

**CENTER FOR NUCLEAR WASTE
REGULATORY ANALYSES**

Proc. AP-011

Revision 0

ADMINISTRATIVE PROCEDURE

Page 1 of 5

Title UTILIZATION OF CNWRA STAFF ON NON-FFRDC PROJECTS

EFFECTIVITY AND APPROVAL

Revision 0 of this procedure became effective on 12/16/92. This procedure consists of the pages and changes listed below.

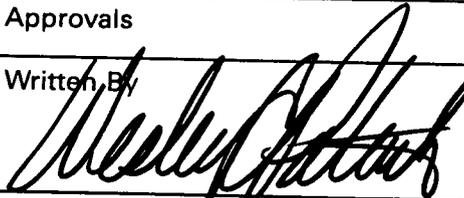
<u>Page No.</u>	<u>Change</u>	<u>Date Effective</u>
ALL	0	12/16/92

SUPERSEDED

Supersedes Procedure No. N/A

Approvals

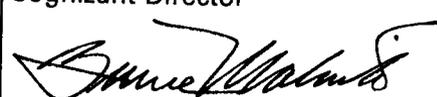
Written By



Date

12/17/92

Cognizant Director



Date

12/17/92

**CENTER FOR NUCLEAR WASTE
REGULATORY ANALYSES**

ADMINISTRATIVE PROCEDURE

Proc. AP-011

Revision 0

Page 2 of 5

AP-011 UTILIZATION OF CNWRA STAFF ON NON-FFRDC PROJECTS

1. INTRODUCTION

The Center for Nuclear Waste Regulatory Analyses (CNWRA) management and staff share the goals of achieving and maintaining both a high degree of technical competence and efficient utilization of technical resources. Achievement of these goals is furthered by the judicious utilization of core CNWRA staff on projects and tasks which may be conducted by Southwest Research Institute (SwRI) outside the purview of the Federally Funded Research and Development Center (FFRDC). Participation in such projects and tasks will broaden staff knowledge and experience, and will provide for more efficient utilization of CNWRA resources at times when Sponsor demand for core CNWRA staff is less than full time.

2. PURPOSE AND SCOPE

This procedure was developed pursuant to the requirements of Section H.16.3 of Modification No. 52 of the Contract. Its purpose is to establish the responsibilities and procedures necessary to ensure that (i) situations in which either or both staff expertise or organizational efficiency may be materially improved by staff utilization on non-FFRDC work are identified, (ii) the potential benefits of such situations are maximized, and (iii) potential adverse impacts of such utilization are properly evaluated, avoided where possible, and, otherwise, effectively mitigated.

The scope of this procedure extends to all non-FFRDC work, as defined in Section 3.3. Similar assessments related to FFRDC work are addressed separately in AP-009 Work Authorization and Control.

3. DEFINITIONS

3.1 Core CNWRA Staff - Members of SwRI Division 20 who are included in CNWRA Operations and/or Project Plans for substantially all of their available time for one or more fiscal years.

3.2 Sponsor - The U.S. Nuclear Regulatory Commission and its sponsoring Offices.

**CENTER FOR NUCLEAR WASTE
REGULATORY ANALYSES**

ADMINISTRATIVE PROCEDURE

Proc. AP-011

Revision 0

Page 3 of 5

3.3 Non-FFRDC Work - Any activities, other than SwRI Internal Research and Development projects, which are not the direct contractual responsibility of the CNWRA.

4. RESPONSIBILITY

4.1 The President and Technical Director are responsible for implementation of this procedure.

4.2 The Director of Administration will support the assessment of each situation and related impacts by providing all requested information and analyses required herein, in accordance with the responsibilities established in the CNWRA Management Plan.

4.3 Element Managers are responsible for identifying those situations in which either or both staff expertise or organizational efficiency may be materially improved by staff utilization on non-FFRDC work. They are responsible for avoiding or mitigating any potential impacts that may result from any assignment.

5. PROCEDURE

5.1 As an integral part of cost/schedule control responsibilities, each Element Manager shall monitor variances with respect to the Operations and Project Plans. In cases where staff are inefficiently utilized on currently planned CNWRA work, efforts shall be made to reassign staff to other FFRDC work, when such work is available.

5.2 In cases where the actions outlined in Section 5.1 either are not possible or are ineffective, the Technical Director shall be promptly notified and advised by the Element Manager of the need to consider a non-FFRDC assignment.

5.3 In cases where the Element Manager determines that significant long-term benefit to the NRC HLW Program would be realized by temporary assignment of a core CNWRA staff member on a non-FFRDC project, the Technical Director shall be promptly notified and advised of the benefit of considering a non-FFRDC assignment.

**CENTER FOR NUCLEAR WASTE
REGULATORY ANALYSES**

ADMINISTRATIVE PROCEDURE

Proc. AP-011

Revision 0

Page 4 of 5

- 5.4 For the cases described in Sections 5.2 and 5.3, the Element Manager shall identify a potential non-FFRDC assignment and prepare an information packet including, as a minimum: (i) the reason(s) for considering staff utilization on non-FFRDC work, (ii) consideration of the appropriateness of the assignment to the particular individual, (iii) the scope of potential work and anticipated duration of involvement (both the time interval and the percentage utilization within that interval), (iv) enumeration of current assignments and potential impacts on those assignments, and (v) such other materials as may be relevant to the particular case.
- 5.5 The President and Technical Director shall review and assess the materials provided in Section 5.4. Based on this evaluation, a memorandum or other record shall be prepared for the CNWRA file documenting: (i) scope and duration of involvement of staff member, (ii) assessment of potential impacts and a finding regarding the extent and duration of such impacts, both positive and negative, and (iii) delineation of any mitigating measures that may be required.
- 5.6 If the action taken under Section 5.5 impacts current Operations or Project Plans, an additional assessment shall be conducted in accordance with AP-009 Work Authorization and Control. Such assessment and the attendant interactions with the NRC will be based upon a determination of the class of modification that is required, as follows.
- **Class 1 Modifications** (i.e. those that require changes to cost, schedule, or work scope) necessitate submission of an impact assessment and recommended modifications to the Operations or Project Plans to the NRC CNWRA Deputy Program Manager and NRC Contracting Officer for review and approval prior to commencement of work.
 - **Class 2 Modifications** (i.e. those that do not require changes to cost, schedule, or work scope) are essentially administrative in nature and may be implemented with the mutual consent of the affected Program Element Manager and the acknowledgment of the NRC CNWRA Deputy Program Manager.

**CENTER FOR NUCLEAR WASTE
REGULATORY ANALYSES**

ADMINISTRATIVE PROCEDURE

Proc. AP-011

Revision 0

Page 5 of 5

5.7 If the action taken under Section 5.5 is estimated to use any person more than 30 days within a six-month period, written approval will be obtained from the NRC Contracting Officer prior to commencement of such work.

5.8 Biannually, at the NRC/CNWRA Mid-Year Reviews, the President of the CNWRA will advise the NRC regarding the extent of ongoing utilization of core CNWRA staff on non-FFRDC work. An assessment of positive effects and adverse impacts, if any, on the NRC HLW Program will be provided as part of this briefing.

6. RECORDS

The results of evaluations conducted in accordance with Section 5 of this procedure shall be documented in a memorandum or other appropriate form and shall be retained in the administrative files at the CNWRA for a period of six (6) years.

**CENTER FOR NUCLEAR WASTE
REGULATORY ANALYSES**

Proc. AP-011

Revision 1

ADMINISTRATIVE PROCEDURE

Page 1 of 4

Title: Utilization of CNWRA Staff on Non-Federally Funded Research and Development Center Projects

EFFECTIVITY AND APPROVAL

Revision 1 of this procedure became effective on February 13, 2002. This procedure consists of the pages and changes listed below.

<u>Page No.</u>	<u>Change</u>	<u>Date Effective</u>
ALL	0	02/13/2002

Supersedes Procedure No. AP-011, Rev 0—December 16, 1992

Approvals

Written By <i>Wesley C. Patrick</i> Wesley C. Patrick	Date <i>2/13/2002</i> 2/13/2002	Concurrence <i>Budhi Sagar</i> Budhi Sagar	Date <i>2/13/2002</i> 2/13/2002
Quality Assurance <i>Bruce Mabrito</i> Bruce Mabrito	Date <i>2/13/2002</i> 2/13/2002	Cognizant Director <i>Henry Garcia</i> Henry Garcia	Date <i>2/13/02</i> 2/13/02

CENTER FOR NUCLEAR WASTE REGULATORY ANALYSES

Proc. AP-011

Revision 1

ADMINISTRATIVE PROCEDURE

Page 2 of 4

AP-011 UTILIZATION OF CNWRA STAFF ON NON-FEDERALLY FUNDED RESEARCH AND DEVELOPMENT CENTER PROJECTS

1. INTRODUCTION

The Center for Nuclear Waste Regulatory Analyses (CNWRA) management and staff share the goals of achieving and maintaining both a high degree of technical competence and efficient utilization of technical resources. Achievement of these goals is facilitated by the judicious application of core CNWRA staff on projects and tasks that may be conducted by various divisions or departments of Southwest Research Institute (SwRI) outside the purview of the Federally Funded Research and Development Center. Participation in such projects and tasks will broaden staff knowledge and experience, and will provide for more efficient utilization of CNWRA resources at times when Sponsor demand for core CNWRA staff is less than full time.

2. PURPOSE AND SCOPE

This procedure was developed pursuant to the fifth paragraph of Section H.16.3 of the Federally Funded Research and Development Center contract with NRC. Its purpose is to establish the responsibilities and procedures necessary to ensure that (i) situations in which either or both staff expertise or organizational efficiency may be materially improved by staff utilization on non-Federally Funded Research and Development Center work are identified, (ii) potential benefits of such situations are maximized, and (iii) possible adverse impacts of such utilization are properly evaluated, avoided where possible, and, otherwise, effectively mitigated.

The scope of this procedure extends to all non-Federally Funded Research and Development Center work, as defined in Section 3.3. Similar assessments related to Federally Funded Research and Development Center work are addressed separately in AP-009 Work Authorization and Control.

3. DEFINITIONS

- 3.1 Core CNWRA Staff—Members of SwRI Division 20 who are included in CNWRA Operations and/or Project Plans for substantially all of their available time for one or more fiscal years.
- 3.2 Sponsor—The U.S. Nuclear Regulatory Commission and its sponsoring Offices.
- 3.3 Non-Federally Funded Research and Development Center Work—Any activities, other than SwRI Internal Research and Development projects, that are not the direct contractual responsibility of the CNWRA.

**CENTER FOR NUCLEAR WASTE
REGULATORY ANALYSES**

ADMINISTRATIVE PROCEDURE

Proc. AP-011

Revision 1

Page 3 of 4

4. RESPONSIBILITY

- 4.1 The President and Technical Director are responsible for implementation of this procedure.
- 4.2 The Director of Administration will support the assessment of each situation and related impacts by providing all requested information and analyses required herein, in accordance with the responsibilities established in the CNWRA Management Plan.
- 4.3 Element Managers are responsible for identifying those situations in which either or both staff expertise or organizational efficiency may be materially improved by staff utilization on non-Federally Funded Research and Development Center work. They are responsible for avoiding or mitigating any potential impacts that may result from any assignment.

5. PROCEDURE

- 5.1 As an integral part of cost and schedule control responsibilities, each Element Manager shall monitor variances with respect to the Operations and Project Plans. In cases where staff are inefficiently utilized on currently planned CNWRA work, efforts shall be made to reassign staff to other Federally Funded Research and Development Center work, when such work is available.
- 5.2 In cases where the actions outlined in Section 5.1 either are not possible or are ineffective, the Technical Director shall be promptly notified and advised by the Element Manager of the need to consider a non-Federally Funded Research and Development Center assignment.
- 5.3 In cases where the Element Manager determines that significant long-term benefit to the NRC high-level waste program would be realized by temporary assignment of a core CNWRA staff member on a non-Federally Funded Research and Development Center project, the Technical Director shall be promptly notified and advised of the benefit of considering a non-Federally Funded Research and Development Center assignment.
- 5.4 For the cases described in Sections 5.2 and 5.3, the Element Manager shall identify a potential non-Federally Funded Research and Development Center assignment and prepare an information packet including, as a minimum:
 - (i) reason(s) for considering staff utilization on non-Federally Funded Research and Development Center work, (ii) consideration of the appropriateness of the assignment to the particular individual, (iii) scope of potential work and anticipated duration of involvement (both the time interval and the percentage utilization within that interval), (iv) enumeration of current assignments and potential impacts on those assignments, and (v) such other materials as may be relevant to the particular case.

**CENTER FOR NUCLEAR WASTE
REGULATORY ANALYSES**

Proc. AP-011

Revision 1

ADMINISTRATIVE PROCEDURE

Page 4 of 4

- 5.5 The President and Technical Director shall review and assess the materials provided in Section 5.4. Based on this evaluation, a memorandum or other record shall be prepared for the CNWRA file documenting: (i) scope and duration of involvement of staff member, (ii) assessment of potential impacts and a finding regarding the extent and duration of such impacts, both positive and negative, and (iii) delineation of any mitigating measures that may be required.
- 5.6 If the action taken under Section 5.5 impacts current Operations or Project Plans, an additional assessment shall be conducted in accordance with AP-009 Work Authorization and Control. Such assessment and the attendant interactions with the NRC will be based upon a determination of the class of modification that is required, as follows.
- **Class 1 Modifications** (i.e., those that require changes to cost, schedule, or work scope) necessitate submission of an impact assessment and recommended modifications to the Operations or Project Plans to the NRC CNWRA Deputy Program Manager and NRC Contracting Officer for review and approval prior to commencement of work.
 - **Class 2 Modifications** (i.e., those that do not require changes to cost, schedule, or work scope) are essentially administrative in nature and may be implemented with the mutual consent of the affected Program Element Manager and the acknowledgment of the NRC CNWRA Deputy Program Manager.
- 5.7 If the action taken under Section 5.5 is estimated to use any person more than 30 days within a six-month period, written approval will be obtained from the NRC Contracting Officer prior to commencement of such work.
- 5.8 At the annual review, the CNWRA will advise the NRC regarding the extent of ongoing utilization of core CNWRA staff on non-Federally Funded Research and Development Center work. An assessment of positive effects and adverse impacts, if any, on the NRC high-level waste program will be provided as part of this review.

6. **RECORDS**

The results of evaluations conducted in accordance with Section 5 of this procedure shall be documented in a memorandum or other appropriate form and shall be retained in the administrative files at the CNWRA for a period of six years.