

DOE O 413.3A (Updated 5/18/09)

<i>Preconceptual Planning</i>	<i>Conceptual Design</i>	<i>Preliminary Design</i>	<i>Final Design</i>	<i>Construction</i>	<i>Operations</i>
❖ CD-0 Approve Mission Need	❖ CD-1 Approve Alternative Selection & Cost Range	❖ CD-2 Approve Performance Baseline	❖ CD-3 Approve Start of Construction	❖ CD-4 Approve Start of Operations or Project Completion	

Actions Authorized by Critical Decision (CD) Approval

CD-0	CD-1	CD-2	CD-3	CD-4
<ul style="list-style-type: none"> Proceed with Conceptual Design Request PED funding Start monthly PARS & Quarterly Project Performance reporting 	<ul style="list-style-type: none"> Allow Expenditure of PED Funds for preliminary design Approval of long-lead procurement if necessary 	<ul style="list-style-type: none"> Establish Performance Baseline Continue design Request construction funding 	<ul style="list-style-type: none"> Approve expenditure of funds for construction 	<ul style="list-style-type: none"> Allow start of operations or project completion

Non-Nuclear Facilities--Prerequisite Activities for CDs

<ul style="list-style-type: none"> Review of Mission Need Statement (MSN) by Office of Program Analysis & Evaluation (CF-20) for \$100M or greater. Perform Mission Need Independent Project Review (IPR) for Major System (MS) projects (>=\$750K) Perform Pre-conceptual Planning Evaluate Information Technology (IT) projects with Departmental Enterprise Architecture framework 	<ul style="list-style-type: none"> Review of Acquisition Strategy (AS) (OECM review for MS project) Review of Conceptual Design <ul style="list-style-type: none"> Requirements Analysis Risk Analysis Alternative Analysis Value Management determination Assess Requirements Analysis, Risk Analysis, Alternative Analysis, & Value Management. Appoint FPD Establish & charter Integrated Project Team Ensure compliance with One-for-One Replacement requirement for building square footage Ensure Integrated Safety Management Implementation Ensure consideration for High Performance Sustainable Building Assess if QA Program is acceptable 	<ul style="list-style-type: none"> Perform Baseline External Independent Review (EIR) & validation by OECM for \$100M or greater. Perform Independent Cost Review or Independent Cost Estimates for MS project as part of EIR Program IPR for \$20M to less than \$100M Review of Preliminary Design Establish compliant project EVMS for \$20M or more, & OECM certifiable EVMS for project TPC with \$50M or more Conduct Value Engineering (as applicable) Incorporate High Performance Sustainable Building provisions into design Determine if QA Program is acceptable 	<ul style="list-style-type: none"> Perform Executability EIR by OECM for MS projects Perform IPR for Non-MS projects by Program (SC) 	<ul style="list-style-type: none"> Verify Key Performance Parameter or Completion Criteria achieved Perform Readiness Assessment or Operational Readiness Review Revise environmental management system. <p><u>Post CD-4 Closeout</u></p> <ul style="list-style-type: none"> Perform Final Administrative & Financial Closeout Conduct Post Implementation Review for IT projects
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Hazard Category 1, 2, and 3 Nuclear Facilities--Additional Prerequisite Activities/Documents for CDs

	<ul style="list-style-type: none"> Perform Technical IPR Prepare Conceptual Safety Design Report (SDR) Prepare a Preliminary Safety Validation Report (PSVR) 	<ul style="list-style-type: none"> Prepare Preliminary SDR Prepare a PSVR based on updated design 	<ul style="list-style-type: none"> Prepare Preliminary Documented Safety Analysis Report (SAR) Prepare SER 	<ul style="list-style-type: none"> Prepare Documented SAR with Technical Safety Requirements Prepare SER
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Prerequisite Documents

<ul style="list-style-type: none"> MNS Tailoring Strategy 	<ul style="list-style-type: none"> Acquisition Strategy Conceptual Design Report Risk Management Plan Risk Assessment Preliminary PEP, Preliminary Hazard Analysis (HA), Preliminary Security Vulnerability Assessment Report (SVAR) Initial Cyber Security Plan for IT projects. QA Program Documentation 	<ul style="list-style-type: none"> Performance Baseline Preliminary Design Updated Risk Assessment Updated PEP Updated HA (Approved at Field Level) Updated Preliminary SVAR NEPA Documentation Updated Initial Cyber Security Plan for IT projects 	<ul style="list-style-type: none"> Final Design Updated CD-2 documents Updated QA Program An Approved Construction Project Safety & Health Plan Updated Cyber Security Plan for IT projects 	<ul style="list-style-type: none"> Checkout, Testing & Commissioning Plan Project Transition/ Closeout Plan Transition-to-Operations Plan Finalized QA Plan, SVAR, HA Report, Construction Project Safety & Health Plan, Finalized Cyber Security Plan for IT projects & completed Certification & Accreditation, as required <p><u>Post CD-4 Closeout</u></p> <ul style="list-style-type: none"> Final Project Closeout Report Lessons Learned Report Required Operational Documentation 																									
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Budget Related Documents

<ul style="list-style-type: none"> After CD-0 approval, Exhibit 300 for Projects =>\$20M: Annual submission initiated during the federal budget cycle when funds are requested. Project Data Sheets: Annual submission initiated during the federal budget cycle when TEC funds are requested.
