APPENDIX A – PROPOSAL CONTENT AND FORMAT

The Proposal shall be arranged according to the structure defined within this Appendix A and shall explicitly include all the information listed herein.

Each Respondent should submit a single Proposal which should address the entire Project, including both Stages and identifying explicitly wherever information relates to only one Stage.

The content must clearly demonstrate how the proposed Prime Contractor will meet the requirements and criteria set out in Sections 3 to 6 of the RfP. This must include full details for Stage 1 and (to the extent reasonably practicable) indicative information for Stage 2, as set out throughout this Appendix A.

The Proposal must be written in a succinct manner and must not include imprecise statements or generalities. It must be easily readable with appropriate font sizes, margins, etc.

The Proposal should ideally be approximately 25 pages long, but it shall not exceed a maximum of 45 pages (excluding the appendices to the Proposal explicitly required by this Appendix A to the RfP).

Additional information (such as organisational brochures, etc) may be provided to accompany the Proposal if this is expected to add value (although it is not necessarily required by the ETI), but such additional information will not usually be taken into account when reviewing Proposals.

The Proposal shall consist of three (3) hard copies, separately bound, and one (1) electronic copy. The latter shall be provided in both PDF and Microsoft Word formats.

1. EXECUTIVE SUMMARY [1 – 2 pages]

A summary of the Proposal, describing briefly:

- the overall Project objectives (as specified in Section 3.2 of this RfP) plus any subsidiary objectives if appropriate – for the whole Project and for each Stage;
- the organisation(s) undertaking the work and the Project organisation structure (including identification of the Prime Contractor and proposed Subcontractors);
- summary of the approach to the Project and the work to be undertaken;
- summary of the key Milestones and key deliverables;
- confirmation of compliance with the RfP and brief summary of any key exceptions/deviations;
- confirmation of the proposed Prime Contractor’s commitment to deliver both Stage 1 and Stage 2, along with the commitment of other necessary Project Team members, (subject to a successful outcome from Stage Gate Review 1);
- Total Project Cost, with proposed breakdown between Stage 1 and Stage 2, and between the ETI Investment, Participant Funding and Third Party Funding where relevant;
- the proposed Value Return; and
- proposed Project duration – for the whole Project and for each Stage.
2. **PROJECT TEAM MEMBERS AND STRUCTURE** [approximately 5 - 11 pages, plus appendices]

2.1. **Project Team Members** [approximately 2 - 6 pages]

This section should briefly describe (i) the Prime Contractor organisation and, where appropriate, each of the other organisations in the proposed Project Team (i.e. proposed Subcontractors), and (ii) in each case their relevant knowledge, skills, experience and previous track record.

This section should include a matrix table indicating in summary which of these knowledge, skills, experience and previous track record are being brought to the Project by each organisation (including both the ‘generic’ and ‘specific’ knowledge, skills and experience areas listed in Section 6.5 of the RfP (Selection Criteria)).

2.2. **Key Individuals and Critical Roles** [approximately 1 - 3 pages]

This section should identify all key roles and all associated key individuals (including deputies and alternates where appropriate). As well as key technical and other specialists, this should specifically include the Project Manager and Chief Technologist. See Section 4.2 of the RfP main body.

The proportion of each individual’s time dedicated to the Project should be identified and their expertise briefly summarised; (CVs, of no more than 2 pages each, should be included in an appendix).

2.3. **Project Team Contracting Structure** [approximately 1 - 2 pages]

The ETI intends that a single Respondent will contract with the ETI as Prime Contractor, with agreed parts of the Project being subcontracted (where appropriate and as agreed with the ETI) by the Prime Contractor to one or more third party organisations. Each Respondent should include confirmation that all other organisations identified as Project Team members will be subcontracted directly by the Respondent (as Prime Contractor).

An organisation diagram showing the organisations and their roles should be included. The positions of the key individuals identified as required by Section 2.2 of this Appendix A (including the proposed Project Manager and Chief Technologist – see Section 4.2 of the RfP body) should be indicated.

Respondents should clearly identify in their Proposals any changes proposed between Stage 1 and Stage 2 (including where any organisation is involved in only one Stage, or is intended to provide materially different expertise or to fulfil a materially different role in each Stage, or where there are changes to the key individuals or contracting structure).

Respondents should also identify in their Proposals any foreseen issues or difficulties in executing Subcontracts.

2.4. **Collaborative Working** [typically < 1 page]

Evidence of previous collaborative working (including Subcontract management, as appropriate) should be provided, both within and outside the proposed Project Team membership.
3. PROJECT APPROACH AND PROGRAMME OF WORK [approximately 5 - 13 pages]

3.1. Project Approach [approximately 2 - 5 pages]

Respondents should provide a summary of the overall approach to the Project.

This should include a summary work flow diagram which clearly identifies the key Work Packages, their interdependencies and how they contribute to the overall Project objectives. This work flow should identify Stage Gate Reviews and other key Review Points where overall progress on the Project will be critically reviewed. The ETI has suggested a structured approach in Section 3.3 (of the RfP main body). Respondents should confirm their adherence to this or state and justify any alternative structures proposed.

This should also specifically include (but not be limited to) descriptions of the strategies and approaches proposed to address the following aspects:

a) methodologies for consumer research in Work Package 2;

b) development and assessment of options for integrated energy supply management, including options for market & policy frameworks, business cases, etc and associated technologies;

c) design of the trial to ensure robustness and validity of results, whilst delivering value for money – to the extent that this is known prior to delivery of the detailed design during Stage 1 and, where the solution is not yet fully known, indicating how this aspect will be addressed during Stage 1;

d) sourcing of vehicles and equipment for the trial;

e) recruitment and retention of trial participants;

f) vehicle instrumentation and management of data; and

g) development of battery health algorithm.

3.2. Programme of Work [approximately 3 - 8 pages]

The programme of work to be undertaken in the Project should be described. To accompany this, a detailed Project schedule (Gantt chart) should be included in section 4.3 of the Proposal (see below).

Each Work Package should be broken down into Tasks and a Task-by-Task description of the proposed work provided, identifying for each Task:

- the Task leader and other Project Team members involved;
- the Task objectives;
- the scope and nature of the Task, and the technical approach to it (e.g. methodologies, tools, techniques);
- deliverables produced (labelled D1, D2 to Dn), complete with descriptions and proposed acceptance criteria; and
- dependencies, constraints and assumptions.

Details should be firm and complete for Stage 1. However, information for Stage 2 may be provided in indicative and/or outline form, and Respondents should clearly state wherever such information is in indicative and/or outline form rather than being firm and complete.
4. **PROJECT MANAGEMENT** [approximately 4 - 7 pages, plus appendices]

4.1. **Project Management Activities** [< 1 page]

Respondents should describe how the Project will be managed (e.g. management, coordination and quality of subcontractors’ inputs; regular meetings; reporting; Stage Gate Reviews; steering groups; etc). Any changes between the two Stages should be identified.

4.2. **Milestones and Constituent Deliverables** [< 1 page]

Following the detailed specifications of each deliverable in Section 3.2 of the Proposal, a summary table should be provided here detailing the proposed Milestones (see Section 5.5 of the main RfP body) and their constituent deliverables, together with the proposed costs and delivery dates for each Milestone and constituent deliverable.

Details should be firm and complete for Stage 1. However, information for Stage 2 may be provided in indicative and/or outline form, and Respondents should clearly state wherever such information is in indicative and/or outline form rather than being firm and complete.

See also Section 6 of this Appendix A (Project Finances).

4.3. **Project Schedule** [typically 1 to 2 pages]

Respondents should provide a summary time schedule (Gantt chart) showing the main Work Packages, and main Tasks within each Work Package, covering both Stages. This should clearly identify:

- Task durations and dependencies (including any inputs required from the ETI or other parties and any other external dependencies);
- Project deliverables;
- Milestones (see Section 5.5 of the main RfP body, and Sections 4.2 and 6 of Appendix A);
- any other relevant (project management) milestones; and
- Project Stage Gate Reviews and other Review Points.

4.4. **Risk Management** [typically <1 page, plus Risk Register as an Appendix]

Respondents should describe their proposed risk management strategy (i.e. how risks to the successful delivery of the Project will be identified and managed throughout the Project). They should also separately provide a Risk Register as an appendix, identifying the key challenges, risks (including any assumptions or dependencies identified earlier), issues and opportunities which may affect the successful delivery of the Project outcomes and identifying planned activities to address / mitigate each item. This should cover both Stages of the Project.

4.5. **Health, Safety and Environment (HSE) Management** [typically 2 -3 pages]

Respondents should confirm that all work during Stage 1 of the Project will be entirely desk-based, or clearly state the nature of any exceptions to this (e.g. experimental or laboratory work, vehicle/equipment testing, etc). In the event that any work is not entirely desk-based, then Respondents should provide evidence of the competence of the Prime Contractor and relevant Subcontractors to undertake this work, and should summarise their approach to managing and coordinating HSE in the Project. Specifically:

a) Respondents should advise whether any work to be undertaken during Stage 1 of the Project is not desk based (e.g. experimental or laboratory work, vehicle/equipment testing, etc).

b) If the Project involves any activity which is not desk based then the Respondents are required to provide evidence throughout the Project that HSE is being managed, and that planned and proactive assurance activities are undertaken throughout the Project, and that such arrangements are adequate. The Respondents are required to set out in their Proposal how their management arrangements will enable such evidence to be provided.
c) Respondents should identify any specific HSE issues related to specific activities, facilities or sites to be used in the Project. To the extent that parts of the Project may take place outside of the UK, the Respondents should deal with the corresponding issues as they apply in the local laws of the relevant country.

d) Respondents should demonstrate their experience of identifying and managing HSE issues in projects of equivalent complexity and scale, including incorporation of safety into design.
e) Respondents should set out their approach to managing Subcontractors.

In respect of the trial to be designed in Stage 1 and delivered in Stage 2, Respondents should outline their proposed measures to ensure exemplary HSE management, in advance of a competency assessment to be undertaken by the ETI (see Section 4.5 of the main RfP body). Specifically, Respondents should summarise measures which they intend to take to ensure that:

(i) all vehicles are and remain safe for the duration of the Project;
(ii) all work to modify vehicles and/or fit telemetry or other equipment to them (and remove it again after the trail) is managed appropriately;
(iii) all drivers are vetted, trained if necessary, and safe (without prejudicing the validity of the trial results by selecting for example unusually fuel-efficient drivers); and
(iv) all interactions with the public are managed and safe.

Respondents should also set out any key HSE risks or issues in the Risk Register in Section 4.4 above.

4.6. Data Privacy Management [typically < 1 page]

Respondents should summarise the data privacy management measures which they propose in order to ensure the personal privacy of all individuals involved in the Project, particularly vehicle users involved in the trial, including: the data to be gathered, the purposes of that data and potential uses of it, and the training and other measures proposed for its management, (see Section 4.6 of the main RfP body).

4.7. Critical Success Factors [typically < 1 page]

Respondents should confirm agreement with the Critical Success Factors listed in Section 4.7 of the main body of this RfP and should identify any additional factors which either characterise a successful outcome or which are required to facilitate a successful outcome for the Project. If Respondents do not consider that it is already clear elsewhere in their Proposals, they may provide additional commentary here in respect of the means by which one or more of the Critical Success Factors are addressed.

5. VALUE RETURN [typically < 1 page]

As stated in Section 5.2 of the RfP, the primary Value Return for the ETI and its Members is likely to be strategic in nature, delivering learning, ownership of Arising IP and the ability for the ETI and its Members to stimulate the market for low carbon light vehicles and their integration into the energy system. Respondents should set out in this Section of the Proposal full details of the Value Return proposed, including any additional proposed Value Return elements; (please refer to Section 5.2 of the RfP).

Respondents should also set out the value that they expect to derive from the Project for themselves.
6. **PROJECT FINANCES** [approximately 1 - 2 pages]

Respondents should provide for each Stage:

- a figure for the proposed Total Project Cost apportioned to that Stage;
- a figure for the proposed (fixed price) ETI Investment;
- figures for any proposed Participant Funding and/or Third Party Funding (as appropriate);
- a breakdown of Total Project Cost between Milestones.

Details should be firm and complete for Stage 1. However, information for Stage 2 may be provided in indicative and/or outline form, and Respondents should clearly state wherever such information is in indicative and/or outline form rather than being firm and complete.

If there are any assumptions or limitations to this cost, these should be clearly stated.

For each Stage, Respondents should also provide a breakdown of the proposed Total Project Cost apportioned to that Stage, as specified in the table below (using a separate table for each Stage).

<table>
<thead>
<tr>
<th>TOTAL PROJECT COST BREAKDOWN BY CATEGORY</th>
<th>Prime Contractor</th>
<th>Subcontractor 1</th>
<th>Subcontractor 2</th>
<th>Subcontractor 3</th>
<th>Total</th>
</tr>
</thead>
<tbody>
<tr>
<td>Number of Person-days</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Base Labour</td>
<td></td>
<td></td>
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<td></td>
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<tr>
<td>Materials</td>
<td></td>
<td></td>
<td></td>
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<td></td>
</tr>
<tr>
<td>Subcontractors (major) (see note ii below)</td>
<td>n/a</td>
<td>n/a</td>
<td>n/a</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Subcontractors (minor)</td>
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<td>Travel &amp; Subsistence</td>
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<tr>
<td>Overheads</td>
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<tr>
<td>Profit</td>
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<tr>
<td>Other</td>
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<tr>
<td>TOTAL PROJECT COST</td>
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<tr>
<td>ETI Investment</td>
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<tr>
<td>ETI Investment (% of Total Project Costs)</td>
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<tr>
<td>Own Funds (Participant Funding)</td>
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<tr>
<td>Third Party Funding (Private Funding)</td>
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<tr>
<td>Third Party Funding (Public Funding)</td>
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</tbody>
</table>
Notes on Category Breakdown table:

i. Base Labour should include direct add-ons (e.g. NI, pension etc).

ii. The total cost of all Subcontractors should be included in the Prime Contractor’s total cost figures, and a breakdown of each major Subcontractor’s costs should be included in subsequent columns in the table. (In this context a major Subcontractor is one whose contribution is budgeted at more than 20% of the total Project cost or which is critical to the success of the Project).

iii. The selected Respondent(s) will be required to provide justification of overhead calculations during the Project Detailing and Contract Finalisation process. The ETI can provide a spreadsheet to calculate overheads on request.

iv. Respondents should note that under state aid rules, profit cannot be paid to a Participant if they wish to receive a licence for Arising IP.

v. Academic Respondents should determine their costs using the JeS system. Note that ETI funds academic Participants at 100% Full Economic Cost.

vi. Please note that during the Project Detailing and Contract Finalisation process (prior to Project Contract execution) the ETI will require a more detailed cost breakdown. Whilst not compulsory; it is strongly recommended that the relevant Respondents use the ETI’s standard budget form for fixed price contracts.

For all sources of funding or resource to be provided in addition to the ETI Investment, the Respondents should provide full details of such funding, including:

- evidence of the availability of those funds for the Project;
- details of the sources of any Third Party funding, (including identifying where any such funding is Public Funding), and the terms and status of such funding; and
- any other commercial impacts associated with any proposed reliance on such Participant Funding and/or Third Party Funding.

7. INTELLECTUAL PROPERTY [approximately 1 - 3 pages]

Respondents should read Section 5.6 (Intellectual Property) of the RfP before completing this section.

Arising IP

Respondents should provide a brief overview of the nature of any anticipated Arising IP from the Project, including the areas in which the IP will arise and the forms of the anticipated intellectual property rights arising. This should expressly include reference to development of any existing technology, any innovations, any results and any know-how.

In this Project, the ETI expects that all Arising IP will belong to the ETI. The Proposal should list full details of any and all licences of Arising IP they propose should be granted by the ETI for the Prime Contractor to use or exploit Project results (including any proposal to sublicence such rights to other Project Team members or other organisations), including details of the proposed licenced uses (and the proposed extent of any sublicences) of Project results.

Notwithstanding the ETI’s strong preference that the ETI shall own all Arising IP, in the event that the Respondent proposes that it shall own any Arising IP, then the Proposal should identify the relevant items of Arising IP and the reasons why the Respondent should be the owner, including (but not limited to) details of:

- the intellectual property experience and capabilities of the Respondent which would justify granting it the rights and obligations of ownership, protection and maintenance of such Arising IP;
• any other reasons why the Respondent should be the owner of the Arising IP; and

• any alternative Value Return offered for the ETI waiving its ownership rights (as a minimum, the ETI would expect appropriate licences in favour of the ETI and its Members).

Respondents are reminded that, in the unlikely event that the ETI agrees that Arising IP is to be owned by a Participant, the ETI will require the Participant to licence that Arising IP exclusively to the ETI with full and unlimited rights to use and exploit all Project results and Arising IP, and including the right to grant sublicences to third parties (including but not limited to its Members in its sole discretion and on such terms as it thinks fit). The ETI anticipates that a sublicence on agreed terms would also be granted to the Prime Contractor.

Respondents are reminded that profit will not be paid to a Participant in addition to ownership or grant of a licence of Arising IP.

Academic Institutions

Generally, if requested, the ETI will grant rights to Project Team members who are academic institutions to use the Project results they created for the purposes of academic research and teaching. Publication of appropriate parts of the Project results will generally be permitted subject to an approval process. The extent and terms of any such academic rights are negotiated and determined on a project-by-project basis. Respondents should include in their Proposals details of their proposed requirements in relation to academic research, teaching and publication by academic institutions.

Background IP and Third Party IP

Respondents should describe any Background IP or Third Party IP (e.g. patents, proprietary data, computer algorithms, know how or other IP) only to the extent that there is Background IP and/or Third Party IP which:

• is or may be needed (whether by the ETI, the Prime Contractor and/or a Subcontractor, or to be licensed from the Prime Contractor to a Subcontractor, or to be licensed by a Subcontractor to the Prime Contractor or to another Subcontractor, or otherwise) to carry out the Project or which may be used during the Project; or

• may be needed by the ETI, a Member or other third party to exploit the Arising IP.

The description of any such Background IP or Third Party IP should detail:

• the nature of the IP (including the legal nature of the IP right);

• the rights to that IP that are or may be required and by whom;

• ownership and control, whether this is by the relevant Respondent, any of the other Project Team members or by any other third parties; and

• whether there is any reason that such Background IP or Third Party IP will not be made available as and to the extent needed to carry out the Project and/or exploit the Arising IP.

IP Contractual Provisions

Respondents should confirm in their Statement of Compliance their acceptance of the provisions in the Project Contract for dealing with IP (see Section 10 of Appendix A and Section 5.3 of the main body of the RfP). Where a Respondent proposes an exception to or deviation from these provisions, the Respondent should set out details of the exceptions/deviations together with (a) reasons for the proposed exceptions/deviations and (b) any alternative Value Return (e.g. royalty return or other value) offered to the ETI and its Members in return (e.g.) for waiving or varying IP rights. Respondents are strongly advised to consult the ETI before proposing exceptions/deviations to the ETI's contractual requirements for IP. See also the IP section of Part 1 of Appendix B.
8. **DUE DILIGENCE REQUIREMENTS** [typically 2 - 3 pages, plus appendices]

The ETI’s due diligence requirements in relation to the submission of a Proposal are set out in Section 5.7 of the RfP main body, and in Part 5 of Appendix B.

9. **PLAN FOR PROJECT DETAILING AND PROJECT CONTRACT FINALISATION** [approximately 1 page]

Respondents should, in this section, identify key issues to resolve during the Project Detailing and Contract Finalisation process for each Stage, before Project Contract execution, for example:

- detailing of the technical proposal: what further actions are needed;
- Project Contract – key provisions to resolve (based on draft Project Contract; see Section 5.3 of RfP main body);
- timing sequences for the setting up of the Project organisational structure (e.g. Subcontracts), including any dependencies or other factors which could impact or delay the Project;
- internal approvals - confirm what internal approvals will be required for the proposed Prime Contractor and key Subcontractors in order to enter into contract;
- securing finance – identify what further actions are required to ensure that all funding arrangements are in place.

The Plan for Contract should be structured and link clearly back to the previous sections set out in this RfP.

Respondents should explicitly confirm that all key technical, commercial and legal resources, across the Project Team members, required to meet the Stage 1 Project Contract execution target date (see Section 6.8 of the RfP), will be available to achieve a signed contract by that date. A table should be included providing names and contact details (phone and email addresses) of key contacts for Project Detailing and Contract Finalisation. This should include, for the Respondent (proposed Prime Contractor) and each proposed key Subcontractor, the main project management and technical contacts. Additionally, the Respondent should include names and contact details of its relevant legal, commercial and finance representatives.

Any key risks or issues which may impact on meeting the Project Contract execution target dates for either Stage 1 or Stage 2 should be identified.

10. **STATEMENT OF COMPLIANCE** [typically 1 - 2 pages, or as required]

Respondents are required to provide a Statement of Compliance in accordance with Section 7 of the main body of the RfP and with Part 4 of Appendix B.

11. **APPENDICES TO PROPOSAL**

The following appendices are expressly required to be included in the Proposal. They are excluded from the maximum page count limit.

- CVs of key individuals (supporting Section 2.2 of the Proposal – see Section 2.2 of Appendix A)
- Risk Register (supporting Section 4.4 of the Proposal – see Section 4.4 of Appendix A)
- Any due diligence information required as appendices, as set out in Section 8 of this Appendix A.