

# Global Battery Alliance

## Critical Minerals Advisory Group

Request for Proposals (RfP)  
September 2023

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# 1. Introduction and background

In 2019 the [Global Battery Alliance](#) (GBA) published '[A vision for a sustainable battery value chain 2030](#)' outlining the need to rapidly scale sustainable, responsible and circular battery value chains as a major driver to meet the Paris Agreement targets. The recently published update to this report '[Battery 2030: Resilient, sustainable and circular](#)' in collaboration with McKinsey, highlights staggering growth forecasts, projecting that the entire lithium-ion (Li-ion) battery chain, from mining through recycling, could grow by over 30 percent annually from 2022 to 2030, when it would reach a value of more than \$400 billion and a market size of 4.7 TWh.

To manage the environmental, social and governance impacts of the rapidly growing industry, transparency and collective multistakeholder engagement and action are vitally important. With that in mind, the GBA conceptualized the [Battery Passport](#) as a framework to increase transparency across the battery value chain. To demonstrate the practical feasibility of the battery passport, the GBA mobilized members in 2022 covering the entire value chain from mine to vehicle manufacturer to jointly establish [a proof of concept](#). In addition to reporting the technical parameters of the battery, this included the tracking and tracing of materials flows for select value chains, integrated with consistent reporting against the GBA's [Greenhouse Gas rulebook](#) to establish the battery carbon footprint and the [Child Labour](#) and [Human Rights Indices](#) to establish an indicative, differentiated sustainability performance score.

## The Critical Minerals Advisory Group

The GBA believes that highly globalized battery value chains demand a truly global multi-stakeholder approach. Until 2021, the Global Battery Alliance hosted the Cobalt Action Partnership to bring attention to the issue of child labour in cobalt value chains, foster collective action and host a global consultation on a [framework of responsibly sourced artisanal cobalt](#) which is being implemented by the Responsible Mineral Initiative (RMI) as per an MoU signed between GBA and RMI in 2022.

Building on this work, the members of the GBA resolved to expand the mandate of the Alliance to all critical minerals essential for battery value chains and to leverage the platform for awareness raising on emerging issues, stakeholder engagement and collective action in the framework of the Critical Minerals Advisory Group (CMAG). To help define the scope, mandate and activities of the group, the GBA hosted a series of members consultations between August 2022 and March 2023, including a four-part dialogue series to identify and discuss emerging issues and priorities faced by GBA members, sessions dedicated to CMAG and the policy environment at the Annual General Meeting (AGM) in November 2023 and discussions on expectations with the Board of Directors during the March 2023 Strategy retreat.

Building on the above discussions, the GBA has synthesized the following key take-aways to inform next steps for CMAG:

1. In the context of the current policy and regulatory environment for critical minerals and batteries, leveraging the impartial public-private platform established by the GBA is a unique niche for impact for the Alliance
2. By hosting dialogue between policy makers, the battery value chain and the wider battery ecosystem in a politically neutral, impartial and pre-competitive environment, the GBA can play a critical role contributing to the harmonization of critical minerals and battery policy making globally to foster the rapid scaling of sustainable battery value chains
3. To maximize impact and generate unique perspectives, the Secretariat proposes to solicit views systematically and regularly from the membership on emerging challenges and policy priorities to help inform the agenda for CMAG and related events, exchanges and interactions

## 2. Description of objectives

Following the establishment of the Critical Minerals Advisory Group (CMAG) as an internal working group for its members, the GBA is seeking to recruit (a) professional service firm(s) to:

1. Carry out desk-based research and member surveying, including through the use of qualitative and quantitative methods, including structured interviews with GBA members across the battery value chain and the wider ecosystem in order to:
  - a) Identify the most pressing issues and bottle necks for more sustainable battery value chains in the current global policy, regulatory and standards context
  - b) Evaluate the GBA's efforts to meet its 2030 targets, as defined by its 2019 vision report '[A vision for a Sustainable Battery Value Chain in 2030](#)' and highlighting the resulting priority recommendations for action
  - c) Identify and summarize notable 'good practices' along the value chain, as piloted by GBA members
2. Develop a high-level communiqué with recommendations for global policy makers outlining opportunities for harmonization of the policy, regulatory and standards landscape to enable the rapid scaling of sustainable battery value chains globally (to be launched by the GBA at COP'28)
3. Develop a full summary report profiling '*The State of Sustainable Battery Value Chains*' (working title) highlighting key challenges, progress and recommendations for action to be launched in Q1 2024

### WP 1. Desk based research and stakeholder surveying

Work package 1 consists of implementing desk-based research, reviewing the results of recent member surveys carried out in the context of the Battery Passport 2.0 and preparing a follow-up survey exercise of GBA members and external stakeholders along the battery value chain, including through structured interviews. The objective is to elicit both quantitative and qualitative inputs and responses from representatives along the battery value chain, including corporate entities as well as NGOs, researchers, public sector actors, and other subject matter experts. The consultant will work with the CMAG steering committee and the Secretariat to identify relevant external stakeholders, validate the research and interview questions and the Secretariat will help identify priority GBA members for interviews.

The main aim of the research will be to provide a state-of-the-art analysis of the current state of the battery value chain vis-à-vis the GBA's vision, identifying key bottlenecks for more sustainable, responsible and circular battery value chains and resulting priority recommendations. The research will also focus on capturing best practice case studies from GBA members to accelerate progress towards the realization of the GBA's ten guiding principles. WP1 will include regular participation in and contribution to the CMAG working group meeting to update on progress, validate overall approach and interim deliverables. While working with GBA members, the consultant should collect and summarize best practice case studies to accelerate the scaling of sustainable, circular and responsible battery value chains by 2030.

The research should take into consideration our 2019 report '[A vision for a sustainable battery value chain 2030](#)' outlining the need to rapidly scale sustainable, responsible, and circular battery value chains as a major driver to meet the Paris Agreement targets, and the recently published update to this report '[Battery 2030: Resilient, sustainable and circular](#)'.

## WP 2. Analysis and presentation of results

Based on the results of the desk-research, GBA members and external stakeholders surveys and interviews, the consultant will work with the CMAG working group, the Steering Committee and the Secretariat to summarize the results in three major formats for different stakeholder groups:

1. Develop a high-level communiqué with recommendations for global policy makers outlining opportunities for harmonization of the policy, regulatory and standards landscape to enable the rapid scaling of sustainable battery value chains globally. A working draft should be ready for presentation validation by GBA members during the All Members meeting in November 2023, to be launched by the GBA at COP'28.
2. Develop a full summary report profiling '*The State of Sustainable Battery Value Chains*' (working title) highlighting key challenges, progress and recommendations for action to be launched in Q1 2024, including:
  - a. A full breakdown of the survey results, including qualitative and quantitative analysis
  - b. Contextualisation of the survey results, in line with current ongoing or upcoming regulations and standards, industry best practice, and climate goals
  - c. A summary of key take-aways from dialogues with policy makers and other stakeholders hosted at COP28
  - d. A review of the GBA 2030 vision and progress made so far
  - e. Chapter deep dives on selected issues (to be determined in partnership with CMAG working group and Steering Committee)
  - f. Best practice case studies of GBA members along the value chain to accelerate the scaling of sustainable, circular and responsible battery value chains by 2030
  - g. Recommendations for priority actions for the GBA along with other stakeholders

The results of the desk-based research, survey and interviews should be compiled and anonymised (where applicable) in order to produce the main deliverable summary report. The survey results should be contextualised against the wider industrial and political landscape. A preliminary report, not for publication, will be required before the 2<sup>nd</sup> week of November in order to share the results with GBA members at the GBA AGM.

Working with the GBA Secretariat and members, the final report should include an analysis of the success of the GBA efforts so far to reach its goals, as well as a list of key recommendations to ensure the 2030 targets remain on track.



### 3. Scope of work and deliverables

Work package	Expected results (documents, reports, slides, etc.)
<b>1. Desk-based research, survey and interviews</b>	
1.1. Stakeholder mapping and research outline <ul style="list-style-type: none"> <li>Research outline for desk-based research</li> <li>Mapping of GBA internal and external stakeholders</li> </ul>	<ul style="list-style-type: none"> <li>A list of priority stakeholders (internal and external)</li> <li>A bibliography for desk based research</li> <li>An agreed upon set of questions for surveys and structured interviews</li> <li>A collation of survey responses and transcripts of interviews</li> </ul>
<b>2. Analysis and presentation of results</b>	
2.1. Preliminary results <ul style="list-style-type: none"> <li>Initial findings</li> <li>Preliminary data analysis</li> </ul>	<ul style="list-style-type: none"> <li>Report document, including summary of highlights from the desk-based research and member survey</li> <li>PowerPoint presentation outlining summary and highlights</li> </ul>
2.2. High level communiqué for global policy makers <ul style="list-style-type: none"> <li>High level recommendations for priority actions</li> </ul>	<ul style="list-style-type: none"> <li>High-level communiqué with recommendations for global policy makers outlining opportunities for harmonization of the policy, regulatory and standards landscape to enable the rapid scaling of sustainable battery value chains globally.</li> </ul>
2.3. Full report <ul style="list-style-type: none"> <li>Finalised data analysis</li> <li>Contextualisation with global regulations standards currently in consultation</li> <li>Analysis of GBA 2030 vision, with recommendations</li> <li>Best practice highlights</li> </ul>	<ul style="list-style-type: none"> <li>Finalised publishable report</li> <li>Communications materials related to final report</li> </ul>



## 4. Proposal Guidelines

This Request for Proposal represents the requirements for an open and competitive process. **Proposals will be accepted until September 28<sup>th</sup>, 2023 at 17:00 CEST.** Any proposals received after this date and time will not be accepted. All proposals should include clear timetables, how you will work with GBA, clear costs and detail on experience in this area.

**The technical proposal should not exceed 25 pages (excluding annexes).**

The proposal should give GBA evaluators all the information they need to assess your bid. Please indicate where applicable:

- How your proposal is responsive to the Evaluation Criteria defined below;
- The assumptions you are making about the project;
- Risks you have identified and appropriate mitigation measures;
- A detailed financial proposal, including information about how your costs were calculated to enable evaluation of cost reasonableness.
- Proposed implementation timeline;
- Any additional support that you need to make the project a success, including any inputs you will need from third parties or GBA staff;
- Proposed working partnership with GBA, including (as applicable) project governance and management, key personnel, key roles and responsibilities, and escalation procedure for issues;
- Description of experience in:
  - o Research and analysis with subject matter expertise in responsible sourcing, natural resource governance, supply chain management, human rights due diligence, circularity and recycling, ESG risks and impacts
  - o Expertise in Battery and Critical Minerals policy, regulatory and standards landscape
  - o Multistakeholder engagement, consultation and consensus building
  - o Complex project management
  - o Survey design and implementation
- Summary of technical experience, including descriptions of relevant past work
- Summary of operational capacity (including financial capacity)
- List of key personnel who would be working on the contract, their role in this project, their job titles and their relevant experience and/or skills.



## 5. Evaluation criteria

Evaluation criteria	Weight
<b>Technical proposal</b> <ul style="list-style-type: none"><li>- Identification of priority internal and external stakeholders for consultation</li><li>- Approach to desk-based research, survey design and interviews with internal and external stakeholders</li><li>- Survey design and GBA membership engagement plan</li><li>- Proposed contextualisation setting (standards, regulations, global initiatives)</li></ul>	<b>40%</b> 20% 20%
<b>Capability and experience of the proposed team</b> <ul style="list-style-type: none"><li>- Including strength / responsiveness to expertise / capacity requirements</li></ul>	<b>40%</b>
<b>Financial proposal:</b> <ul style="list-style-type: none"><li>- Economy: minimizing the cost of resources used/ spending less</li><li>- Efficiency: the relationship between the output from services and the resources to produce them, timeline efficiency (delivering WP-s ahead of suggested project timeline)</li></ul>	<b>20%</b> 10% 10%

## 6. RfP Timeline

Request for Proposals published	September 8 <sup>th</sup> 2023
Deadline for receiving offers	September 28 <sup>th</sup> , 2023
Evaluation of proposals	September 28 <sup>th</sup> – October 4 <sup>th</sup> , 2023
Award results announcement	October 6 <sup>th</sup> , 2023
Contracting and project start	October 11 <sup>th</sup> , 2023
Deadline for completing the work	March 1 <sup>st</sup> , 2024

## 7. Review and award procedure

The key governance bodies related to CMAG, the request for proposals and the selection of the preferred service provider(s) consists of:

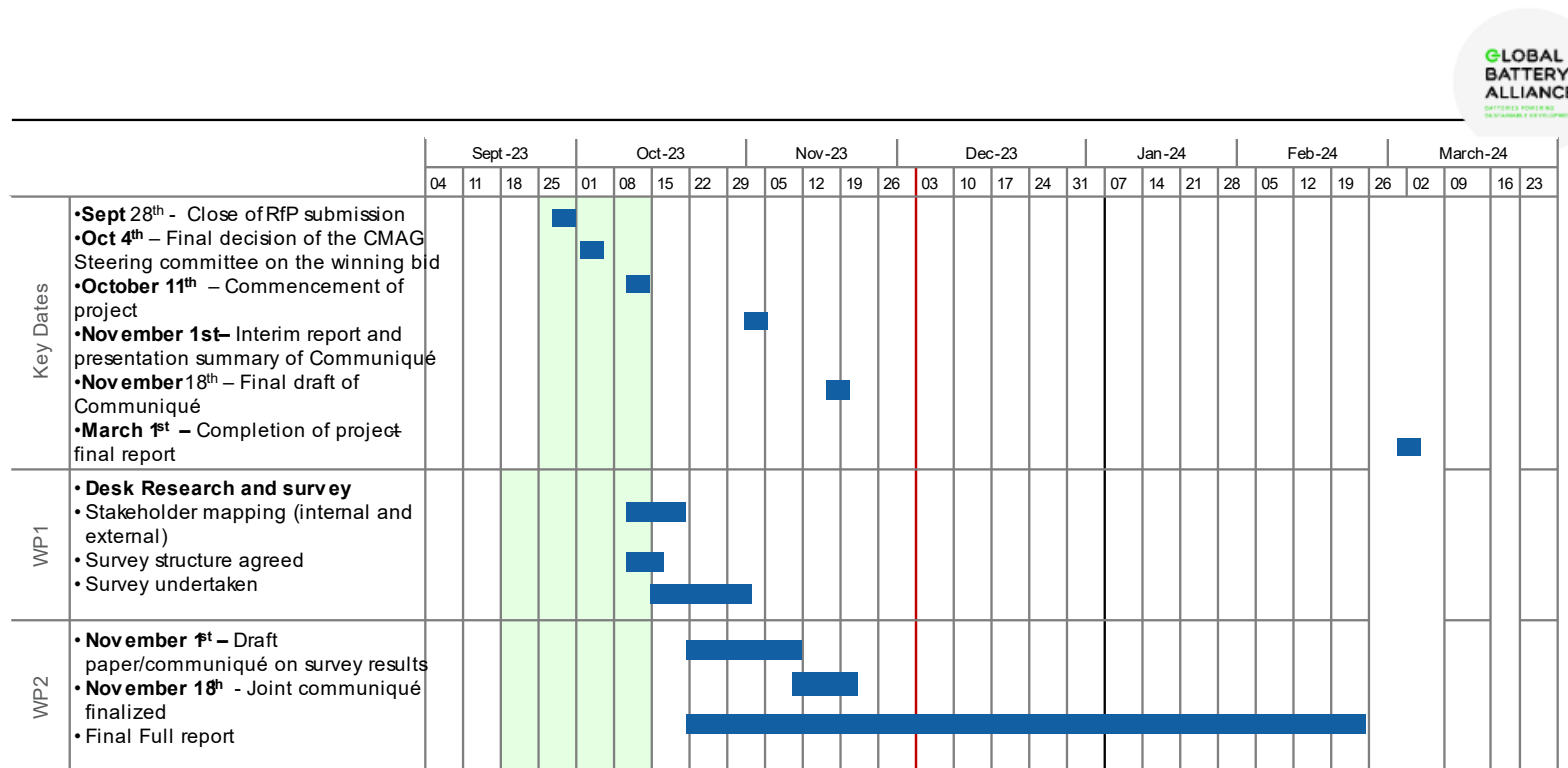
- i. The CMAG Steering Committee
- ii. The GBA Board of Directors

Upon receipt of the technical and financial proposals, the GBA Secretariat will work in close coordination with the CMAG Steering Committee to evaluate all submitted and complete technical and financial proposals against the evaluation criteria. Based on the evaluation, the Steering Committee will make a ranked recommendation to the Board of Directors regarding the preferred service provider(s) and the selection will be confirmed by the Board.

## 8. Project Timeline

The proposed project timeline implies two major points for deliverables to be approved by the GBA CMAG Steering Committee with corresponding milestone payments linked to the delivery: Preliminary report (WP1) results, and Main report (WP2).

**Note:** The exact payment schedule may be subject to negotiation during the contracting stage but will be deliverable based. The total length of implementation to deliver all WPs is subject to provider(s) capacity but must be finalized until March 1<sup>st</sup> 2024.









## 9. General Conditions

### Admissibility

Applications must be submitted before the call deadline.

Applications must be submitted electronically via email to [secretariat@globalbattery.org](mailto:secretariat@globalbattery.org) stating 'Critical Minerals Advisory Group proposal' in the subject of the email.

Applications must be complete and contain all parts and mandatory Annexes and supporting documents. Applications must be readable, accessible and printable.

Proposals, excluding Annexes, must be under 25 pages, with a minimum size 11 font.

### Eligibility

Entities eligible to participate: Any legal entity, regardless of its place of establishment, including legal entities from third countries or international organizations is eligible to participate, provided that the conditions laid in this request for proposals have been met. A 'legal entity' means any natural or legal person created and recognized as such under national law, EU law or international law, which has legal personality and which may, acting in its own name, exercise rights and be subject to obligations, or an entity without legal personality.

### Technology Readiness Levels

Not applicable

### Ethics

Projects must comply with ethical principles (including the highest standards of research integrity) and applicable EU, international and national law.

### Financial capacity

Applicants must have stable and sufficient resources to successfully implement the projects and contribute their share. Organizations participating in several work packages must have sufficient capacity to implement all these work packages.

### Operational capacity

Applicants must have the know-how, qualifications and resources to successfully implement their tasks in the project and contribute their share (including, when appropriate, sufficient experience in international projects of comparable size).

This assessment of operational capacity will be carried out during the evaluation of the proposals. It will be based on the competence and experience of the applicants and their project teams, including their operational resources (human, technical and other). Additional supporting documents may be requested if they are needed to confirm the operational capacity of any applicant.

### Exclusion

- bankruptcy, winding up, affairs administered by the courts, arrangement with creditors, suspended business activities or other similar procedures (including procedures for persons with unlimited liability for the applicant's debts);



- they are in breach of social security or tax obligations (including if done by persons with unlimited liability for the applicant's debts);
- they are guilty of grave professional misconduct;
- they are guilty of fraud, corruption, having links to a criminal organization, money laundering, terrorism-related crimes (including terrorism financing), child labour or human trafficking;
- they have shown significant deficiencies in complying with their main obligations under an EU procurement contract, tender agreement, prize, expert contract, or similar;
- they have created under a different jurisdiction an entity with the intent to circumvent fiscal, social or other legal obligations in the country of origin or created another entity with this purpose.

**Applicants will also be refused if they have:**

- misrepresented the information required as a condition for participating in the procedure or have failed to supply that information

## 10. Project Budget

You must include adequate information about how your costs were calculated (itemized) to enable evaluation of cost reasonableness.

- The budget should clearly demonstrate how much time will be spent by one or more team members working on the project. Who will be spending what time on each of the deliverables
- Please also include copy editing in the budget.
- **The total budget available for this work (all work packages) is a maximum of 100,000 USD**

Payment will be made according to meeting project milestones as approved by the GBA point of contact. Travel is not expected for this work therefore there will be no additional travel costs or expenses paid unless pre-approved by the GBA point of contract prior to incurring the cost. Please include the need/ or no need for VAT in the budget breakdown - where relevant. If required, this can be discussed further once the supplier is confirmed. All proposals must include proposed costs to complete the tasks described in the project scope, including all VAT and taxes. Costs should be stated as one-time or non-recurring costs or monthly recurring costs. Pricing should be listed for each of the following items in accordance with the format below. All costs incurred in connection with the submission of this RfP are non-refundable by GBA.

## 11. Submissions

Each Potential Supplier must submit 1 copy of their proposal to the email address below by September 28<sup>th</sup>, 17.00 pm CEST:

Contact for any questions:

Yana Goretaya, Head of Members Engagement and Operations, Global Battery Alliance  
[ygoretaya@globalbattery.org](mailto:ygoretaya@globalbattery.org)



## 12. Conflict of interest

The Consultant/ service provider is required to provide professional, objective, and impartial advice, at all times holding the Global Battery Alliance's interests paramount, strictly avoiding conflicts with other assignments or its own corporate interests, and acting without any consideration for future work.

The Consultant has an obligation to disclose to the Global Battery Alliance (GBA) any situation of actual or potential conflict that impacts its capacity to serve the best interest of the GBA. Failure to disclose such situations may lead to the disqualification of the Consultant or the termination of its Contract and/or sanctions by the GBA.

Without limitation on the generality of the foregoing, the Consultant shall not be hired under the circumstances set forth below:

### **a. Conflicting Activities**

(i) Conflict between consulting activities and procurement of goods, works or non-consulting services: a firm that has been engaged by the GBA to provide goods, works, or non-consulting services for a project, or any of its Affiliates, shall be disqualified from providing consulting services resulting from or directly related to those goods, works, or non-consulting services. Conversely, a firm hired to provide consulting services for the preparation or implementation of a project, or any of its Affiliates, shall be disqualified from subsequently providing goods or works or non-consulting services resulting from or directly related to the consulting services for such preparation or implementation.

### **b. Conflicting Assignments**

(ii) Conflict among consulting assignments: a Consultant (including its Experts and Sub-consultants) or any of its Affiliates shall not be hired for any assignment that, by its nature, may be in conflict with another assignment of the Consultant for the same or for another Client.

### **c. Conflicting Relationships**

(iii) Relationship with the Client's staff: a Consultant (including its Experts and Sub-consultants) that has a close business or family relationship with a professional staff or members of the GBA CMAG Steering Committee or Board of Directors who are directly or indirectly involved in any part of (i) the preparation of the Terms of Reference for the assignment, (ii) the selection process for the Contract, or (iii) the supervision of the Contract, may not be awarded a Contract, unless the conflict stemming from this relationship has been resolved in a manner acceptable to the GBA throughout the selection process and the execution of the Contract.

## 13. Disclaimer

The GBA will not accept any liability or be responsible for any costs incurred by Potential Suppliers in preparing a response for this RFP. Neither the issue of the RFP, nor any of the information presented in it, should be regarded as a commitment or representation on the part of GBA (or any of its partners) to enter into a contractual arrangement. Nothing in this RFP should be interpreted as a commitment by GBA to award a contract to a Potential Supplier as a result of this procurement, nor to accept the lowest price or any tender.



## Annex 1: Conflict of Interest Declaration Form

This Declaration must be completed by an authorised signatory of the supplier. This Declaration must be completed for each contract, prior to execution of the contract, even if the GBA has previously engaged the supplier.

The purpose of this Declaration is to identify conflicts of interest (potential, perceived or actual) that may exist between the supplier and the supplier's representatives and employees and the GBA at the time of the appointment and thereby protect the supplier and the GBA from allegations of bias or preferential treatment and to assist the GBA to operate in a transparent manner.

This Declaration requires that the supplier identifies organisational level interests (for example previous dealings with the GBA) and, where relevant the personal interests of key staff including: company owner/s, director/s and staff who are directly involved in the contract negotiation, management and delivery of the contract requirements. Suppliers: When determining if a conflict of interest exists consider if your organisation and key staff:

- Has or could be perceived to have any political, legal, financial or personal interest in the contract with the GBA that may affect the GBA's reputation or the way it is perceived
- Could give the appearance that you might be conflicted with the contract or engagement with the GBA
- Has any obligations, loyalties or bias that could influence or affect the way you deliver the requirements of your contract/engagement with the GBA
- Knows any GBA members or employee involved in this contract that has an ownership or financial interest in the Supplier you represent. Or that the GBA employee or member would have a personal financial gain or other benefit from this contract or engagement

**Period of Declaration:** \_\_\_\_\_

### Declaration

With regards to my proposed service as a supplier of the GBA, this is to certify that I, except as described below, am not now nor at any time during the past year have been:

- A participant, directly or indirectly, in any arrangement, agreement, investment, or other activity with any vendor, supplier, or other party doing business with the GBA which has resulted or could result in personal benefit to me.
- A recipient, directly or indirectly, of any salary payments or loans or gifts of any kind or any free service or discounts or other fees from or on behalf of any person or organisation engaged in any transaction with the GBA.
- I do not know of any potential or actual conflict of interest situations between myself, including persons affiliated to me and GBA

Any exceptions to 1, 2 or 3 above is stated below with a full description of the transactions and of the interest, whether direct or indirect, which I have (or have had during the past year) in the person or organisations have transactions with GBA.



I have the following potential conflict of interest to declare:

	Area of Conflict of interest	Details
1	Affiliation to another company/organisation	

Affiliated refers to the following:

- Spouse, domestic partner, child, mother, father, brother, or sister or close associates;
- any corporation, business, or non-profit organisation of which you are a staff, officer, Board Member, partner, or participate in the management or are employed by;
- any trust or other estate in which you have substantial interest or as to which you serve as a trustee or in a similar capacity.

	Area of Conflict	Details
2	Affiliation to any vendor, supplier, or any other party providing or bidding for providing services with the GBA, having a direct or indirect interest in any business transaction(s), agreement, or investment	
3	Having any business dealings or transactions with a vendor, supplier or any other party could benefit me. I or the person(s) I am affiliated with is interested in purchasing services from the GBA.	
4	Affiliated to any staff or Board Members of the GBA.	
5	Affiliated to any person(s) who is involved in/is a party to or have an interest in any pending legal proceedings involving the GBA.	
6	Other interests:	

\*Please attach a separate sheet if space is insufficient

Please elaborate on the potential conflict arising from the above situation with regards to the transaction concerned (e.g., nature of service/ transaction, if affiliated person involved, the identity of the affiliated person and your relationship with that person):

I hereby confirm that:

- The disclosures made above are complete and correct to the best of my knowledge and belief.
- I agree that should any conflict-of-interest situation arise in the course of my service, will abstain from participating in the discussion, decision making and/or voting (where applicable) on the said matter.

I will notify the GBA Secretariat immediately if I become aware of any information that might indicate that this disclosure is inaccurate or that I have not complied with the conflict-of-interest policy.



Signature	Name and Designation	Date

