Appendix D

Programmatic Risk

The purpose of the programmatic risk concept is to provide each site an opportunity to identify areas of uncertainty (i.e., risk to cost, schedule, and technical performance) associated within the strategy to accelerate site closure dates. As Operations/Field Offices take on the challenge of accelerating site closure, areas with high programmatic risk will become the focus of DOE management attention to insure appropriate visibility and resources are provided. The major objective is to eliminate, as early as possible, those project uncertainties that can result in unexpected growth to cost and schedule. Programmatic risk is associated with a project's cost, schedule, and performance; it should not be confused with risk to the worker, public, and environment

Programmatic Risk Categories	Technology	Work Scope Definition	Inter-Site Dependency	Facility/Equipment Limitation (facility only)
5 (high)	❑ The technical approach has not been identified for critical or significant portions of the project ❑ Key technologies do not exist for critical or significant portions of the project ❑ Current investments do not support the resolution of the project's science and technology needs	❑ Project endpoint is not determined or supported by stakeholders and Tribal Nations ❑ Waste/ material quantities and characteristics are unknown ❑ Process operations are not identified or supported by stakeholders and Tribal Nations ❑ Final disposition location for waste/ material has not been identified	❑ Activity involves multiple sites ❑ No concurrence has been reached between sites	❑ Facility does not currently exist and there are no plans for a new facility
4	❑ The technical approach has been identified for the majority of the project scope ❑ Most key technologies have been tested but some exist only at the laboratory scale ❑ Current investments in science and technology have been identified and adequately support problem resolution	❑ Project endpoint is determined but maybe controversial to stakeholders and Tribal Nations ❑ Process operations are identified, but may be controversial to stakeholders and Tribal Nations ❑ Final disposition location for waste/ material has not been identified and approved	❑ Activity involves multiple sites, site concurrence has been verbally reached ❑ The Waste Acceptance Criteria (WAC) has not been resolved ❑ No funding has been identified and no schedule for receipt or treatment of the waste/ material exists	❑ Facility exists but does not meet code ❑ Facility does not currently exist but plans for a new facility exist ❑ Facility requires a major modification to be able to disposition waste/ material

Programmatic Risk Categories	Technology	Work Scope Definition	Inter-Site Dependency	Facility/Equipment Limitation (facility only)
3	❑ The technical approach has been identified for all aspects of the project ❑ All critical technologies have been identified and support the demonstration of the required technology at full scale	❑ Project endpoint is determined and is expected to be acceptable to stakeholders and Tribal Nations ❑ Waste/ material quantities and characteristics are broadly known ❑ Process operations are identified and are expected to be acceptable to stakeholders and Tribal Nations ❑ Final disposition location for waste/ material has been identified and EIS is being prepared	❑ Activity impacts another site, site concurrence has been verbally reached ❑ Receiving facility is reviewing characterization data to determine WAC acceptability ❑ Funding has been identified but no schedule for receipt or treatment of the waste/ material exists	❑ Facility exists but is not operational ❑ Facility exists and is operations, but currently does not have capacity ❑ Facility requires modification to treat waste/ material

Programmatic Risk Categories	Technology	Work Scope Definition	Inter-Site Dependency	Facility/Equipment Limitation (facility only)
2	❑ The technical approach has been approved for all aspect of the project ❑ All technical challenges associated with executing the project are fully understood ❑ All critical technologies are fully developed and demonstrated on-site or at another location with a similar waste/ material type ❑ Investments in science and technology, if any, are limited to technical assistance associated with deployment of new technology on-site	❑ Project endpoint is determined and supported by stakeholders and Tribal Nations ❑ Waste/ material quantities and characteristics are well known ❑ Process operations are identified and are supported by stakeholders and Tribal Nations ❑ Final disposition location for waste/ material has been identified and EIS ROD is prepared	❑ Activity doesn't impact another site or Site has concurrence has been documented if multiple sites are being impacted ❑ Receiving facility has been verified WAC acceptability ❑ Funding has been identified but no schedule for receipt or treatment of the waste/ material exists	❑ Equipment requires minor modification to disposition waste/ material ❑ Operating commercial facility exists, but contracts are not in place
1 (low)	❑ The technical approach is being fully executed ❑ All critical technologies are operating according to specification ❑ Investments in science and technology are not required to meet cost and schedule requirements	❑ Project endpoint is determined and supported by stakeholders and Tribal Nations ❑ Waste/ material quantities and characteristics are well known ❑ Process operations are identified and are supported by stakeholders and Tribal Nations ❑ Final disposition location for waste/ material has been identified and EIS ROD is pending	❑ Activity doesn't impact another site or Site concurrence has been documented if multiple sites involved ❑ Receiving facility has verified WAC acceptability ❑ Funding is identified in an approved PBS and facility is ready to receive the waste/ material	❑ Facility/ equipment has sufficient capacity to handle all planned waste/ material receipts ❑ Facility is operational ❑ Commercial facility is operational and contracts are in place