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<tbody>
<tr>
<td>1.1</td>
<td>Subcontractor non-performance or poor performance.</td>
<td>27-Jan-09</td>
<td>27-Jan-09</td>
<td>Lori Plummer</td>
<td>Construction</td>
<td>0.05</td>
<td>1 mon</td>
<td>2 mon</td>
<td>Due to lack of IPP</td>
<td>0.05</td>
<td>1 mon</td>
<td>2 mon</td>
<td>Mitigate</td>
<td>0.05</td>
<td>1 mon</td>
<td>2 mon</td>
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<td>General contractor non-performance or poor performance.</td>
<td>27-Jan-09</td>
<td>27-Jan-09</td>
<td>Lori Plummer</td>
<td>Construction</td>
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<td>8 mon</td>
<td>12 mon</td>
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<td>8 mon</td>
<td>12 mon</td>
<td>Mitigate</td>
<td>0.01</td>
<td>8 mon</td>
<td>12 mon</td>
</tr>
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<td>Corrective actions due to contractor non-performance or poor performance.</td>
<td>27-Jan-09</td>
<td>27-Jan-09</td>
<td>Lori Plummer</td>
<td>Construction</td>
<td>0.5-10</td>
<td>10 wks</td>
<td>18 wks</td>
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<td>2.1</td>
<td>Rework due to poor quality or doesn't meet contractor specifications.</td>
<td>27-Jan-09</td>
<td>27-Jan-09</td>
<td>Lori Plummer</td>
<td>Construction</td>
<td>0.5-10</td>
<td>2 wks</td>
<td>2 mon</td>
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<td>Mitigate</td>
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<td>Contractor damages existing utility systems.</td>
<td>27-Jan-09</td>
<td>27-Jan-09</td>
<td>Lori Plummer</td>
<td>Construction</td>
<td>0.15-0.25</td>
<td>50k</td>
<td>100k</td>
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<td>Mitigate</td>
<td>0.15</td>
<td>50k</td>
<td>100k</td>
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<td>4.1</td>
<td>Rework due to poor quality or doesn't meet contractor specifications.</td>
<td>27-Jan-09</td>
<td>27-Jan-09</td>
<td>Lori Plummer</td>
<td>Construction</td>
<td>0.5</td>
<td>2 wks</td>
<td>8 wks</td>
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<td>0.5</td>
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<td>8 wks</td>
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<td>4.2</td>
<td>Labor shortage, pre-award.</td>
<td>27-Jan-09</td>
<td>27-Jan-09</td>
<td>Lori Plummer</td>
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<td>0.05</td>
<td>2 wks</td>
<td>8 wks</td>
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<td>0.05</td>
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<td>4.3</td>
<td>Labor shortage, post-award.</td>
<td>27-Jan-09</td>
<td>27-Jan-09</td>
<td>Lori Plummer</td>
<td>Construction</td>
<td>0.05</td>
<td>2 wks</td>
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<td>0.05</td>
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<td>5.1</td>
<td>Cost higher than fair cost estimate.</td>
<td>27-Jan-09</td>
<td>27-Jan-09</td>
<td>Lori Plummer</td>
<td>Construction</td>
<td>0.05</td>
<td>2 wks</td>
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<td>0.05</td>
<td>2 wks</td>
<td>8 wks</td>
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<td>6.1</td>
<td>Lack of adequate resources (Project team) results in inadequate fair cost estimate.</td>
<td>27-Jan-09</td>
<td>27-Jan-09</td>
<td>Lori Plummer</td>
<td>Design</td>
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<td>4 wks</td>
<td>6 wks</td>
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<td>6.2</td>
<td>Lack of adequate resources (Project team) results in inadequate fair cost estimate for RSB.</td>
<td>27-Jan-09</td>
<td>27-Jan-09</td>
<td>Lori Plummer</td>
<td>Design</td>
<td>0.05</td>
<td>4 wks</td>
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<tr>
<td>6.3</td>
<td>Lack of adequate resources (Project team) results in inadequate fair cost estimate for Bld 4.</td>
<td>27-Jan-09</td>
<td>27-Jan-09</td>
<td>Lori Plummer</td>
<td>Design</td>
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<td>0.05</td>
<td>4 wks</td>
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<td>6.4</td>
<td>Lack of adequate resources (Project team) results in inadequate fair cost estimate for Bld 41.</td>
<td>27-Jan-09</td>
<td>27-Jan-09</td>
<td>Lori Plummer</td>
<td>Design</td>
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<td>6 wks</td>
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<td>0.05</td>
<td>4 wks</td>
<td>6 wks</td>
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<td>6.5</td>
<td>Errors and omissions in design by A/E result in increased construction costs and re-design.</td>
<td>27-Jan-09</td>
<td>27-Jan-09</td>
<td>Lori Plummer</td>
<td>Design</td>
<td>1.00</td>
<td>10% of Construction Cost</td>
<td>15% of Construction Cost</td>
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<td></td>
<td>1.00</td>
<td>10% of Construction Cost</td>
<td>15% of Construction Cost</td>
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<td>ID No.</td>
<td>Risk Title</td>
<td>Date Submitted</td>
<td>Submitted by</td>
<td>Owner</td>
<td>IF</td>
<td>THDN</td>
<td>Probability of Event (Assessed %)</td>
<td>Basis of Ranking</td>
<td>Current Cost Impact Estimates (use $k)</td>
<td>Schedule Impact (use time in months)</td>
<td>Basis for Estimate</td>
<td>Overview of Risk Handling Plan</td>
<td>Risk Handling Approach</td>
<td>Contingency Resources Released (Mark “X” for Yes)</td>
<td>Mega and Schedule for Handling the Plan</td>
<td>Notes and Schedule for Handling the Plan</td>
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<td>10.0</td>
<td>Inadequate validation of as-build condition results in inadequate design.</td>
<td>27-Jan-09</td>
<td>Committee</td>
<td>Lori Plummer</td>
<td>Parent</td>
<td>Construction</td>
<td>0.20</td>
<td>100k</td>
<td>300k</td>
<td>6 wks 8 wks</td>
<td>Mitigate</td>
<td>Independent assessment of all four buildings (field verification).</td>
<td></td>
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<td>10.1</td>
<td>Inadequate validation of as-build condition results in inadequate design for Bld 3.</td>
<td>27-Jan-09</td>
<td>Committee</td>
<td>Lori Plummer</td>
<td>Construction</td>
<td>0.25</td>
<td>100k</td>
<td>300k</td>
<td>8 wks 8 wks</td>
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<td>Inadequate validation of as-build condition results in inadequate design for Bld 24.</td>
<td>27-Jan-09</td>
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<td>Lori Plummer</td>
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<td>300k</td>
<td>8 wks 8 wks</td>
<td>Mitigate</td>
<td>Independent assessment of all four buildings (field verification).</td>
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<td>11</td>
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<td>Design</td>
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<td>2 wks</td>
<td>3 man</td>
<td>Mitigate</td>
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<td>Design changes.</td>
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<td>200k</td>
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<td>Independent assessment of all four buildings (field verification).</td>
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<td>14</td>
<td>Unknown contamination found during excavation.</td>
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<td>Lori Plummer</td>
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<td>4 wks</td>
<td>6 wks</td>
<td>Mitigate</td>
<td>Independent assessment of all four buildings (field verification).</td>
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<td>Committee</td>
<td>Lori Plummer</td>
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<td>2 wks</td>
<td>4 wks</td>
<td>6 wks</td>
<td>Mitigate</td>
<td>Independent assessment of all four buildings (field verification).</td>
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<td>14.2</td>
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<td>4 wks</td>
<td>6 wks</td>
<td>Mitigate</td>
<td>Independent assessment of all four buildings (field verification).</td>
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<td>Unknown contamination found during excavation at Bld 24.</td>
<td>27-Jan-09</td>
<td>Committee</td>
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<td>0.25</td>
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<td>6 wks</td>
<td>Mitigate</td>
<td>Independent assessment of all four buildings (field verification).</td>
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<td>14.4</td>
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<td>6 wks</td>
<td>Mitigate</td>
<td>Independent assessment of all four buildings (field verification).</td>
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<td>Poor performance by AE contractor.</td>
<td>27-Jan-09</td>
<td>Committee</td>
<td>Lori Plummer</td>
<td>Design</td>
<td>0.15</td>
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<td>2 wks</td>
<td>6 wks</td>
<td>Mitigate</td>
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<td>Committee</td>
<td>Lori Plummer</td>
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<td>1 wk</td>
<td>2 wks</td>
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<td>Mitigate</td>
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<td>15.2</td>
<td>Poor performance by AE contractor - terminated/replaced.</td>
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<td>Committee</td>
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<td>9 mon</td>
<td>12 mon</td>
<td>Mitigate</td>
<td></td>
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<td>16</td>
<td>Contributing resistor delays, project (FY13 at least)</td>
<td>27-Jan-09</td>
<td>DOE</td>
<td></td>
<td></td>
<td>0.25</td>
<td>1 mon</td>
<td>3 man</td>
<td>Mitigate</td>
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<td>17</td>
<td>Less funding than planned.</td>
<td>27-Jan-09</td>
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<td>0.50</td>
<td>2 mon</td>
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<td>Mitigate</td>
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<td>ID No.</td>
<td>Risk Title</td>
<td>Date Submitted</td>
<td>Submitted by</td>
<td>Date Last Revised</td>
<td>Owner</td>
<td>IF</td>
<td>THEN</td>
<td>Probability of Event (Range 0-1%)</td>
<td>Basis of Ranking</td>
<td>Current Cost Impact Estimates (Use $M): O = Optimistic, M = Most Likely, P = Pessimistic</td>
<td>Schedule Impact (Use Time in Months): O = Optimistic, M = Most Likely, P = Pessimistic</td>
<td>Basis for Estimate</td>
<td>Basis for Estimate</td>
<td>Overview of Risk Handling Plan</td>
<td>Risk Handling Approaches: Avoid, Mitigate, Transfer, Accept</td>
<td>Mega and Schedule for Handling the Plan</td>
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<td>Contractor non-performance or poor performance.</td>
<td>27-Jan-09</td>
<td>Contractor</td>
<td>27-Jan-09</td>
<td>Lori Plummer</td>
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<td>Change in acquisition executive.</td>
<td>27-Jan-09</td>
<td>Contractor</td>
<td>27-Jan-09</td>
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<td>31.0</td>
<td>Injury or death. Affects project and SLAC (non-project).</td>
<td>27-Jan-09</td>
<td>Contractor</td>
<td>27-Jan-09</td>
<td>Jon Steward</td>
<td></td>
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<table>
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<th>Basis of Ranking</th>
<th>Optimistic</th>
<th>Most Likely</th>
<th>Pessimistic</th>
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<td>Basis for Estimate</td>
<td>Optimistic</td>
<td>Most Likely</td>
<td>Pessimistic</td>
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<tr>
<td>Basis for Estimate</td>
<td>Optimistic</td>
<td>Most Likely</td>
<td>Pessimistic</td>
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Research Support Building and Infrastructure (RSB) Project
Risk Registry

Risk Timeframe: Which phase could this event occur? Design, Construction, Start Up & Testing, Operations

Overview of Risk Handling Plan: Project

Mega and Schedule for Handling the Plan: Project

Risk Review/ Contingency Plan: Project

Released (Mark "X" for Fine): Project

---

### Risk Registry Details

1. **Risk Title:** Change in acquisition executive.
   - **Date Submitted:** 27-Jan-09
   - **Submitted by:** Contractor
   - **Date Last Revised:** 27-Jan-09
   - **Owner:** Lori Plummer
   - **IF:**
   - **THEN:**
   - **Probability of Event (0-1%):** 0.10
   - **Basis of Ranking:**
   - **Current Cost Impact Estimates (Use $M):** Optimistic 0.01, Most Likely 0.05, Pessimistic 0.01
   - **Schedule Impact (Use Time in Months):** Optimistic 6, Most Likely 3, Pessimistic 3
   - **Basis for Estimate:**
   - **Basis for Estimate:**
   - **Overview of Risk Handling Plan:** Mitigate
   - **Risk Handling Approaches:** Avoid, Mitigate, Transfer, Accept

2. **Risk Title:** Contractor strikes.
   - **Date Submitted:** 27-Jan-09
   - **Submitted by:** Contractor
   - **Date Last Revised:** 27-Jan-09
   - **Owner:** Jon Steward
   - **IF:**
   - **THEN:**
   - **Probability of Event (0-1%):** 0.05
   - **Basis of Ranking:**
   - **Current Cost Impact Estimates (Use $M):** Optimistic 0.10, Most Likely 50k, Pessimistic 100k
   - **Schedule Impact (Use Time in Months):** Optimistic 1, Most Likely 2, Pessimistic 2
   - **Basis for Estimate:**
   - **Basis for Estimate:**
   - **Overview of Risk Handling Plan:** Mitigate
   - **Risk Handling Approaches:** Avoid, Mitigate, Transfer, Accept

3. **Risk Title:** Weather delays.
   - **Date Submitted:** 27-Jan-09
   - **Submitted by:** Contractor
   - **Date Last Revised:** 27-Jan-09
   - **Owner:** Jon Steward
   - **IF:**
   - **THEN:**
   - **Probability of Event (0-1%):** 0.20
   - **Basis of Ranking:**
   - **Current Cost Impact Estimates (Use $M):** Optimistic 0.10, Most Likely 100k, Pessimistic 500k
   - **Schedule Impact (Use Time in Months):** Optimistic 2, Most Likely 3, Pessimistic 2
   - **Basis for Estimate:**
   - **Basis for Estimate:**
   - **Overview of Risk Handling Plan:** Mitigate
   - **Risk Handling Approaches:** Avoid, Mitigate, Transfer, Accept

---

### Risk Registry Continued

1. **Risk Title:** Multi-project construction staff logistics problems delay project.
   - **Date Submitted:** 27-Jan-09
   - **Submitted by:** Contractor
   - **Date Last Revised:** 27-Jan-09
   - **Owner:** Jesse Albino
   - **IF:**
   - **THEN:**
   - **Probability of Event (0-1%):** 0.15
   - **Basis of Ranking:**
   - **Current Cost Impact Estimates (Use $M):** Optimistic 50k, Most Likely 100k, Pessimistic 1 wk
   - **Schedule Impact (Use Time in Months):** Optimistic 1 wk, Most Likely 2 wk, Pessimistic 10k/day
   - **Basis for Estimate:**
   - **Overview of Risk Handling Plan:** Mitigate
   - **Risk Handling Approaches:** Avoid, Mitigate, Transfer, Accept

2. **Risk Title:** Commissioning plan doesn’t well define expectations/requirements of construction/commissioning contractors and delays beneficial occupancy and facility acceptance. Requires rework changes.
   - **Date Submitted:** 28-Jan-09
   - **Submitted by:** Contractor
   - **Date Last Revised:** 28-Jan-09
   - **Owner:** Javier Sevilla
   - **IF:**
   - **THEN:**
   - **Probability of Event (0-1%):** 0.05
   - **Basis of Ranking:**
   - **Current Cost Impact Estimates (Use $M):** Optimistic 100k, Most Likely 500k, Pessimistic 1 mon
   - **Schedule Impact (Use Time in Months):** Optimistic 2, Most Likely 3, Pessimistic 2
   - **Basis for Estimate:**
   - **Overview of Risk Handling Plan:** Mitigate
   - **Risk Handling Approaches:** Avoid, Mitigate, Transfer, Accept

3. **Risk Title:** Design failure not discovered until startup and testing.
   - **Date Submitted:** 28-Jan-09
   - **Submitted by:** Contractor
   - **Date Last Revised:** 28-Jan-09
   - **Owner:** Javier Sevilla
   - **IF:**
   - **THEN:**
   - **Probability of Event (0-1%):** 0.05
   - **Basis of Ranking:**
   - **Current Cost Impact Estimates (Use $M):** Optimistic 100k, Most Likely 2M, Pessimistic 5 mon
   - **Schedule Impact (Use Time in Months):** Optimistic 6, Most Likely 12, Pessimistic 6
   - **Basis for Estimate:**
   - **Overview of Risk Handling Plan:** Mitigate
   - **Risk Handling Approaches:** Avoid, Mitigate, Transfer, Accept

---

### Additional Risk Details

1. **Risk Title:** Contractor non-performance or poor performance. Causes delayed start of RSB construction and increased demolition cost.
   - **Date Submitted:** 27-Jan-09
   - **Submitted by:** Contractor
   - **Date Last Revised:** 27-Jan-09
   - **Owner:** Jon Steward
   - **IF:**
   - **THEN:**
   - **Probability of Event (0-1%):** 10-15
   - **Basis of Ranking:**
   - **Current Cost Impact Estimates (Use $M):** Optimistic 15k, Most Likely 25k, Pessimistic 1 wk
   - **Schedule Impact (Use Time in Months):** Optimistic 6, Most Likely 6, Pessimistic 6
   - **Basis for Estimate:**
   - **Overview of Risk Handling Plan:** Mitigate
   - **Risk Handling Approaches:** Avoid, Mitigate, Transfer, Accept

2. **Risk Title:** Existing utilities must be relocated.
   - **Date Submitted:** 27-Jan-09
   - **Submitted by:** Contractor
   - **Date Last Revised:** 27-Jan-09
   - **Owner:** Jon Steward
   - **IF:**
   - **THEN:**
   - **Probability of Event (0-1%):** 0.15
   - **Basis of Ranking:**
   - **Current Cost Impact Estimates (Use $M):** Optimistic 25k, Most Likely 45k, Pessimistic 1 mon
   - **Schedule Impact (Use Time in Months):** Optimistic 3, Most Likely 3, Pessimistic 3
   - **Basis for Estimate:**
   - **Overview of Risk Handling Plan:** Mitigate
   - **Risk Handling Approaches:** Avoid, Mitigate, Transfer, Accept

---

### Risk Summary

- **Risk Title:** Change in acquisition executive.
- **Date Submitted:** 27-Jan-09
- **Submitted by:** Contractor
- **Date Last Revised:** 27-Jan-09
- **Owner:** Lori Plummer
- **IF:**
- **THEN:**
- **Probability of Event (0-1%):** 0.10
- **Basis of Ranking:**
- **Current Cost Impact Estimates (Use $M):** Optimistic 0.01, Most Likely 0.05, Pessimistic 0.01
- **Schedule Impact (Use Time in Months):** Optimistic 6, Most Likely 3, Pessimistic 3
- **Basis for Estimate:**
- **Basis for Estimate:**
- **Overview of Risk Handling Plan:** Mitigate
- **Risk Handling Approaches:** Avoid, Mitigate, Transfer, Accept

---

### Risk Countermeasures

- **Risk Title:** Change in acquisition executive.
  - Countermeasure: Weekly calls with HQ (communication).
  - Countermeasure: Observe Lehman reviews.
  - Countermeasure: Quarterly reviews with the communications
  - Countermeasure: Ensure all communications

- **Risk Title:** Contractor strikes.
  - Countermeasure: Labor harmony agreement.

- **Risk Title:** Weather delays.
  - Countermeasure: Review of historical as-builts.

- **Risk Title:** Multi-project construction staff logistics problems delay project.
  - Countermeasure: Have contractor provide laydown/logistics plan for managing construction site, and staging areas.
  - Countermeasure: Coordinate with other on-site projects not related to the RSB Project.

---

### Risk Mitigation

- **Risk Title:** Change in acquisition executive.
  - Mitigation: Weekly calls with HQ (communication).
  - Mitigation: Observe Lehman reviews.
  - Mitigation: Quarterly reviews with the communications
  - Mitigation: Ensure all communications

- **Risk Title:** Contractor strikes.
  - Mitigation: Labor harmony agreement.

- **Risk Title:** Weather delays.
  - Mitigation: Review of historical as-builts.

- **Risk Title:** Multi-project construction staff logistics problems delay project.
  - Mitigation: Have contractor provide laydown/logistics plan for managing construction site, and staging areas.
  - Mitigation: Coordinate with other on-site projects not related to the RSB Project.
<table>
<thead>
<tr>
<th>ID No.</th>
<th>Risk Title</th>
<th>Date Submitted</th>
<th>Date Reviewd</th>
<th>Owner</th>
<th>IF</th>
<th>THEN</th>
<th>Probability of Event (Risk %)</th>
<th>Basis of Ranking</th>
<th>Current Cost Impact Estimates (Use $K)</th>
<th>Schedule Impact (Use Time in Months)</th>
<th>Lead &amp; Schedule for Handling the Plan</th>
<th>Risk Retired</th>
<th>Contingency Resources Released (Mark &quot;X” for Fan)</th>
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<tr>
<td>32.0</td>
<td>Tracing of control wires and relocating in Bld 3 can't be done within the LINAC downtime window. Staff will be on 6 hour breaks during early outages. Procurement/PM Construction 28-Jan-09 28-Jan-09 0.20 1 mo 2 mo 3 mo Mitigate Early training.</td>
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<td>32.1</td>
<td>Subcontractor unable to qualify or material needed is limited in order to meet schedule. Procurement/PM Construction 28-Jan-09 28-Jan-09 0.08 1 mo 2 mo 3 mo Mitigate Change the Procurement Team's Standards.</td>
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<td>32.2</td>
<td>Subcontractor non-performance or poor performance. Procurement/PM Construction 28-Jan-09 28-Jan-09 Lori Plummer 0.20 - 0.30 100% 4Y 5 yr Mitigate Staff Training required. Early training during early outages.</td>
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<td>33.0</td>
<td>Tracing of control wires and relocating in Bld 3 takes longer and delays project schedule. Procurement/PM Construction 28-Jan-09 28-Jan-09 0.20 1 mo 2 mo 3 mo Mitigate Early training.</td>
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<td>Loss of Key SLAC management personnel. Procurement/PM Construction 28-Jan-09 28-Jan-09 0.05 0 Yr 1 Yr Mitigate Early training.</td>
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<td>Slacking of project management. Procurement/PM Construction 28-Jan-09 28-Jan-09 Procurement/PM Construction 0.05 1 wk 2 wks Mitigate Early training.</td>
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<td>Procurement Delays. Procurement/PM Construction 28-Jan-09 28-Jan-09 Procurement/PM Construction 0.15 1 Yr 2 Yrs Mitigate Early training.</td>
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<td>Lack of sufficient bidders. Procurement/PM Construction 28-Jan-09 28-Jan-09 Procurement/PM Construction 0.05 3 mos 6 mos Mitigate Early training.</td>
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<td>Program changes. Procurement/PM Construction 28-Jan-09 28-Jan-09 Procurement/PM Construction 0.15 1 yr 2 yrs Mitigate Early training.</td>
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