

KYT2014 OPERATING INSTRUCTIONS

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Author: Jaana Avolahti, 8.4.2011	Inspector(s): Jorma Aurela 14.6.2011	Approved by Kaisa-Leena Hutri 16.6.2011
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CONTENTS

1	GENERAL INFORMATION	3
2	PURPOSE AND SCOPE OF APPLICATION	3
3	RESPONSIBILITIES	3
4	ORGANISATION AND TASKS	
4.1	Steering group	4
4.2	Programme coordinator.....	5
4.3	Support groups	6
4.4	Project manager and research group.....	6
5	PLANNING OF THE KYT RESEARCH PROGRAMME.....	6
6	RESEARCH PROJECT SELECTION PROCESS.....	7
7	RESEARCH PROJECT IMPLEMENTATION	8
8	SUPERVISION OF RESEARCH PROJECT IMPLEMENTATION	
8.1	Steering group	8
8.2	Support groups	8
8.3	Project manager.....	9

9	REPORTING	
9.1	Research programme annual plan.....	9
9.2	Research programme interim report	9
9.3	Research programme annual report.....	10
9.4	Research programme final report	10
9.5	Annual reporting assessment report.....	10
9.6	Report on project progress.....	10
9.7	Annual report of projects.....	11
9.8	Annual summary of projects.....	11
10	AUDITS.....	11
11	COMMUNICATIONS.....	11

1 GENERAL INFORMATION

The Finnish Research Programme on Nuclear Waste Management KYT2014 was launched in 2011. The research programme period is 2011–2014. This programme is a continuation of the previous KYT programmes.

The research programme KYT2014 is based on Chapter 7A, ‘Ensuring availability of expertise’ of the Finnish Nuclear Energy Act (990/1987). In accordance with the Nuclear Energy Act, funds are collected in the Nuclear Waste Management Fund (VYR), in two separate funds ring-fenced from other assets of the Fund, to finance nuclear waste research required by the authorities, and research into the safety of nuclear power plants. Each year, the funds available for allocation are used for financing research projects that form a project entity answering the purpose for which the funds were originally assembled.

2 PURPOSE AND SCOPE OF APPLICATION

These instructions describe the procedure for preparing and implementing annual plans, and for the monitoring of implementation.

The instructions facilitate and clarify the work of everyone involved in the KYT2014 programme, in preparing, selecting, conducting, supervising and reporting on research projects. These instructions apply in full to research projects funded by the VYR.

The instructions are updated as necessary, to comply with changes in administrative procedures.

3 RESPONSIBILITIES

The performing party (the responsible organisation named in the project application) is in charge of the completion and reporting of the research, in accordance with the agreement between the performing party and the orderer (VYR). The responsible person in the performing party is the project manager appointed for the project. Funding terms accompanying orders define the invoicing schedule and conditions.

The Ministry of Employment and the Economy (MEE) prepares proposals for the orderer on allocating programme funds to finance projects. The MEE appoints a steering group for the programme.

On behalf of the orderer, programme level activities in accordance with the project plans are supervised by the programme steering group.

Support groups operating under the steering group are responsible for scientific steering of research projects and project-specific supervision.

A coordinator, selected to manage administration on the basis of competitive bidding, is responsible for the administrative project. Responsibilities related to the administrative project are defined in the administrative project order and the financing terms attached thereto.

4 ORGANISATION AND TASKS

4.1 Steering group

The MEE has appointed a steering group for the KYT2014 programme, chaired by a representative of the Radiation and Nuclear Safety Authority. The steering group includes representatives of the Radiation and Nuclear Safety Authority STUK, the Ministry of Social Affairs and Health, the Ministry of the Environment, Fortum Power and Heat Oy, Posiva Oy, Teollisuuden Voima Oyj, and the Ministry of Employment and the Economy, with Fennovoima Oy as an expert member.

If necessary, the MEE may appoint representatives of other organisations to the steering group. The MEE may supplement the membership of the steering group and the steering group may occasionally invite experts to its meetings for consultation.

The steering group's term of office ends on 31 March 2015. Organisations participating in the steering group cover the participation costs of their representatives.

The steering group appoints the required number of support groups, whose chairpersons and members are proposed by the organisations listed above. Deputy chairpersons are appointed by the steering groups themselves, from among their members.

Steering group tasks include

- responsibility for research programme strategic policies,
- decision-making on any changes required in the policies,
- responsibility for programme planning (incl. approval of framework programme) and monitoring the quality of results,
- monitoring the implementation of the programme and making the required initiatives and recommendations to the MEE and the orderer,
- presenting proposals to the MEE on programme sub-area emphases for the preparation of project searches and in connection with financing recommendations and initiatives submitted to the MEE on the future of the programme and projects,
- submitting a proposal to the MEE on the VYR-funded entity for the following year,
- approving the programme's annual plan and annual report,
- planning and implementing measures to enhance the efficiency of programme projects,
- assessing the need to participate in international public research projects,
- promoting the dissemination of research results to organisations in the nuclear energy branch.

Steering group decisions are documented in steering group protocols distributed to steering group members and deputy members and support group members.

4.2 Programme coordinator

The programme coordinator, responsible for programme administration and administrative coordination, is selected on the basis of competitive bidding. The programme coordinator's duties are defined in detail in a separate annual order and in the tender to the MEE attached thereto.

The programme coordinator

- prepares programme steering group meetings under the guidance of the MEE and steering group chairperson,
- serves as the steering group secretary and prepares protocols of meetings,
- prepares a press release after steering group meetings and, after the press release's approval by the MEE and chairperson, distributes it in the agreed manner,
- executes steering group decisions,
- maintains the research programme's joint presentation material and website
- maintains contacts with projects on programme level,
- convenes project monitoring meetings,
- prepares the issues handled in the support groups, together with the chairperson of each support group and project managers of projects,
- serves as secretary to support group meetings and prepares protocols of meetings,
- together with support group chairpersons, manages mutual coordination of projects,
- prepares the programme's annual plan, annual report, interim reports and other mandatory joint reporting on the programme, and maintains an archive of these materials,
- compiles project progress reports,
- in accordance with the instructions by MEE and the steering group, organises the annual VYR project search,
- in accordance with steering group decisions, organises mid-term and final seminars alongside other corresponding joint events of the programme, and
- assists the MEE in other tasks related to the programme.

4.3 Support groups

Each support group is led by a chairperson. The support groups work under the leadership of the steering group. Support group tasks include:

- supporting the steering group in the strategic planning of nuclear waste management from the scientific and technical viewpoint, preparing the assessment of project proposals and presenting the steering group with any needs for adjustment during the programme,
- responsibility for the scientific steering and supervision of research projects,
- handling of key issues related to research projects, such as progress of research contents, handling of any deviations and the necessary re-targeting of research contents, as well as changes to the focuses of subtasks within the research project and the related changes to funding,
- handling of research project links to other national and international research within the topic and
- if necessary, submitting initiatives or proposals to the steering group for consideration.

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

4.4 Project manager and research group

Research projects are conducted as projects led by a project manager.

The project manager and research organisation are responsible for executing their project according to the project plan, financing budget and support group steering. The project manager oversees the subject-specific content (substance) of the project, carries out research in one or more areas of the project and handles communication with the research group, the support group, other related projects and the management of the programme, while managing the related reporting obligations (point 9).

Coordinated projects have one project manager (project coordinator) with the special, additional duty of taking charge of content-specific coordination of the entire project, including separate sub-projects.

5 PLANNING OF THE KYT RESEARCH PROGRAMME

Approved by the steering group, the programme's framework programme represents the highest level of planning. The framework programme takes account of topical issues, changes in the research period, information requirements of authorities and possible cooperation with other research programmes. The framework programme in force is the 'Finnish Research Programme on Nuclear Waste Management (KYT) 2011–2014, Framework Programme for the Research Programme 2011–2014' (<http://kyt2014.vtt.fi>).

For project planning purposes, the steering group proposes recommendations to the MEE on sub-area emphases, regarding the call for projects for the following year based on the framework programme, official requirements regarding nuclear waste management and topical issues. A project search in accordance with the MEE decision provides the framework for project-specific planning as regards contents and structure.

Applicants draw up a plan for each project proposal. During the project selection

process, the plans are considered by both the steering group and support groups, which may require further specification or other changes to the plans. Such documents may also be written in English.

Applicants compile a financing table for each project proposal. This table is included in the application. The financing table includes itemised cost estimates.

In-kind contributions included in the research projects (contributions by applicants' organisations in addition to KYT funding) must be listed in research plans and funding tables in the appropriate manner. If an in-kind contribution is related directly to the research project and finances a certain part of the research carried out by the actual research team or another team required for the research, this in-kind contribution must be entered in the research plan and funding table in the form of costs and corresponding income. If the in-kind contribution comprises, for example, the handover of research equipment and/or staff for use in the research project, in a situation where the contribution cannot, for some reason, be connected directly to the research project, or the contributors do not wish to do so, the in-kind contribution must be mentioned in the research plan and appear as a comment related to the funding table, and its magnitude must be assessed insofar as possible.

The programme coordinator will compile the accepted projects into an annual plan for approval by the steering group.

6 RESEARCH PROJECT SELECTION PROCESS

For projects funded by VYR, the MEE will immediately submit copies of applications received by the deadline to steering group members and the coordinator of the research programme. The coordinator will deliver copies of applications to support groups.

The steering group will decide on how project proposals will be considered by the support groups. Support groups may propose the handling of a project proposal by another support group.

The assessment of research project proposals comprises two stages: 1) independent written assessment by each support group member, using the assessment form published in connection with the project search (the steering group decides separately on the criteria and emphases of each annual project search) and 2) an assessment meeting, which compiles individual assessments into the support group's overall assessment, commensurate between projects. The protocol for this overall assessment will document the support group's joint stand on the projects assessed.

If one of the organisations' support group members is prevented from attending, the organisation may, should it so wish, send a deputy to the meeting.

Project-specific summaries of numerical assessments and support group meeting protocols are submitted to the KYT2014 programme steering group. In a separate meeting, the steering group decides on the proposal submitted to the MEE on the following year's VYR-funded project entity.

The MEE requests statements on the proposal from STUK and possibly from other parties. On the basis of such statements, the MEE prepares a proposal on the VYR project entity.

The Board of VYR makes the final funding decisions.

7 RESEARCH PROJECT IMPLEMENTATION

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

Reports on the progress of research are given at regular intervals in project-specific progress reports.

Research results are published in separate research reports, magazine articles, conference publications, theses or other publications. Publications are reported in the progress reports and the project's publication list is announced in the annual report.

8 SUPERVISION OF RESEARCH PROJECT IMPLEMENTATION

8.1 Steering group

The steering group supervises the progress of the entire research programme, while the MEE supervises its monetary transactions and finances.

Monitoring tools include research programme interim reports, status reports by the support groups' chairpersons, and protocols. If necessary, the steering group invites the chairpersons of support groups to present their status reports at steering group meetings.

Monitoring is documented in steering group meeting protocols.

8.2 Support group

Support groups supervise the implementation of projects. The primary role of the support groups is supervision of meeting research objectives, and scientific steering.

Tools used for supervising implementation include the monitoring and steering of projects at monitoring meetings and interim reports on contents at programme level.

The programme coordinator summons project-monitoring meetings. When organising monitoring meetings, the coordinator contacts the project manager or managers and the chairpersons and members of support groups. At least one or several project/research groups, support group members and the programme coordinator must participate in project monitoring meetings.

The support groups appoint participants in monitoring meetings from among their members.

Supervision is documented in the monitoring-meeting protocols.

8.3 Project manager

The project manager supervises the implementation of his/her project, in accordance with the research plan and proposed financing plan. Supervision is documented in the project's progress report.

9 REPORTING

9.1 Research programme annual plan

The research programme's annual plan presents research projects approved for financing, alongside their key content and annual objectives. The plan is drawn up on the basis of approved project proposals.

Research summaries, submitted by research projects within the project search, are attached to the annual plan. The project search also includes lists of persons on the steering and support groups and research projects by support group.

The annual plan, prepared in Finnish, is compiled by the coordinator.

9.2 Research programme interim report

Project progress is reported in the programme-level interim report of contents, compiled on the basis of project-specific progress reports. Three interim reports are published during each research year.

Progress reports submitted on research projects are attached to the interim report. These progress reports can be prepared in Finnish or English.

The interim report is compiled by the coordinator.

9.3 Research programme annual report

Reports on the research programme's content-based results are included in the programme's annual report and various reports produced as the outcome of research projects (magazine articles, conference publications, research reports, theses): the annual report is compiled on the basis of project-specific progress reports and monitoring-meeting documentation.

Research projects' annual summaries are attached to the annual report, which also includes lists of persons in steering and support groups.

The annual report, prepared in Finnish and English, is compiled by the coordinator.

9.4 Research programme final report

Once the research programme period ends, the objectives, results and organisation of the entire programme period are presented in the research programme's final report. This report also presents the research projects in question.

The final report, prepared in Finnish and English, is compiled by the coordinator.

9.5 Annual reporting assessment report

An assessment report is drawn up for each project, once the funding year is over (template available on the research programme website <http://kyt2014.vtt.fi>).

Support group members prepare the assessment report.

9.6 Report on project progress

Reports on project progress are prepared. The project manager prepares a progress report on the form available on the research programme website (<http://kyt2014.vtt.fi>).

Each progress report must include the project's sub-objectives and a brief description of its results.

Progress reports on the results achieved must be submitted by 30 April, 31 August and 30 November. Progress reports are submitted to the MEE contact person and coordinator.

A progress report must also be attached to any invoices sent to VYR.

9.7 Annual report on projects

The project manager compiles an annual report that must describe the attainment of the key objectives included in the project proposal. If necessary, an explanation must be given for any fundamental deviations from the research plan.

The annual report must present the following:

1. Project results
2. Work contribution and costs
3. Publications (scientific articles and conference presentations, work reports, theses, press coverage and any other publications)
4. Travel

The annual report, prepared in Finnish and English, must be submitted as part of the final invoice.

9.8 Annual summary of projects

The project manager prepares an annual content summary, presenting the project's results. This annual summary is prepared using the form available on the research programme website (<http://kyt2014.vtt.fi>).

The annual summary, prepared in Finnish and English, is submitted alongside the final invoice.

10 AUDITS

The research programme steering group decides on the necessary audits and the way in which they are carried out. Those engaged in research may be audited in so-called internal audits carried out by the programme administration, and external audits, for which the steering group separately appoints persons in charge. The purpose of audits is to ensure that the research projects and their steering complies with the procedures specified in these instructions, and the terms of the funding agreement. They are also intended to highlight possibilities for the further development of activities.

11 COMMUNICATIONS

All parties participating in the KYT2014 research programme must promote open and timely communications on their share of the programme.

In line with its communication instructions and procedures, each organisation communicates on its research.

The following are published on the research programme website (<http://kyt2014.vtt.fi>)

- framework programme
- general research programme presentation material
- annual plans and annual reports of the research programme, and annual project lists
- research programme interim seminar and final seminar material
- material of research programme topic-specific seminars
- project search announcement with appended materials
- list of research programme publications