	√	√	N/A	N/A

Section # and Criteria		Tier	Type of Entity			
			ISM Producer	LGD Producer	Handler	Broker, Wholesaler, Retailer
	surveillance, and prescribed control measures and actions in case control is lost (e.g., failure of dams, moving hazardous materials).					
6.2.1.12	The entity shall not dispose untreated effluents and wastes directly into rivers, lakes, marine waters, or other sensitive water bodies.	1	√	√	√	N/A
6.2.1.13	The entity shall have a policy, developed in consultation with local communities and stakeholders, to notify the parties in the event of an accidental release that threatens human health, safety, or the environment (current or future usability), as well as procedures for mitigation measures.	2	√	√	N/A	N/A
6.2.1.14	The entity shall document and make public the results of monitoring on a periodic basis.	2	√	√	N/A	N/A
6.2.2 Monitoring and Management of Noise and Vibration						
6.2.2.1	The entity shall assess adverse environmental, or community impacts associated with operations related to noise and vibration.	2	√	N/A	N/A	N/A
6.2.2.2	The entity shall establish and implement steps to mitigate any impacts on the surrounding environment or community related to excessive noise and vibration associated with operations.	2	√	N/A	N/A	N/A

6.3 Ecosystem and Species Protection

Principle: Protect local ecosystems in the entity’s area of operation.

Section # and Criteria		Tier	Type of Entity			
			ISM Producer	LGD Producer	Handler	Broker, Wholesaler, Retailer
6.3.1 Ecosystem Impact Assessment, Disclosure, and Performance						
6.3.1.1	The entity shall have an environmental impact assessment on file, or conduct such an assessment, in order to establish ecosystem baseline conditions, consistent with Annex D of this Standard.	1	√	N/A	N/A	N/A
6.3.1.2	The entity shall demonstrate that operations occur only in legally permitted areas, in full conformance with local regulations and any applicable protected area management plans.	1	√	N/A	N/A	N/A
6.3.1.3	The entity shall not: a. Operate in World Heritage sites or negatively impact adjacent World Heritage Sites; b. Conduct deep sea or offshore mining activities, or negatively impact adjacent ocean regions; or c. Dispose of tailings or rock waste in marine or river systems.	1	√	N/A	N/A	N/A
6.3.1.4	The entity shall establish an ecosystem management plan, including goals, key performance indicators, and written procedures to minimize negative localized impacts on biodiversity, ecosystems, and habitats of threatened and endangered species from planned or current mining operations. The plan shall: a. Cover all operations related to the production site (e.g., mining, structural stability of tailings and waste rock facilities and infrastructure, tailings disposition); and b. Be implemented and subject to routine monitoring to determine efficacy and updated as needed.	1	√	N/A	N/A	N/A

Section # and Criteria		Tier	Type of Entity			
			ISM Producer	LGD Producer	Handler	Broker, Wholesaler, Retailer
6.3.1.5	The entity shall characterize its mine tailings and waste rock physically and geochemically.	2	√	N/A	N/A	N/A
6.3.1.6	The entity shall establish a mitigation plan to address conditions where past adverse impacts have occurred, or where current or future operational impacts are unavoidable, with the aim of assuring no net loss of habitats or species, and no disruption of sensitive ecosystems. The effectiveness of the mitigation plan and measures shall be evaluated at least annually.	1	√	N/A	N/A	N/A
6.3.1.7	The entity's production operation shall not cause measurable harm to listed threatened or endangered species.	1	√	N/A	N/A	N/A

6.4 Reclamation and Closure

Principle: Take steps to plan for a positive legacy with the support of the local community, involving a feasible reclamation and closure plan and sufficient finances to restore conditions to a defined ecosystem baseline condition after closure.

Section # and Criteria		Tier	Type of Entity			
			ISM Producer	LGD Producer	Handler	Broker, Wholesaler, Retailer
6.4.1 Reclamation and Closure Plan						
6.4.1.1	The entity shall prepare, make public, and regularly update a Reclamation and Closure Plan to address all mining activities related to the production operation from which diamonds are being sourced, which details plans for ecological restoration of disturbed areas, in accordance with internationally recognized norms of best practice. Its objective shall be the full restoration of land and watercourses, including water quality, levels, and flows. The plan shall address the following steps:	1	√	N/A	N/A	N/A

Section # and Criteria		Tier	Type of Entity			
			ISM Producer	LGD Producer	Handler	Broker, Wholesaler, Retailer
	a. Shut-down; b. Decommissioning; c. Remediation/Reclamation; and d. Post-closure maintenance.					
6.4.1.2	The entity's Reclamation and Closure Plan shall include plans to restore mined lands to ecological baseline conditions as defined in conformance with Annex D of this Standard.	2	√	N/A	N/A	N/A
6.4.1.3	The entity's Reclamation and Closure Plan shall include plans to restore threatened or endangered species populations to historic conditions defined according to Annex D of this Standard.	2	√	N/A	N/A	N/A
6.4.1.4	The entity's Reclamation and Closure Plan shall include plans to restore water quality, levels and flows to historic conditions as defined according to Annex D of this Standard.	2	√	N/A	N/A	N/A
6.4.1.5	The entity's Reclamation and Closure Plan shall be made available to stakeholders and affected community representatives for comment and input on the adequacy of the plan at least 60 days prior to implementation, and the Producer shall provide the resources and training needed to assure meaningful engagement with stakeholders and community representatives.	1	√	N/A	N/A	N/A
6.4.1.6	The entity shall provide evidence of financial surety to guarantee that the costs of the Reclamation and Closure Plan including post-closure can be fully covered. a. The surety shall be independently guaranteed, reliable, and readily liquid; b. The adequacy of the surety shall be subject to public comment and/or independent expert review; c. The terms of the financial surety shall make it clear that the surety may only be released when effective remediation and restoration actions have been demonstrated, and public comments have been reviewed; and	1	√	N/A	N/A	N/A

Section # and Criteria		Tier	Type of Entity			
			ISM Producer	LGD Producer	Handler	Broker, Wholesaler, Retailer
	d. Any withholding of financial surety information due to confidentiality shall be noted to the certification body, who must deem the rationale for withholding reasonable.					
6.4.1.7	<p>The entity shall monitor mine facilities and environmental conditions during closure and post-closure and report the findings publicly to assure the effectiveness of the Reclamation and Closure Plan, including but not limited to:</p> <ul style="list-style-type: none"> a. Inspection of surface and underground mine works for geotechnical stability; b. Inspection of cover and water conveyance systems for integrity relative to design criteria; c. Monitoring of water quality, flows and groundwater levels; d. Inspection of waste facility or waste site stability; e. Evaluation of ecosystem conditions relative to baseline conditions or adjacent or comparable ecosystems in the locality or region; and f. Evaluation of the degree to which mitigation, contingency and corrective action measures have been taken as applicable, and their effectiveness. 	2	√	N/A	N/A	N/A

7. Sustainable Production and Investment Criteria

7.1 Life Cycle Performance

Principle: Work actively to improve the life cycle performance of the production operation.

Note: Some criteria in this section are phased-in milestones to be achieved over specified timeframes to maintain certification status.

Section # and Criteria		Tier	Type of Entity			
			ISM Producer	LGD Producer	Handler	Broker, Wholesaler, Retailer
7.1.1 Reducing Impacts Across the Life Cycle						
7.1.1.1	The entity shall determine its LCA impact profile, calculated and confirmed by an approved third-party, including each of the applicable climate, environmental, and human health core impact categories (see Annex C).	1	√	√	N/A	N/A
7.1.1.2	The entity shall, within one year of initial certification, develop and implement a continual improvement plan with timebound goals and targets to reduce or negate its life cycle impacts. <i>Note: Examples include direct measures to improve energy efficiency, reduce water use, reduce resource consumption, reduce waste, and reclaim disturbed lands consistent with the requirements of Section 6.4, as well as investments in renewable energy instruments and other projects that can address remaining impacts.</i>	2	√	√	N/A	N/A
7.1.1.3	The entity shall, within six years of initial certification, achieve net zero impacts in at least 50% of the impact categories in its LCA impact profile through operational efficiencies and improvements, purchases of renewable energy instruments for the same electricity grid in which the production operation is located, or other relevant and credible sustainability investments.	2	√	√	N/A	N/A
7.1.2 Achieving Net Zero Carbon Footprint						
7.1.2.1	The entity shall establish the carbon footprint of its production operation.	1	√	√	N/A	N/A

Section # and Criteria		Tier	Type of Entity			
			ISM Producer	LGD Producer	Handler	Broker, Wholesaler, Retailer
7.1.2.2	The entity shall annually review its carbon footprint to identify internal opportunities for reductions.	2	√	√	N/A	N/A
7.1.2.3	The entity shall demonstrate, within one year of initial certification, that its production operation has achieved a net zero carbon footprint, based on its own operational improvement opportunities, supplemented with investment in renewable energy instruments located in the same electricity grid as the operation, and/or in other climate mitigation initiatives, consistent with Annex A and verified by an approved third-party. <i>Note: The heat reduction from such investments shall also be calculated as RF reduction and reported, consistent with Annex B.</i>	1	√	√	N/A	N/A

7.2 Sustainability Investment

Principle: Provide material support to projects that advance social and environmental improvement.

Section # and Criteria		Tier	Type of Entity			
			ISM Producer	LGD Producer	Handler	Broker, Wholesaler, Retailer
7.2.1 Demonstrated Investment						
7.1.2.1	The entity shall provide financial assistance annually to support one or more local, regional, or global initiatives that provide material support to advance sustainability objectives. <i>Note: Examples include projects that support the health and welfare of local communities, improve environmental protection, or increase climate protection and resilience.</i>	1	√	√	N/A	N/A

8. Diamond Origin Traceability Criteria

8.1 Producer Traceability Requirements

Principle: Use empirical testing technologies to establish a source signature so that the Certified Diamonds can be tracked through the chain of custody, and to ensure that tracking and management of Certified Diamonds is conducted in a consistent, accurate and transparent manner.

Producers that also cut and polish their Certified Diamonds, or that engage a subcontractor to perform cutting and polishing before retaking custody of the Certified Diamonds, shall also conform with the Handler requirements in Section 8.2 in addition to this section 8.1. Any subcontractor used must either be certified to this Standard or approved based on conformance with comparable requirements.

Section # and Criteria		Tier	Type of Entity			
			ISM Producer	LGD Producer	Handler	Broker, Wholesaler, Retailer
8.1.1 Management Systems and Responsibilities						
8.1.1.1	<p>The entity shall establish and implement CoC systems and procedures for Certified Diamonds, including:</p> <ul style="list-style-type: none"> a. Procedures related to the establishment of a source signature for each Certified Diamond; b. Procedures for tracking, management and storage of Certified Diamonds while in the Producer’s custody; c. A procedure to accurately track Certified Diamonds outside of the facility if such diamonds temporarily leave the Producer’s custody (e.g., if the diamond is sent out for grading); d. A procedure for responding to CoC non-conformances, including measures to account for deviations or mistakes identified in the process through complaints or other evidence of non-conformance; and e. A procedure for responding to reasonable requests for verification of information in CoC documents. 	2	√	√	N/A	N/A

Section # and Criteria		Tier	Type of Entity			
			ISM Producer	LGD Producer	Handler	Broker, Wholesaler, Retailer
8.1.1.2	The entity shall undertake communications and conduct regular training to ensure that relevant workers are aware of their CoC responsibilities, and competent to carry out these responsibilities.	2	√	√	N/A	N/A
8.1.1.3	The entity shall review its Certified Diamonds management and CoC systems and procedures at least every two years to ensure that its systems are appropriate and up to date.	2	√	√	N/A	N/A
8.1.2 Documentation and Tracking of Certified Diamonds						
8.1.2.1	The entity shall ensure that CoC documentation is included with each shipment or transfer of Certified Diamonds forwarded or sold, including: a. Name and address of the entity; b. Name of entity's worker responsible for verifying information in the CoC document(s); c. Name and address of the downstream Handler to receive the Certified Diamond(s); d. Date of the shipment or transfer; e. Assignment and listing of unique tracking number for each stone, parcel, or container of diamonds in the shipment or transfer; f. Weight in carats, to the hundredth of a carat of each stone, parcel, or container of diamonds; g. Physical characteristics of diamonds shipped (e.g., clarity, shape); and h. Any additional documentation to support claims of origin, such as Kimberley Process certificates.	1	√	√	N/A	N/A
8.1.2.2	The entity shall maintain an inventory management system sufficient to be able to individually track and locate each Certified Diamond, or parcel or container of Certified Diamonds, in its possession, including the following information and as per Annex G: a. Site of production;	1	√	√	N/A	N/A

Section # and Criteria		Tier	Type of Entity			
			ISM Producer	LGD Producer	Handler	Broker, Wholesaler, Retailer
	b. Carat weight for individual Certified Diamonds, or total carat weight for parcel or container of Certified Diamonds; c. Ownership status (e.g., sold); d. For LGD Producers, the dates of production and reactor identifier; and e. The recipient if transferred or sold.					
8.1.2.3	The entity shall segregate Certified Diamonds and shall avoid commingling Certified Diamonds from different sources, or with non-certified diamonds, in any parcel or container that is shipped or transferred to a customer.	1	√	√	N/A	N/A
8.1.2.4	The entity shall continually update its list of Certified Diamonds to account for acquisitions, sales, and other transfers.	2	√	√	N/A	N/A
8.1.2.5	The entity shall assign each unique stone, parcel or container that contains Certified Diamonds a unique tracking number (e.g., a 10-digit numeric code) such that the stone, parcel, or container can be tracked.	1	√	√	N/A	N/A
8.1.2.6	The entity shall register and upload conforming data for all its Certified Diamonds in the certification body's stone tracking database, according to the requirements of Annex G.	1	√	√	N/A	N/A
8.1.3 Record Keeping						
8.1.3.1	The entity shall maintain records of annual inventory, acquisitions, and sales of all Certified Diamonds and non-certified diamonds (if applicable), which includes at least the carat weight of the diamonds.	1	√	√	N/A	N/A
8.1.4 Empirical Testing						
8.1.4.1	The entity shall, upon achieving certification, initiate the process to document the source signature for its Certified Diamonds, using an SCS Standards-approved source signature verification technology or provider.	1	√	√	N/A	N/A

Section # and Criteria		Tier	Type of Entity			
			ISM Producer	LGD Producer	Handler	Broker, Wholesaler, Retailer
	<i>Note: For situations in which an LGD Producer has two or more laboratory facilities operating identical equipment, not all of which have been certified, specific auditing requirements may apply.</i>					
8.1.4.2	The entity shall have an initial documented source signature for its Certified Diamonds by the end of its second year of certification, using an SCS Standards-approved source signature verification technology or provider, that is sufficient for conformance testing.	1	√	√	N/A	N/A
8.1.4.3	The entity shall maintain a documented source signature for its Certified Diamonds, in an SCS Standards-approved source signature verification technology or provider.	1	√	√	N/A	N/A
8.1.4.4	The entity shall update its source signature if there is a change in the scope of its production operation (i.e., increased number of reactors or new site(s)). <i>Note: Annual randomized conformance testing is conducted by the certification body to confirm the accuracy of the source signatures.</i>	1	√	√	N/A	N/A

8.2 Handler Traceability Requirements

Principle: Preserve the identity of each Certified Diamond and ensure the tracking and management of certified inventory in a consistent, accurate and transparent manner, from acquisition through transfer or sale.

Section # and Criteria		Tier	Type of Entity			
			ISM Producer	LGD Producer	Handler	Broker, Wholesaler, Retailer
8.2.1 Management System and Responsibilities						
8.2.1.1	The Handler shall specify characteristics of the Certified Diamonds it sources, such as their size and origin, and provide this information to its suppliers.	2	N/A	N/A	√	N/A
8.2.1.2	The Handler shall provide its suppliers with written information about its CoC and due diligence requirements.	2	N/A	N/A	√	N/A
8.2.1.3	The Handler shall have procedures in place to fulfill certification body requests related to conformity sampling and testing and/or CoC documentation review for Certified Diamonds.	1	N/A	N/A	√	N/A
8.2.1.4	The Handler shall implement quality assurance procedures to ensure that its management systems and procedures are being followed.	2	N/A	N/A	√	N/A
8.2.1.5	The Handler shall establish and implement procedures that enable it to respond to reasonable requests for verification of information in CoC documents.	2	N/A	N/A	√	N/A
8.2.2 Documentation and Tracking of Certified Diamonds³⁰						
8.2.2.1	The Handler shall establish and implement a documented system and procedures to confirm the origin and chain of custody of each Certified Diamond from acquisition through transfer or sale.	1	N/A	N/A	√	N/A
8.2.2.2	When taking possession of Certified Diamonds, the Handler shall confirm the following:	1	N/A	N/A	√	N/A

³⁰ Does not include melee or ungraded diamonds. See 8.2.3.

Section # and Criteria		Tier	Type of Entity			
			ISM Producer	LGD Producer	Handler	Broker, Wholesaler, Retailer
	<p>a. Receipt of Certified Diamonds;</p> <p>b. That such diamonds have been assigned a unique tracking number, whether received individually, or in a parcel or container;</p> <p>c. Receipt or review of documentation attesting to the certification status of the producer’s production operation or the handler’s handling operation from which the Certified Diamond was directly obtained; and</p> <p>d. The physical characteristics of the Certified Diamond shipped (e.g., carat weight, color, cut, laser inscription if applicable) match the diamond received, and align with shipment documentation.</p>					
8.2.2.3	<p>Once it has possession of Certified Diamonds, the Handler shall maintain an inventory management system sufficient to track and locate each Certified Diamond in its possession, which includes the following information:</p> <p>a. The Producer, site of production, and the relevant certification(s);</p> <p>b. Carat weight;</p> <p>c. Ownership status (e.g., consignment, purchase, sold);</p> <p>d. Date of acquisition and transfer or sale, the supplier, and the supplier’s relevant certification(s);</p> <p>e. The recipient if transferred or sold;</p> <p>f. Relevant information related to source signature and gem identification, including the method used for verification;</p> <p>g. Cut status (i.e., is the Certified diamond rough or cut); and</p> <p>h. If cut, the cutting style.</p>	1	N/A	N/A	√	N/A
8.2.2.4	<p>The Handler shall ensure that CoC documentation is included with each shipment or transfer of Certified Diamonds forwarded or sold, including:</p> <p>a. Name and address of the Handler issuing the CoC documentation and its certification status;</p>	1	N/A	N/A	√	N/A

Section # and Criteria		Tier	Type of Entity			
			ISM Producer	LGD Producer	Handler	Broker, Wholesaler, Retailer
	<p>b. Name of employee of the Handler who was responsible for verifying information in the CoC document(s);</p> <p>c. Name and address of the downstream Handler to receive Certified Diamonds and, if it is another CoC certified Handler, its CoC certification number;</p> <p>d. Date of the shipment or transfer;</p> <p>e. List of individual Certified Diamonds in the shipment and relevant information related to source signature and gem identification;</p> <p>f. Weight in carats, to the hundredth of a carat, and cut shape and style (where applicable) of each Certified Diamond;</p> <p>g. Evidence that the Producer's site of production is certified to the Standard; and</p> <p>h. Any additional documentation to support claims of origin, such as warranty statements (e.g., World Diamond Council System of Warranties), Kimberley Process certificates, and reports or comparable certificates (cut, clarity, color, grade) for polished diamonds.</p>					
8.2.2.5	The Handler shall continually update its list of Certified Diamonds to account for acquisitions, sales, and other transfers.	2	N/A	N/A	√	N/A
8.2.2.6	The Handler shall segregate Certified Diamonds from non-certified diamonds, in any parcel or container that is shipped or transferred to a customer.	1	N/A	N/A	√	N/A
8.2.2.7	The Handler shall establish and implement a procedure to accurately track Certified Diamonds outside of the facility if such diamonds temporarily leave the Handler's custody (e.g., if the diamond is sent out for grading).	1	N/A	N/A	√	N/A
8.2.2.8	<p>The Handler shall maintain records on any Certified Diamond for:</p> <p>a. Weighing and measurement to compare against existing gem identification information; or</p> <p>b. Independent source signature verification (within six months of the source signature being sufficiently progressed to verify origin).</p>	1	N/A	N/A	√	N/A

Section # and Criteria		Tier	Type of Entity			
			ISM Producer	LGD Producer	Handler	Broker, Wholesaler, Retailer
8.2.2.9	The Handler shall maintain any CoC documentation on forwarded or sold Certified Diamonds upon request.	1	N/A	N/A	√	N/A
8.2.2.10	If the Handler finds any documentation inconsistencies or discrepancies upon receipt, the Handler shall have procedures to physically segregate the Certified Diamond or diamond parcel while the discrepancy is investigated.	1	N/A	N/A	√	N/A
8.2.2.11	The Handler shall ensure that grading laboratories are independent, with no direct interest in the sale of the Certified Diamond or other conflict of interest.	1	N/A	N/A	√	N/A
8.2.2.12	The Handler shall only use grading laboratories accredited under this Standard for Certified Diamonds.	1	N/A	N/A	√	N/A
8.2.2.13	Handler shall register and upload conforming data for all cut Certified Diamonds in the SCS-007-1 stone tracking database following all requirements of Annex G.	1	N/A	N/A	√	N/A
8.2.3 Handler Requirements for Melee and Ungraded Diamonds						
8.2.3.1	The Cutter/Polisher responsible for cutting and polishing Certified Diamond melee shall ensure the Certified Diamond melee does not get commingled with non-certified melee.	1	N/A	N/A	√	N/A
8.2.3.2	The Handler shall segregate Certified Diamond melee and other ungraded Certified Diamonds from non-certified stones in accordance with written policies and procedures.	1	N/A	N/A	√	N/A
8.2.3.3	The Handler of Certified Diamond melee and other ungraded Certified Diamonds shall store and ship or transfer all such stones in tamper-evident packaging with unique tracking numbers for each packet or parcel and record the carat weight of each ungraded stone or the melee in each packet or parcel.	1	N/A	N/A	√	N/A
8.2.3.4	Upon receipt, shipment or transfer, the Handler of Certified Diamond melee and other ungraded Certified Diamonds shall upload all data required under	1	N/A	N/A	√	N/A

Section # and Criteria		Tier	Type of Entity			
			ISM Producer	LGD Producer	Handler	Broker, Wholesaler, Retailer
	Annex G to the SCS-007-1 stone tracker database in an approved digital format for each Certified Diamond or packet of Certified Melee.					
8.2.3.5	The Handler of Certified Diamond melee and other ungraded Certified Diamonds shall ensure that CoC documentation is included with each shipment or transfer of packets, parcels, or stones, including: a. Date of shipment or transfer; b. Name and address of the recipient; c. Total count in each packet; and d. Total carat weight of Certified Melee per packet, or of each ungraded stone weighing 0.2 carat or more.	1	N/A	N/A	√	N/A
8.2.3.6	When taking possession of Certified Diamond melee packets or ungraded Certified Diamond stones, the Handler shall record the following: a. Arrival date (if applicable); b. Sender identity; c. Unique tracking number that identifies the rough stone or melee packet; d. The carat weight of the ungraded stone or of the melee packet	1	N/A	N/A	√	N/A
8.2.3.7	The Handler shall make available to the certification body, upon request, any Certified Diamond melee and ungraded non-melee Certified Diamonds for: a. Weighing and measurement to compare against existing gem identification information; or b. Independent source signature verification (within six months of the source signature being sufficiently progressed to verify origin).	1	N/A	N/A	√	N/A
8.2.3.8	The Handler shall segregate ungraded Certified Diamonds or Certified Diamond melee from each certified production operation from non-certified stones in accordance with written policies and procedures.	1	N/A	N/A	√	N/A

Section # and Criteria		Tier	Type of Entity			
			ISM Producer	LGD Producer	Handler	Broker, Wholesaler, Retailer
8.2.3.9	The Handler shall have procedures in place to verify and ensure tracking and segregation of Certified Diamond Jewelry Items from non-certified jewelry items, as well as procedures to address any observed failures in segregation.	1	N/A	N/A	√	N/A
8.2.3.10	The Jewelry Manufacturer shall have a unique identifier (e.g., engraving or inscription) into each Certified Diamond Jewelry Item.	1	N/A	N/A	√	N/A
8.2.3.11	The Jewelry Manufacturer shall upload all data required under Annex G to the SCS 007-1 data platform in an approved digital format, for each Certified Diamond Jewelry Item.	1	N/A	N/A	√	N/A
8.2.4 Record Keeping						
8.2.4.1	The Handler shall maintain records of annual acquisitions, inventory, and sales of all Certified Diamonds and Certified Diamond Jewelry.	2	N/A	N/A	√	N/A
8.2.4.2	The Handler shall maintain all information related to the Certified Diamond's source signature verification and gem identification (per 8.2.2.3.f) as long as the Certified Diamond is owned by or in the control of the Handler.	1	N/A	N/A	√	N/A

8.3 Broker, Wholesaler, and Retailer Traceability Requirements

Principle: Preserve the identity of each Certified Diamond to communicate accurate information to customers about Certified Diamonds and Certified Diamond Jewelry Items.

Section # and Criteria		Tier	Type of Entity			
			ISM Producer	LGD Producer	Handler	Broker, Wholesaler, Retailer
8.3.1 Management Systems and Responsibilities						
8.3.1.1	The entity shall provide the certification body with the following information: a. Its business entity name as formally registered in its operating jurisdiction; b. Location(s) where diamonds are sold (including street address, state/province, city, and country); c. If it is an e-commerce retailer; and d. Its number of employees.	1	N/A	N/A	N/A	√
8.3.1.2	The entity shall sign and submit an annual attestation to the certification body confirming that they follow all applicable criteria.	1	N/A	N/A	N/A	√
8.3.2 Documentation and Tracking of Certified Diamonds						
8.3.2.1	The entity shall register all Certified Diamonds and Certified Diamond Jewelry Items in the stone tracking database.	1	N/A	N/A	N/A	√

9. Public Assertions Criteria

9.1 Truthfulness and Transparency

Principle: Commit to communicating results truthfully and transparently.

Section # and Criteria		Tier	Type of Entity			
			ISM Producer	LGD Producer	Handler	Broker, Wholesaler, Retailer
9.1.1 Eligibility						
9.1.1.1	Only entities that have met the applicable Tier 1 and Tier 2 criteria may make public assertions or marketplace claims about their operations, Certified Diamonds or Certified Diamond Jewelry Items in connection with this Standard.	1	√	√	√	√
9.1.1.2	The entity may only make claims about Certified Diamonds or Certified Diamond Jewelry Items if: a. The Certified Diamonds come from an identified certified production operation; b. The Certified Diamonds are included in the SCS-007-1 stone tracking database; and c. The Certified Diamonds have a unique SCS-007-1 Sustainability Rated Diamond certificate.	1	√	√	√	√
9.1.1.3	The entity may only make public assertions or marketplace claims in connection with this Standard about their own certification or authorization status, and about Certified Diamonds and Certified Diamond Jewelry Items.	1	√	√	√	√
9.1.2 Truthful Assertions and Claims						
9.1.2.1	The entity shall comply with applicable regulatory requirements (e.g., FTC Green Guides) when making public assertions or marketplace claims in connection with this Standard.	1	√	√	√	√

Section # and Criteria		Tier	Type of Entity			
			ISM Producer	LGD Producer	Handler	Broker, Wholesaler, Retailer
9.1.2.2	<p>The entity shall assure the accuracy and transparency of any public assertions or marketplace claims made in connection with this Standard. Such assertions and claims shall:</p> <ul style="list-style-type: none"> a. Relate only to Certified Diamonds sourced from a certified production operation; b. Accurately and fully represent a Certified Diamond’s source, physical characteristics and other documented attributes; c. Use only SCS-007-1 program approved certification marks, authorized verbiage, program trademarks and descriptions in conformance with intellectual property rules, other applicable laws, and this Standard; d. Accurately reflect its own status as a certified or authorized entity in the diamond chain of custody; and e. Not make any material omission in the selling, advertising, or marketing of any Certified Diamonds or Certified Diamond Jewelry Items. 	1	√	√	√	√
9.1.2.3	<p>The entity may only pass along marketplace claims for Certified Diamonds to the next Handler or Retailer in the chain of custody if the requirements of this Standard are satisfied.</p>	1	√	√	√	√
9.1.2.4	<p>The entity shall provide transparency around the following information for Certified Diamonds sold:</p> <ul style="list-style-type: none"> a. Identify whether the diamond is rough or cut; b. Identify treated diamonds as “treated” or with a more specific description of the type of treatment applied; c. Identify composite diamonds that are assembled or constructed from two or more parts, along with the identity of the materials used; d. Identify reconstructed diamonds; and e. Identify whether the diamond is laboratory grown or natural. <p><i>Note: A treated diamond is a diamond that has undergone an extra process or set of processes to improve clarity, alter color, or for another purpose (e.g., irradiation, laser drilling, fracture filling, high-pressure high temperature (HPHT)),</i></p>	1	√	√	√	√

Section # and Criteria		Tier	Type of Entity			
			ISM Producer	LGD Producer	Handler	Broker, Wholesaler, Retailer
	<i>annealing, coatings). A composite diamond contains two or more diamonds fused together, usually in a jewelry setting.</i>					
9.1.3 Allowed Claims and Required Disclosures						
9.1.3.1	Certified or authorized entities may refer to Certified Diamonds as “Certified Sustainability Rated Diamonds”, and Certified Diamond Jewelry Items as “Certified Diamond Jewelry” or “Jewelry Containing Certified Sustainability Rated Diamonds” in public assertions and marketplace claims, assuming that access to the valid certificate is provided along with the claim. An additional claim, such as “Certified Net Zero Carbon Footprint” or comparable statement, as authorized by the certification body, may also be made if applicable.	1	√	√	√	√
9.1.3.2	The certified entity may claim that its production operation is certified under this Standard and may publish a copy of its valid certificate.	2	√	√	N/A	N/A
9.1.3.3	The authorized entity may claim to be certified and may publish a copy of their valid certificate.	1	N/A	N/A	√	√
9.1.4 Documentation for Transfer or Sale of Certified Diamonds						
9.1.4.1	The certified entity shall include the following information to shipping documents, invoices, and other business documents used in the sale or transfer of Certified Diamonds: a. Unique production operation(s) certification number; b. Approved certification mark (or marketplace claim and description); and c. Unique tracking number for Certified Diamonds.	1	√	√	N/A	N/A
9.1.4.2	The authorized entity shall apply the following information to shipping documents, invoices and other business documents used in the sale or transfer of Certified Diamonds: a. Unique operation certification number; b. Unique tracking number for Certified Diamonds; and c. Approved certification mark (or marketplace claim and description).	1	N/A	N/A	√	√

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