SAFELOOP

Del 1.1. Quality Assurance Plan (QAP)

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DOCUMENT AND DELIVERABLE INFO

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Deliverable Title	Quality Assurance Plan (QAP)					
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Lead Beneficiary	UOulu - University of Oulu					
Authors	Irja Ruokamo, UOulu and Dmitry Smirnov, HHL					
Reviewers	All consortium members					
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0.1	26.08.2024	The first version for additions and comments	Irja Ruokamo
0.2	08.10.2024	Enviva's and HHL's comments & HHL's addition to sections 10-13	Tajed Stepišnik Perdih, Dimitry Smirnov
1.0	12.11.2024	Comments from the consortium; changes in sections 3.3., 4.4., 9.2. and 11.	SAFELOOP consortium members

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EXECUTIVE SUMMARY

SAFELOOP's primary goal is to elevate the safety, sustainability, and performance of European Gigafactory-scale LIB cells, aligning with the EUCAR Hazard Level 3 standards for mobility applications. This entails pioneering material innovations to improve battery safety, performance, and lifespan, with a target of achieving a 15% increase in cyclability by 2030 and doubling operational lifetime compared to 2019 levels. Moreover, SAFELOOP actively supports European competitiveness across the entire product lifecycle while integrating recycled materials from the closed loop supply chain, in line with the European Parliament's ambitious 2020 material recovery targets. Through comprehensive research, validation, and scalability planning, the project aspires to set new industry benchmarks for battery safety, reduce environmental impact, and advance Gen3 Li-Ion technology, contributing to a more sustainable energy storage landscape.

The project's WP1, Project management & coordination, aims to ensure coherent implementation of the project, efficient use of resources, and smooth operation of the other WPs. Deliverable D1.1 Quality Assurance Plan (QAP) is linked to WP1 Task 1.2. It defines a consistent set of working and internal communication procedures, processes, and best practice guidelines, in order to ensure the highest quality standards of the project outcomes. In particular, the QAP defines the following aspects: (i) The project structure in terms of different roles and responsible people; (ii) Work processes; delivery of project reports and deliverables, approval of milestones; (iii) Administrative processes; project meetings, internal and period reporting; risk management (iv) Internal communication practices and tools; (v) Project tools; project website, project intranet procedures; (vi) Templates. It serves as a handbook for the day-to-day operation during the project.

This QAP will be updated as necessary to revise the planned activities and address the changing needs of the project.

LIST OF TABLES

ABBREVIATIONS

AGA	Annotated Model Grant Agreement
CA	Consortium Agreement
CFS	Certificate on the Finance Statement
DoA	Description of the action
EC	European Commission
ECAS	European Commission Authentication Service
EU	The European Union
EU GA	EU Grant Agreement project specific
FA	Funding Authority
GA	General Assembly
GDPR	General Data Protection Regulation
PO	Project Officer from the European Commission
PMG	Project Management Group
QAP	Quality Assurance Plan
TL	Task Leader
WP	Work Package
WPL	Work Package Leader
WPLG	Work Package Leader Group

1 INTRODUCTION

1.1 About the Quality Assurance Plan (QAP)

Quality Assurance Plan has been designed to serve as a quick guide/handbook for the day-to-day operation during the project. It serves as a reference book for all project members to identify their roles & responsibilities and to address project-related processes. It standardises various elements of the project e.g. project reports, deliverables, etc. through the use of agreed procedures and templates where relevant.

This QAP will be a dynamic document and will be updated as required throughout the project. The latest version of the manual shall always be available at the project shared workspace.

1.2 Document overview

This document is structured as follows:

- Section 2: provides an overview about the internal structure of the project.
- Section 3: provides an overview about the legal aspects of the project.
- Section 4: describes an organizational structure of the project and roles in the project.
- Section 5: delineates the different ways of communication within the project.
- Section 6: describes reporting-related processes within the project. This includes project-internal reporting but also external reporting to European Commission (EC).
- Section 7: clarifies payments and their timeline.
- Section 8: provides and overview about deliverables.
- Section 9: states the rules for dissemination and exploitation within the project.
- Section 10: describes the process for data management.
- Section 11: quality management.
- Section 12: outlines the risk analysis and contingency planning process.
- Section 13: Ethics
- Section 14: FAQ
- Section 15: References used.

1.3 Precedence

The general principles for the project execution are defined in the EU Grant Agreement (EU GA), the Description of the action (DoA) and the Consortium Agreement (CA). This Quality Assurance Plan does not replace any of these agreements, nor does it replace any of the EU guidelines for project implementation and documentation.

Where there are any inconsistencies between these documents, the following order of precedence should be applied:

1. EU Grant Agreement (EU GA) including Description of the action;
2. Consortium Agreement (CA);
3. Quality Assurance Plan (present document)

2 GENERAL PROJECT INFORMATION

2.1 Overview

Envisioned battery demand of 735 GWh for electric mobility by 2025, escalating to a projected 125 million Electric Vehicles (EVs) by 2033, fuels our impetus for innovation. However, these prospects are marred by real safety concerns, evidenced by 2 harrowing ship fires involving luxury EVs, despite adherence to the most stringent safety protocols. SAFELOOP is a collaborative effort involving 15 entities from 11 countries, representing a blend of research, manufacturing, and business across Europe. Transatlantic partners are joining forces to bolster competitive material-level technologies and supply chain logistics. Key goals include securing strategic raw material feedstock, reducing reliance on Asian supply chains, intensifying environmental sustainability, optimising energy-efficient processing, and demonstrating technological leadership. SAFELOOP's focal point is Gen3 EU EV Li-Ion Battery (LIB) safety, encompassing the entire life cycle of LIBs within EVs. Safety is considered in a broader sense, not just at a cell level, while the latter remains a key pillar of the research at hand. To name a few, material handling, component processing, battery manufacturing, testing, transport, maintenance, and recycling of active materials are considered. A Eurocentric supply chain for EV-grade battery materials will be established, minimising the environmental and cost impact of long-distance transportation. SAFELOOP ensures that batteries and their components adhere to EU safety and environmental regulations. Beyond enhancing EU battery safety, the project seeks to develop the world's first EV-rated LIB using up to 25% recycled and fully rejuvenated battery-active materials. This initiative paves the way for an ambitious industrywide recycling target of 90% within the next decade, akin to today's lead-acid battery industry's 95% recycling rate. These ecologically responsible solutions address key aspects of automotive battery safety within the EU and beyond.

Table 1. Project information

SAFELOOP	
Project Start of	01/06/2024
Project End of	31/05/2027
Duration	36 months
1. Coordinator	University of Oulu, UOulu, FIN
Scientific Coordinator/PI	Ulla Lassi
Project Manager	Sari Tuomikoski
Administrative Manager	Irja Ruokamo

Table 2. Project partners

No.	Partner	Short Name	Country
2	FORSCHUNGSZENTRUM JULICH GMBH	FZJ	DE
3	SIEC BADAWCZA LUKASIEWICZ - INSTYTUT METALI NIEZELAZNYCH	IMN	PL
4	INSTYTUT SORBTSIYI TA PROBLEM ENDOEKOLOHIYI NATSIONALNOYI AKADEMIYI NAUK UKRAYINY	ISPE	UE
5	COMMISSARIAT A L ENERGIE ATOMIQUE ET AUX ENERGIES ALTERNATIVES	CEA	FR
6	TURKIYE BILIMSEL VE TEKNOLOJIK ARASTIRMA KURUMU	TUBITAK	TR
7	HHL GEMEINNUTZIGE GMBH	HHL	DE
8	KOPPERS DENMARK APS	KOP	DK
9	YUNASKO-KYIV LLC	YUNASKO	UE
10	ENVIVA IDIOTIKI KEFAIOUCHIKI ETAIREIA/ENVIVA IKE	ENVIVA	GR
11	ASPILSAN ENERJI SANAYI VE TICARET AS	ASP	TR
12	BOZANKAYA OTOMOTIV MAK IMALAT ITH VE IHR ANONIM SIRKETI	BOZANKAYA	TR
13	American Energy Technologies Company (associated)	AETC	US
14	Cadoux Limited (associated)	CCM	AUS
15	IMPERIAL COLLEGE OF SCIENCE TECHNOLOGY AND MEDICINE (associated)	ICL	UK
16	SCIENCE AND TECHNOLOGY CENTER IN UKRAIN (Third Party)	STCU	UE

3 LEGAL ASPECTS

3.1 Grant agreement

The Grant Agreement forms the legal basis for the implementation of the project. It consists of:

- Terms and Conditions (this is the core contract);
- Annex 1 Description of the action (DoA);
- Annex 2 Estimated budget for the action;
- Annex 2a Additional information on unit costs and contributions
- Annex 3 Accession Forms;
- Annex 3a Declaration on joint and several liability of affiliated entities
- Annex 4 Model for the financial statements;
- Annex 5 Specific rules

Although the core contract is signed between the EU and the Coordinator of the project, all partners have become individual contract partners with the commission by signing the Accession Forms.

The Grant Agreement must be retained by the partners and should be provided to the auditor in case of an audit. It is downloadable on the participant portal in the document library of the project and is available for download to SAFELOOP members on the SAFELOOP shared workspace.

3.2 Consortium agreement

Whereas the Grant Agreement is signed between the EU and the partners, the Consortium Agreement is signed between the partners themselves. It arranges in more detail the provisions of the Grant Agreement, such as but not limited to: financial issues, payments, management, decision making, conflict resolution, intellectual property rights and liability.

The Consortium Agreement must be retained by the partners and presented during audits. It is available for download to SAFELOOP members on the SAFELOOP shared workspace.

3.3 Amendments

During the project, circumstances may arise to call for a request to the EU for an amendment of the Grant Agreement. Reasons may vary, but could be:

- Change of partner(s);
- Change of legal entity;
- Changes in the Budget (EU GA: Annex 2);
- Changes in the DoA (EU GA: Annex 1).

In case an amendment is needed, the Coordinator shall submit such a request after an autonomous decision by all partners in the General Assembly. After approval, the Coordinator shall distribute the revised Grant Agreement to the partners, replacing the former versions.

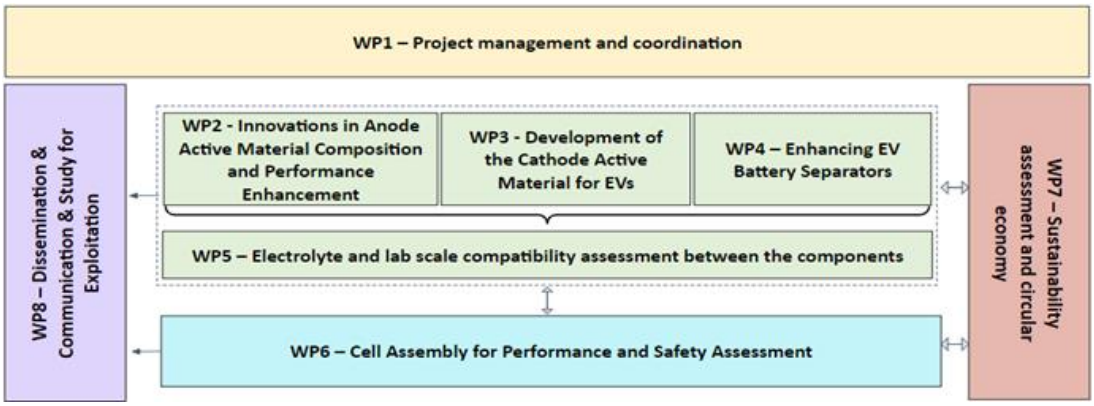
Budget changes that do not affect the content of DoA can be handled by the consortium itself via a decision in the General Assembly and informing the Project Officer. Amendments may be requested by any of the project partners.

Requests for amendments or changes to the Quality Assurance Plan should be addressed to the Coordinator. The Coordinator will apply the changes to QAP and inform the SAFELOOP consortium about the changes. The changes will be accepted by the General Assembly, either in an extraordinary meeting for requested major changes, or in a pre-scheduled ordinary General Assembly meeting. Changes for the QAP may be requested by any of the project partners.

4 ROLES

SAFELOOP organisational structure

Figure 1 below describes the organisational structure within the project.



The project organisational structure has multiple layers of decision-making as follows:

General Assembly (GA)

The General Assembly acts as the ultimate decision-making body in the project and deals e.g. with partner enrolment and exit, budget changes, (IPR) issues and conflicts.

Project Coordinator

The Project Coordinator is responsible for the efficient management of the project and individual activities in terms of time, budget, and quality. Project coordinator also functions as the intermediary for all communication between co-beneficiaries and the European Commission.

Project Management Group (PMG)

Project Management Group (PMG) monitors the project progress. It consists of the Scientific coordinator, Project manager and the Work Package Leaders (WPLs). WPLs are responsible for workflow, coordination and progress within their WPs and other WPs.

Research Exploitation Steering Group (RESG)

Research Exploitation Steering Group (RESG) gives a general guidance related to the exploitation of the project results and further research in the different domains.

4.1 Project Members

The Project Members build the Consortium of the project, and each member is responsible for the realisation of technical issues.

4.2 General Assembly (GA)

The GA is ultimately responsible for the management of the project and consists of one representative from each partner in the consortium. It is chaired by the Coordinator.

The GA shall be free to act on its own initiative to formulate proposals and take decisions. In addition, all proposals made by the Project Management Group (PMG) shall also be considered and decided upon by the GA.

Table 3. General Assembly members

Partner	Acronym	Member	Deputy member
1. University of Oulu	UOulu	Ulla Lassi	Irja Ruokamo
2. Forschungszentrum Julich GmbH	FZJ	Isidora Cekic-Laskovic	Christian Wölke
3. Siec Badawcza Lukasiewicz – Instytut Metali Niezelpl	IMN	Grzegorz Lota	Katarzyna Lota
4. Instytut Sorbtsiyi ta Problem Endoekolohi yi Nats	ISPE	Viacheslav Barsukov	Volodymyr Khomenko
5. Commissariat al Energie Atomique et aux Energie	CEA	Nathalie Herlin-Boime	Suzy Surble
6. Turkiye Bilimsel ve Teknolojik Arastrima Kurumu	Tubitak	Rıdvan Demiryürek	Vildan Bayram Karakuşlu
7. HHL Gemeinnutzige GmbH	HHL	Kelvin Willoughby	Dmitry Smirnov
8. Koppers Denmark ApS	KOP	Brian Jones	Michael Bech Malmqvist
9. Yunasko Kyiv LLC	Yunasko	Yurii Maletin	Natalie Stryzhakova
10. Enviva P.C.	ENVIVA	Tadej Stepišnik-Perdih	Vasileia Vasilaki
11. Aspilsan Enerji Sanayi ve Ticaret A.S.	ASP	Yusuf Taş	Kültigin Çağrı Barbas
12. Bozankaya Otomotiv Mak Imalat Ith ve Ihr Anonim	BOZ	Atakan Uzel	Aslı Elidemir
13. American Energy Technologies Company	AETC	Igor Barsukov	Dr. Maya Barsukov and Emily Schmidt
14.Cadoux Limited	CCM	Roland Hill	Raj Kandiah
15. Imperial College of Science Technology and Medi	ICL	Daniel Dias	Shervin Shahvi

Responsibilities: GA will be the ultimate decision-making body of the Consortium. The Coordinator handles all documentation of the GA and prepares the issues to be handled by the Assembly. GA responsibilities include:

- To ensure that the project is executed in line with the needs and requirements of the participants
- To take the major strategic decisions: to solve conflicts, to tackle technical risks and to manage changes of the work plan
- To monitor the over-all quality of the project
- To handle changes to the Consortium Plan (including Budget) and redistribution of finances, based on the PMG suggestions
- To propose changes to Annex 1 "Description of the project" of EC-Grant Agreement (GA) to be agreed by the Funding Authority
- To accept the plans for dissemination and exploitation of the results
- To handle all project agreements and IPR issues according to the Consortium Agreement
- To define the project standards and policies e.g. ethical issues that must be formally and explicitly stated
- Evolution of the Consortium

General Assembly meetings: M4, M9, M13, M19, M25, M31, M34.

Meeting practices: The agenda and material for the GA meetings, prepared by the Coordinator as the GA secretary, will be sent 14 days before the meeting (7 days before extraordinary meetings upon written request of any partner). The Coordinator will prepare the minutes of the meeting (MoM) and send a draft to the General

Assembly members within 14 days after the meeting. The Coordinator will be in charge of distributing the documents and information on decisions taken to all relevant parties.

Decision-making: Each partner shall have the right to nominate a representative to participate in the GA meetings. Each GA member shall have one vote. However, the Coordinator does not have the right to vote in the GA. The GA decisions are valid if 2/3 of the voting members are present or represented. A decision takes 2/3 majority of the votes. A member can exercise a veto on a decision or a part of a decision if the legitimate interests of the member are severely affected. Action needed regarding non- or under-performing partners shall be addressed. Further rules will be defined in the Consortium Agreement.

4.3 Project Coordinator

The Project name is coordinated by University of Oulu (UOulu) who acts as the intermediary between the partners and the European Commission (Funding Authority). Ulla Lassi is a Scientific Coordinator, Sari Tuomikoski is a Project Manager and Irja Ruokamo is an Administrative Manager at University of Oulu.

The Coordinator has direct responsibility for the administrative, legal and financial management of the project. The Coordinator will be the intermediary between the project consortium and the Funding Authority (FA) and shall perform all tasks assigned to it as described in the Grant Agreement (EU GA) to be concluded with the Funding Authority. The everyday management of the research and development activities is explicitly delegated to the WP Leaders. The Coordinator responsibilities include:

- Monitoring compliance by the Parties with their obligations and ensuring that all partners are working for the same goal.
- All contractual obligations required by the FA. Providing overviews of the work progress to the FA; collecting and reviewing financial, technical and administrative reports to verify consistency with the project tasks before transmitting them to the FA and submitting progress and final reports, financial statements and other deliverables
- Administering the community contribution regarding its allocation between beneficiaries and activities, in accordance with this grant agreement and the decisions taken by the consortium. The Coordinator will ensure that all the appropriate payments are made to the other beneficiaries without unjustified delay. The Coordinator will take care of financial account management, advance payments, withholding payments and assistance to partners for Cost Statements preparation.
- Informing the FA of the distribution of the community financial contribution and the date of transfers to the beneficiaries, when required by the Grant Agreement or the FA
- Maintaining contact with the FA (Project Officer) and notifying the Project Officer about developments that would alter the GA.
- Coordination and supervision of all legal and contractual aspects, knowledge management, and exploitation activities
- Maintaining the communication among the partners of the project and facilitating the communication between the consortium and the FA (contact to be made with the partners once a month)
- Administrative management: preparation and maintenance of project calendar, monitoring budget, deliverables and milestones, guaranteeing the achievement of the objectives and the accomplishment of the proposed plan in dates and budget, preparation of meetings and related documentation and execution of the meetings decisions, set-up and maintenance of project documentation archive.
- In terms of decision-making mechanism on operational issues, the Coordinator calls the General Assembly to emergency meetings if needed.

The Coordinator's operational coordination tasks to be performed in cooperation with the Work Package Leaders:

- Supervision of WP Leaders with the Scientific Coordinator as the spokesperson and Project manager as a secretary

- Technical coordination and integration between Work Packages
- Preparing reports to the General Assembly
- Supervision of the implementation and proposing updates to the Consortium Plan
- Organization and chairing the General Assembly meetings and Project Management Group meetings.
- Monitoring IPR issues

4.4 Exploitation Steering Group (ESG)

A research exploitation steering group is composed of members from all representatives, within the consortium. ESG reviews whether the material prepared for publication or dissemination contains or might be related to any business secrets or other information that might violate the SAFELOOP partners' ownership rights and possibilities to protect innovations. It also gives general guidance related to the exploitation of the project results and further research in the different domains.

Table 4. Exploitation Steering Group Members

No	Partner	Member of Exploitation Steering Group	Deputy person
1	**UOULU**	Pekka Räsänen	Hossein Rostami
2	**FZJ**	Isidora Cekic-Laskovic	Christian Wölke
3	**IMN**	Grzegorz Lota	Katarzyna Lota
4	**ISPE**	Volodymyr Khomenko	Artem Mishuk
5	**CEA**	Suzy SURBLE	Nathalie HERLIN
6	**Tubitak**	Ayhan Nazmi İlikan	Türev Sarıkurt
7	**HHL** , chair	Kelvin Willoughby	Dmitry Smirnov
8	**KOP**	Brian Jones	Michael Bech Malmqvist
9	**Yunasko**	Yurii Maletin	Natalia Stryzhakova
10	**ENVIVA**	Tadej Stepisnik Perdih	NA
11	**ASP**	To be confirmed	To be confirmed
12	**BOZ**	Atakan Uzel	Aslı Elidemir
13	**AETC**	Anna Doninger	Emily Schmidt
14	**CCM**	Roland Hill	Jonathan Sweeney
15	**ICL**	Evina Katsou	Daniel Dias

4.5 Project Management Group (PMG)

The Project Management Group (PMG) consists of Scientific Coordinator, Project Manager and Work Package Leaders (WPL). PMG deals with the technical developments, overall coherence, and technical implementation of the project outputs and ensure that the WP participants produce the required outputs in time. In the WPs each

Partner is responsible for allocating sufficient manpower, financial and other resources in order to carry out the tasks assigned to him/her and for delivering cost statements and providing information and data (financial and other) to the Coordinator in order to ensure that documents can be elaborated and submitted in time.

The PMG responsibilities are:

- Coordination of the day-to-day execution of activities, planning of work and deliverables; achievement of the objectives of their WPs and management of risks
- Meeting the operational, quality, functional, documentation and data, planning and financial requirements for activities and deliverables according to the Consortium Agreement (CA), EC-GA and FA requirements. The WPLs report to the Coordinator and to the GA (if the latter requires more detailed information on some issue). The Task Leaders (TL) assist the WPLs in planning, managing and performing their respective tasks in the WP context. Reporting includes:
    - Updating the internal follow-up reports on the status of Work Package progress, deviations, quality, and risks every 3 months for monitoring the progress of the project. The project progress reporting template for each WP is in the SAFELOOP shared workspace.
    - Reporting WP activities in a formal Technical report for the EC periodic reporting in M18 and M36.
- Decisions about the methods and equipment to be used.

Table 5. Work package leaders.

No	Work package	Leader	Person
1	Project management & coordination	UOULU	Ulla Lassi
2	Innovations in Anode Active Material Composition and Performance Enhancement	AETC	Igor Barsukov
3	Development of the Cathode Active Material for EVs	UOULU	Ulla Lassi
4	Enhancing EV Battery Separators	YUNASKO	Yurii Maletin
5	Electrolyte and lab scale compatibility assessment between the components	FZJ	Isidora Cekic-Laskovic
6	Cell Assembly for Performance and Safety Assessment	ASP	Yasin Cengiz CELIK
7	Sustainability Assessment and Circular Economy	ICL	Evina Katsou /Daniel Dias
8	Dissemination & Communication & Study for Exploitation	ENVIVA	Tadej Stepišnik Perdih

4.6 Meetings

The kick-off meeting for the project was held at the University of Oulu on June 5-6, 2024. During the meeting, the project coordinator outlined the project's purpose, each partner introduced themselves, and the Work Package Leaders presented the activities of their respective work packages. The next steps for each work package were also discussed in detail. In addition to the Work Package presentations, the Project Officer provided a general overview of the following topics: 1) EC / CINEA / Horizon Europe, 2) Topic Policy Background, 3) Your Grant Agreement: How It Works and 4) What We Expect from You.
Project management practicalities and operations were presented in WP 1 presentation. They are described in more detailed in this QAP.
All SAFELOOP partner organizations participated in the meeting. The meeting minutes and all presentations are availble in the SAFELOOP shared workspace.

Project meetings are plenary meetings and parallel sessions combining technical progress. They will take place twice a year at least. They include a General Assembly meeting every six months.

Work Package technical meetings are called by the Work Package leaders within a work package in order to coordinate progress on WP level.

Project Management Group (PMG) meetings are for monitoring the progress of the project and will take place once a month.

Research Exploitation Steering Group (RESG) meetings are held to discuss and provide guidance to partners on the project's Intellectual Property Rights (IPRs) and the exploitation of results.

Costs for travel and accommodation to participate in these meetings have to be covered by each partner's own budget.

For each meeting, the **minutes** should be uploaded to the relevant WP folder on the SAFELOOP shared workspace.

5 COMMUNICATION

5.1 Internal communication

Internal communication is considered the communication within the Consortium.

5.1.1 E-mail

As a general rule, the subject of all emails exchanged in the project should begin with "SAFELOOP:" in order to enable the efficient use of filters in email clients!

Many people may be working on several different projects and are likely to receive numerous emails every day, therefore, a standard subject title is proposed. This helps to quickly recognise the project related emails.
Project related e-mails should include in the subject title: **'Project name'** and **WP number (if applicable)** followed by a more specific description of the subject, deadline for feedback or reply, see below an example:

[Subject: SAFELOOP_Kick-off meeting minutes_20240606]

For all strategic issues on project level, please contact the Scientific Coordinator and put the SAFELOOP Project Manager and Administrative Manager on CC.

For all technical issues on project level, please contact the Scientific Coordinator and put the Project Manager on CC.

For all standard administrative and financial issues, please contact the SAFELOOP Administrative Manager and put Project Manager on CC.

For all issues related to dissemination, please contact the WP8 Leader, and put the Project Manager on CC.

5.1.2 Internal Communication Platform and contact lists

Shared workspace
A project shared workspace was set up to act as repository of any project documents. The shared workspace should be used to store all project management information, such as reports, deliverables, any working documents etc. (You can find the document title guideline in section 5.3.4.).
The address of the SAFELOOP shared workspace is: SAFELOOP shared workspace.

Every member of the consortium has been invited to join the project workspace. In case of problems/need for a new account, please contact Project Administrative Manager.

Please note that all files are accessible to everyone who has been added to Workspace so don't use the Workspace to store sensitive, proprietary information. Large data files (such as simulation results, etc.) should be stored by partners themselves.

Mailing and contact list

The project will collect email and contact list held in an Excel spreadsheet in SAFELOOP workspace. The consortium contacts can be accessed in SAFELOOP consortium contact excel and Group email lists can be accessed in Contact list file.

Within Consortium contact list, all project members are included.

There are the following **Group mailing lists**, which can be found on the project workspace together with the contact list.

- **Work Package Leaders Group (WPLG)**
- **General Assembly (GA)**
- **All SAFELOOP members**

When starting a new email, you should always use the latest version available at the SAFELOOP Workspace. Do NOT create your own local copies of this lists; they are most likely outdated if you are going to use it again.

Required changes can be made directly to the mailing list in the project workspace. If you want changes to the **Group mailing lists**, please contact Project Manager.

Rules for using email

Please follow the following rules for using the mailing list:

- DO NOT send mails with attachments. Instead, upload the file on Workspace and include the correct link within your mail.
- Before sending an email, consider carefully who you are targeting, and check the distribution list names.
- Please do not use the "Reply all" button unless your reply really concerns the whole or most of the consortium.

5.2 Communication with the Project Officer

The Project Coordinator is responsible for the communication with the Horizon Europe Project Officer. Hence, the Coordinator is the only contact point between the SAFELOOP project partners and the European Commission representatives regarding the project.

5.3 External communication

External communication is considered towards parties outside the Consortium, target groups of the project, other stakeholders and the EU Project Officer.
External communication is part of WP8 Dissemination, communication, and exploitation for which the partner ENVIVA is responsible. Contact person is Tadej Stepišnik Perdih.
Communication of project results is an important part of a Horizon Europe project. You will find more information in deliverable D8.1 Dissemination and communication plan.

5.3.1 Project website

The project website will be set up for external communication purposes. It can be found at www.safeloop.eu. The project website is created with information about the project, its objectives, results, partners and events.

5.3.2 General Requirements

You are requested to always indicate that the project has received funding from the European Union. Using the following:

(a) display the EU emblem

The emblem must remain distinct and separate and cannot be modified by adding other visual marks, brands or text.
Apart from the emblem, no other visual identity or logo may be used to highlight the EU support.
When displayed in association with other logos (e.g. of beneficiaries or sponsors), the emblem must be displayed at least as prominently and visibly as the other logos.
You can find approved EU emblem versions in the shared workspace of WP8.

(b) include the following text (Disclaimer):

"Funded by the European Union. Views and opinions expressed are however those of the author(s) only and do not necessarily reflect those of the European Union. European Union cannot be held responsible for them."

(c) include the project logo

You can find the logo on the shared workspace of WP8.

5.3.3 Specific Project Presentation

SAFELOOP workspace you can find the standard SAFELOOP PowerPoint presentation that can be used in external communication.

Document standard/Templates

All public documentation needs conform to the document standards provided by the Coordinator. The document standard could be used for:

- Official EU reports (such as Periodic, Final);
- Public documents by the consortium;
- Project deliverables (in a report format); and
- Any documents that are declared as public by the consortium.

All project templates are saved on the shared project workspace.

The following templates are available:

- General deliverable and document template (Microsoft Word)
- Meeting template (agenda, minutes of meeting) (Microsoft Word)
- Presentation template (Microsoft PowerPoint)
- Work Package follow-up report template
- Logos (small, large, vector)
- Risk Assessment Tool (Microsoft Excel)

- Internal and EC reporting templates and guidelines

For internal project documents, it is also advised to apply this standard, such as WP meeting agenda and minutes.

Document Titles

Table 6. Documentation guidelines

	Deliverables	Meetings	Conferences
First letters	Project name	Project name	Project name
Underscore	_	_	_
Next letters	Deliverable number [Dx.y] [x=WP number, y=deliverable number]	Type of document (i.e. Agenda, Minutes, Presentation) In case of presentation, include WP number.	Event title
Underscore	_	_	_
Next letters	Short explanatory **title** for the document.	**Date** and **location** of the meeting	**Date** and **location** of the meeting
Underscore	_		
Next letters (for presentations only)		Short name of **organisation** and **Initials** of presenter	Short name of **organisation** and **Initials** of presenter
Underscore		_	_
Next letters	"v" and number of revision of this specific report [v0.1=draft version, v1.0=final version]	"v" and number of revision of this specific report [v0.1=draft version, v1.0=final version]	"v" and number of revision of this specific report [v0.1=draft version, v1.0=final version]

Deliverable documents:
[Project Name _Dx.y_Title v0.1]
example: SAFELOOP_D1.1_Quality Assurance Plan_v0.1

Meeting documents:
[Project Name _Type of_Doc_ _YYYYMMDD_ Location/Initials
example: SAFELOOP _Kick-off meeting agenda_20240425_UOulu
example: SAFELOOP _Kick off meeting minutes_20240607 _Oulu

Conference presentations:
[Project Name _Event_Location_YYYYMMDD_Organisation_Initials_v0.1]
example: SAFELOOP _Nordic Battery Conference_Oslo_20240912_UOulu_UL_v1.0

6 REPORTING

Within the project, several reporting processes are in place to assure both quality and timeliness of the deliverables. There is an internal and an external reviewing process.

Throughout the lifetime of the project there are:

- Internal periodic report(s) (financial & technical progress) _ internal review;
- External Periodic report(s) to the EU (financial & technical progress) _ external review;

Both are described in the following sections.

6.1 Reporting Calendar

In reporting, the partners should respect the following deadlines:

Table 7. Reporting Calendar and Payments

Kind of report	Period covered	Deadline to send to Coordinator	By whom?	Internal: Approval / EC: Finalised & submitted to EC by the Coordinator	Payout after approval
Internal Periodic Report 1	01.06.2024 – 29.02.2025	31.03.2025	All consortium partners	30.04.2025	15% of total requested EU contribution
Periodic Report 1 to the EC	**01.06.2024 – 30.11.2025**	**31.12.2025**	**WPL & FLSign**	**31.01.2026**	**10% of total requested EU contribution**
Internal Periodic Report2	01.12.2026 – 31.08.2026	30.09.2027	All consortium partners	31.10.2026	22,5% of total requested EU contribution
Periodic Report 2 to the EC	01.12.2026 – 31.05.2027	30.06.2027	**WPL & FLSign**	31.07.2027 **Ca. 31.10.2027**	7,5% (after submission) **+ 15% after final EC payment**

6.1.1 Internal Periodic Reports

Internal periodic reports are compiled for the first **nine months** between each periodic report. An internal periodic report is an internal project document, meaning that it is not sent to the EU. The objective of this internal report is to monitor project expenditure and technical progress of each partner. It should be a summary of the technical work completed as well as a brief explanation for any deviations (budget and content!) from the DoA (EU GA, Annex 1).

An **internal periodic report** includes:

- **A description of the technical progress, per partner**
  Each partner is responsible for collecting all information about their activities during the reporting period for each WP/task they are involved in. This includes the technical contributions made within the reporting period (with special focus on innovation, progress beyond state of the art) and the allocation of person-months for each work package (WP).
- **A financial overview from each partner**

The process for submitting Technical and Financial reports is as follows:

1. **Accessing Templates:** Reporting templates for each partner are available in the SAFELOOP workspace. These templates are aligned with the partner's budget and Work Packages, including Tasks. Technical and financial reporting templates can be found in the SAFELOOP workspace two months before the deadline.
2. **Filling Out Templates:** All consortium partners should fill out these templates. They provide the coordinator with valuable information needed for monitoring project progress and managing risks.
3. **Consolidation and Review:** The Coordinator consolidates the provided information and sends the complete report to the consortium for review.

The internal periodic report must be submitted to the project Coordinator **within 30 days following the end of each reporting period**. Note that this report will not be sent to the Commission.

As the internal interim payments are based on timely and proper submission of the internal periodic reports, all partners are required to contribute as necessary.

6.1.2 Periodic Report to EC

Periodic Reports are done according to the Grant Agreement (GA). They include not only the technical contributions done within the reporting period (with special focus on innovation, progress beyond state of the art) but also contain detailed information by all partners about costs, efforts and the specific contribution per partner. These reports should be well-prepared and checked at WP level to allow for a most efficient generation of the overall external report.

Just like the internal progress report, the periodic technical report consists of a technical report and a financial report. As also the interim payments from EC are based on timely and proper submission of the periodic reports, all partners are required to contribute as necessary. Delay of the required reports will result in a delay of the interim payments!
The periodic report (EU GA: Article 20.3) must be submitted by the project Coordinator **within 60 days following the end of each reporting period**. This report must include explanations for any deviations (budget and content!) from the DoA (EU GA, Annex 1).

The 'periodic technical report' consists of two parts: Part A and Part B:

1) **Part A** is generated by the IT system. It is based on the information entered by the participants through the periodic report and continuous reporting modules of the electronic exchange system in the Participant Portal. The participants can update the information in the continuous reporting module at any time during the life of the project. Part A contains:
   (i) the cover page,
   (ii) a summary which can be used for publications by the EC, and
   (iii) the answers to the questionnaire (covering issues related to the project implementation and the economic and social impact).

   The Coordinator is responsible for part A.

2) **Part B** is the narrative part that includes explanations of the work carried out by the beneficiaries during the reporting period. Part B needs to be uploaded as a PDF document following the template of Part B Periodic Technical report.

   WPLs compile a report on their WP together with their TLs (Part B) and send it to the Project Manager one month before the deadline for uploading it in the participant portal. The Project Manager consolidates the provided information and sends the complete periodic technical report to the consortium for review. The final approved version will be uploaded into the Participant Portal by the Project Manager.

   Guidelines how to complete the Technical Part

The 'periodic financial report' consists of:

1) Individual financial statement (EU GA: Annex 4) for each partner, for the reporting period concerned. This financial statement must detail the eligible costs for each budget category. Each partner must declare all eligible costs, even if costs exceed the amounts indicated in the estimated budget.

2) An explanation of the use of resources and information on subcontracting and in- kind contributions provided by third parties from each partner for the reporting period concerned.

A 'periodic summary financial statement' will be created automatically by the electronic exchange system, consolidating the individual financial statements of the partners, including the request for interim payment.
The F-Sign of each partner will be able to complete online their own Financial Statement including the explanations on the use of resources. The Coordinator will have a final check on the statements and submit them electronically to the EC.

6.1.3 Final Report

In addition to the periodic report for the last reporting period, the coordinator must submit the final report within 60 calendar days following the end of the last reporting period.

The final report includes the following:
1. **'Final technical report'** with a summary for publication containing:
   - an overview of the results and their exploitation and dissemination;
   - the conclusions on the action and
   - the socio-economic impact of the action.

The Coordinator compiles this final technical report in consultation with the partners.

2. **'Final financial report'** containing:
   - 'Final summary financial statement' will be created automatically by the electronic exchange system, consolidating the individual financial statements of the partners for all reporting periods;
   - a 'certificate on the financial statements' for each partner (and for each linked third party), if it requests a total contribution of EUR 430 000 (or more) reimbursement of actual costs and unit costs.

6.2 Financial Reporting in Detail

6.2.1 Budget

The budget contains the estimated eligible costs, broken down by Partner (and linked third party) and budget category (EU GA: Articles 5, 6).
The budget is based on estimated costs and person months. Frequent internal reporting ensures that these budgets are monitored well and that under- and overspending is noticed at an early stage. Please note that in reporting, actual costs must be reported and not budgeted ones. The budget is presented on the shared workspace; Budget.

All amounts must be specified in Euros. Beneficiaries and linked third parties with accounting established in a currency other than the euro must convert the costs recorded in their accounts into euros. Use the average of the daily exchange rates published in the Official Journal of the European Union, calculated over the corresponding reporting period. If no daily euro exchange rate is published, the costs must be converted to the average of the monthly accounting rates published on the Commission's website, calculated over the corresponding reporting period. Beneficiaries and linked third parties with accounting established in Euros must convert costs incurred in another currency into euro according to their usual accounting practices.

The budget categories are listed in the EU GA: Article 6.2, these are:
A. Direct personnel costs:
   - costs for employees (or equivalent);
   - costs for natural persons working under a direct contract;

- costs of personnel seconded by a third party against payment;
- costs for SME owners without salary;
- costs for beneficiaries that are natural persons without salary;

B. Other direct costs:
   - Travel costs and related subsistence allowances;
   - Equipment costs;
   - Costs of other goods and services;

C. Direct costs of subcontracting
   If necessary to implement the action, the partner may award subcontracts covering the implementation of certain action tasks described in the GA. The partner must award the subcontracts ensuring the best value for money or, if appropriate, the lowest price. In doing so, it must avoid any conflict of interests (EU GA: Article 35).

D. Direct costs of providing financial support to third parties (if option applies)

E. Costs of in-kind contributions not used on partner's premises (if option applies)

F. Indirect costs.
   Indirect costs are calculated as: 0,25 *(direct personnel costs (A)+ other direct costs (B)- Costs of in-kind contributions not used on the partner's premises (E)). Note that the costs of subcontracting are excluded from this 25% flat-rate.

G. Specific cost categories (if option applies):
   The budget category 'specific cost categories' only applies where specific activities are reimbursed by unit costs or lump sum costs. For the General MGA, this is currently the case for 'access costs for providing trans-national access to research infrastructure', 'costs for y measures in buildings' and 'costs for clinical studies.

6.2.2 Individual Financial Statement to EC – Declaration of Eligible Costs

The individual financial statement needs to be submitted electronically by each partner to the EU through the Participant Portal (EU GA: Annex 4).

The procedure in the EU Participant Portal: (see Reporting process)

1. Login to the Participant Portal
2. Choose the tab 'my Projects'. If SAFELOOP is not listed, ask the Project Manager of your organization add you as '**participant contact**' (**only role of participant contact is able to "inform F-sign"**)
3. Click 'Manage project'
4. Click on the 'Financial statement'. Fill in the requested information with explanations. See detailed Guidelines
5. Once everything is filled in press "save".
6. Then click on the button "inform PF-sign", the PF-sign will be asked by e-mail to sign the financial statement electronically. If an organization has not yet added a PF-sign to the project (the PF-sign), the LEAR needs to be contacted. The LEAR needs to nominate a PF-sign for the organization and then the participant contact needs to add the F-sign to the project.
7. The PF-sign then needs to submit the financial statement to the coordinator.
8. The coordinator will conduct a final check and then submit the financial statements, along with all reports, to the EC through the Participant Portal.

6.2.3 Audit – Certificate on the Financial Statements

A Certificate on the Financial Statements (CFS) is requested for each partner in case of total contribution of EUR 430 000 or more, as reimbursement of actual costs and unit costs. This means excluding the reimbursement of indirect costs (25%).

Partners submit:

- either one certificate per reporting period. Note: choose this option, only when you expect to exceed the threshold of EUR 430.000 at the end of the project;
- or a single CFS for the whole project.

In both cases, the certificate and related costs may only be submitted with the final financial report.

Please note that you must keep the financial records of the expenses in this project for a minimum of 5 years after the final payment has been received – digital or hardcopy.

The template is available in EU GA Annex 4.

6.2.4 Keeping records - supporting documentation

Each partner must — for a period of five years after the payment of the balance keep records and other supporting documentation to prove the proper implementation of the action and the declared costs to be eligible. The documents need to be the original documents. Digital and digitalized documents are accepted if national law accepts these documents as originals.
The partners must keep the records and documentation according to their usual cost accounting practices and internal control procedures. There must be a track between the amounts declared, the amounts recorded in accounts and the amounts stated in the supporting documentation (audit trail).

For the different cost categories, consider the following documents:

Direct personnel costs:

- monthly signed time sheets (6.6.1 Time recording);
- calculations of personnel daily rates (EU GA: Article 6.2);
- proof of paid salary;
- labor contracts.

Other direct costs (travel costs and related subsistence allowances, equipment costs, costs of other goods and services):

- quotations contracts;
- all receipts of expenditure;
- meeting docs: presence lists, minutes, agendas;
- calculations of depreciation costs charged to the project

Direct costs of subcontracting:

- quotations subcontracts;
- signed subcontracting agreements

6.2.5 Time recording

For personnel costs (declared as actual costs or on the basis of unit costs), the partners must keep time records for the number working days declared. The time records must be in writing (hardcopy or digital) and approved by the people working on the action and their supervisors, at least monthly.
The time recording can be done by using a timesheet on paper or in a computer-based system. A template for timesheets is available in the shared workspace. This template is not mandatory; beneficiaries may use their own model, provided that it fulfils the minimum conditions, and it contains at least the information detailed below.

Time records should include:

- the title and number of the project, as specified in the EU GA;
- the partners full name, as specified in the EU GA;
- the full name, date and signature of the person working for the project;
- the number of days worked for the action in the period covered by the time record;
- the supervisor's full name and signature;
- a reference to the work package described in the DoA (EU GA: Annex 1), to easily verify that the work carried out matches the work assigned and the person-months reported to the action.

6.3 Budget transfers

With the consent of the Project General Assembly, a re-distribution of person-months between partners may be considered. This re-distribution is allowed without requesting an amendment (EU GA: Article 55) provided that it does not imply a substantial change to the action as described in the EU GA. All other re-allocations of budget items need to be discussed in order to decide whether to apply for an amendment to the EU GA.
The maximum grant amount (EU GA: Article 5) can however NEVER be increased.

7 PAYMENTS

The following types of payments are foreseen (see Table 7):

1. **Pre-financing:**
   Funding of costs included in Consortium Plan will be paid to Parties without undue delay according to the pre-financing instalment schedule in Consortium Agreement and provided the Coordinator has received the pre-financing payment from the Funding Authority.

   Successive instalments of the pre-financing will be paid, provided that a Party is able to demonstrate that it has executed its obligations as defined in the Grant Agreement and in Consortium Agreement. Obligations of a Party are deemed accepted when the Coordinator has accepted the internal reports of the Party.

   Pre-financing funds remain EU property until they are 'cleared' against eligible costs accepted by the European Commission and until the payment of balance.

2. **Interim payment following the approval of the EC periodic reports:**
   After approval of the formal periodic reports an interim payment will be issued.
   First Periodic Report: January 2024 (M1) – June2025 (M18)

3. **Final payment following the approval of the EC final report:**

Final reporting: July 2025 (M19) – December 2026 (M36)
The final payment will be transferred after the approval of the final report. It consists of payment according to the difference between the calculated total EU contribution (on the basis of the eligible costs) and the amounts already paid.

8 DELIVERABLES

8.1 List of Deliverables

Table 8. List of Deliverables

Deliverable number	Deliverable title	WP number	Lead Beneficiary	Type (report, demo, other)	Dissemination level (public, consortium)	Due date (in months)
1.1	Quality Assurance Plan (QAP)	1	**UOulu**	R	PU	M6
1.2	Data Management Plan	1	**UOulu**	DMP, R	PU	M6
2.1	Method Development and Report on Safer EV LIB Anode BoM.	2	**AETC**	DEM, R	PU	M30
2.2	Report on compliance of physical, electrochemical, and safety properties of anode meeting expectations of EV LIB industry.	2	**ISPE**	R	PU	M32
3.1	Report: cathode material coprecipitation (primary/secondary sources).	3	**UOulu**	R,	PU	M24
3.2	Report on compliance of physical, electrochemical, and safety properties of cathode meeting expectations of EV LIB industry.	3	**ISPE**	R, DEM	PU	M32
3.3	Publication of LNMO produced from secondary materials	3	**UOulu**	R		M30
4.1	Method Development and Report on Safer EV LIB Separator BoM.	4	**Yunasko**	DEM, R	PU	M20
4.2	Report on tests conducted to compare the separators.	4	**ISPE**	R	PU	M32

5.1	Electrolyte(s) development report	5	**FZJ**	R	CO	M28
5.2	Final report on electrolyte development and resulting compatibility with primary and recycled electrodes in lab and prototype cells	5	**FZJ**	R	CO	M32
6.1	Innovations in BoM for safe and circular EV LIB.	6	**ASP**	DEM, R	PU	M33
6.2	Final report on complete testing of cells.	6	**IMN**	R	PU	M36
6.3	Safety and Risk Assessment Report with Recommendations.	6	**Tubitak**	R	PU	M36
6.4	2 LIB Industry Business Cases on safety and sustainability for Educational Use.	6	**HHL**	R	PU	M34
7.1	Eco-design guidelines towards sustainable Gen3 LIBs	7	**ICL**	R	PU	M14/M34
7.2	Report on the end-of-life management	7	**ICL**	R	PU	M18/M35
7.3	Secure material supply and green life cycle	7	**ICL**	R	PU	M18/M36
7.4	Cost performance assessment and circular business models	7	**ICL**	R	PU	M24/M36
8.1	Dissemination and communication plan	8	**ENVIVA**	R	PU	M4/M19
8.2	Report on communication and dissemination activities	8	**ENVIVA**	R	PU	M36
8.3	Plans for exploitation, roadmap, business and case	8	**ASP**	R	PU	M36

8.2 Approval process of deliverables

WPLs are responsible for their WP deliverables. Before the month of the deliverable deadline, the WPL and the author discuss which internal expert will review the first final draft version at the same time the WPL reviews it. The WPL approaches the internal expert for confirmation.

On the first day of the month of the deliverable deadline, the author sends the first final draft version of the deliverable to their WPL, the appointed internal expert and the Coordinator. Within the following two weeks, the

WPL and the appointed internal expert review the first final draft version of the deliverable. On the 14th of the month of the delivery deadline, they must send their comments to the author. Then the author has one week to adjust the document where necessary.
On the 21st of the deadline of the month of the deliverable deadline, the author sends the second final draft version to the Coordinator who has one week to do a final check. On the last working day of the month, the Project Manager will upload the document to the Participant Portal and place a copy on the shared workspace.

Table 9: Deliverable review process

Submit date	Action
Before the month of the deadline, the author discusses with the WPL which internal expert will be asked to review the first final draft of the deliverable. Commitment from this will need to be confirmed.	
1st of the month of deadline deliverable	Author sends the first final draft version of the deliverable to the WP leader, the appointed internal expert and the Project Coordinator
2 weeks: The WPL (first reader) as well as the appointed internal expert review the deliverable separately and provide it with comments.	
14th of the month of deliverable deadline	WPL and internal expert send their comments to the author.
1 week: Author adjusts the deliverable where necessary.	
21st of the month of deliverable deadline	Author sends the second final draft version of the deliverable to the Project Coordinator.
1 week: Project Manager does a final check.	
Last working day of the month	The Project Coordinator uploads the final document to the Participant Portal and places a copy on SAFELOOP workspace.

Last working day of the month The Coordinator uploads the final document to the Participant Portal and places a copy on shared workspace.

9 DISSEMINATION OF RESULTS AND OPEN ACCESS

The partners must - as soon as possible (but not before a decision on their possible protection) — disseminate their results (i.e. make them public). Some of the classic forms of dissemination are:

- Website;
- Peer reviewed publication (open access);
- Presentation at a scientific conference.

The dissemination measures should however be consistent with the SAFELOOP Consortium Agreement, 'Dissemination and communication plan' (D8.1) and proportionate to the impact expected from the action. Deliverable 8.1 'Dissemination and communication plan' provides more guidelines.
When deciding on dissemination, the partners must also consider the other partners' legitimate interests and accordance with the Consortium Agreement.

9.1 Open access to scientific publications

Each partner must ensure open access (free of charge online access for any user) to all peer reviewed scientific publications relating to its results.

In particular, it must:

- As soon as possible and at the latest on publication, deposit a machine-readable electronic copy of the published version or final peer-reviewed manuscript accepted for publication in a repository for scientific publications;
  Moreover, the partner must aim to deposit at the same time the research data needed to validate the results presented in the deposited scientific publications.
- Ensure open access to the deposited publication — via the repository — at the latest:
  (i) on publication, if an electronic version is available for free via the publisher, or
  (ii) within six months of publication (twelve months for publications in the social sciences and humanities) in any other case.
- Ensure open access — via the repository — to the bibliographic metadata that identifies the deposited publication.

  The bibliographic metadata must be in a standard format and must include all of the following:
  - the terms "European Union (EU)" and "Horizon Europe";
  - the name of the action, acronym and grant number;
  - the publication date, and length of embargo period if applicable, and
  - a persistent identifier.

9.2 Dissemination rules

The complete rules for dissemination are covered in Section 8.4 of the CA and Article 17 of the EU GA.

More concrete, the partner wishing to publish, present or disclose information about the project must follow the following procedure:

Table 10. Prior notice time

Type of dissemination / communication	Prior notice time before submitting the publication	Prior notice to the Exploitation Steering Group required
Peer-reviewed scientific journal articles	45 calendar days	YES
Conference publications (abstracts and posters)	45 calendar days	YES
Theses (Ph.D./M.Sc./B.Sc.)	45 calendar days	YES
Articles in professional magazines (no peer review)	45 calendar days	YES
Press releases	45 calendar days	YES
General promotion in social media, company newsletters etc.	45 calendar days	YES

- An objection is justified if:
  a. the protection of the objecting Party's Results or Background would be adversely affected, or
  b. the objecting Party's legitimate interests in relation to its Results or Background would be significantly harmed, or

- the proposed publication includes Confidential Information of the objecting Party. The objection has to include a precise request for necessary modifications.
- The objecting partner can request a publication delay of not more than 90 calendar days from the time it raises such an objection. After 90 calendar days the publication is permitted, provided that the objections of the objecting Party have been addressed.

A partner shall not include in any dissemination activity another partner's results or background without obtaining written approval, unless they are already published.
The author informs the Coordinator when the planned publication has been accepted for publishing (for monitoring purposes).

9.2.1 General requirements

Unless the EC requests or agrees otherwise or unless it is impossible, any dissemination of results (in any form, including electronic) must:

(a) display the EU emblem (When displayed together with another logo, the EU emblem must have appropriate prominence.):

(b) include the following text (Disclaimer):
"Funded by the European Union. Views and opinions expressed are however those of the author(s) only and do not necessarily reflect those of the European Union or [name of the granting authority]. Neither the European Union nor the granting authority can be held responsible for them."

Before releasing any document or presentation, following tasks must be performed:

- Spell check (UK English)
- Consistency (wording, multiple spaces...)
- All references up to date and working (e.g. table of contents, cross references)
- No track-changes comments etc. included and track-changes is turned off
- For presentation: consistency regarding animations

10 DATA MANAGEMENT

10.1 Data Manager

UOulu appoints the Data Manager, Teija Kangas, who is responsible for:

- Supporting project partners to organize storage, preservation and quality assurance for all data generated and processed during the project;
- Compliance with the General Data Protection Regulation (GDPR, Regulation (EU) 2016/679) concerning activities that involve the participation of people;
- Coordination, monitoring, and supporting high-quality data management practices in each partner organization;
- Developing the Data Management Plan.

10.2 Data Specialists

Each partner organization appoints a Data Specialist and a deputy. Table 12 lists the names of appointed people. The Data Specialists will be responsible for:

- Collect partner information for data management plan and update the plan as necessary;
- Support and monitor SAFELOOP personnel in putting DMP into practice including the implementation of the GDPR compliant privacy policy;
- Comment and approve the data management plan, drafted and written by the Data Manager.

Table 11. Appointed Data Specialists

Partner	Data specialist (email)	Deputy (email)
UOulu	Teija Kangas	Sari Tuomikoski
FZJ	Christian Wölke	Zian Hu
IMN	Lukasz Kolanowski	Katarzyna Lota
ISPE	Volodymyr Khomenko	Volodymyr Khomenko
CEA	Suzy Surble	Natahlie Herlin
Tubitak	Rıdvan Demiryürek	Vildan Bayram Karakuşlu
HHL	Dmitry Smirnov	Kelvin Willoughby
KOP	Mathias Bondesen	Michael Bech Malmqvist
Yunasko	Natalia Stryzhakova	Sergii Kozachkov
ENVIVA	Tadej Stepišnik Perdih	Vasileia Vasilaki
ASP	Yusuf TAŞ	Yusuf TAŞ
BOZ	Atakan Uzel	Aslı Elidemir
AETC	Anna Doninger	Karenna Pletcher
CCM	Raj Kandiah	Raj Kandiah
ICL	Daniel Dias	Shervin Shahvi

10.3 Data Management Plan

At the beginning of the project, the **data management plan (DMP) is developed (D1.2, M6)** by the project's Data Manager and Data Specialists and is regularly updated by them during the project. DMP covers the life cycle of the project and is developed according to:

- Guidelines on Data Management in Horizon Europe;
- General Data Protection Regulation (GDPR, Regulation (EU) 2016/679);
- FAIR principles;
- Guidelines for international alignment of research data management.

The researchers will be advised on data management issues, and the research data support team of UOulu will be available to help in creating data management plan and resolving related question that would arise during the project.

10.4 Data protection and GDPR Compliance

GDPR compliant privacy policy will be developed as a part of the DMP. The Data Manager and Data Specialists are responsible for supporting and monitoring the implementation of the GDPR policy. Processing personal data of project personnel, any personal data related to dissemination activities through third parties e.g. social media processors, and any collaboration tool processors shall be done adhering to GDPR and only with processors providing sufficient guarantees of GDPR compliance. All the procedures, technical and organizational measures, templates, informed consent procedures, Data Protection Agreements are kept in file in SAFELOOP workspace and managed according to DMP (D1.2).

10.5 Research Data

The research data generated during SAFELOOP includes measurements and analyses, results of experiments, and information from the demonstration sites. The Exploitation Steering Group reviews whether the material prepared for publication or dissemination contains or might be related to any business secrets or other information that might violate the SAFELOOP partners' ownership rights and possibilities to protect innovations. The research results will be maintained in electronic form using a shared database in accordance with good scientific practice. Regular check-ups will be undertaken to maintain the database and manage the collected information.

11 INTELLECTUAL PROPERTY MANAGEMENT

Project-level questions concerning the Intellectual Property Rights (IPR) are coordinated through the activities of the Exploitation Steering Group (chaired by Kelvin Willoughby, HHL) and include:

- Preparation and execution of the IPR Strategy;
- Monitoring and supporting the management of project results (Background, Foreground and Sideground) in accordance with the Grant Agreement and project proposal.

The researchers will be advised on IPR issues and project results management by responsible project partners.

The team at HHL will advise on the implementation of project results in alignment with a unified project-level IPR Strategy. Dmitry Smirnov from HHL is responsible for preparing the IPR Strategy in cooperation with WP Leaders and will serve as the liaison for innovation management within SAFELOOP.

The team from the University Innovation Centre at UOulu led by the IPR manager Pekka Räsänen will be available to help in identifying and reporting inventions and to find suitable partners for the possible commercialization of ideas.

12 QUALITY MANAGEMENT

The Quality Management in SAFELOOP consists of planned and systematic activities to determine and ensure achievement of the project's quality objectives.

12.1 Communication

As the most important quality tool, good and regular and frequent communication within the project has to be established!

To achieve the communication objective, two specific measures are introduced:

i. **Monthly communication by WPLs.** The statuses of all Work Packages need to be communicated on a monthly basis to the project. See the internal reporting procedure for details.

ii. **Project Meetings Table.** The project coordinator prepares a table template according to Table 13, which lists all occurred and planned meetings (at least 6 months ahead) in the project and provides access to meeting minutes (and recordings, if available) using external links. Work package leaders and task leaders fill the table and regularly update it. Clear overview of the future meetings and access to minutes of past discussions will ensure transparency and frequency of project communications.

Table 12. Template for the Project Meetings Table using the example of Work Package 1

Year	Date	Place	WP/task	Topic	Meeting invitations	Minutes
2024	5.-6.6.	Oulu	WP1	Kick-off	Irja Ruokamo	Kick-off minutes.docx
	26.6.	Teams	WP1/task 1.3.	Data management	Sari Tuomikoski	
	16.8.	Teams	WP1/task 1.3.	Follow up meeting	Sari Tuomikoski	SAFELOOP_Minutes1_WP1 Follow-up meeting_20240816.docx
	30.08	Teams	WP1/task 1.1	Impacts monitoring (call with WP8)	Dmitry Smirnov	SAFELOOP_Minutes_WP1-HHL-ENVIVA_20240830.docx
	3.9.	Teams	WP1/task 1.3.	Data management plan (DMP)	Teija Kangas	SAFELOOP_Minutes_WP1_DMP_UOulu-HHL_20240903.docx
	9.9.	Teams	WP1	1st project management group meeting	Sari Tuomikoski	SAFELOOP Template Minutes 1st PMG meeting.docx
	13.9	Teams	WP1/task 1.4	IPR management	Dmitry Smirnov	SAFELOOP_Minutes_WP1_IPR_UOulu-HHL_20240913.docx
	19.9.	Teams	WP1	Situation check	Sari Tuomikoski	
	19.9.	Teams	WPI/task1.3	DMP	Teija Kangas	
	7.10	Teams	WP1	2nd project management group meeting	Sari Tuomikoski	
	4.11	Teams	WP1	3rd project management group meeting	Sari Tuomikoski	

12.2 Technical Quality processes

The following processes are established to ensure the technical quality:

1) **Milestone crossing**. As the main quality gates, the defined milestones (Table 14) need to be met. A three-step process is used to verify the crossing of the milestone:

   1.1) **The WP verification**. The responsible work package verifies internally the crossing of the Milestone against the "means of verification".

   1.2) **WP management group verification**. The WP responsible for the milestone should present at the regular WP management group meeting, why the Milestone should be declared as "met". The milestones are reviewed by a formal review of the WP management group against the "means of verification". The WP management group releases the crossing of the milestones or defines corrective actions with the responsible WP.

   1.3) **The General Assembly verification.** The Scientific Coordinator (Ulla Lassi, chair of the GA) proposes then the crossing of the Milestone to the General Assembly at the next meeting. The General Assembly accepts the crossing. In case the General Assembly does not accept the crossing of the milestone, the Scientific Coordinator with the responsible work package will define corrective actions, which are then verified using the same steps.

Table 13. List of Milestones

#	Milestone name	WP	Due	Means of verification	Status
1	Kick-Off Meeting	1	M1 06.24	Reported in D1.1	Met on 05.-06.06 *Needs verification of step 2 and 3*
2	Website launch	8	M4 09.24	Website available online	Met on 30.09. *Needs verification of step 2 and 3*
3	SoA cells from EPT and ASP have been tested.	6	M4 09.24	Reported in D6.2	In process of verification
4	First version of the eco-design framework completed	7	M12 06.25	Reported in D7.1	In progress
5	Batch of pouch cells produced by Tubitak with iteration 1	5	M12 06.25	BoM recommendation received by ASP	In progress
6	LCA assessment reports completed	7	M15	Deliverables' reports approved by the Steering Committee	In progress
7	Batch of ASP's 18650 Cells for Iteration 1 Components.	6	M15	Received by BOZ	In progress
8	Batch of pouch cells produced by Tubitak with iteration 2	5	M18	BoM recommendation received by ASP	In progress
9	Batch of ASP's 18650 Cells for Iteration 2 Components.	6	M21	Received by BOZ	In progress
10	Batch of pouch cells produced by Tubitak with iteration 3	5	M24	BoM recommendation received by ASP	In progress
11	Batch of ASP's 18650 Cells for Iteration 3 Components.	6	M27	Received by BOZ	In progress
12	Iteration 1 cells integrated in battery pack	6	M28	Reported in D6.2	In progress
13	Iteration 2 cells integrated in battery pack	6	M34	Reported in D6.2	In progress
14	IMN tests final Iteration 3 cells integrated into modules.	6	M34	Reported in D6.2	In progress

2) **Risk analysis and contingency planning.** The second critical quality management tool is the control of the risk management and the relevant contingency plans. Hence it is necessary to review the open (start with the initial list of) risks on a regular basis within the WP management group. See Section 13 for the detailed description of the procedure.

3) **Quality of deliverables.** The quality of the deliverables including the reports is managed through an review process (see Section 8.2 for details).

13 RISK ANALYSIS AND CONTINGENCY PLANNING

The risk management is intended to recognize overall project risks as early as possible and respond proactively to these risks before they become a problem for the project. During the project, project progress and project risks have to be reviewed continuously and systematically, and appropriate risk management measures have to be taken. The main risks in SAFELOOP are on technical, organisational and financial level. The initial risks of the project are identified in detail on page 39 of the proposal, Table 3.1.e Critical risks for implementation.

The Coordinator must monitor the indicators of the risk and manage and monitor the realization of the countermeasures. The Coordinator will be supported by the WP-Leaders and their related risk management.

13.1 Identified initial risks

Within the Description of Action, several initial risks have already been identified (see page 39 of the proposal, Table 3.1.e Critical risks for implementation), and according to initial risk-mitigation measures defined. The Project Coordinator together with WPLs will track the risks and set up appropriate contingency measures.

13.2 Process for reporting of risks/problems

To dynamically identify potential risks, describe them with related countermeasures and inform the Executive Board, the WP Leaders shall follow the three-step process for reporting of any new risks/problems:

1. **Risk Table.** Any identified risk immediately has to be reported to the Project Coordinator, independent of when the next status report will be done. This reporting is done using the Risk Table (see template in Table 15) prepared and shared with the WP leaders by the Project Coordinator in the Workspace and pre-filled with initial risks. See Section 13.3 for the procedure to evaluate the probability and potential damage to SAFELOOP.

Table 14. Template for the Risk Table

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Description of risk	WP	Probability of occurrence in SAFELOOP	Potential Damage to SAFELOOP and/or partners/Consortium	Proposed risk-mitigation measures

2. **WP management meeting.** A short oral summary of risks is given during the monthly WP management meeting by each WP Leader.

3. **WP status reports.** The risks are further evaluated by each WP Leader in the WP status report every three months with a proposal of the contingency plan.

13.3 Evaluation of risks

To identify the criticality of any risk, the risks are evaluated on a standard procedure:

Probability of occurrence in SAFELOOP	Potential Damage to SAFELOOP and/or partners/Consortium
highly improbable < 0.1%	**negligible** Reputation and/or Targets of project and/or partners are unaffected, Payments from EC will be unaffected
improbable (0.1% - 1%)	**noticeable** Targets of project are affected, Reputation of project not affected, Payments from EC will be unaffected
quite likely (1% - 10%)	**bearable** Project Targets and Reputation of project is at risk, Payments from EC will be unaffected
probably (10% - 30%)	**dangerous** Project Targets and Reputation of project is affected, Payments from EC for involved partners is at risk
almost certain (30% - 100%)	**disastrous** Reputation of project is damaged and reputation of partners are affected / Payments of EC for consortium is at risk

13.4 Responsibilities and Escalation Procedures

Different topics follow different escalation procedures:

1) **Technical issues:** these issues should be handled at work package level, under the responsibility of the work package leader. If no agreement or solution can be reached, the WP leader should decide to escalate the issue to the WP management group. If on the level of the WP management group also no agreement can be reached, the issue should be escalated by the Scientific Coordinator to the General Assembly.

2) **Strategic issues:** these issues should be handled on WP level first. If no agreement can be reached, it should be escalated to the General Assembly by the Scientific Coordinator.

3) **Financial issues:** these issues should be handled on individual partner level first. If no solution is possible, the issue should be escalated to the General Assembly by the Project Manager. The General Assembly may decide to escalate the problem to the EC if no solution for this issue can be found.

4) **Project management issues:** these issues should be handled at the WP. If no agreement can be reached, it should be escalated to the to the General Assembly by the Project Manager.

Any issues that cannot be resolved in this way will be handled according to the procedures specified in the Consortium Agreement.

14 ETHICS

The ethics issue is one of the items in focus from the EC reviewers. Therefore, special attention needs to be addressed to this issue.

The basic procedure and the relevant obligations have been defined in the DoA in the Grant Agreement [1], see section 4.

15 FAQ

To be filled during the project …

16 REFERENCES

[1] GRANT AGREEMENT Project 101147342 — SAFELOOP

[2] SAFELOOP Consortium Agreement (Final version, 20240610)