




Department of Energy  
Washington, DC 20585

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MEMORANDUM FOR DISTRIBUTION

FROM:

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SENIOR REAL PROPERTY OFFICER

SUBJECT:

FY 2020 Facilities Information Management System  
Reporting Deadlines and Validation Guidance

REFERENCE:

- (1) DOE Order 430.1C, *Real Property Asset Management*
- (2) Office of Management and Budget, Management Procedures Memorandum No. 2015-01 dated March 25, 2015
- (3) 41 CFR § 102-84.30
- (4) Federal Real Property Council 2019 Guidance for Real Property Inventory Reporting

Pursuant to section 5.j (6) of reference (1), this memorandum provides implementing guidance for reporting and validating FY 2020 Facilities Information Management System (FIMS) data reported within the General Services Administration's Federal Real Property Profile (FRPP) as required under the Federal Property Management Reform Act and the Department's annual Agency Financial Report. In this guidance, the Office of Asset Management lists the sites that are scheduled for a quality assurance visit. Additionally, FIMS data will be used to prepare the Department of Energy 2021 – 2025 Real Property Efficiency Plan required by reference (2); respond to data requests from the General Accountability Office, Office of Management and Budget, and Congress; and, to prepare other external reports identified in the attachment.

Reference (3) requires the Department to certify the accuracy of data submitted to the FRPP and reference (4) requires the Department's Chief Financial Officer to serve as certifying official. In support of these requirements, paragraphs 5.d (7) and (8) of reference (1) requires Program Secretarial Offices validate and certify FIMS data.

Addressees should provide a validation schedule for properties under their cognizance to the Office of Asset Management by November 30, 2019. Validations should be scheduled between January 15, 2020 and July 31, 2020. This memorandum is effective for FY 2020 reporting. Please review the summary of changes for elements that have been removed from the validation process for this year. Please distribute it to the appropriate elements of your organization.



Questions related to populating or validating the Department's Facilities Information Management System data may be directed to Adam Pugh at (202) 287-1397. Questions on data collection procedures or deferred maintenance and repair reporting may be directed to Cindy Hunt at (202) 586-4539. Questions related to the Real Property Efficiency Plan may be directed to Gordon Clark at (202) 287-1304.

Attachment

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# FISCAL YEAR 2020 FACILITIES INFORMATION MANAGEMENT SYSTEM (FIMS) REPORTING DEADLINES AND VALIDATION GUIDANCE

## **Section 1: Reporting Deadlines**

This guidance provides Fiscal Year (FY) 2020 Facilities Information Management System reporting requirements and due dates for real property assets where the United States Department of Energy (DOE) has a legal interest in, or right to use, such property.

All requested data must be entered into FIMS by the required deadlines.

### **1. REPORTING REQUIREMENTS**

- a) Ensure that FIMS contains a complete inventory of land parcels, buildings, real property trailers and structures where DOE has a legal interest in, or right to use, such property.
- b) Ensure HQ Program Office planning and budgeting guidance addresses facilities maintenance and repair and Modernization Cost priorities.
- c) Define the minimum acceptable level of condition for each real property asset based on engineering/maintenance analysis independent of funding availability or other resource implications. Determine the times in the asset life cycle when maintenance actions should be accomplished on its systems and components to preserve and maximize the useful life of the asset.
- d) Develop and document business rules for identifying Repair Needs (RN) that are also Deferred Maintenance (DM). The business rules should determine which deficiencies are past optimum period and unacceptable to management. Deferred Maintenance is known as Deferred Maintenance & Repair to the Chief Financial Officer.
- e) When identifying Repair Need deficiencies that are also Deferred Maintenance deficiencies, the team or select person(s) should use the documented business rules.
- f) Determine strategies for stabilizing and then reducing the Deferred Maintenance backlog.

## **Section 2: Validation Guidance**

This guidance provides direction for complying with the FIMS verification requirements of DOE Order 430.1C, *Real Property Asset Management*.

### **1. Summary of changes for FY 2020**

- a) **The validation process now includes Contractor Leased buildings, trailers, and OSF's. Contractor Leased assets will be included as part of the random sample (25 max) of the DOE Leased, GSA Owned, GSA Leased buildings, trailers and OSF's.**
- b) **The following data element, previously validated but not scored, will now be scored for OSF's.**
  - Asset % Utilized
- c) **The following data elements will be removed from the validation process.**
  - Can't Currently Be Disposed
  - Core Capability
  - Lease Authority
  - Location City
  - Location Congressional District
  - Location County
  - Location State
  - Location Zip Code
  - Main Location
  - Mission Dependency
  - Total No of Other Personnel
  - Usable Sqft
  - Using Organization
- d) **For assets with an Outgrant Indicator set to 'Yes', sites must now provide a copy of the appropriate real estate instrument to support this designation.**
- e) **The following data elements no longer require a source document within 1 year.**
  - Adjustment Cost
  - Capitalized - Adjustment
  - Excess Indicator
  - Excess Date
  - GSA Notification Submitted
  - GSA Notification Accepted
- f) **Planning documentation will now be included in the validation process for real property acquisitions. As a result, the planning documentation for the Beneficial Occupancy Year from the Anticipated Asset Information Module (AAIM) will be validated but not scored.**
- g) **Each unique location address for a site will be validated to verify they are GPS locatable addresses.**

- h) **A Corrective Action Plan (CAP) is now required when a “Red” status score is received on the Disposition scorecard.**

## 2. **Background**

- a) **Facilities Information Management System (FIMS):** FIMS is the Department’s official repository of real property data.
- FIMS data is used in day-to-day decision-making and to measure the cumulative outcomes of real property decisions on the portfolio inventory, alignment, functionality, condition, utilization, disposition, and management. This data supports the key performance indices included in the Department’s Asset Management Plan, the Department’s Strategic Plan, and the Real Property Efficiency Plan.
  - The quality of the decisions made from FIMS is a function of the accuracy of the underlying data.
  - The DOE Office of Asset Management (OAM) is the administrator for FIMS.
- b) **Federal Real Property Profile (FRPP):** The Department’s FIMS stores the real property asset data submitted annually to the Federal Real Property Profile (FRPP) in accordance with the Federal Property Management Reform Act of 2016. In addition, 41 CFR § 102–84.30 requires that agencies verify the accuracy of each FRPP submission and 41 CFR § 102–84.55 requires annual submission of FRPP data.
- c) **Department of Energy Order 430.1C (RPAM):** RPAM requires FIMS data to be accurately populated and annually validated (paragraph 4.f Reporting Systems).

## 3. **Purpose of the Guidance**

- a) **Roles, Responsibilities and Outcomes:** Identify the roles, responsibilities and expected outcomes of the FIMS validation process.
- b) **Standardization:** Standardize the minimum validation criteria.

## 4. **Applicability**

- a) This guidance is applicable to all Departmental real property holding programs and support offices with responsibility for real property where DOE has a legal interest or right to use such property. It identifies the minimum FIMS data elements to be validated. Programs and support offices may elect to validate other data elements in addition to those identified in this guidance.

## 5. **References and Supporting Information**

- a) **FIMS Website:** <https://fims.doe.gov/fimsinfo>; **FIMS Users Guide,** [https://fims.doe.gov/fimsinfo/Documents/FIMS/user\\_gde.pdf](https://fims.doe.gov/fimsinfo/Documents/FIMS/user_gde.pdf)

- b) **DOE Order 430.1C Real Property Asset Management (RPAM)**  
<https://www.directives.doe.gov/directives-documents/400-series/0430.1-BOrder-c>
- c) **DOE Order 436.1, Departmental Sustainability**  
<https://www.directives.doe.gov/directives/0436.1-BOrder/view>

## **6. Desired Outcome of the Validation Program**

- a) **Confidence Level:** Demonstrate at a 90% confidence level that the validated FIMS data elements are being maintained without variance when compared to source data.

## **7. Validation Requirement**

- a) **Real Property Data Validation:** Complete a FIMS data validation at each site each fiscal year, ideally between January 15<sup>th</sup> and July 31<sup>st</sup>. Validations should be scheduled to allow ample time to correct data issues prior to the population of data that is reported to the Federal Real Property Profile (FRPP). Validations should not be conducted during the annual update cycle for FIMS data which runs from August 1<sup>st</sup> through December 15<sup>th</sup> each year.

## **8. Roles and Responsibilities**

### **a) Headquarters, Office of Asset Management (OAM)**

- Develop minimum criteria for validation.
- Establish validation process and associated training class.
- Make standard forms, supporting information and materials readily available.
- Provide overall management of the FIMS system.
- Perform quality assurance visits to review the FIMS data validation process at each site every five years to verify consistency and to ensure validations are conducted in accordance with this guidance. Coordinate site visits with Headquarters Program Offices and Sites. FY 2020 visits include:
  1. Brookhaven National Laboratory (SC)
  2. EM Consolidated Business Center (EM)
  3. Lawrence Berkeley National Laboratory (SC)
  4. Moab/Crescent Junction (EM)
  5. Nevada Field Office (NNSA)
  6. Pacific Northwest National Laboratory (SC)
  7. Portsmouth USEC (NE)
  8. Princeton Plasma Physics Laboratory (SC)
  9. Thomas Jefferson National Accelerator Facility (SC)

Please note that sites will need to coordinate validation dates with OAM.

- When conducting quality assurance visits, OAM has the authority to correct the site's validation process if they observe deviations from the FIMS validation guidance.
- Perform quality assurance visits as requested by Programs to aid sites in developing an acceptable FIMS data validation program.
- Oversee implementation of the overall program and measure success of the FIMS Validation process.
- Monitor Corrective Action Plans and provide additional assistance to sites in "Red" Status until the data and processes are corrected to achieve a "Yellow" or "Green" Status.
- Upload FIMS data to the Federal Real Property Profile each year.

**b) Headquarters Program Office**

- Ensure each site conducts a FIMS data validation each year.
- When participating in quality assurance visits, the Headquarters Program Office has the authority to correct the site's validation process if they observe deviations from the FIMS validation guidance.
- Provide validation schedule to OAM by November 30<sup>th</sup> of each fiscal year. Provide any date changes as soon as practicable to OAM.
- Maintain validation capability to support Site and/or Field Office and Management and Operations (M&O) contractor based validations.
- Verify Site and/or Field Office compliance with validation guidance and provide copies of the scorecards, validation worksheets and Source Documentation Worksheet to OAM as the validations are completed.
- Work with the sites that score a "Red" and oversee execution of the Corrective Action Plan which includes providing additional attention until the data and processes are corrected to a point where a "Yellow" or "Green" Status can be achieved.
- Submit the site's Corrective Action Plan to OAM. Provide OAM with semi-annual updates until corrective actions are complete.
- Disseminate program guidance and criteria for additional data elements or processes to validate.
- Reviews and certifies FIMS data and plans submitted by the site and field office managers.

**c) Site and/or Field Office**



- Multi-program sites are responsible for coordinating a single validation for the entire site.
- Responsible for planning, scheduling, coordinating and conducting the FIMS data validation for the entire site.
- Verify M&O contractor is maintaining accurate FIMS records. If no M&O contractor is on site, it is the responsibility of the site to maintain accurate FIMS records and perform all other functions that the M&O contractor would accomplish with respect to FIMS and FIMS data validations. This includes the following.
  - Maintain FIMS real property inventory system complete and current throughout the life cycle of the real property assets.
  - Staff and conduct FIMS validations.
  - Prepare the Corrective Action Plan and forward to the Site and/or Field Office, the Headquarters Program Office and OAM.
  - Execute Corrective Action Plan to correct deficiencies in data and processes.
  - Conduct a revalidation as part of the Corrective Action Plan.
  - Provide assistance with site visit activities, including on site walkthroughs during the FIMS data validation.
  - Perform quality control of validation efforts and if necessary, establish and track progress on the Corrective Action Plan.
  - Report validation results to the Headquarters Program Office when validation is complete. Provide scorecard, source documentation worksheet and supporting validation backup forms for sampled assets. Results should be reported within 5 business days to the Headquarters Program Office.
- Coordinate with the M&O contractor to schedule the annual validation and notify the Headquarters Program Office and OAM by November 30<sup>th</sup> of each year of the scheduled FIMS validation date(s).
- Schedule and notify the Headquarters Program Office of any required revalidation as a result of a “Red” score.
- Maintain validation scorecards and results for 5 fiscal years.

## **9. Validation Process**

- a) **Support Materials and Resources:** The most recent support materials which include training materials, Source Documentation Worksheet and Sample Size Chart can be found on the [FIMS website](#).



## b) Validation Team

- The validation team will include a designated team leader who has successfully completed the FIMS Data Validation training. FIMS Data Validation training will be conducted twice a year. Contact OAM or visit the [FIMS website](#) for schedule and location of training.
- The team includes at least one member familiar with the site's FIMS record keeping (e.g., FIMS administrator).
- To maintain the integrity of the process, the validation team will have at least two full time participants. Other members of the team may be rotated in and out as needed.

## c) FIMS Data Elements and Assets to Validate

- DOE sites will validate the following FIMS records on four scorecards:
  - Scorecard 1 (DOE Owned)
    - A random sample of DOE Owned buildings, trailers and OSF's.
    - Bridge Safety Inspection Verification.
    - Planning Documentation Verification (Not Scored)
  - Scorecard 2 (DOE Leased and Contractor Leased/GSA Owned and Leased)
    - A random sample of DOE Leased and Contractor Leased buildings, trailers and OSF's, and GSA leased and owned buildings.
  - Scorecard 3 (DOE Land)
    - DOE Land Records with ownership codes: DOE Owned, DOE Leased Land and Withdrawn from Public Domain Land.
    - Sites with 25 or fewer land records will validate all land records. Sites with more than 25 land records will validate 25 land records from a random sample of their land records.
  - Scorecard 4 (DOE Disposition)
    - Archived records with an Archive Date between October 1, 2018 and September 30, 2019. Validate Disposition Date, Disposition Method, Actual Sales Price and Net Proceeds for these assets.
    - If 25 or fewer assets were disposed of during this period, validate all of the disposed assets. If more than 25 assets were disposed of during this period, perform a random sample of 25 assets.
    - Administrative Corrections/No Disposal will not be validated.

- The data elements to be validated are listed in the table below. The DOE performance measures are in bold type and are held to a higher standard of reliability by weighting them more in the scoring process.

#	Data Elements	DOE Owned B & T	DOE Owned OSF	DOE, Contractor Leased B,T&S	GSA Owned & Leased Buildings	DOE Owned, DOE Leased, Withdrawn Land
1	Ownership	X	X	X	X	X
2	Usage Code <sup>(A)</sup>	X	X	X	X	X
3	Property Type	X	X	X	X	X
4	Status <sup>(A)</sup>	X	X	X	X	X
5	<b>Size</b>	X	X	X	X	X
6	Space Type Usable SF - Office	X		X Buildings and Trailers only	X	
7	No of Floors	X Buildings only				
8	<b>Repair Needs<sup>(A)</sup></b>	X	X	X	X	
9	<b>Deferred Maintenance (DM)<sup>(A)</sup></b>	X	X			
10	Inspection Date <sup>(A)</sup>	X	X	X	X	
11	<b>Asset % Utilized<sup>(A)</sup></b>	X	X	X	X	
12	Total No of Federal Employees <sup>(A)</sup>	X		X	X	
13	Total No of Contractor Employees <sup>(A)</sup>	X		X	X	
14	<b>Replacement Plant Value (RPV)<sup>(A)</sup></b>	X	X	X		
15	<b>Annual Actual Maintenance<sup>*(A)</sup></b>	X	X	X	X	
16	Annual Required Maintenance <sup>(A)</sup>	X	X	X	X	
17	Functionality Assessment Date <sup>(A)</sup>	X Status options 1, 2 and 3 only	X Status options 1, 2 and 3 only	X Status options 1, 2 and 3 only	X Status options 1, 2 and 3 only	
18	Modernization Cost <sup>(A)</sup>	X	X	X	X	
19	Overall Asset Condition <sup>(A)</sup>	X Status options 1, 2 and 3 only	X Status options 1, 2 and 3 only	X Status options 1, 2 and 3 only	X Status options 1, 2 and 3 only	
20	Historic Designation	X	X			X Owned Land only
21	Excess Indicator (Current and Archived Data)	X	X			X Owned and Withdrawn only
22	Excess Date (Current and Archived Data)	X	X			X Owned and Withdrawn only
23	Estimated Disposition Year <sup>(A)</sup>	X	X	X	X	X
24	GSA Notification – Submitted	X	X			X Owned and Withdrawn only
25	GSA Notification - Accepted	X	X			X Owned and Withdrawn only
26	Outgrant Indicator <sup>(A)</sup>	X	X	X		X
27	Roads-Public Access Miles (Usage codes 1729,1739,1749)		X			
28	Roads-Public Access Lane Miles (Usage codes 1729,1739,1749)		X			
29	Year Built	X	X			
30	Adjustment Cost	X	X			

#	Data Elements	DOE Owned B & T	DOE Owned OSF	DOE, Contractor Leased B,T&S	GSA Owned & Leased Buildings	DOE Owned, DOE Leased, Withdrawn Land
31	Capitalized - Adjustment	X	X			
32	<b>Operating Cost (Site Level)<sup>(A)</sup></b>	X	X	X	X	X
33	Initial Date - Lease			X		X Leased only
34	Expiration Date - Lease			X	X	X Leased only
35	<b>Annual Rent<sup>(A)</sup> - Lease</b>			X	X	X Leased only
36	Disposition Date (Archived data)	X	X	X	X	X
37	Disposition Method (Archived data)	X	X	X	X	X
38	Actual Sales Price (Archived data)	X	X	X	X	X
39	Net Proceeds (Archived data)	X	X	X	X	X
40	Beneficial Occupancy Year	X		X	X	X

**\*Sites must have evidence of recording asset-level maintenance costs, typically through the site's Computerized Maintenance Management System required by DOE Order 430.1C and/or thru the site's financial management systems.**

<sup>(A)</sup> Designates data elements that must have source documents updated annually

- Bridge Safety Inspection verification includes the following.

Data Elements	
1	Inspection Date
2	Location – Zip Code
3	Size
4	Status
5	Usage Code
6	Year Built

#### d) Source Data

- Source documentation is authoritative data that the FIMS administrator would use to enter or update data in FIMS. Source data must have an owner, be managed, dated, and updated at appropriate intervals.
- Site processes/procedures for collecting source data should be documented and available for the validation team to review during the scheduled validation.
- Subject Matter Expert (SME): The individual who is responsible for collecting, managing and updating real property data for a particular FIMS data element.
- The Source Documentation Worksheet, found on the [FIMS website](#) provides criteria for acceptable source data for each data element.
- Source data for Bridge Safety Inspection is expected to be updated with the same frequency as the required inspection as stated below.
  - Controlled and publicly accessible train bridges – Bridge safety inspections should be conducted for these bridges with a Status of Operating, Standby and Outgranted. One inspection per calendar year, with not more than 540 days between successive inspections.

- Publicly accessible vehicular bridges - Bridge safety inspections should be conducted for these bridges for all Status options. Regular intervals not to exceed 24 months.
- If a FIMS value is zero, the source document must reflect a zero value. Lack of a source document for a zero or 'No' value will cause a variance for that data element.
- For assets where the Outgrant Indicator is equal to 'Yes', sites will be required to present the proper real estate instrument for Outgrant Types of Easement, Lease, License, Permit and Other. Failure to provide this real estate instrument will result in a forced "Red" data element rating for Outgrant Indicator that specific asset.
- For disposition assets, assets must have an archive date within 1 year of the Disposition Date. Otherwise, that will result in a forced "Red" data element rating for all data elements for that specific asset.
- For DOE Owned assets, each unique location address at a site will be validated to verify they are GPS locatable. If the address is not GPS locatable, the result will be a forced "Red" score for that particular address. The data elements used as part of this verification process include Main Location, Location City, Location State and Location Zip Code. Reference the FIMS Data Element Dictionary for a list of values that are not acceptable for the Main Location data element.
- Sites must have planning documentation for the Beneficial Occupancy Year from the Anticipated Asset Information Module (AAIM). Criteria for the AAIM module includes building, trailer and land assets that sites are planning to take beneficial occupancy of within the next three (3) fiscal years that have an Initial Acquisition Cost/Annual Rent of \$300,000 or greater, \$0, \$1 or blank.
- For Repair Needs, Deferred Maintenance, RPV and Modernization Cost, values that are the same as the previous year, excluding zero, are no longer acceptable. These values must be regenerated every five (5) years. In the years when the estimate is not regenerated, the values must be inflated to current year dollars. Any of these data elements that contain a value that is the same as the previous year (excluding zero), will cause a variance for all assets for that particular data element.
  - If a Site has assets that fall into this category that are not included in the sample set, this will result in a variance for all assets in the sample set for that particular data element. There are FIMS anomaly reports available to identify these assets.
- Downloading or printing FIMS data with multiple signatures on a single source document representing that the FIMS data is valid, is not acceptable source documentation.
- Recreating source documents annually from FIMS is no longer acceptable. If a source document is generated from FIMS, that document becomes a living document that must be maintained annually moving forward.

- e) **Validation Steps:** Validation is a process for assuring the accuracy of FIMS data by comparing FIMS data against its source data and confirming reliance on standard processes.
- **Prepare for the Validation:** Complete the Source Documentation Worksheet prior to the scheduled FIMS data validation, and have available for the validation team. It can be downloaded from the [FIMS website](#).
  - **Determine Sample Size:** Use the Sample Size Chart from the [FIMS website](#) to identify the number of buildings, trailers and OSF's to include in the DOE Owned random sample set. These numbers are based on providing a 90% confidence level that the sample taken will reflect the sites entire FIMS data base for the data elements validated.
  - **Generate the DOE Owned Validation Reporting Form:** [Report #016](#) (DOE Owned Data) generates the DOE Owned Data Validation Reporting Form for a random sample of DOE Owned buildings, trailers and OSF's. The random sample will not be generated before the kick-off meeting. At multi-program sites, the random sample will be pulled from all assets regardless of Program ownership. This report will also generate the controlled and publicly accessible train bridge and publically accessible vehicle bridge assets for the bridge safety inspection portion of the validation.
  - **Select Outliers (optional):** Use the FIMS Ad-Hoc reporting tool to identify outliers that should be included in the sample set. Suggested areas of focus might include those buildings with a high RPV, Repair Needs, Deferred Maintenance or Gross Square footage. Once outliers have been identified, [Report #020](#) (DOE Owned Data Validation Outlier) can be used to generate the record(s) to copy to the DOE Owned Data Validation Reporting Form.
  - **Generate the DOE/Contractor Leased and GSA Validation Form:** [Report #017](#) (DOE/Contractor Leased and GSA Data) generates a random sample of the DOE/Contractor Leased and GSA Data Validation Reporting Form for DOE Leased, Contractor Leased, GSA Owned and GSA Leased assets.
  - **Generate the DOE Land Validation Form:** [Report #018](#) (DOE Land Data) generates the DOE Land Data Validation Reporting Form for land records to be validate.
  - **Generate the DOE Disposition Validation Form:** [Report #019](#) (DOE Disposition Data) generates the DOE Disposition Validation Reporting Form for archived records to be validated.
  - **Compare FIMS Data with Source Data:** For each real property asset being validated, compare the sites' source data to the extracted FIMS data on the Data Validation Reporting Forms. In addition, the documented processes/procedures for collecting the FIMS source data should be reviewed/discussed by the validation team. Reference the Force Variance sheet on the Data Validation Reporting Forms for more information.
  - **Walkthroughs:** To cross check source data and FIMS data against the actual asset a facility visit is required. This is not a detailed facility inspection, but an overview to verify that the actual conditions of the real property assets are consistent with source data

and FIMS data. The purpose of the walkthrough is to provide a check on the source data. If source data errors are found, they should be noted on the Data Validation Reporting Forms and data element(s) rescored. Walkthroughs consist of the following activities.

- Conduct a walkthrough of approximately 30%, of the building, trailer and OSF validated (e.g. for a sample size of 25, walkthrough five to seven buildings, trailers or OSF's).
  - Drive by as many of the remaining validated assets as practical.
  - Drive by every train bridge, vehicle bridge and culvert to verify Usage Code and Status. Run FIMS Standard Report #015 (Bridge Safety Inspection) to identify all bridges as well as culverts located at a Site.
  - To the extent practical, drive by any roads designated as Public Access Miles and Public Access Lane Miles to confirm the accuracy of these data elements in FIMS.
  - Drive by all assets, if practical, with a Status of In-Situ Closed or In-Situ Closed – LTM to confirm the accuracy of the Status.
  - Drive by the previous location of all of the disposed assets that are being validated to confirm they are no longer on the site.
  - To help confirm that all existing real property assets are recorded in FIMS, conduct an existing asset check. During the walkthroughs, record 10 Property ID's (five buildings/trailers and 5 OSF's) of assets not currently being validated. Following the walkthroughs, confirm that each noted assets is in FIMS.
- f) **Data Correction during Validation:** Discrepancies discovered during the validation may be corrected during the scheduled validation period to improve the score.

**IMPORTANT:** To improve the score for a particular data element, all records for the site for that particular data element must be reviewed and corrected. Only reviewing and correcting the validated assets is not sufficient to improve the score for the data element.

## 10. Preparing Scorecards

- a) **Scoring FIMS Data Elements:** Site FIMS data is scored based on a “Red”, “Yellow”, and “Green” methodology. Each data element included in the validation will be automatically scored by the validation forms based on the frequency of variance between the data in FIMS and the source data as noted below.

Score	Green	Yellow	Red
<b>Data Element</b>	No more than a 5% frequency of variance	Greater than 5% but no more than 10% frequency of variance	Greater than 10% frequency of variance

b) **Status Score:** This score is generated as a result of the compilation of data element scoring based on the frequency of variance within each of the data elements as indicated below. The Status score is included on the DOE Owned, DOE Leased, Contractor Leased/GSA Owned and Leased, and DOE Land scorecards.

- DOE Performance Measures are Annual Actual Maintenance, Operating Cost, Asset Percent Utilized, Deferred Maintenance, Repair Needs, Replacement Plant Value and Size.

<b>FIMS Scorecard Status Score</b>	<b>Performance Measures</b>	<b>Remainder of Validated Data Elements</b>	<b>Notes</b>
<b>Green</b>	All Performance Measures are Green and....	No more than two of the remaining data elements are yellow	Preferred level of data quality
<b>Yellow</b>	One or more Performance Measures are Yellow or....	No more than one of the remaining data elements are Red	Minimal acceptable level of data quality
<b>Red</b>	One or more Performance Measures are Red or....	More than one of the remaining data elements are Red	Unacceptable data quality

c) **Corrective Action Plan Progress Score:** This rating of “Green”, “Yellow” or “Red” is developed based on the site’s efforts to implement improvements to the FIMS data as outlined in their previous year Corrective Action Plan. The Corrective Action Plan Progress score is included on the DOE Owned, DOE Leased and Contractor Leased/GSA Owned and Leased, DOE Land and Disposition scorecards.

<b>FIMS Scorecard Corrective Action Plan Progress Score</b>	<b>Improvement of Data</b>	<b>Goals of the Corrective Action Plan</b>	<b>Notes</b>
<b>Green</b>	Significant improvement since last validation	Goals established are being met	
<b>Yellow</b>	Some improvement in data quality since last validation	Progress is slipping	
<b>Red</b>	Minimal improvement in data quality since last validation	Goals for improvement are not being met	
<b>N/A</b>			This rating to be used if no existing previous Corrective Action Plan



**d) Scoring Existing Asset Check**

- On the DOE Owned scorecard there will be a cell for Existing Asset Check score. If all ten assets are in FIMS, a “Green” score is given. If one or more assets are not in FIMS, a “Red” score is given.
- Missing assets will impact the Status score on the DOE Owned scorecard based on the following scale:

Current Status Score	Number of Missing Assets	Revised Status Score
Green	1 or 2	Yellow
Yellow	1 or 2	Red
Green or Yellow	3 or More	Red

- Sites having knowledge of assets that are missing from FIMS should disclose this at the beginning of the validation. A site revealing this would still receive a “Red” for the missing assets portion of the scorecard which would ultimately impact the Status score forcing it to “Red”. It is important to reveal this at the beginning of the validation so the validation team can understand the severity of the issue and plan for getting the assets added into FIMS.

**e) Scoring Bridge Safety Inspection Verification**

- This score is a separate score on the DOE Owned scorecard. If all required data is verified as correct the Bridge Safety Inspection Verification is scored “Green”. If discrepancies are noted with either the source data or during the asset visit, the score is “Red”. If a site does not have any bridges, it is scored as “N/A”.

**f) Public Access Roads Verification**

- This score is a separate score on the DOE Owned scorecard. If the Public Access Miles and Public Access Lane Miles data elements are determined to be accurate during the walkthroughs, the Public Access Roads Verification is scored “Green”. If discrepancies are noted, the score is “Red”. If a site does not have any public access roads, it is scored as “N/A”.

**g) Bridge/Culvert Verification**

- This score is a separate score on the DOE Owned scorecard. If the Usage Code and Status are determined to be accurate for all train and vehicle bridges as well as culverts during the walkthroughs, the Bridge/Culvert Verification is scored “Green”. If discrepancies are noted, the score is “Red”. If a site does not have any bridges or culverts, it is scored as “N/A”.

**h) In-Situ Verification**

- This score is a separate score on the DOE Owned scorecard. If the In-Situ Closed or In-Situ Closed – LTM status has been determined to be accurate during the walkthroughs, the In-Situ Verification is scored “Green”. If discrepancies are noted, the score is “Red”. If a site does not have any In-Situ assets, it is scored as “N/A”.

**i) Status Score Adjustment**

- If a “Red” score is received for the Public Access Roads, Bridge/Culvert or the In-Situ verifications, your Status score will be impacted based on the following scale.

Current Status Score	Revised Status Score
<b>Green</b>	<b>Yellow</b>
<b>Yellow</b>	<b>Red</b>
<b>Red</b>	<b>Red</b>

**j) Disposition Scorecard Rating**

- Status scoring for the Disposition Scorecard is identified below.

Disposition Scorecard Status Score	Disposition Data Elements
<b>Green</b>	All Disposition data elements are green and all assets have been confirmed as being disposed.
<b>Yellow</b>	If any disposition data element is yellow and no data element is red.
<b>Red</b>	If any disposition data element is red or an asset is found to still be on the Site.

**11. Record Keeping and Scorecard Submittal**

- a) **Records:** Site and/or Field Offices will maintain validation documentation (validation forms, scorecards, corrective action plans, etc.) for at least five fiscal years.
- Documentation is necessary to simplify quality assurance, spot trends and identify areas for improvement.

- Maintaining validation documentation for five fiscal years aligns with quality assurance goals and inspection periods identified in DOE Order 430.1C and the [Department's Disposition Schedule](#).

**b) Scorecards**

- Sites will provide all validation forms which include the scorecards to their Headquarters Program Offices consistent with guidance and timeframes noted previously under [8 – Roles and Responsibilities](#).
- Programs will forward all validation forms which include the scorecards to OAM within 5 days after completion of each site FIMS validation or required revalidation.

## **12. Corrective Action Plan (CAP)**

- a) Sites with a “Red” Status score on any scorecard must develop a CAP within 15 days of the validation and report progress toward implementation of the plan.
- In the event that a multi-program site receives a “Red” Status score due to the faulty data of a single Program Secretarial Office (PSO), that PSO will prepare and implement a (CAP).
  - If the “Red” score is due to data from more than one program, then the Site and/or Field Office submits a joint CAP.
- b) Until the items outlined in the CAP have been fully implemented and completed, the sites Status score will remain “Red”. Once those items outlined in the CAP are fully implemented and completed, the Site may then revalidate.
- c) The site is required to provide a schedule/date to the Site and/or Field Office and HQ Program Office for a revalidation as a result of the “Red” Status score.
- If a Site chooses to revalidate, only those data elements that scored either “Red” or “Yellow” have to be revalidated. Revalidations must be within 60 days from the original validation or before August 1<sup>st</sup> of the current fiscal year.
    - If “Red” or “Yellow” scored data elements cannot be corrected in 60 days this must be justified in the CAP. In these cases revalidation will not be required, however yearly validations must continue to be conducted. Example: If a site has not fully implemented a Condition Assessment Survey (CAS) program, it may take several years to get all the assets inspected.

## Appendix A - Reporting Deadlines

Milestone Date	Task	Notes
11/25/2019	<p>Begin population of the following:</p> <ol style="list-style-type: none"> <li><b>Annual Required Maintenance</b> for <u>FY 2022</u></li> </ol>	<p><i>Previous year values will be removed prior to sites entering current data.</i></p> <p><i>To provide the most value to management, generate estimates for Annual Required Maintenance during the planning phase of the budget cycle for a particular fiscal year.</i></p>
02/20/2020	<p>Recalculate FIMS-generated building and trailer <b>Replacement Plant Values (RPV)</b> using 2020 building model cost updates.</p> <p>Sites are required to inflate Contractor <b>RPV</b> values which also includes OSF RPV values.</p>	<p><i>Building/Trailer contractor RPVs must be regenerated every five (5) years. In years when the estimate is not regenerated, inflate the estimate to current year dollars.</i></p>
03/31/2020	<p>Population of the following data element must be completed prior to this date:</p> <ol style="list-style-type: none"> <li><b>Annual Required Maintenance</b></li> </ol> <p>HQ Program Offices to confirm the IFI Site in FIMS is correct for the FY2022 budget preparation cycle.</p>	
08/03/2020	<p>Begin population of the following for <u>FY 2020</u>:</p> <ol style="list-style-type: none"> <li><b>Repair Needs</b></li> <li><b>Deferred Maintenance</b></li> <li><b>Modernization Cost</b></li> <li><b>Uniformat Repair Needs</b></li> </ol> <p>Update as necessary the following for <u>FY 2020</u>:</p> <ol style="list-style-type: none"> <li><b>Inspection Date</b></li> <li><b>Status</b></li> <li><b>Size</b></li> <li><b>Excess Indicator</b></li> <li><b>Excess Date</b></li> <li><b>Overall Asset Condition</b></li> <li><b>Functionality Assessment Date</b></li> <li><b>Sustainability</b></li> <li><b>RPV Factor</b></li> <li><b>RPV Model</b></li> </ol>	<p><i>Previous year values will be removed prior to sites entering current data.</i></p>
9/4/2020	<p>Excess Screening requests for FY 2020 processing must be submitted.</p>	<p><i>OAM will use a short-cycle, 1 week, review period to screen these assets.</i></p>



Milestone Date	Task	Notes
11/02/2020	<p>The conclusion of all FY 2020 updates must be completed <u>prior</u> to this date.</p> <p>FIMS will be in a read-only state while the following year-end processing is performed.</p> <ol style="list-style-type: none"> <li>1. Operating Cost allocation performed for <u>FY 2020</u>.</li> <li>2. Generate <u>FY 2020</u> year-end snapshot.</li> <li>3. Unlock all previously locked data elements.</li> </ol> <p>Upon completion of the year-end processing, FIMS will be available for <u>FY 2021</u> processing.</p> <ol style="list-style-type: none"> <li>1. Begin adding assets acquired.</li> <li>2. Begin archiving records for disposed assets.</li> <li>3. Begin Excess Screening Process.</li> </ol>	<p><i>This data supports the Federal Real Property Profile submission due on 12/15/2020.</i></p>
11/30/2020	<p>Submit HQ Program Office FIMS data certification statement to the SRPO.</p>	
02/08/2021	<p>The FY 2020 year-end snapshot will be available in FIMS.</p>	