Public-Private Alliance (PPA) for Responsible Minerals Trade

Request for Initial Concepts to Research Models and Systems of Governance for Artisanal and Small-Scale Mining Organizations in Democratic Republic of Congo | Due MONDAY, JULY 5, 17:00 EDT (GMT-4)

Please note: Failure to follow all format, content, and electronic submission requirements will disqualify the concept. Register [here](http://www.pparmt.org) by JUNE 24 to indicate intent to submit, and to receive all notifications relating to this opportunity.

This RFIC contains the following sections:

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1.0 PPA Overview

The Public-Private Alliance for Responsible Minerals Trade (PPA) is a joint initiative among governments, companies, and civil society to support supply chain solutions to responsible minerals challenges and opportunities in the Democratic Republic of Congo (DRC) and the Great Lakes Region (GLR) of Central Africa. Leaders worldwide are calling for action to address conflict mineral concerns while delivering solutions that benefit those involved in responsible minerals trade in the GLR. The PPA aims to demonstrate that it is possible to secure legitimate, conflict-free minerals from the GLR. The PPA supports essential research, pilot programs, and support to organizations working within the region, with the ultimate goal of producing scalable, self-sustaining systems, to demonstrate a fully traced and validated supply chain in a way that is credible to companies, civil society, and government. The PPA also provides a platform for coordinated, productive dialogue among government, industry, and civil society in a non-regulatory setting.

For a full list of members, please visit the PPA website: [http://www.pparmt.org](http://www.pparmt.org).
2.0 Objectives and Structure of the Funded Activity

SCOPE

The PPA is requesting initial concepts to research models for artisanal and small-scale mining (ASM) governance structures (e.g., cooperatives), including those which have successfully addressed or avoided issues of elite capture and inequities (including gender-related) that are often perpetuated within these structures in DRC.

Artisanal miners are legally required to organize into cooperatives within the context of DRC law, and in line with national government formalization policies. The cooperative structure has proved effective in other sectors and geographies to help alleviate poverty and enable economic growth, and promote other positive socioeconomic impacts for local producers and their communities.

However, DRC artisanal mining cooperatives are often “cooperatives in name only.” Many are controlled by “elites” who disproportionately benefit from the cooperative’s activities. Women are often excluded from management structures. This can result in outcomes such as the lack of equitable distribution of financial profits, opportunities, and other benefits. In addition to these inequities, DRC cooperatives face unique challenges specific to the DRC context and its legal/regulatory framework.

A key component of the PPA’s strategy is identifying key upstream barriers to the establishment and effective performance and governance of due diligence systems and responsible minerals sourcing – and development, testing, and dissemination of potential solutions to these barriers. Therefore, the PPA is seeking to commission research on governance models of DRC artisanal mining producers to explore the following issues and questions, and to identify related priorities for PPA action:

- **Common DRC model.** How is “cooperative” defined in DRC? How do DRC-based cooperatives differ from governance models and organizational structures in other parts of Africa? Other regions around the world? Other sectors (e.g., agriculture)? In DRC, what are the most common causes/instantiations of inequity in artisanal mining cooperatives?

- **Alternative models.** What are viable models for how mining organizations can be structured to promote equity and mutual benefit of all miners? How could these be tailored to the DRC environment and laws, and what are the potential challenges? What incentives or adjustments might prompt stakeholders to shift their approach? What could other actors in government, civil society, or minerals supply chains do to promote equity in cooperative governance?

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2 See: de Haan, J. and Geenen, S. The Extractive Industries and Society. July 2016: “Mining cooperatives in Eastern DRC: The interplay between historical power relations and formal institutions.”

3 See Outcome 3 and Sub-outcomes 3.1 – 3.5: PPA Results Framework.
• **Formalization.** How can formalization and professionalization efforts, including capacity building interventions by government and civil society, integrate key changes/structures/approaches that promote equity and benefit for all? Are there specific tools, resources, or standards/frameworks that have proven successful?

• **Gender in management and membership.** What are the root causes of gender inequity in management structures? At other levels? What considerations, actions, or guidelines can enable gender parity at all levels? (E.g., how can women access and retain positions of power in governance? How can governance structures promote benefits for women in mining communities? What education, experience, or capacity-building would be especially beneficial for women engaging in governance? What could other actors in government, civil society, or minerals supply chains do to promote gender equity in cooperative governance?)

• **Potential regulatory adjustments.** What are the legal/regulatory adjustments in DRC that should be considered to promote equity in DRC cooperatives?

• **Status of sector reform efforts.** To what extent, if any, has there been work to design and implement solutions related to promoting equity in models of governance for DRC cooperatives?

• **Recommendations for PPA.** The PPA will plan to share the above findings broadly. In addition to raising awareness of these issues, what initial recommendations or opportunities would you identify for PPA action (e.g., via additional research, broad communications, coordination with ongoing efforts, and/or to leverage our networks and convening power to promote positive changes to cooperative governance in the DRC)? This should take a broad view, considering how PPA and our members (multinational supply chain companies, local and global NGOs, and government agencies in the U.S., Germany, and the ICGLR) can influence or seek engagement from other institutions, such as financial institutions/banks, donors, and in-region governments.

The PPA is planning a two-phase approach to this research. In phase 1, the grantee will conduct a **scoping assessment of the research landscape** related the above questions to inform a refined research agenda. This assessment will include a literature review; desk-based research to determine what research has already been conducted on these issues, questions, root causes, and drivers; and interviews with stakeholders and/or experts to “ground-truth” findings. The final report should summarize findings on the questions outlined above, and flag any existing, specific solutions, tools, education, or other approaches which can help promote economic justice and opportunity for miners. Particular attention should be given to recommendations for the PPA, including as a whole and for specific stakeholder groups (e.g., supply chain actors, civil society, or governments) within the PPA’s membership. This report should be accompanied by a proposed research and action agenda for an optional phase 2 (see below). The funding ceiling for the first phase is set at $20,000.

If the PPA elects to fund phase 2, the grantee will conduct additional research or supplemental activity related to the action agenda submitted in phase 1, to be clarified and refined in discussion with PPA. This phase could take various forms, including additional research, further development/implementation of an action agenda for the PPA (including recommendations on
how these issues can be addressed within the DRC context, or opportunities to help unlock further investment and action on responsible sourcing). The anticipated funding ceiling for phase 2 is $15,000.

The PPA welcomes participants to note any in-kind contributions or complementary funding which they may provide for this scope of work. Because the PPA plans to share the results of this research broadly, we also welcome opportunities to use this grant to complement existing, related research efforts that are already underway. While not essential, the ideal researcher will have presence or a partner based in DRC.

3.0 Eligibility Criteria

To be invited to submit a full proposal, and to be eligible as a grantee/researcher, candidates must:

- Submit a concept for research on governance models specific to the DRC artisanal mining context.
- Follow the format, content, and electronic submission guidelines outlined in Section 6. Please note that concept submissions must be in English. While the grant agreement and all project correspondence will also need to be in English, the PPA recognizes that it may be more practical for some researchers to submit a final report in French and is open to that possibility.
- Confirm availability to prepare a full proposal upon invitation (anticipated approximately August 2) by September 3.
- Confirm ability to initiate research as early as November 1 and not later than December 1 (the PPA aims to notify grantees by October 1)

4.0 Exclusions

The PPA will NOT fund:

- Excessive direct costs, including for travel;
- Travel or food costs above established per diems;
- Equipment (e.g., vehicles, software);
- Grants to government agencies;
- Sanctioned groups, persons, or entities;
- Excessive general maintenance or administration.

The PPA does not fund unsolicited proposals.
5.0 Initial Concept Submission Timeline

The award process will follow the following proposal and evaluation process and timeline:

1) This is a call for initial concepts, which will describe the proposed approach and provide a brief overview of the timeline and budget anticipated for implementation. Concepts will be due no later than July 5. (Further submission directives appear in section 6.)
   a. Questions from interested candidates should be sent to RESOLVE (ppa@resolve.ngo) and received no later than Tuesday, June 15. The PPA will endeavor to respond to all questions by June 25.
   b. Those who anticipate submitting concept should register here no later than June 24, to ensure they receive all communications, including a compilation of questions received with PPA responses.

2) Upon closure of the concept submission window on July 5, the PPA will then conduct an initial evaluation of concepts to identify the candidates who will be invited to submit more thoroughly-developed proposals.

3) The PPA expects to issue invitations for more thoroughly-developed proposals by approximately August 2. Those not invited will also be informed around this time.

4) Full proposals from invited candidates will be due on approximately September 3 (deadline to be confirmed when invitations are issued.)

5) Following evaluation, the PPA hopes to confirm the selected grantee(s) by October 1.

6.0 Submitting an Initial Concept

A. FORMAT AND CONTENT

PLEASE NOTE: FAILURE TO FOLLOW ALL FORMAT, CONTENT, AND ELECTRONIC SUBMISSION REQUIREMENTS WILL DISQUALIFY THE PROPOSAL.

Concepts should be submitted electronically, in English, and be no longer than 6 pages, Calibri font size 12, with a minimum of one-inch margins. Concepts must include the information listed below, and respondents may include other pertinent information as appropriate.

Submissions must include the below sections, which address the following:

a) Concept summary, briefly addressing: 1) how you will accomplish the scope; 2) how your approach fits within PPA objectives and those outlined in this RFIC; and 3) the total proposed cost (maximum of 1 page).

b) Context summary, outlining your understanding of the governance considerations and challenges in scope for this project (maximum of 1 page).

c) Organizational background, including the objectives and qualifications of your organization/consultancy – especially relating to the DRC and artisanal mining, past experience and/or partnerships on the ground (maximum of 1 page)

d) Proposed team staffing plan, with short biographies outlining specific expertise (maximum of 1 page)
e) Work plan and budget overview, including indication of any matching funds/leveraged funding/in-kind contributions, a rough timeline for initiation (on/after DATE), major milestones/deliverables, and completion of phase 1. This should describe the categories and examples of stakeholder/experts to be interviewed. (maximum 1.5 pages)

f) High-level assessment of risks (including to individuals within the organization/consultancy or associated with the project; to the reputation of the consultant or the PPA; sensitive information; or project success (maximum ½ page)

All initial concepts should be submitted to RESOLVE, the PPA Facilitator, no later than 17:00 EDT (UTC-4) on Monday, July 5. All candidates submitting concepts should include in their cover email:

- Two primary contacts for correspondence regarding their submission.
- Confirmation of availability to meet timelines for proposal submission/start of work outlined in section 3.

Concepts should be emailed to RESOLVE (ppa@resolve.ngo) with the subject line “Response to PPA Artisanal Governance Models RFIC,” followed by your consultancy’s name.

B. QUERIES DURING THE PROPOSAL PROCESS

Respondents may submit queries in English regarding the proposal process. Any queries should be directed to RESOLVE: ppa@resolve.ngo, with the subject line “Questions – PPA Artisanal Governance Models RFIC”.

The PPA will collect queries until 17:00 Eastern Daylight Time (UTC-4) on Tuesday, June 15. The PPA will respond to all queries at one time (by June 25), sharing all questions and responses for the benefit of respondents on the PPA website: http://www.pparmt.org and by email to all who have submitted questions and/or registered.

C. REGISTRATION OF CANDIDATES INTENDING TO SUBMIT

Candidates that intend to submit a proposal should register no later than June 24, to ensure they receive all communications, including a compilation of questions received with PPA responses.

7.0 Evaluation Criteria

Initial concepts will be evaluated according to the following criteria:

i. Concept summary (25 points) – To what extent is the proposed approach likely to achieve stated objectives?

ii. Context summary (25 points) – Does the proposing candidate demonstrate a firm grasp of the context and issues within scope of this project? Does the concept take a gender-sensitive approach?
iii. Organizational background and team expertise (25 points) – Does the proposing organization/consultant and proposed team staff appear to have the qualifications and capacity to successfully implement this work? Does the organization/consultant have in-region experience and/or partnerships?

iv. Work plan and budget overview (15 points) – Is the work plan and timeline realistic, with an effective budget? Are the prospective interviewee categories and examples appropriate to the objectives? Does the concept address whether there is an opportunity for leveraging pre-existing or underway research, or contributing or securing in-kind or matching funds?

v. High-level assessment of risks (10 points) – Does the proposing organization/consultant have a realistic grasp of potential risks to individuals within the organization or associated with the project; to the reputation of the organization or the PPA; sensitive information; or project success?