

KYT2018 OPERATING INSTRUCTIONS

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1 GENERAL

The Finnish Research Programme on Nuclear Waste Management KYT2022 was initiated in the beginning of 2019. The research period of the programme is 2019–2022. The programme continues the previous KYT programmes.

The KYT2022 programme is based on Chapter 7a (“Ensuring availability of expertise”) of the Nuclear Energy Act (990/1987). Funds are collected to the National Nuclear Waste Management Fund (VYR) to “*ensure that the authorities have such sufficient and comprehensive nuclear engineering expertise and other facilities at their disposal that are needed for evaluations of the various ways and methods of carrying out nuclear waste management.*” Each year, the funds available for allocation are used for funding research projects that form a project entity supporting the purpose for which the funds are collected.

2 PURPOSE AND SCOPE OF APPLICATION

These instructions describe the procedures for drafting and implementing the annual plan, as well as for monitoring its implementation.

These instructions facilitate and clarify the work of all KYT2022 programme participants in planning, choosing, implementing, monitoring and reporting research projects. These instructions fully apply to VYR-funded research projects.

These instructions are updated when necessary to meet any changes in management practices.

3 RESPONSIBILITIES

The performing party (the responsible organisation named in the application) is in charge of the completion and reporting of the research, in accordance with the agreement between performing party and the contractor (VYR). The agreement is formed from the project proposal and VYR’s funding decision and terms. The person in charge on the side of the performing party is the project manager. The funding terms attached to funding decisions define the invoicing schedule and conditions.

The Ministry of Economic Affairs and Employment (MEAE) provides the contractor with the proposals for the distribution of the programme’s funds for funding the projects. MEAE appoints the steering group for the programme.

On behalf of the contractor, the programme’s steering group monitors on the programme level the activities that are conducted according to the project plan.

The support groups that operate under the steering group are responsible for the scientific guidance and programme-specific monitoring of the research projects.

The administrative project is the responsibility of the director who is appointed based on the call for tenders. The responsibilities of the administrative organisation are defined in the order and the appended funding terms of the administrative project.

4 ORGANISATION AND TASKS

4.1 Steering group

MEAE has appointed the steering group for the KYT2022 programme, with the chair from the Radiation and Nuclear Safety Authority and vice chair from the Ministry of Economic Affairs and Employment. The steering group includes representatives from the Radiation and Nuclear Safety Authority, the Ministry of Social Affairs and Health, the Ministry of the Environment, Fortum Power and Heat Oy, Posiva Oy, Teollisuuden Voima Oyj, the Ministry of Economic Affairs and Employment and Fennovoima Oy.

If necessary, MEAE can appoint representatives from other organisations to the steering group. MEAE can add more members to the steering group and the steering group can occasionally invite experts to be heard in its meetings.

The mandate of the steering group will end on 31 March 2019. The organisations taking part in the steering group will each cover the costs of their own representatives.

The steering group appoints the required number of support groups and their chairs and members based on the aforementioned proposals by the organisations. The support groups appoint their vice chairs from among their members.

The steering group is responsible for:

- the strategic policies of the research programme,
- deciding on any necessary changes to the policies,
- planning the programme (including approving the framework programme) and monitoring the quality of the results,
- monitoring the implementation of the programme and making any necessary initiatives and recommendations to MEAE and the contractor (VYR),
- providing recommendations to MEAE regarding the weightings of the programme's research areas in connection with the annual call for projects and funding recommendations, as well as making initiatives to MEAE on matters related to the future of the programme and projects,

- making a proposal to MEAE on the following year's VYR-funded project entity.
- approving the programme's annual plan and annual report,
- planning and implementing measures for improving the efficiency of the projects of the programme,
- supporting the project coordinators of coordinated projects in focusing the funding recommendations and, when necessary, deciding the distribution of the project's budget,
- evaluating the need for participating in international public research projects
- promoting the distribution of the research results to nuclear energy organisations.

The decisions of the steering group are documented in the minutes of the steering group, which are then distributed to the members and vice members of the steering group, as well as to the members of the support groups.

4.2 Programme director and assisting project expert

The director of the programme, who is responsible for the administration and the administrative coordination of the programme, is chosen on the basis of a call for tender.

The programme director

- prepares the programme's steering group's meetings with the guidance of MEAE and the chair of the steering group,
- acts as the secretary of the steering group and prepares the minutes of the meetings,
- prepares the press release after the steering group's meeting and, after MEAE and the chair have approved the press release, distributes it in the agreed upon manner,
- implements the decisions of the steering group,
- maintains the research programme's common presentational materials and website,
- maintains contact to the projects on the programme level,
- convenes the follow-up meetings for the projects,
- prepares the matters that are to be reviewed in the support groups together with the chair from each support group and the project managers,
- when necessary, acts as the secretary at support group meetings and prepares the minutes of the meetings,
- manages the coordination between the projects together with the support group chairs,
- compiles the programme's annual plan, annual review, interim reports and other necessary common programme reports, and also handles their archival,

- collects the progress reports of the projects
- organises the annual VYR call for projects according to the instructions provided by MEAE and the steering group,
- arranges the interim and final seminars required by the decisions of the steering group, as well as other common programme events, and
- assists MEAE in other tasks related to the programme.

Assisting project expert assists the programme director in governing and coordinating the research programme.

4.3 Support groups

Each support group is led by a chair. The support groups act under the directions of the steering group. The tasks of the support groups are:

- supporting the steering group in the strategic planning of nuclear waste management research from a scientific-technical perspective, preparing the evaluations of the project proposals, and informing the steering group about any possible adjustment needs during the programme,
- managing the scientific guidance and monitoring of the research projects,
- managing any central matters related to the research projects, such as the progress of the research contents, handling any deviations and refocusing the research contents when necessary, as well as managing any changes in emphasis within the research projects and the related changes in funding,
- managing the connections of the research projects to other national and international research in the field, and
- making initiatives and proposals for the steering group's consideration when necessary.

The decisions of the support group are documented in the minutes of the meetings, which are distributed to the members of the support group, to the appropriate project managers and to the steering group for its information, as well as to other parties when necessary.

4.4 Project manager and research group

Research projects are implemented as projects that are led by a project manager.

The project manager and the research organisation are responsible for implementing their project according to the project plan and the funding budget, as well as according to the guidance of the support group. The project manager oversees the subject-specific content (substance) of the project, carries out research in one or more sectors of the project and manages the communications with the research group, the support group, other related projects and the management of the pro-

gramme. The project manager is also in charge of the related reporting obligations (section 9).

4.5 Project coordinator

Coordinated projects feature a project coordinator, whose special mission is to manage the coordination of the contents of the whole project, including any separate sub-projects. The project coordinator is also the project manager.

The project coordinator must prepare a detailed proposal for the research plan, clearly indicating at least the following:

- the justifications for choosing the research subjects
- the intended research methods for the research subjects
- how a sufficient connection between experimental work and modelling will be established
- how the research team's composition and division of duties have been planned, and how the research will be coordinated in practice
- the timescale within which the research can be expected to produce significant results in terms of assessing the safety of final disposal
- the possible connections to other research programmes.

A funding application can be drawn up in two different ways:

- each project participant, including the coordinating unit, applies for funding for itself and for its possible suppliers separately. each funding application is handled separately, or
- the project applies for funding for the coordinating unit only, dividing the funds internally on the basis of mutual research agreements. Such a project is handled as a single whole.

5 KYT RESEARCH PROJECT PLANNING

The framework programme represents the highest level of planning and is approved by the steering group. The framework programme takes into account any current issues, changes that occur during the research period, the authorities' informational needs, and possible cooperation with other research projects. The current framework programme for the KYT2022 programme is "The Finnish Research Programme on Nuclear Waste Management, KYT2022, Framework Programme for the Research Period 2019–2022" (<http://kyt2018.vtt.fi/en/>).

For the purposes of the framework programme and the needs of authorities in connection with nuclear waste management, as well as the annual project planning that is based on current events, the steering group presents its recommendations to MEAE on the area emphases for the following year's call for projects. The call for projects that is in accordance with MEAE's decision contains the content-oriented and structural framework for planning the projects.

In KYT2022 –programme there is an option for so called Excellence –projects, which have a financing recommendation for multiple years. Excellence –projects must submit the financing need and research plan for the whole project duration when applying.

There are no limits for including foreign organisations in the KYT2022 programme if the research results can be utilised in Finland. In such cases, it is best that these form consortiums, where a foreign and a Finnish research group submit a mutual project proposal, as this ensures that the group has sufficient knowledge of the Finnish operating environment.

The applicants draft a plan for each project proposal. In connection with the selection process, the plans are reviewed by both the support groups and the steering group, and they can demand more details or other changes. The documents can also be submitted in English.

The applicants draft a funding table for each project proposal, which is included in the application. The funding table presents an itemised list of cost estimates.

Any “in-kind” investments (investments made by the implementers’ organisations in addition to the KYT funding) that are included in the research projects must be appropriately specified in the research plans and funding tables. If an in-kind investment is directly connected to the research project and funds a specific portion of the research work that is conducted by the actual research group or any other group that is required for the research, the in-kind investment must be marked in the research plan and funding table as costs and corresponding income. If the in-kind investment consists of e.g. providing research equipment and/or personnel for the use of the research project in a situation where there investment is not wished to be/cannot be directly linked to the research project, the in-kind investment must be mentioned in the project plan and as a comment in the funding table, and, if possible, its size must be estimated.

The programme director compiles an annual plan of the approved projects, which is approved by the steering group.

6 RESEARCH PROJECT SELECTION PROCESS

The project proposals are submitted electronically to MEAE by the deadline to the address specified in the call for projects. The project proposals are also submitted electronically to the research programme director. The director delivers copies of the applications to the steering group and support groups after it has been confirmed that the copies match the project proposals that have been submitted to MEAE.

The steering group decides on the handling of the project proposals in the support groups. The support groups can propose that a project proposal be handled in another support group.

The research project proposal evaluation contains two phases: 1) independent written evaluations by each support group member that utilise the call for projects' evaluation criteria, and 2) an evaluation meeting where the individual evaluations are formed into the support group's overall evaluation that is commensurate with the projects and whose minutes document the support group's common opinion on the projects that are to be evaluated.

The support groups inform steering group of the possible Excellence –projects as part of the evaluation process. The steering group can recommend financing for the Excellence –project for one or multiple years, partially or the whole requested sum, based on the recommendations.

If a support group member from an organisation is indisposed, the organisation can send a deputy to participate in the meeting in their place.

The KYT2022 programme steering group is provided with project-specific numerical evaluation summaries and the minutes from the support group meetings. In a separate meeting, the steering group decides on the proposal to MEAE on the remaining years' VYR-funded project entity. The project entities are update annually. When necessary, the steering group assists the project coordinator of the coordinated projects with the distribution of internal funding and, when necessary, decides on the funding division based on the project evaluations by the support groups, if no consensus can be reached.

MEAE asks for statements on the proposal from the Nuclear Safety Authority of Finland and other possible parties, and based on these, it then makes its proposal for the VYR project entity.

The VYR board makes the final funding decisions.

7 RESEARCH PROJECT IMPLEMENTATION

Research projects are implemented in accordance with the annual plan that is approved by the steering group. Any deviations are handled by the steering or support group.

The progress of the research is reported at regular intervals with project-specific progress reports.

The research results are published as separate research reports, journal articles, conference publications, theses, or as other publications. The publications are noted in

the progress reports, and the project's publication list is included in the annual summary.

8 MONITORING THE IMPLEMENTATION OF THE RESEARCH PROJECTS

8.1 Steering group

The steering group monitors the progress of the research programme as a whole. MEAE monitors the financial transactions and budget of the research programme.

The research programme's interim reports, the progress reports made by the chairs of the support groups, and minutes are utilised as tools for monitoring the projects. When necessary, the steering group invites support group chairs to present their progress reports at the steering group's meetings. The steering group can invite the project managers to its meetings to present the progress of their projects.

The monitoring activities are included in the steering group's minutes.

8.2 Support groups

The support groups monitor the implementation of the projects. The primary objective of the support groups is to monitor that the research reaches its goals and to take care of the projects' scientific guidance.

Project monitoring and guidance in follow-up meetings and programme-level, content-oriented interim reports act as the tools for monitoring the implementation.

The programme director convenes the follow-up meetings for the projects. When arranging the follow-up meetings, the director contacts the project manager or managers and the support group chairs and members. At least one or several project/research group, support group members and the programme director participate in the follow-up meetings for projects.

The support groups appoint the persons who participate in the follow-up meetings from among their members.

The monitoring activities are included in the follow-up meeting minutes.

8.3 Project manager and project coordinator

The project manager monitors the implementation of their project in accordance with the research plan and the proposed funding plan. The monitoring activities are included in the progress report.

The project coordinator monitors the implementation of the coordinated project in the same way.

9 REPORTING

9.1 Annual plan of the research programme

The annual plan presents the research projects that have been approved for funding, their key contents, as well as their annual objectives. It is drafted based on the approved project proposals.

The application summaries that were submitted by the research projects during the call for projects are included as appendices to the annual plan. It also includes the personnel lists of the steering and support groups, as well as a list of the research projects according to their support groups.

The annual plan is published in Finnish.

The annual plan is compiled by the director.

9.2 Interim reports of the research programme

The progress of the projects is reported on the programme level with content-oriented interim reports. It is drafted from project-specific progress reports. Two interim reports are published during the research year.

The progress reports that are submitted by the research projects are included as appendices to the interim reports. The interim reports are published either in Finnish or English.

The interim reports are compiled by the director.

9.3 Annual report of the research programme

The content-oriented results of the research programme are reported in the programme's annual report and in the various reports that come from the results of the research projects (journal articles, conference publications, research reports, theses). The annual report is compiled on the basis of project-specific progress reports and follow-up meeting documentation.

The annual summaries of the research projects are included as appendices to the annual report. It also includes the personnel lists of the steering and support groups.

The annual report is published in Finnish.

The annual report is compiled by the director.

9.4 Final report of the research programme

After the research programme period has ended, the objectives, results and organisation of the whole programme period are presented in the final report of the research programme. It also presents the research projects.

The final report is published in Finnish and English.

The final report of the research programme is compiled by the director.

9.5 Project progress reports

Projects that have received a funding decision report on their progress with progress reports. The project manager drafts the progress report with the form that is available on the research programme website (<http://kyt2018.vtt.fi/en/>).

The progress report must indicate the project's specific objectives and a short description of its results.

The progress report must be appended to invoices that are submitted to VYR. The progress report is also submitted to the MEAE contact person and the director.

9.6 Annual summary of the projects

The project manager of a project that has received a funding decision submits a content-oriented annual summary that indicates the project's results. The annual summary acts as the annual report. If necessary, an explanation for any possible clear deviations from the project plan must be presented. The annual summary is made with a form that is available on the research programme website (<http://kyt2018.vtt.fi/en/>).

The annual summary is published in Finnish.

The annual summary is submitted in connection with the final invoice.

10 AUDITS

The steering group of the research programme decides on the necessary audits as well as how they will be implemented. The research implementers can be audited with so-called internal audits that are conducted on behalf of the programme's management, and with external audits whose implementer is appointed separately by the steering group. The purpose of the audits is to ensure that the research projects and their guidance have followed these instructions as well as the terms in the

funding agreement, as well as to highlight possibilities for further developing research activities.

11 COMMUNICATION ACTIVITIES

Every party participating in the KYT2022 research programme must promote open and timely communications on their participation in the programme.

Each organisation communicates its research according to their communication instructions and communication methods.

The following are published on the research programme website (<http://kyt2018.vtt.fi/en/>)

- the framework programme
- the general presentational material of the research programme
- the annual project lists of the research projects