



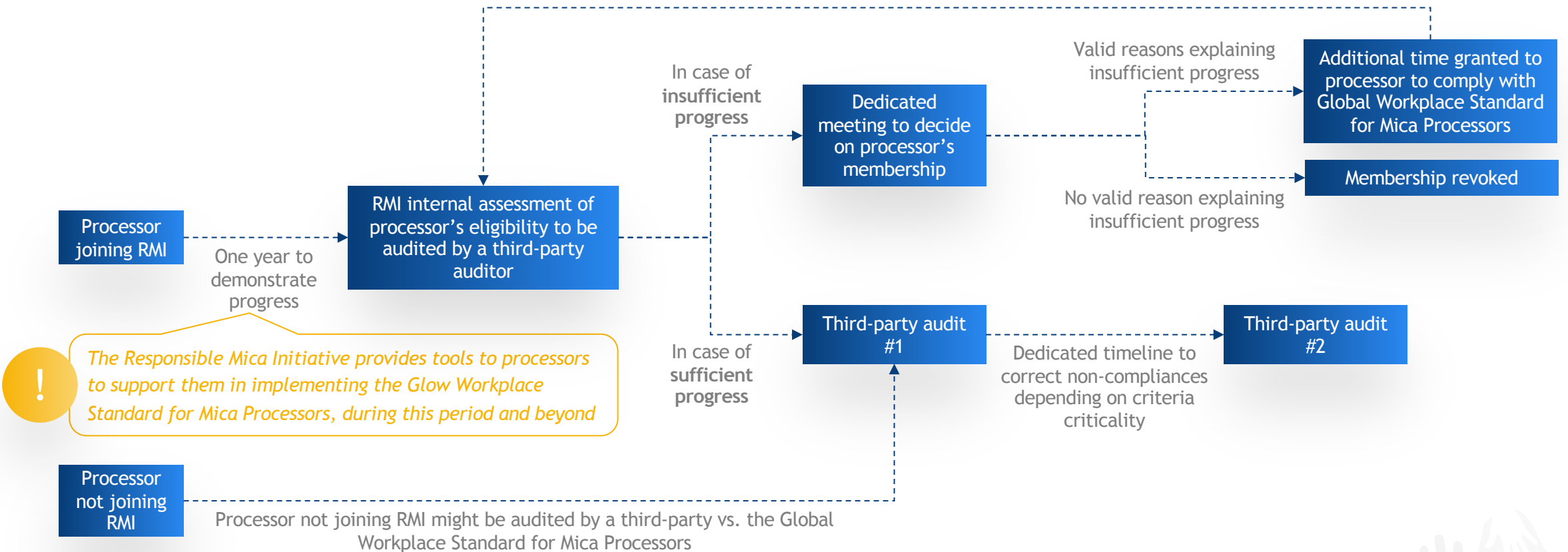
# Responsible Mica Initiative collective audit protocol

November 2021  
Version: 1.0





# Collective audit protocol - Processors



**!** *The Responsible Mica Initiative provides tools to processors to support them in implementing the Glow Workplace Standard for Mica Processors, during this period and beyond*



# Collective audit protocol - Downstream members

Jan. / Feb.

June / July

Dec.

Twice a year, **audit coordination**,  
carried out by the Responsible Mica Initiative's Executive Team

Step 1: Downstream members share their wish list of processors to be audited in the coming 6 months with RMI Executive Team, validated in a 2-step process

Step 2: According to the outcomes of step 1:

Step 2A: If a processor is quoted several times, audit cost would be split according to the number of D/S members ordering the audit. Audit results will be shared with the auditee, RMI secretariat and all D/S members ordering the audit.

Step 2B: If a processor is quoted only once, audit cost will be borne by the only member ordering the audit. Audit results will be shared with the auditee, RMI secretariat and the ordering company.

Processors that are not RMI members will be included in the protocol.



# Audit results and outcome disclosure

The Responsible Mica Initiative does not share the audit results with any external stakeholders.  
The Responsible Mica Initiative does not establish any public list of compliant vs. non-compliant mica processor.

## In all cases

The auditee is free to share externally the compliance percentage for each level of criteria (Zero Tolerance, Major, Minor)

*For example: Processor A is compliant with x% of Zero Tolerance criteria, y% of Major criteria, and z% of Minor criteria.*

## Case by case

The auditee is free to share the full audit report with an external third party, **at the condition of having the written agreement of the owner(s) of the audit.**

*The auditing company and audit team are not allowed to share with any third party any confidential information, including but not limited to business-related pieces of information (list of suppliers, list of customers, prices, ...). The audit report shall include under no circumstances such confidential information.*



# Selection of the auditing company

The Responsible Mica Initiative does not impose any third-party auditing company to carry out third-party audits.

*However, the Responsible Mica Initiative **recommends** a few of them to its members based on the vision of the audit and associated approach; experience in India and in mica industry especially; experience in social audits and due diligence, and with regards to child labor especially; capacity to accompany the audited company in co-building then implementing a Corrective Action Plan; cost of an audit.*

## Third-party audits ordered by the Responsible Mica Initiative

The Responsible Mica Initiative **selects** one auditing company based on the same criteria as described above.

## Third-party audits ordered by members of the Responsible Mica Initiative

Two-step process to select the auditing company:

Step 1: All ordering members share three auditing companies they wish would conduct the audit. The auditing company quoted most of the time is selected.

Step 2: If no auditing company outstands from Step 1, RMI Executive Team selects one of the proposed auditing company, based on the same criteria as described above, as well as auditing company's capacity at that very moment.