

ToR

AUDIT OF VARIOUS INDIA MICA PROCESSING UNITS WITH REGARDS TO RMI'S WORKPLACE STANDARDS AND RMI COLLECTIVE AUDIT PROTOCOL

(A) ABOUT RESPONSIBLE MICA INITIATIVE (RMI) AND WORKPLACE STANDARDS

The Responsible Mica Initiative (RMI) is a coalition for action comprised of multiple organizations committed to establishing fair, responsible and sustainable mica supply chains globally that will eliminate unacceptable working conditions and eradicate child labor.

Mica is used in a wide range of industries that benefit from the mineral's diverse attributes. The cosmetics, automotive coatings and printing ink industries utilize mica's visual properties. Mica is a natural insulator used throughout the electronics industry, serves as a filler in plastics and construction materials and is used as a lubricant in the oil and gas-drilling sector, among other applications. India is one of the world's largest sources of mica of which major portion is collected from Bihar, Jharkhand, Rajasthan and Andhra Pradesh.

To meet its mandate RMI has jointly designed in 2021 the "[Global Workplace & Due Diligence Standard for Mica Processors](#)" covering Environmental, Health, Safety, Social, Governance & supply chain Due Diligence components, with an aim to secure and improve workplace conditions as well as sourcing practices in the supply chain for mica collection and processing. Provisions of the standards incorporate requirements under different laws (especially India laws) as well as elements of global voluntary standards or conventions such as those established by ISO (International Organization for Standardization), the International Labor Organization, and the US Occupational, Health and Safety Administration that were adapted to ensure they are compatible with local conditions.

(B) BACKGROUND OF THE ASSIGNMENT

While joining RMI as members, organizations commit to adopt or support adoption within their own supply chains of the above mentioned Standard. RMI bringing handholding support to its members to meet the Standard.

To support the adoption of the workplace standards, RMI has developed a [Collective Audit Protocol](#), associated with an [Audit Checklist](#) (Audit Grid) detailing all criteria to be checked for compliance within mica processing units.

This assignment is proposed as part of the RMI Collective Audit Protocol, to get a third-party independent assessment versus effective progress of India mica processors in meeting RMI Global Workplace & Due Diligence Standard for Mica Processors.

(C) ABOUT ASSIGNMENT

Key Objectives

RMI is looking for an auditing agency that can carry out the audit of 10 to 20 mica processing units based on RMI audit framework located in Jharkhand, India starting from Sept 2022. These audits would be preceded by a preliminary phase to assess the related content and documents of the RMI especially the audit checklist where the Renewal Frequency/NOC License & other statutory compliance (Column I in Audit checklist) and permissible limits (Column J in Audit checklist) need to be filled up. The objectives of these audits are to (i) assess the effectiveness of the implementation of RMI Global Workplace & Due Diligence Standard for Mica Processors in the various processing units and (ii) define precise Corrective Action Plans (CAP) to support in meeting gaps.

The overall aims of the mission are to:

1. Update the renewal frequency and permissible limits in the audit checklist with regards to national and land laws, acts and regulations.
2. Carry out 10 to 20 audits of mica processing units with regards to the audit checklist.
3. Produce the complete audit reports with executive summary for each processing units separately which would highlight the key findings, learning and agreed on corrective action of the audits.
4. Produce the Corrective Action Plan (CAP).

India Mica Processing Units

Mica processing units in India caters for various industries such as cosmetics, pearl and pigments and electronics industries. The size of Mica processing unit ranges from 5 workers to 100 workers and above. The main activities generally are grinding of mica into flakes and powder and certain processing plant does value added services like mica sheet, mica blokes, mica tapes and mica paper. Most Mica processing units are not very organised majority of them is not even registered with factory act. The awareness around the compliance of various legal and other requirements can be very limited.

(D) KEY DELIVERABLES

The key deliverables are as follows:

1. Audit checklist with updated renewal frequency and permissible limits.
2. Filled up audit checklist for all questionnaires with clear means of verification (for all compliance and non-compliance).
3. An audit reports with executive summary for each processing units separately which would highlight the key findings, learning and agreed on corrective action of the audits.
4. A corrective Action plan (CAP) for each audited processing units to close the NC.

(E) PROPOSAL FORMAT

i. Cover Sheet

The Cover Sheet is the standard first page of your proposal document. The following content must appear on the cover sheet:

- **Bidder details:** Provide the name, address and telephone number of the bidder organization. Include your email address, website, and fax numbers, as available.
- **Project Director:** Provide the name of the Project Director (or equivalent) and his/her title. (This is the person authorized to sign on behalf of the Bidder organization.)
- The Cover Sheet must be signed by the Project Director.

ii. Organizational Capacity

The purpose of this section is to show that the organization has the necessary experience and qualifications to carry out the proposed project. Be sure your Organizational Capacity section contains the following information:

- Type of Organization:
- Description of the organization:
- When was the organization formed?
- Is the organization formally registered? If yes, what is the date and type of registration (local, state, federal, or with different government department(s)?)
- Include details of its organizational/management structure, facilities, and number of employees.
- Describe the technical, programmatic and management experience of the organization, relevant to the study.

iii. Personnel

Describe the qualifications and experience of the auditor(s) who will be responsible for carrying out the audit. Include information for key positions only (e.g. Audit Director). If individuals have been identified, also briefly summarize their qualifications (e.g., education, last position held, relevant experience). One paragraph (250 words) for each person is sufficient.

iv. Technical Proposal

It is requested that the proposal be limited to not more than 5 pages. Additional information, if required, could be provided as Annexes or in digital format. The technical proposal should at least cover the approach planned to:

- Conduct the preliminary phase (Updating the audit checklist with permissible limits);
- Plan and conduct the audits;
- Develop the CAP;
- Submit other deliverables (Audit reports, CAP,...)

v. Budget Proposal

The bidder's budget must reflect the activities to be undertaken for the proposed study in monetary terms. Submit the budget proposal classified as five slabs i.e., cost incurred if number of auditees are between 1-5,1-10,1-15,1-20 and above 20. Primarily this shall include the cost of the personnel, out of pocket expenses, miscellaneous cost along with other budget lines.

vi. Timeline Proposal

The bidder must submit a precise and detailed timeline in line with detail deliverable mentioned in section -C & D of the ToR.

(F) PROPOSAL SUBMISSION GUIDELINES AND INSTRUCTIONS

Note: No payment is required to apply for or receive a contract from RMI. Please report any irregularities to contact@responsible-mica-initiative.com

The proposals should be submitted to the following email address with the subject line "response to ToR on Audit of Various India Mica Processing Units with Regards to RMI's Workplace Standards And RMI Collective Audit Protocol"

Send it to: gautham.eswar@responsible-mica-initiative.com with a copy to fanny.fremont@responsible-mica-initiative.com & vijay.jain@responsible-mica-initiative.com

- Proposal must be received on or before June 27, 2022 @ 18:00 hrs. Indian Standard Time (IST).
- Formatting: Acceptable RFPs shall follow the following format guidelines
- Use the format outline as provided above; font should be Calibri, 11pt, black, single spaced.
- All proposals must be valid for a minimum of sixty (60) days.
- **Questions:** All questions regarding the preparation of proposals must be submitted in writing(by e-mail) to gautham.eswar@responsible-mica-initiative.com with copy to fanny.fremont@responsible-mica-initiative.com and vijay.jain@responsible-mica-initiative.com until 15 days from date of publication. A copy of all written questions and responses will be provided to all interested organizations.
- **Presentation:** Shortlisted bidders will be invited to provide a virtual or in-person presentation. Shortlisted bidders will be given the opportunity to answer questions regarding their technical capabilities.
- **Selection:** Successful bidders will be notified of selection and a draft contract will be shared for contractor's review. Unsuccessful bidders will also be informed, explaining reasons why.
- **For any support you may contact:**
Lead Bid & Technical support:
Mr. Gautham Eswar, Manager – Workplace Standards & Sustainability,
gautham.eswar@responsible-mica-initiative.com
or
Dr. Vijay Jain, India Program Manager
vijay.jain@responsible-mica-initiative.com

Contract Supervisor:

Ms. Fanny Fremont, Executive Director-RMI

fanny.fremont@responsible-mica-initiative.com

(G) EVALUATION CRITERIA

In evaluating the proposals, RMI will seek the best value for money rather than the lowest priced proposal.

RMI will use a two-stage selection procedure:

- The first stage will evaluate the Technical Proposal.
- The second stage will evaluate the Cost & Timing Proposal for proposals that pass the Technical Proposal evaluation.

Specifically, the RMI's selection committee will evaluate each proposal upon the following criteria:

- 1) The skill and auditing experience of the specified person who will be performing the services requested;
- 2) The Bidder's understanding of the proposed study;
- 3) The prior experience and reputation of the Bidder in working on similar/related assignments.
- 4) Cost & timing

If at any time prior to award of the contract RMI deems there to be a need for a significant modification to the terms and conditions of this RFP, RMI will issue such a modification as a written RFP amendment to all competing bidders. No oral statement of any person shall in any manner be deemed to modify or otherwise affect any RFP term or condition, and no bidder shall rely on any such statement.

RMI is not bound to accept the lowest or any proposal and reserves the right to accept any proposal in whole or in part and to reject any or all proposals. RMI shall not be legally bound by any award notice issued for this RFP until a contract is duly signed and executed with the winning Bidder.

H. TERMS

RMI reserves the right to cancel this TOR at any point and is under no obligation will reimburse any expenses related to the preparation of any proposal related materials or delivery.