<table>
<thead>
<tr>
<th>Lesson</th>
<th>Title</th>
<th>Page</th>
</tr>
</thead>
<tbody>
<tr>
<td>i</td>
<td>Before We Begin Opening and Introduction</td>
<td>i-1</td>
</tr>
<tr>
<td>1</td>
<td>Why Do We Need a Validation Process?</td>
<td>1-1</td>
</tr>
<tr>
<td>2</td>
<td>The FIMS Validation Process</td>
<td>2-1</td>
</tr>
<tr>
<td>3</td>
<td>Inbrief</td>
<td>3-1</td>
</tr>
<tr>
<td>4</td>
<td>Determine Sample Size</td>
<td>4-1</td>
</tr>
<tr>
<td>5</td>
<td>FIMS: Generating the Data Validation Reporting Forms</td>
<td>5-1</td>
</tr>
<tr>
<td>6</td>
<td>Source Documents</td>
<td>6-1</td>
</tr>
<tr>
<td>7</td>
<td>A Detailed Look at the FIMS Data being Validated (Part 1)</td>
<td>7-1</td>
</tr>
<tr>
<td>8</td>
<td>Process Verification</td>
<td>8-1</td>
</tr>
<tr>
<td>9</td>
<td>A Detailed Look at the FIMS Data being Validated (Part 2)</td>
<td>9-1</td>
</tr>
<tr>
<td>10</td>
<td>Desktop Validation using the Data Validation Reporting Forms</td>
<td>10-1</td>
</tr>
<tr>
<td>11</td>
<td>The Walkthrough Process</td>
<td>11-1</td>
</tr>
<tr>
<td>12</td>
<td>Scorecarding</td>
<td>12-1</td>
</tr>
<tr>
<td>13</td>
<td>Follow Up Actions and Outbrief</td>
<td>13-1</td>
</tr>
<tr>
<td>14</td>
<td>Planning the Validation</td>
<td>14-1</td>
</tr>
<tr>
<td>15</td>
<td>Validation Guidance and Website</td>
<td>15-1</td>
</tr>
</tbody>
</table>
Before We Begin Opening and Introduction

Lesson i
Welcome

- Introductions
  - Logistics
  - Instructors
  - Students
Course Schedule

- This is a 2-day course
- Lessons will include lectures, group discussions and exercises
- Questions and experience sharing is encouraged
Logistics

- Please take the time now to silence your cell phones
- We will have plenty of breaks
Target Audience

- DOE Real Property Management Community:
  - Headquarters staff
  - Program management staff
  - Site Office/Site staff

- The Validation Process applies throughout the DOE FIMS user community
Background

- DOE has real property holdings of
  - Over 2.1 million acres of DOE owned and withdrawn from public domain land
  - 112.7 million square feet of DOE owned buildings and trailers

- DOE’s Facilities Information Management System (FIMS) database
  - provides ready access to DOE real property data
  - contains information to generate an annual report of detailed asset level information to the Federal Real Property Profile (FRPP)

- Complete and accurate FIMS information is critical for asset planning, programming, budgeting and management
Course Purpose

- Understand the standard and process required to validate key information in FIMS
- Apply the knowledge of validation standards
- Demonstrate an understanding of the step by step process required to perform a validation on data in FIMS
- Understand the importance of FIMS data as a source of information for management decisions
Course Learning Objectives

- Develop a common understanding of the requirements driving the effort
- Describe the steps of the FIMS Validation process
- Understand the meaning of the results of a FIMS Validation
Course Learning Objectives (continued)

- Demonstrate the FIMS Standard Reports developed for the Validation process
- Learn how to select sample sets of assets
- Develop an understanding of source documents
- Understand how to use the Data Validation Reporting Forms
Course Learning Objectives (continued)

- Develop FIMS validation scorecards
- Understand the organization and steps of a site visit
## Acronyms

<table>
<thead>
<tr>
<th>Acronym</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>AAIM</td>
<td>Anticipated Asset Information Module</td>
</tr>
<tr>
<td>AM</td>
<td>Annual Actual Maintenance</td>
</tr>
<tr>
<td>BOMA</td>
<td>Building Owners and Managers Association</td>
</tr>
<tr>
<td>CAIS</td>
<td>Condition Assessment Information System</td>
</tr>
<tr>
<td>CAS</td>
<td>Condition Assessment Survey</td>
</tr>
<tr>
<td>D&amp;D</td>
<td>Deactivation and Decommissioning</td>
</tr>
<tr>
<td>DM</td>
<td>Deferred Maintenance</td>
</tr>
<tr>
<td>DOE</td>
<td>U.S. Department of Energy</td>
</tr>
<tr>
<td>EO</td>
<td>Executive Order</td>
</tr>
<tr>
<td>FIMS</td>
<td>Facilities Information Management System</td>
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<tr>
<td>FRPC</td>
<td>Federal Real Property Council</td>
</tr>
<tr>
<td>FRPP</td>
<td>Federal Real Property Profile</td>
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<tr>
<td>GSA</td>
<td>General Services Administration</td>
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<tr>
<td>OAM</td>
<td>Office of Asset Management</td>
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<tr>
<td>OSF</td>
<td>Other Structures and Facilities</td>
</tr>
<tr>
<td>RM</td>
<td>Annual Required Maintenance</td>
</tr>
<tr>
<td>RN</td>
<td>Repair Needs</td>
</tr>
<tr>
<td>RPV</td>
<td>Replacement Plant Value</td>
</tr>
</tbody>
</table>
Why Do We Need a Validation Process?

Lesson 1
Lesson 1 Objectives

- Describe how FIMS data is used by DOE
- Describe the issues associated with data accuracy
- Identify the major drivers behind the FIMS data
Use of FIMS data at DOE

- Annual submission to Federal Real Property Profile (FRPP)
- OMB Reduce the Footprint Initiative
  - Real Property Efficiency Plan
- Deferred Maintenance Reporting
- Active Facilities Environmental Liability Report
- Responses to OMB, GSA, GAO and Congressional inquiries as well as internal inquiries
Use of FIMS data at DOE (continued)

- DOE Sustainability Performance Office Dashboard
  - Annual Congressional Energy Reports
- Laboratory Operations Board (LOB)
- Excess Facilities Working Group
- DOE Strategic Plan
- Asset Management Plan (AMP)
- Utilization Tracking
- Data used in management decision

FIMS is DOE’s single corporate repository of Real Property data
General Accountability Office Study

- GAO Report – High Risk Series (GAO-03-122)
  - Federal Real Property
    - Long standing problems
      - Excess and underutilized real property
      - Deteriorating facilities
      - Costly space challenges
      - Rely too heavily on leases
  - Other findings
    - Many buildings are functionally obsolete
    - Many facilities experiencing physical deterioration
    - The need to identify potential assets for near-term disposition
GAO Report – High Risk Series

- GAO reports a growing backlog of federal agencies repair/alteration backlog
- Buildings do not support today’s technology for the attraction/retention of staff
- Landholding agencies need appropriate and up-to-date management practices
Major Drivers

- 41 CFR 101, Federal Real Property Management
- EO 13327, Federal Real Property Asset Management
- Federal Property Management Reform Act of 2016
- Federal Assets Sale and Transfer Act of 2016
- DOE Order 430.1C, Real Property Asset Management
A Look at the Major Drivers

- 41 CFR 102-84.30 codifies the Federal Real Property Profile (FRPP)
  - Requires agencies to provide complete and accurate real property data in their FRPP submission

- Executive Order 13327, Federal Real Property Asset Management
  - Created to promote the efficient and economical use of the Federal Government’s real property assets
Executive Order 13327, Federal Real Property Asset Management

- Signed - February 4, 2004
- Responds to GAO’s challenge to get real property off the list of “High-Risk” federal programs
- Highlights the importance of effective asset management planning
- Makes federal real property management more consistent with the private sector
- Established the interagency Federal Real Property Council (FRPC) chaired by OMB Deputy Director of Management
Establishes and outlines responsibilities of the Senior Real Property Officer (SRPO)

- Scott Whiteford, Director, Office of Asset Management and SRPO

Mandated the creation of a centralized real property database for the government’s inventory of real property (Federal Real Property Profile)

Highlights the need for broader real property reform
Executive Order becomes Law

- To further improve the management of federal real property, two new laws were enacted on December 16, 2016
  - Federal Property Management Reform Act of 2016 (Public Law 114-318)
  - Federal Assets Sale and Transfer Act of 2016 (Public Law 114-287)

- These laws require all executive branch federal agencies, with certain exceptions, to
  - submit current data and recommendations on federal civilian real properties owned, leased or controlled by a federal agency
  - assess and determine how to dispose of excess and underutilized property
Real Property Asset Management (RPAM) DOE 430.1C

Issued August 19, 2016, to improve DOE’s management of the Department’s real property assets

- All real property in which DOE holds a legal interest in or right to use, including outright title, must be tracked in FIMS, the Department’s system of record for DOE real property

- FIMS data fields must be kept current throughout the real property asset lifecycle and align with the FIMS Data Dictionary

- FIMS data must be verified and validated in accordance with annual guidance to ensure the accuracy of data

- The “FIMS data validation” is the first step in a multistep process to increase the Department's confidence level in the FIMS real property data
Increased pressure from OMB and GSA for agencies to improve the quality of their data
- FRPP added additional upfront data checks that are required to be acknowledged before the data can be loaded
  - Values reported in current year equal last year’s values
- Required to generate and respond to annual FRPP Validation & Verification (V&V) reports
  - Values out of range (i.e. Annual Rent per sqft)
  - Anomalies (i.e. A historic asset was changed to non-historic, Repair Needs > RPV)
Increased pressure from OMB and GSA for agencies to improve the quality of their data (continued)

- GSA issued Agency-Level Federal Real Property Profile Data Quality Improvement Program: Guidance for Establishment and Maintenance
  - Implement a method to identify and realize opportunities to improve data quality
  - Ensure data is accurate
  - Outlines a Data Validation process
Lesson 1 Summary

- The importance of validating FIMS data
  - FIMS IS the repository of DOE real property data
  - Used on a daily basis as part of DOE’s decision-making process as it pertains to real property assets
- FIMS data is used to populate the Federal Real Property Profile (FRPP)
- Understand the Major Drivers behind the FIMS data
The FIMS Validation Process

Lesson 2
Lesson 2 Objectives

- Learn about the basic concepts of data validation related to a desktop validation
- Describe the Validation Goal
- Learn what assets are being validated in FY2020
Overview of Desktop Validation

- Desktop Validation
  - Validation where a majority of the effort is spent comparing documents/data

- Common tools and approaches
  - Use of the FIMS standard reports
    - Generate the Data Validation Reporting Forms
  - Source documents for each data element
Data Element vs. Performance Measure

- **Data element** is defined as a basic unit of identifiable and definable information; an item used to contain data values. It has an identifying name and value for expressing a specific fact.
  - For example, Property Type, Usage Code or Excess Indicator

- **Performance Measures**, as identified by DOE, are those data elements weighted more heavily by the validation process because they are used to evaluate the effectiveness of real property management.

<table>
<thead>
<tr>
<th>Performance Measures</th>
</tr>
</thead>
<tbody>
<tr>
<td>Annual Actual Maintenance</td>
</tr>
<tr>
<td>Annual Rent</td>
</tr>
<tr>
<td>Asset % Utilized</td>
</tr>
</tbody>
</table>
FIMS Validation Data Elements and Performance Measures for DOE Owned Assets

- Ownership
- Usage Code
- Property Type
- Status
- Size
- Space Type Usable SF – Office\(^1\)
- No of Floors\(^2\)
- Repair Needs
- Deferred Maintenance
- Inspection Date
- Asset % Utilized
- Total No of Federal Employees\(^1\)
- Total No of Contractor Employees\(^1\)

- Replacement Plant Value
- Annual Actual Maintenance
- Annual Required Maintenance
- Functionality Assessment Date
- Modernization Cost
- Overall Asset Condition
- Historic Designation
- Excess Indicator
- Excess Date
- Estimated Disposition Year
- GSA Notification Submitted
- GSA Notification Accepted
- Outgrant Indicator

GREEN – Performance Measures

1 – buildings and trailers only
2 – buildings only
FIMS Validation Data Elements and Performance Measures for DOE Owned Assets (continued)

- Roads – Public Access Miles$^2$
- Roads – Public Access Lane Miles$^2$
- Year Built
- Adjustment - Capitalized
- Adjustment Cost
- **Operating Cost** (site level)
- Location - Main Location, Location City/State/Zip Code
- Planning documents / Beneficial Occupancy Year (AAIM)
FIMS Validation Data Elements and Performance Measures for DOE Leased, Contractor Leased and GSA Assets

- Ownership
- Usage Code
- Property Type
- Status
- **Size**
- Space Type Usable – Office
- **Repair Needs**
- Inspection Date
- **Asset % Utilized**
- Total No of Federal Employees
- Total No of Contractor Employees
- Replacement Plant Value
- Annual Actual Maintenance
- Annual Required Maintenance
- Functionality Assessment Date
- Modernization Cost
- Overall Asset Condition
- Estimated Disposition Year
- Outgrant Indicator
- Initial Date
- Expiration Date
- Annual Rent

**GREEN** – Performance Measures
1 - buildings and trailers only
2 - DOE leased only
3 – DOE leased and contractor leased only
FIMS Validation Data Elements and Performance Measures for Land Assets

- Ownership
- Usage Code
- Property Type
- Status
- Size
- Historic Designation
- Excess Indicator
- Excess Date
- Estimated Disposition Year
- GSA Notification Submitted
- GSA Notification Accepted
- Outgrant Indicator
- Initial Date
- Expiration Date
- Annual Rent

**GREEN** – Performance Measures
1 – owned only
2 – owned and withdrawn only
3 – DOE leased only
FIMS Validation Data Elements for Disposed Assets

- Disposition Date
- Disposition Method
- Excess Indicator\(^1\)
- Excess Date\(^1\)
- Actual Sales Price
- Net Proceeds

\(^1\) – owned buildings, trailers, OSF and land and withdrawn from public domain land
Additional FIMS Data to be Verified

- Bridge Safety Inspection information will be verified during the FIMS data validation
  - Reference the guidance memo dated September 14, 2009, Requirements for Bridge Inspections
  - Available on the FIMS website, look for the Other DOE Headquarters Guidance section

https://fims.doe.gov/fimsinfo/doc.html
Overview of the Validation Process

- Statistical standard for validating the accuracy of key FIMS data elements and performance measures against source data
  - Identifies performance measures and data elements for validation
- Validating the processes applied by a site to populate FIMS
Validation Goal
- To infer a level of accuracy within the whole database

A key goal of the validation process is to standardize procedures throughout DOE regardless of who applies it
FIMS Validation Process

- Inbrief Lesson 3
- Determine Sample Size Lesson 4
- Generate the Data Validation Forms Lesson 5
- Source Documents Lesson 6
- Desktop Validation Lesson 10
- Data Element Review (Part 2) Lesson 9
- Process Verification Lesson 8
- Data Element Review (Part 1) Lesson 7
- Walkthroughs Lesson 11
- Prepare Scorecards Lesson 12
- Follow-up Actions & Outbrief Lesson 13
- How to Plan the Validation Lesson 14
Lesson 2 Summary

- Goal of the Validation is to infer a level of accuracy within the whole database
- FIMS validation process will allow DOE to improve the accuracy of its data and support key real property decisions
Inbrief

Lesson 3
Lesson 3 Objectives

- Review the Inbrief process
Validation: Inbrief

- **Inbrief Meeting**
  - Optional
  - Short introductory meeting
  - Helps to inform all involved parties
    - Ensures effective communication and guarantees similar expectations for the validation activities
  - Introduces team members
  - Provides an overview to site leadership
  - Set goals and discussion protocols
  - Allows clarification of any prevalidation questions and issues
Inbrief – Sample Presentation

- Sample Inbrief/Outbrief Template
  - Now combined

- Available under the Data Validation topic at https://fims.doe.gov/fimsinfo/doc.html
  - Prior to the Inbrief meeting, the presentation must be edited to replace the underlined, italic text with the appropriate information
Lesson 3 Summary

- Understand the Inbrief process
Determine Sample Size

Lesson 4
Lesson 4 Objectives

- Learn a basic understanding of confidence level to properly interpret the results of the validation
- Determine the number of FIMS assets that will be validated
FIMS Validation Process

Inbrief Lesson 3

Determine Sample Size Lesson 4

Generate the Data Validation Forms Lesson 5

Source Documents Lesson 6

Desktop Validation Lesson 10

Data Element Review (Part 1) Lesson 7

Data Element Review (Part 2) Lesson 9

Process Verification Lesson 8

Prepare Scorecards Lesson 12

Follow-up Actions & Outbrief Lesson 13

How to Plan the Validation Lesson 14

Walkthroughs Lesson 11
Sample Size – DOE Owned Assets

- In most cases, it is not practical to validate data for all FIMS assets at a given site.
- Taking a sample of the total population will give you results within a selected confidence level.
  - DOE’s desired confidence level is 90%.
- Sample size tells you how many assets you need to sample based on:
  - The number of assets which includes the total number of FIMS DOE owned buildings, trailers and Other Structure and Facilities (OSF) at a site.
## Sample Size Chart - for a 90% Confidence Level

<table>
<thead>
<tr>
<th># of Assets*</th>
<th>Sample Size</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>1</td>
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<tr>
<td>2</td>
<td>2</td>
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<td>3</td>
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<td>5-6</td>
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<td>7</td>
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<td>8-9</td>
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<td>10-11</td>
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<td>12-14</td>
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<td>15-16</td>
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<td>17-20</td>
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<td>21-23</td>
<td>12</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th># of Assets*</th>
<th>Sample Size</th>
</tr>
</thead>
<tbody>
<tr>
<td>24-27</td>
<td>13</td>
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<tr>
<td>28-33</td>
<td>14</td>
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<tr>
<td>34-39</td>
<td>15</td>
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<td>40-46</td>
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<td>47-56</td>
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<td>114-154</td>
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<td>155-232</td>
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<tr>
<td>233-242</td>
<td>23</td>
</tr>
<tr>
<td>&gt;242</td>
<td>25</td>
</tr>
</tbody>
</table>

* DOE owned Buildings, Trailers and Other Structures and Facilities (OSF)
DOE Owned Sample Size

- Sample size will consist of a maximum of 25 DOE owned assets as indicated in the Sample Size chart
- The sample size will be used as input to the FIMS standard report that will extract the random generated sample
  - The FIMS standard report will be discussed later
Sample Set – DOE Leased, Contractor Leased, GSA Owned and GSA Leased Assets

- DOE leased, Contractor leased and GSA sample set to be validated
  - Sites with 25 or less assets will validate all assets
  - OR
  - Sites with more than 25 assets will validate a random selection of 25 assets
Sample Set – Land Assets

- Land sample set
  - DOE owned, DOE leased and withdrawn from public domain land records will be validated
    - Sites with 25 or less land assets will validate all land assets
  OR
  - Sites with more than 25 land assets will validate a random selection of 25 assets
Disposed sample set

- Archived assets with an Archive Date between October 1, 2018 and September 30, 2019 will be validated
  - Sites with 25 or less assets will validate all archived assets
  - OR
  - Sites with more than 25 archived assets will validate a random selection of 25 assets
- Assets archived as ‘Administrative Correction’ will not be validated
Confidence Level

- In plain English relevant to the validation…
  - Because we aren’t reviewing every record we can’t guarantee all the records are correct. However, because we validated the statistical random sample, we can be 90% certain what we found reflects the condition of all the records.

What would we need to be 100% certain? Is it worth the time/expense?
Lesson 4 Summary

- DOE’s confidence level is 90%
- Know how to determine
  - the DOE owned sample size used for input into the FIMS standard report
  - the sample sets
    - DOE owned buildings, trailers and OSF
    - DOE leased and Contractor leased buildings, trailers and OSF and GSA owned and leased buildings
    - DOE owned, DOE leased and withdrawn from public domain land
    - Disposed assets
Lesson 4 Exercise 1:

- Probability Exercise

1 = ______

2 = ______

3 = ______
Lesson 4 Exercise 2

- Provide answers to the following questions about Sample Sets and Sample Size
  - Sample Size chart can be found on page 4-5 in this lesson
Lesson 4 Exercise 2

1. DOE Site A has 23 DOE owned buildings, 9 DOE owned trailers, 62 DOE owned OSF and 2 DOE owned land parcels. Determine the following:

   a. What is the sample set of DOE owned assets at DOE Site A?

   b. To validate at a 90% confidence level, what is the minimum DOE owned sample size?

2. DOE Site B has 103 DOE owned buildings, 5 GSA leased building, 84 DOE owned trailers, 10 DOE leased trailers, 22 Contractor leased trailers, 229 DOE owned OSF and 2 federal permit land parcels. Determine the following:

   a. What is the sample set of DOE owned assets at DOE Site B?

   b. To validate at a 90% confidence level, what is the minimum DOE owned sample size?

   c. How many DOE leased, Contractor leased and GSA assets will be validated at DOE Site B?
3. DOE Site C contains 42 DOE owned buildings, 17 DOE leased buildings, 5 Contractor leased buildings, 9 federal permit buildings, 2 GSA owned buildings and 2 DOE leased trailers, 3 DOE leased land parcels, 1 withdrawn from public domain land parcel and 15 federal permit land parcels. Determine the following:

   a. How many DOE leased, Contractor leased and GSA assets will be validated at DOE Site C?

   b. How many DOE land assets will be validated at DOE Site C?

4. DOE Site D contains 2 GSA Owned buildings, 4 GSA Leased Buildings, 13 DOE leased buildings, 27 Contractor leased buildings and 1 DOE leased trailer. Determine the following:

   a. How many DOE leased, Contractor leased and GSA assets will be validated at DOE Site D?
5. DOE Site Z contains 5 DOE owned land parcels, 2 withdrawn from public domain land parcels, 12 land easements, 3 DOE leased land parcels, 1 non-federal permit land parcel and 1 Contractor leased land parcel. Determine the following:

a. How many DOE land assets will be validated at DOE Site Z?
FIMS: Generating the Data Validation Reporting Forms

Lesson 5
Lesson 5 Objectives

- Learn how to generate the DOE Owned Data Validation Reporting Form
- Discuss ‘outliers’ and learn how to extract them for inclusion in the validation
- Learn how to generate the DOE Leased, Contractor Leased and GSA Data Validation Reporting Form
- Learn how to generate the DOE Land Data Validation Reporting Form
- Learn how to generate the DOE Disposition Data Validation Reporting Form
FIMS Validation Process

1. Inbrief Lesson 3
2. Determine Sample Size Lesson 4
3. Generate the Data Validation Forms Lesson 5
4. Source Documents Lesson 6
5. Desktop Validation Lesson 10
6. Data Element Review (Part 2) Lesson 9
7. Process Verification Lesson 8
8. Data Element Review (Part 1) Lesson 7
9. Walkthroughs Lesson 11
10. Prepare Scorecards Lesson 12
11. Follow-up Actions & Outbrief Lesson 13
12. How to Plan the Validation Lesson 14
Before extracting the FIMS data

- Sample Set
  - Obtain the total number of DOE owned building, trailer and OSF assets at the site
  - The FIMS Ad Hoc Report – Current query tool can be used to determine the total number of assets

- Determine sample size (using the chart in Lesson 4, page 4-5)
FIMS Standard Report for generating the DOE Owned Random Sample Set

- To extract the random sample set for DOE owned buildings, trailers and OSF to be validated:
  - Run the FIMS report 016–DOE Owned Data Validation Reporting Form
Instructions for Running: 016-DOE Owned Data Validation Reporting Form

- In FIMS, from the menu select Reports and then Standard Report List
- On the Standard Report List window, click report 016-DOE Owned Data Validation Reporting Form
- Select your appropriate Field Office, Site and Sample Size from the criteria window
  - Selections will default to your user ID My Profile settings
- Click the Excel Report button to generate the form
- Click the Save, Save as button to save the generated form
What are outliers?

- Additional assets that are manually added to the extracted DOE owned validation set
- Items to look for when selecting ‘Outlier’ assets:

<table>
<thead>
<tr>
<th>High RPV, but small footprint</th>
<th>Very important or newly acquired assets</th>
</tr>
</thead>
<tbody>
<tr>
<td>High Repair Needs</td>
<td>Operating assets with $0 Actual Maint</td>
</tr>
<tr>
<td>Large footprint but small RPV</td>
<td>Add Office, Warehouse, Labs, Trailers and/or OSF if not included in random pull</td>
</tr>
</tbody>
</table>

- Use the FIMS Ad Hoc Report – Current query tool to assist the validation team in selecting outliers to include with the DOE owned random sample set
  - Property ID(s) will be needed to extract the outliers
  - Note: A max of 30 assets can be validated on the DOE owned form, so Sample Set + Outliers ≤ 30
Selecting Outliers for DOE Owned Assets

- FIMS standard report 020-DOE Owned Data Validation Outlier Report can be used to add ‘outliers’ to the DOE owned validation set
  - This report can be generated for specific Property IDs and output to the Excel format
  - Copy and paste the Excel output into the DOE Owned Data Validation Reporting Form generated by FIMS standard report 016
    - Paste the data to the sheet labelled FIMS below the existing data
Instructions for Running: 020-DOE Owned Data Validation Outlier Report

- In FIMS, from the menu select **Reports** and then **Standard Report List**


- Select your appropriate Field Office, Site, Area and Property ID(s) from the criteria window
  - Selections will default to your user ID My Profile settings

- Click the **Excel Report** button to run the report

- Click the **Save, Save as** button to save the generated report

- Copy and paste the MS Excel output into the DOE Owned Data Validation Reporting Form generated by FIMS standard report 016
  - Paste the data to the sheet labelled **FIMS** below the existing data
FIMS Standard Report for Validating DOE Leased, Contractor Leased and GSA assets

To extract the DOE leased, Contractor leased and GSA sample set to be validated:

- Run the FIMS report 017–DOE Leased, Contractor Leased and GSA Data Validation Reporting Form
Instructions for Running: 017-DOE Leased, Contractor Leased and GSA Data Validation Reporting Form

- In FIMS, from the menu select Reports and then Standard Report List

- On the Standard Report List window, click report 017-DOE Leased, Contractor Leased and GSA Data Validation Reporting Form

- Select your appropriate Field Office and Site from the criteria window
  - Selections will default to your user ID My Profile settings

- Click the Excel Report button to generate the form

- Click the Save, Save as button to save the generated form
FIMS Standard Report for Validating Land assets

- To extract the DOE owned, DOE leased and withdrawn from public domain land sample set to be validated
  
  - Run the FIMS report 018–DOE Land Data Validation Reporting Form
Instructions for Running: 018-DOE Land Data Validation Reporting Form

- In FIMS, from the menu select **Reports** and then **Standard Report List**

- On the Standard Report List window, click report **018-DOE Land Data Validation Reporting Form**

- Select your appropriate Field Office and Site from the criteria window
  - Selections will default to your user ID My Profile settings

- Click the **Excel Report** button to generate the form

- Click the **Save, Save as** button to save the generated form
FIMS Standard Report for Validating Disposed assets

- To extract the Disposed sample set to be validated
  - Run the FIMS report 019–DOE Disposition Data Validation Reporting Form
Instructions for Running: 019-DOE Disposition Data Validation Reporting Form

- In FIMS, from the menu select **Reports** and then **Standard Report List**

- On the Standard Report List window, click report 019-DOE Disposition Data Validation Reporting Form

- Select your appropriate Field Office and Site(s) from the criteria window
  - Selections will default to your user ID My Profile settings

- Click the **Excel Report** button to generate the form

- Click the **Save, Save as** button to save the generated form
All sites with public access and controlled access train bridges and public access vehicular bridges will be required to verify the Safety Inspection information for these assets.

The bridge data to be verified is extracted from FIMS when the 016-DOE Owned Data Validation Reporting Form is generated.

See sheet labelled Bridge Inspection.
Operating Cost data extract

- Site level Operating Cost to be validated
  - Automatically populated on the DOE Owned Data Validation Reporting Form
  - See sheet labelled **Site OpCost**
Adjustment Data Extract

- Adjustments to be validated
  - Automatically populated on the DOE Owned Data Validation Reporting Form
  - See sheet labelled Adjustments
Planning Data Extract

- New FY2020
- Anticipated Asset Information Module (AAIM) planning data to be validated but not scored
- Automatically populated on the DOE Owned Data Validation Reporting Form
- See sheet labelled Planning

- AAIM is required to be populated for:
  - All anticipated new building, trailer, OSF and land assets
  - The expansion of existing assets
  - All ownerships
  - A rolling five-year period
- AAIM guidance memo on FIMS website dated April 15, 2016
Location Data Extract

- New FY2020
- Location data to be validated

<table>
<thead>
<tr>
<th>Main Location</th>
<th>Location State</th>
</tr>
</thead>
<tbody>
<tr>
<td>Location City</td>
<td>Location Zip Code</td>
</tr>
</tbody>
</table>

- Unique addresses for a site will be extracted
- Automatically populated on the DOE Owned Data Validation Reporting Form
- See sheet labelled **Location**

5-20
Timeline for Data Validation form generation

- The FIMS validation forms are to be generated at the beginning of the scheduled validation
  - Not prior to the Validation kickoff
Demo: Extracting the FIMS Data

- Participants will learn to
  - Utilize the Ad Hoc Report – Current to determine DOE owned count
  - Generate the 016-DOE Owned Data Validation Reporting Form
  - Utilize the Ad Hoc Report – Current to locate outliers
  - Generate the 020-DOE Owned Data Validation Outlier Report
    - Populate the DOE Owned form with this data
  - Generate the 017-DOE Leased, Contractor Leased and GSA Data Validation Reporting Form
Demo: Extracting the FIMS Data

- Participants will learn to (continued)
  - Generate the 018-DOE Land Data Validation Reporting Form
  - Generate the 019-DOE Disposition Data Validation Reporting Form
Lesson 5 Summary

- Ability to use the FIMS standard reports to extract and produce the Data Validation Reporting Forms for:
  - DOE owned random sample set
  - Outliers
  - DOE leased, Contractor leased and GSA sample set
  - Land sample set
  - Disposed sample set
Lesson 5 Summary

- Ability to use the FIMS Ad Hoc Report – Current query tool to determine DOE owned record count and to identify outliers
- Automatically extracted and validated on the DOE Owned Data Validation Reporting Form
  - Site Level Operating Costs
  - Bridge Safety Inspection data
  - Planning data
  - Location data
  - Adjustments
Source Documents

Lesson 6
Lesson 6 Objectives

- Describe the attributes of an acceptable source document
- Describe the features of unacceptable source documents
- Review Source Documentation Worksheet
FIMS Validation Process

Inbrief Lesson 3

Determine Sample Size Lesson 4

Generate the Data Validation Forms Lesson 5

Source Documents Lesson 6

Desktop Validation Lesson 10

Data Element Review (Part 2) Lesson 9

Process Verification Lesson 8

Data Element Review (Part 1) Lesson 7

Walkthroughs Lesson 11

Prepare Scorecards Lesson 12

Follow-up Actions & Outbrief Lesson 13

How to Plan the Validation Lesson 14
FIMS data element values must be validated against independent source documents
What are Source Documents?

- **Source Document** – at each site, documents containing detailed comprehensive site data that should be the “accurate data of record”
  - Can be a “hard” or “soft” document
  - Information contained is authoritative, has a **Subject Matter Expert**, is managed, dated and updated at appropriate intervals
    - Subject Matter Expert is the owner of the data
      - The individual who is responsible for collecting, managing and updating the real property data that is provided to the FIMS Administrator for updating FIMS
Range of Source Documents

Acceptable source documents include:

- Signed construction drawing and blueprints
- As-built drawings
- Condition assessment reports
- Databases maintained on site that are managed and used for daily decision making by the data owners (CAIS, Passport, MAXIMO)
- DOE-specific models and benchmarks (such as RSMeans or BOMA)
- Physical measurements
- Internal memorandums/processes
- Electronic or printed copy of the Lease/GSA Occupancy agreement
- Electronic or printed copy of the land deed
Source Documents for Disposed Assets

- Acceptable source documents include:
  - Email / memo from Site Subject Matter Expert in charge of asset disposition
    - Real Estate
    - Disposition Manager
    - Accounting
  - Photos showing before and after of asset site
    - Site photos
    - Google Earth
Evaluating a Potential Source Document

- Is it a direct source?
  - i.e., not a repository of information

- Is it the most recent source data available for the data element in question?
  - Is the document the most current version?

- Was the data source used to populate FIMS?

- Is the source used for day-to-day management decision making?
Evaluating a Potential Source Document (continued)

- Does it have a Subject Matter Expert and process that populates and maintains it?
- Does it identify each asset by Property ID?
- Does it contain all assets?
  - Including assets with values of Yes, No or Zero?
    - These values must be documented in your Source Document otherwise the data element for the asset being validated is in error
### Source Document Update Frequencies

- **Require annual** Source Document updates:

<table>
<thead>
<tr>
<th>Annual Actual Maintenance</th>
<th>Functionality Assessment Date</th>
<th>Repair Needs</th>
</tr>
</thead>
<tbody>
<tr>
<td>Annual Rent</td>
<td>Inspection Date</td>
<td>RPV</td>
</tr>
<tr>
<td>Annual Required Maintenance</td>
<td>Modernization Cost</td>
<td>Status</td>
</tr>
<tr>
<td>Asset % Utilized</td>
<td>Operating Costs</td>
<td>Total No of Contractor Employees</td>
</tr>
<tr>
<td>Deferred Maintenance</td>
<td>Outgrant Indicator</td>
<td>Total No of Federal Employees</td>
</tr>
<tr>
<td>Estimated Disposition Year</td>
<td>Overall Asset Condition</td>
<td>Usage Code</td>
</tr>
</tbody>
</table>
Source data for **Bridge Safety Inspection** is expected to be updated with the same frequency as the required safety inspection

- **Controlled access and publicly accessible train bridges** – one inspection per calendar year, with not more than 540 days between successive inspections

- **Publicly accessible vehicular bridges** – regular intervals not to exceed twenty-four months

For the remainder of the data elements there is no required update cycle for source documents
Unacceptable Source Documents

- Documents considered to be poor source documents are those that are not credible, managed or maintained:
  - Transactional data sources
  - Databases that are repositories of information
  - Other site or program-specific facility databases
  - Spreadsheets of compiled data
  - Undated and/or unsigned documents
  - Interim or draft reports
  - Design development drawings
  - Documents that obtain their data from FIMS
Generating Source Documents (continued)

- Recreating source documents annually from FIMS is no longer acceptable
  - Once a source document is generated from FIMS
    - Becomes your living document
      - Updates should be made to this document year after year
      - Should not be regenerated from FIMS each year just prior to the validation
  - Source Documents should be dated when the physical update occurs in FIMS
    - Not days or the weeks before the validation

A Source Document may only contain data for a single Subject Matter Expert
- Multiple data elements on a source document signed by multiple Subject Matter Experts is not acceptable

It is acceptable to produce a list of assets from FIMS for the SME
Gathering Source Document

- As you are updating FIMS, you should be receiving hard copy/electronic documentation for your source data
  - There should be no need to regenerate Source Documents just prior to the validation
- Source documents should be gathered and organized prior to the kickoff of the FIMS Validation
  - Consider organizing source documents into file folders/binders or electronically by data element
    - Sort by Property ID for easy retrieval during the validation
Gathering Source Document
(continued)

- Source Documents may be stored in the FIMS Document Tracking module
- All source documents must be finalized
  - Signed and dated by the Subject Matter Expert
    - If not, is considered an unacceptable source document
  - Emails printed with dates/To/From info and attachments referenced by file name are acceptable and **do not** require physical signatures
    - For clarification purposes, printed email attachments should include the file name and date
Sample Email Source Document

Reply from SME

From: Davis, Charles
To: Ford, William
Subject: RE: FIMS Occupancy Data
Date: Monday, October 7, 2019 7:51:06 AM
Attachments: FIMS_Fed_Centr_occupants_updated.xlsx

William,

Attached are the FIMS Total No of Federal and Total No of Contractor Employee numbers for FY19 based on the asset list you provided me.

If you have any questions, please let me know.

Charles Davis

Email to SME

From: Ford, William
Sent: Friday, September 20, 2019 3:36 PM
To: Davis, Charles
Subject: FIMS Occupancy Data
Attachments: FIMS_Fed_Centr_occupants.xlsx

Charles,

Attached are a list of DOE Owned building and trailer assets from FIMS. Can you please populate the Total No of Federal Employees as well as the Total No of Contractor Employees for each asset? If there are no occupants, please enter zero in the appropriate cell as blanks are not permitted.

Please provide this data to me no later than October 15th. If you need any clarification on the definitions for these fields or have any questions, please let me know.

Thanks,
William Ford
FIMS Administrator
West Valley Demonstration Project

List of Property IDs and Property Names can be extracted from FIMS.

No longer acceptable to extract data values from FIMS yearly for SME to verify.
## Source Documentation Worksheet

- Used to identify the Subject Matter Expert for each validated data element
- The **Source Documentation Worksheet** can be found at [https://fims.doe.gov/fimsinfo/doc.html](https://fims.doe.gov/fimsinfo/doc.html) under the **Data Validation** topic

<table>
<thead>
<tr>
<th>FIMS Data Element</th>
<th>Subject Matter Expert</th>
<th>Validation Required For</th>
<th>Process For Obtaining Source Data</th>
<th>Typical Acceptable Source</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. Ownership</td>
<td>Name: Phone: Email: Title: Company:</td>
<td>Building/Trailer/OSF – DOE owned, DOE leased, and Contractor leased</td>
<td>Data provided by the Facilities Group Management or Real Estate. For owned land, the land deed or transfer document. For withdrawn from public domain land, a “Public Land Order” issued by the Department of Interior, Bureau of Land Management on the Federal Register. For DOE leased and contractor leased assets, the Lease Agreement. For GSA OA assets, the GSA Occupancy Agreement.</td>
<td></td>
</tr>
<tr>
<td>Update: As needed</td>
<td>Land – DOE owned, DOE leased and withdrawn</td>
<td>Land – DOE owned, DOE leased and withdrawn</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>GSA OA – GSA owned and GSA leased</td>
<td>GSA OA – GSA owned and GSA leased</td>
<td></td>
<td></td>
</tr>
<tr>
<td>2. Usage Code</td>
<td>Name: Phone: Email: Title: Company:</td>
<td>Building/Trailer/OSF – DOE owned, DOE leased, and Contractor leased</td>
<td>Annual review provided by the Facility Managers or physical walkthroughs of the assets to ensure the Usage Code is captured for the predominant usage based on the size of each facility/land parcel.</td>
<td></td>
</tr>
<tr>
<td>Update: Annually</td>
<td>Land – DOE owned, DOE leased and withdrawn</td>
<td>Land – DOE owned, DOE leased and withdrawn</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>GSA OA – GSA owned and GSA leased</td>
<td>GSA OA – GSA owned and GSA leased</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
FIMS Data Element: Provides the data element being validated along with the required update frequency of the source document
- Don’t confuse with the FIMS DED data field update frequency

Subject Matter Expert: Allows the site to identify the Subject Matter Expert for each of the validated data elements
- The Subject Matter Expert listed should be the Subject Matter Expert signing/emailing the official source document

Validation Required For: Identifies for which assets (building, trailer, OSF and/or land) each specific data element is required
Source Documentation Worksheet

columns (continued)

- **Process for Obtaining Source Data**: Allows the site to document/reference the process used for obtaining the source data.

- **Typical Acceptable Source**: Provides a list of typical source documents used for each validated FIMS data element; allows site to document the “Source Used” and the “Source Date”.
Source Documentation Worksheet

- To be completed for your site prior to your scheduled FIMS validation
  - Provide copies for Validation team members
  - Ensure Subject Matter Experts expect to be contacted should there be any questions
Lesson 6 Summary

- Identify acceptable and unacceptable source documents
- Know Source Document update frequencies
- Understand the use of the Source Documentation Worksheet
## Lesson 6 Exercise 3

### Source Documentation

Determine if the following would be acceptable source documents

<table>
<thead>
<tr>
<th></th>
<th>Acceptable?</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. A local in-house facility database that is used onsite to manage real property assets</td>
<td>Yes or No</td>
</tr>
<tr>
<td>2. As-built drawings</td>
<td>Yes or No</td>
</tr>
<tr>
<td>3. Site lease agreement that does not specifically identify each asset</td>
<td>Yes or No</td>
</tr>
<tr>
<td>4. GSA Occupancy Agreement</td>
<td>Yes or No</td>
</tr>
<tr>
<td>5. Internal site memorandum detailing square footage of DOE owned buildings</td>
<td>Yes or No</td>
</tr>
<tr>
<td>6. A local database that stores FIMS information that is extracted monthly</td>
<td>Yes or No</td>
</tr>
<tr>
<td>7. Land deed</td>
<td>Yes or No</td>
</tr>
</tbody>
</table>
Lesson 6  Exercise 3

Source Documentation

<table>
<thead>
<tr>
<th>Determine if the following would be acceptable source documents</th>
<th>Acceptable?</th>
</tr>
</thead>
<tbody>
<tr>
<td>8. Master spreadsheet that resides on a shared site computer that contains a variety of maintenance and operations cost data</td>
<td></td>
</tr>
<tr>
<td>9. Condition Assessment Information System (CAIS) Repair Needs/Deferred Maintenance/Inspection Date/Modernization Cost data</td>
<td></td>
</tr>
<tr>
<td>10. Consolidated spreadsheet of multiple data elements with data signed and dated by 3 site managers</td>
<td></td>
</tr>
<tr>
<td>11. Physical building measurements stored in site vaults</td>
<td></td>
</tr>
<tr>
<td>12. Condition Assessment reports from non-CAIS related software</td>
<td></td>
</tr>
<tr>
<td>13. Lease Contract Agreement</td>
<td></td>
</tr>
<tr>
<td>Determine if the following would be acceptable source documents</td>
<td>Acceptable?</td>
</tr>
<tr>
<td>---------------------------------------------------------------</td>
<td>-------------</td>
</tr>
<tr>
<td>14. FIMS Standard Report 001-Owned Building Complete Information signed by a single SME</td>
<td>Yes or No</td>
</tr>
<tr>
<td>15. Quarterly Utilization report that contains data from local in-house databases as well as FIMS utilization data</td>
<td>Yes or No</td>
</tr>
<tr>
<td>16. Signed construction drawings and blueprints</td>
<td>Yes or No</td>
</tr>
<tr>
<td>17. Site document that does not identify the owner and is not dated</td>
<td>Yes or No</td>
</tr>
<tr>
<td>18. Email from a Subject Matter Expert with attached data</td>
<td>Yes or No</td>
</tr>
<tr>
<td>19. Spreadsheet that identifies data that was uploaded to FIMS with email from SME</td>
<td>Yes or No</td>
</tr>
<tr>
<td>20. An annual utilization survey that was conducted in accordance with RPAM that is signed and dated two years ago</td>
<td>Yes or No</td>
</tr>
</tbody>
</table>
A Detailed Look at the FIMS Data being Validated (Part 1)

Lesson 7
Lesson 7 Objectives

- Identify the specific FIMS data elements and performance measures being validated
FIMS Validation Process

Lesson 3
- Inbrief
Lesson 4
- Determine Sample Size
Lesson 5
- Generate the Data Validation Forms
Lesson 6
- Source Documents
Lesson 7
- Data Element Review (Part 1)
Lesson 8
- Process Verification
Lesson 9
- Data Element Review (Part 2)
Lesson 10
- Desktop Validation
Lesson 11
- Walkthroughs
Lesson 12
- Prepare Scorecards
Lesson 13
- Follow-up Actions & Outbrief
Lesson 14
- How to Plan the Validation
DOE Issued Guidance

- On September 20, 2019, DOE issued guidance, *FY2019 Federal Real Property Reporting Instructions* that addresses the data elements established by the FRPC.
- The latest guidance can be found on the FIMS website under the DOE Headquarters Office of Asset Management Guidance:
  
  https://fims.doe.gov/fimsinfo/doc.html
1) Ownership

Definition: Identifies DOE’s legal interest in or right to use real property, including outright title

Currently validating
- **DOE owned** - buildings, trailers, OSF and land
- **DOE leased** - buildings, trailers, OSF and land
- **Contractor leased** – buildings, trailers and OSF
- **GSA owned and GSA leased** – GSA Occupancy Agreement - buildings
- **Withdrawn from public domain** - land

**Validated for buildings, trailers, OSF and land**

Update frequency: As needed
1) Ownership (continued)

- How to check:
  - source documents from Real Estate or Facilities Group Management
  - for DOE owned land use the deed
  - for withdrawn from public domain land a “Public Land Order” issued by the Bureau of Land Management
  - for DOE and Contractor leased assets use the lease agreement
  - for GSA owned and GSA leased buildings use the GSA Occupancy Agreement

- Anomalies: ensure leased assets have lease agreements and GSA owned and leased have GSA Occupancy Agreements; DOE leased assets should have a lease agreement signed by a federal DOE Real Estate Contracting Officer (not a contractor)
2) Usage Code

- Definition: Designates the predominant current use based on percentage of size of a real property asset.

- Usage Codes are defined in the FIMS User’s Guide:
  - Appendix B Building Usage Codes – buildings and trailers
  - Appendix C OSF Usage Codes – OSF
  - Appendix E Land Usage Codes - Land

- **Validated for buildings, trailers, OSF and land**

- Update frequency: Annually

- How to check: facility manager interviews/emails, physical asset visit or survey, Bridge Safety Inspection report

- Anomalies: Usage Code used is not the predominant
3) Property Type

- **Definition:** Identifies the type of real property asset

<table>
<thead>
<tr>
<th>Building</th>
<th>OSF (Other Structures and Facilities)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Trailer</td>
<td>Land</td>
</tr>
</tbody>
</table>

- **Validated for buildings, trailers, OSF and land**

- **Update frequency:** As needed

- **How to check:**
  - source documents from Real Estate, Facilities Group Management or Facility Managers
3) Property Type (continued)

- **How to check (continued):**
  - for DOE owned land use the deed
  - for withdrawn from public domain land a “Public Land Order” issued by the Bureau of Land Management
  - for DOE leased and Contractor leased assets use the lease agreement
  - for GSA owned and GSA leased buildings use the GSA Occupancy Agreement

- **Anomalies:** OSF assets identified as buildings, trailers identified as buildings, modular buildings identified as trailers (triple-wide or larger by definition are buildings – see DED), multiple buildings/trailers reported as one asset

See new guidance, Classification of Trailers, on the website
4) Status

- **Definition:** Reflects programmatic intentions as well as the predominant physical/operational status of an asset based on size
- **FIMS Values:**

<table>
<thead>
<tr>
<th>Status</th>
<th>Definition</th>
</tr>
</thead>
<tbody>
<tr>
<td>Operating</td>
<td>Undergoing Disposition</td>
</tr>
<tr>
<td>Standby</td>
<td>In-Situ Closed</td>
</tr>
<tr>
<td>Outgranted</td>
<td>In-Situ Closed – LTM</td>
</tr>
<tr>
<td>Shutdown</td>
<td>Active Land (land only)</td>
</tr>
<tr>
<td>Undergoing Stabilization/Deactivation</td>
<td>Inactive Land (land only)</td>
</tr>
<tr>
<td>Undergoing Decommissioning</td>
<td></td>
</tr>
</tbody>
</table>

- **Report predominant Status based on Size, any other Status value would be in error**
- **Validated for buildings, trailers, OSF and land**
4) Status (continued)

- Update frequency: Annually
- How to check: facility manager interviews/email, physical asset visit, Bridge Safety Inspection report
- Anomalies: Most common problem is decision to shutdown is not reflected in FIMS or Status recorded in FIMS is not predominant
5) Size (Performance Measure)

Definition:

- **Buildings and Trailers**
  - **Gross Sqft** (recorded for DOE owned)
    - Preferred Method: The area of all floor areas on all levels of a building or trailer in square feet as determined by using an industry standard methodology such as ANSI/BOMA Z65.3-2009, Gross Area of a Building: Standard Methods of Measurement
    - Secondary Method: The total floor area of a building or trailer in square feet measured between exterior finished surfaces and multiplied by the number of floors
5) Size  (Performance Measure)  (continued)

- **Definition:** (continued)
  - **Buildings and Trailers**
  - **Rentable Sqft** (recorded for all Ownerships except DOE owned)
    - The rentable area, in SQFT, ingrant under the current agreement as determined using ANSI/BOMA Z65.1-2010, Office Buildings: Standard Methods of Measurement. It is the area, measured to the inside finished surface of the permanent outer building walls, excluding any major vertical penetrations of the floor. Areas of columns and building projections are included in rentable area. Excluded are exterior walls, major vertical penetrations and interior parking spaces.
    - If the ingrant is based on gross square footage, the rentable area is determined using ANSI/BOMA Z65.3-2009, Gross Areas of a Building: Standard Methods of Measurement
    - For GSA owned and GSA leased buildings, the ANSI rentable area assigned by the Occupancy Agreement
5) **Size** *(Performance Measure) (continued)*

- **Validated for buildings and trailers**
- Must be greater than zero
- Update frequency: As needed
- How to check: as-builts, physical measurements, Geographic Information Systems (GIS), space management
5) **Size** (Performance Measure) (continued)

- **Definition:**
  - **OSF**
    - A numeric value representing the measurement for an OSF based upon the Size Unit of Measure generated by FIMS from the OSF usage code

- **Validated for OSF**
- Must be greater than zero
- Update frequency: As needed
- How to check: documents from the Facility Manager / Subject Matter Expert, Bridge Safety Inspection report
- Anomalies: If Usage Code changes, ensure the Size is updated to match the Size Unit of Measure
5) Size (Performance Measure) (continued)

- Definition:
  - **Land**
    - The total number of acres associated with the land parcel
  - Validated for Land
  - Must be greater than zero
  - Update frequency: As needed
  - How to check: deed for DOE owned; lease agreement for DOE leased; “Public Land Order” for withdrawn from public domain land
  - Anomalies: cannot equal zero
6) Space Type Usable SF - Office

Definition: Office - The portion of a building used to house personnel, equipment, fixtures, furniture, supplies, goods or merchandise, used for the performance of administrative functions, as determined using an ANSI/BOMA Z65.1-2010, Office Buildings: Standard Methods of Measurement

- Include secondary circulation

Reference: Implementation Guidance for the Revised Office Space Standard, 08/31/2018
6) Space Type Usable SF – Office
(continued)

- **Definition:** (continued)
- **Exclude:**
  - High Bay area, Ventilation Intensive area, Power Intensive area and Lab area – wet and/or dry
  - All secure and limited access spaces (e.g. SCIFs, operations centers, control rooms)
  - Classroom and training space
  - Other, non-administrative, Mission Areas – warehouse, hospitals/clinics, industrial, shops and services
  - Primary circulation
  - Common areas and common use conference rooms
  - Building support services space
  - Mechanical and electrical space
  - Toilets/Restrooms open to all
6) Space Type Usable SF – Office
(continued)

- **Definition:** (continued)
  - Population is required for all buildings and trailers
  - Zero (0) must be entered if no Office space exists within the asset
    - Source documents must support any reported zeroes

- **Validated for DOE owned, DOE leased and Contractor leased buildings and trailers as well as GSA owned and GSA leased buildings**

- **Update frequency:** As needed

- **How to check:** Space Management System, CAD drawings, physical measurements, Geographic Information Systems (GIS)
7) No of Floors

- **Definition:**
  - The number of floors in a building including below grade floors
  - A floor may be defined as an internal structure designed to support personnel and/or equipment that covers at least 40% of the building footprint
  - See definition in the FIMS User’s Guide for more details

- **Validated for DOE owned buildings**
  - **NOTE:** Trailers have been defaulted to 1 floor, but are not being validated

- **Update frequency:** As needed
- **How to check:** As-built drawing, physical visit, Space Management System
8) Repair Needs (Performance Measure)

Definition:
- The estimated cost to restore all deficiencies identified, for a real property asset during a condition assessment survey (CAS), to a state substantially equivalent to the most recently configured capacity, efficiency or capability as required by the mission.

- **Validated for DOE owned, DOE leased and Contractor leased buildings, trailers and OSF as well as GSA owned and GSA leased buildings**

- **Update frequency: Annually**

- **Generate Anomaly 20 FRPP RN Compare**
  - Same value cannot be reported from year to year
  - Should be inflated between CAS inspection years
8) Repair Needs (Performance Measure) (continued)

- How to check:
  - CAS reports at the asset level; CAIS – FIMS Upload report
  - Source Documentation is required for all values, including $0 (zero)
  - Must be equal to or greater than the Deferred Maintenance

- DOE does not accept “desktop” life cycle cost estimating or modeling of Repair Needs

- For assets in a shutdown Status, the previously reported Repair Needs should remain in FIMS. Do not set to $0.

- Anomalies: cannot be less than Deferred Maintenance, $0 is not expected for Shutdown assets
8) Repair Needs *(Performance Measure) (continued)*

- Sites using CAIS, sample source document
  - CAIS FIMS Upload Report
  - Provides source data for …

<table>
<thead>
<tr>
<th>Site Name</th>
<th>Area Name</th>
<th>Real Property Unique ID</th>
<th>Property ID</th>
<th>Modernization Cost</th>
<th>Deferred Maintenance</th>
<th>Repair Needs</th>
<th>Last Inspection Date</th>
</tr>
</thead>
<tbody>
<tr>
<td>Y-12 National Security Complex</td>
<td>CTF</td>
<td>211123</td>
<td>K-1654</td>
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<td>K-1654-G</td>
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<td>$29,294</td>
<td>10/22/2014</td>
</tr>
</tbody>
</table>
9) Deferred Maintenance
(Performance Measure)

- Definition: Maintenance that was not performed when it should have been or was scheduled to be and which, therefore, is put off or delayed for a future period.

- Only validated for DOE owned buildings, trailers and OSF.

- Update frequency: Annually.

- Generate Anomaly 16 FRPP DM Compare:
  - Same value cannot be reported from year to year.
  - Should be inflated between CAS inspection years.

Did you know?... Deferred Maintenance from FIMS is also supplementally reported within the DOE’s Annual Financial Statement.
9) Deferred Maintenance (Performance Measure) (continued)

- How to check:
  - CAS reports at the asset level; CAIS - FIMS Upload report
    - Source Documentation is required for all values, including $0 (zero)
  - Verify that Deferred Maintenance is a result of a documented methodology for determining which of a site’s Repair Needs (deficiencies) are considered Deferred Maintenance
9) Deferred Maintenance (Performance Measure) (continued)

- How to check: (continued)
  - DOE does not accept “desktop” life cycle cost estimating or modeling of Deferred Maintenance (this causes an error for DM)

- Anomalies: DM is greater than RPV; values are needed for DOE owned including outgranted assets; DM greater than Repair Needs

No parametric estimating!
10) Inspection Date

- **Definition:** The date of the final Condition Assessment Survey (CAS) during the fiscal year

- Do not enter an Inspection Date when no inspection compliant with required guidance has occurred

- When multiple inspections covering all of an asset’s components systems have occurred within a single fiscal year, record the date of the final inspection

- Do not enter future date

- For OSF, designated as **Physical Barriers Preventing Inspection** (PBPI) = Yes, the Inspection Date is left blank

- For new assets, the date of beneficial occupancy can be used for the Inspection Date until it is CAS inspected within the 5 year cycle
10) Inspection Date (continued)

- Verify date is within a 5 calendar year period, not more than 1,826 days (i.e., Inspection Date = 6/1/2015 must be reinspected by 6/1/2020)
  - Inspection Date beyond 5 years for an asset on the date of the validation will result in an error not only for the Inspection Date but also for Repair Needs and Deferred Maintenance

- Validated for DOE owned, DOE leased and Contractor leased buildings, trailers and OSF as well as GSA owned and GSA leased buildings

- Update frequency: Annually

- How to check: CAS reports as the asset level; CAIS – FIMS Upload report

**Deficiencies need to be updated annually, inspections are to be performed every 5 years or less**
11) Asset % Utilized (Performance Measure)

Definition: That portion of an asset in use
- Conduct an annual utilization survey of each asset following cognizant HQ Program Office guidance
- Asset % Utilized is independent of Status and must be reported for all FIMS Status designations
- Facilities that are fully shutdown will generally have an Asset % Utilized of zero
- However, because the reported “Status” is the predominate status, a facility that is 51% shutdown and 49% operating would be properly reported as ‘Shutdown” but the Asset % Utilized would be 49% (if the operating portion is fully utilized)
11) Asset % Utilized (Performance Measure) (continued)

Definition: (continued)

- Asset % Utilized is not a reflection of space assignment but rather a measure of how ‘full’ (utilized) the space is.
  - For example, if a building with four floors is fully assigned/charged to an organization but one floor is empty with the other three floors fully utilized, the Asset % Utilized would be 75%.

- For programmatic real property such as laboratories or accelerators, the Asset % Utilized may be considered to be 100% if the mission requires 100% of the facility, even though there may be times when the facility is not fully utilized or even unutilized.

- Asset % Utilized = (Utilized Size of an asset / Total Size of an asset) X 100 (expressed as a percentage in FIMS)
11) Asset % Utilized (Performance Measure) (continued)

- RPAM requires annual utilization surveys
- **Validated for DOE owned, DOE leased and Contractor leased buildings, trailers and OSF as well as GSA owned and GSA leased buildings**
  - OSF are being scored for FY20 Validations
- Update frequency: Annually
11) Asset % Utilized (Performance Measure)
(continued)

- How to check: examine process for measuring utilization (Annual Utilization Survey), verify that reported Asset % Utilized is calculated from this process and visit a sample of assets to do a reasonableness check

- Anomalies: Asset % Utilized should not be a reflection of space assignment or charge back
12) Total No of Federal Employees

Definition: Report the number of Federal employees assigned to a building/trailer. Federal employees are defined as:

- The total number of full and part time employees who are permanently assigned to a building/trailer asset
- Seasonal hires, interns and other temporary staff if they predominantly work in the building/trailer and are employed for three months or longer
- Individuals who telework less than five days a week but are permanently assigned to the location should be counted
12) Total No of Federal Employees (continued)

- If there are no federal employees in the building/trailer, zero (0) should be entered
  - Source documents must support any reported zeroes

- Validated for buildings and trailers

- Update frequency: Annually

- How to check: Annual utilization survey, facility manager or other site Subject Matter Expert who is responsible for tracking the number of employees working in a building/trailer, site phone/room assignment directory
13) Total No of Contractor Employees

Definition: Report the number of contractor employees assigned to the building/trailer. Contractors are defined as:

- Employees that are not federal employees
- The total number of full and part time contract employees who are permanently assigned to a building/trailer asset
- Seasonal hires, interns and other temporary staff if they predominantly work in the building/trailer and are employed for three months or longer, and
- Individuals who telework less than five days a week but are permanently assigned to the location should be counted
13) Total No of Contractor Employees (continued)

- If there are no contractor employees in the building/trailer, zero (0) should be entered
  - Source documents must support any reported zeroes

- Validated for buildings and trailers
- Update frequency: Annually
- How to check: Annual utilization survey, facility manager or other site Subject Matter Expert who is responsible for tracking the number of employees working in a building/trailer, site phone/room assignment directory
14) Replacement Plant Value (RPV) (Performance Measure)

- Definition: Current cost to replace an existing facility with a new facility based on comparable size and current usage using current technology, codes, standards and materials.

For leased space, the RPV is the cost to build a new facility the size of the leased space based on the current usage.

- Validated for DOE owned, DOE leased and Contractor leased buildings, trailers and OSF.

- Update frequency: Annually.

- How to check:
14) Replacement Plant Value (RPV) (Performance Measure) (continued)

- **If generated by FIMS** (only building and trailer RPV can be generated by FIMS)
  - Verify that a reasonable RPV Model is applied
    - If Usage Code, Size or No of Floors is in error, then RPV will also be in error because Usage Code should be used to determine an appropriate RPV Model and Size and No of Floors are used to generate the RPV
  - Use the FIMS Usage Code – RPV Model Crosswalk found in Appendix F of the FIMS User’s Guide

<table>
<thead>
<tr>
<th>FIMS Usage Code</th>
<th>Usage Code Description</th>
<th>SUGGESTED FIMS RPV Model</th>
</tr>
</thead>
<tbody>
<tr>
<td>101</td>
<td>Office</td>
<td>E05</td>
</tr>
<tr>
<td></td>
<td>Fire Station</td>
<td>E07</td>
</tr>
<tr>
<td></td>
<td>Office Small</td>
<td>E15</td>
</tr>
<tr>
<td></td>
<td>Office Medium</td>
<td>E16</td>
</tr>
<tr>
<td></td>
<td>Office Large</td>
<td>E17</td>
</tr>
<tr>
<td></td>
<td>Security/Badging</td>
<td>E24</td>
</tr>
<tr>
<td></td>
<td>Office 1-story</td>
<td>E28</td>
</tr>
</tbody>
</table>
14) Replacement Plant Value (RPV) (Performance Measure) (continued)

- If generated by FIMS (only building and trailer RPV can be generated by FIMS) (continued)
  - Verify RPV Factor calculation process if site is not using the default FIMS RPV Factor (1.568) (buildings and trailers only)
  - Must supply source document for calculation
14) Replacement Plant Value (RPV) (Performance Measure) (continued)

- If generated by CAIS (building, trailer and OSF RPV can be generated by CAIS)
  - If an RPV Model exists, verify that a reasonable RPV Model is applied
    - If Usage Code, Size or No of Floors is in error, then RPV will also be in error because Usage Code should be used to determine an appropriate RPV Model and Size and No of Floors are used to generate the RPV
  - Use the FIMS Usage Code – RPV Model Crosswalk found in Appendix F of the FIMS User’s Guide
14) Replacement Plant Value (RPV)
(Performance Measure) (continued)

- If generated by CAIS (building, trailer and OSF RPV can be generated by CAIS) (continued)
  - If an RPV Model does not exists (represents a CAIS line item estimate)
    - Verify that an estimate exists in CAIS
    - If a Cost Adder has been applied to the estimate, verify that a calculation exists to support the adder used
14) Replacement Plant Value (RPV) (Performance Measure) (continued)

- If RPV is generated by an ‘Other’ source (see RPV Source in Validation form footer)
  - Review process and verify that RPV is generated from a published and repeatable source (i.e. RS Means, Whitestone, etc.)
  - Verify that personal property is not included in estimate
  - For ‘Other’ source RPVs, source data should identify the origin of the RPV and the calculation process
    - Not just an inflation from last year’s value to this year’s value
  - Values must be inflated annually and regenerated every 5 years
If RPV is generated by an ‘Other’ source (see RPV Source in Validation form footer) (continued)
- For buildings and trailers, verify that the value is an RPV, not a Current Plant Value (CPV) or Insurance Estimate
- For an OSF, Current Plant Value (CPV) is currently an acceptable methodology for RPV
  - RPV versus CPV discussed on next slide

Generate Anomaly 17 FRPP RPV Compare
- Same value cannot be reported from year to year for an asset

Anomalies: Unacceptable values such as $1, $5, $25, $50, $100…
**Difference Between RPV and CPV?**

- **RPV:** Current cost to replace an existing facility with a new facility based on comparable size and current usage using current technology, codes, standards and materials.

- **CPV:** The original acquisition cost of a facility multiplied by an escalation factor to escalate to current dollars.
  - If the facility was enlarged or improved, the present value of those investments must be determined by the same process and the amount added to the present value of the original structure.
  - DOE and the FRPP use RPV for valuation of real property.
    - In general, use of CPV to value a building or trailer will cause an error.
  - In some cases, a CPV may be an acceptable replacement for the RPV.
    - New construction (for first 5 years/escalate annually)
    - Other Structures and Facilities *(minimize use – consider using CAIS)*
15) Annual Actual Maintenance
(Performance Measure)

- Definition: The actual, burdened costs of all maintenance and repair activities in a given fiscal year for a building, real property trailer or OSF

- Must provide evidence of recording asset level Actual Maintenance costs as required by RPAM, DOE Order 430.1C
  - Typically through a Computerized Maintenance Management System and/or through the Site’s financial management system

- Source documentation is required for all values, including $0 (zero)

- Cannot be allocated
15) Annual Actual Maintenance
(Performance Measure) (continued)

- For GSA owned and GSA leased buildings, $0 is acceptable for fully serviced Occupancy Agreements.
- Validated for DOE owned, DOE leased and Contractor leased buildings, trailers and OSF as well as GSA owned and GSA leased buildings.
- Update frequency: Annually.
- How to check: site financial or Computerized Maintenance Management System (CMMS), verify process is in place to capture at asset level.
- Anomalies: AM greater than RPV; AM = zero (there can be exceptions, be prepared to explain); values are needed for all owned and leased assets.
16) Annual Required Maintenance

Definition: Include estimated, fully-burdened costs for predictive, preventive and corrective maintenance or surveillance and maintenance for which the budget year (2 years beyond the current fiscal year) is the optimum period of accomplishment as determined by

- Condition assessment surveys
- The site’s maintenance management plan
- Vendor maintenance schedules or
- Lifecycle or condition modeling

Incorporate in estimated costs the prevailing wage and cost burden rates and any ancillary services or work necessary to resolve the deficiency.
16) Annual Required Maintenance (continued)

Definition: (continued)

For projects with mixed scope of modernization and maintenance that would provide similar maintenance benefits to multiple assets at a single cost

- First deduct any estimated project costs for modernization
- Then allocate the remaining estimated costs to the impacted assets based on size
16) Annual Required Maintenance (continued)

- Validated for DOE owned, DOE leased and Contractor leased buildings, trailers and OSF as well as GSA owned and GSA leased buildings.

- Update frequency: Annually

- How to check: reports from site financial or planning office; ensure estimates have been escalated to FY2022 currency values for FY2020 reporting.
17) Functionality Assessment Date

Definition: The date of the most recent completed review to determine the difference between the asset’s current physical condition and its capability to meet mission requirements to serve a designated function or use.

- For new assets, the date of beneficial occupancy can be used.
- Future dates are not permissible.
- Do not enter a date unless a formal assessment has been performed based on Program Office guidance.
17) Functionality Assessment Date
(continued)

- Verify date is within a 5 calendar year period, not more than 1,826 days between assessments
  - Functionality Assessment Date beyond 5 years for an asset on the date of the validation will result in an error not only for the Functionality Assessment Date but also for Modernization Cost

- Initial Functionality Assessments are to be completed by 8/31/2021 to comply with the 5 year cycle
Validated for DOE owned, DOE leased and Contractor leased buildings, trailers and OSF as well as GSA owned and GSA leased buildings with a Status of:

- 1 – Operating
- 2 – Standby
- 3 – Outgranted

Update frequency: Annually

How to check: most recent Functionality Assessment reports
18) Modernization Cost

- **Definition:**
  - Estimated cost representing improvements to the asset that result in better quality work, increased capacity, extended useful life as well as enhancing the value of the asset.
  - These improvements are associated with mission deficiencies identified during the reoccurring five year Functionality Assessment.
18) Modernization Cost

- **Definition:** (continued)
  - Update Modernization Cost to reflect new mission gaps identified and mission gaps previously identified that are no longer needed in years where a Functionality Assessment is out of the five year cycle.
  - CAIS automatically recalculates Modernization Cost annually.
  - For sites not using CAIS, third-party vendor or non-standard construction material estimates must be re-estimated every 5 years.
    - In the year between the 5 year re-estimates, inflate to current year dollars for reporting.
18) Modernization Cost (continued)

- Zero ($0) is an acceptable value
- **Generate Anomaly 22 FRPP Modernization Compare**
  - Same value cannot be reported from year to year
  - Should be inflated between CAS inspection years
- **Validated for DOE owned, DOE leased and Contractor leased buildings, trailers and OSF as well as GSA owned and GSA leased buildings**
- Update frequency: Annually
- How to check: estimates from site financial planning or projects office; CAIS – FIMS Upload report
19) Overall Asset Condition

Definition: Based on a Condition Assessment Survey (CAS), a Functionality Assessment and other real property indicators, select one of the following:

- Adequate
- Substandard
- Inadequate

Validated for DOE owned, DOE leased and Contractor leased buildings, trailers and OSF as well as GSA owned and GSA leased buildings with a Status of

- 1 – Operating
- 2 – Standby
- 3 – Outgranted

Update frequency: Annually

How to check: Most recent assessment reports

Detailed definitions can be found in the FIMS DED
20) Historic Designation

- **Definition:** Identify the building, land, trailer or OSF as:

<table>
<thead>
<tr>
<th>National Historic Landmark (NHL)</th>
<th>National Register Eligible (NRE)</th>
</tr>
</thead>
<tbody>
<tr>
<td>National Register Listed (NRL)</td>
<td>Not Evaluated</td>
</tr>
<tr>
<td>Non-contributing element of NHL/NRL district</td>
<td>Evaluated, Not Historic</td>
</tr>
</tbody>
</table>

- **Validated for DOE owned buildings, trailers, OSF and land**

- **Update frequency:** As needed

- **How to check:** State Historical Preservation Officer (SHPO) or site office coordinating with SHPO
  
  - Designation must come from the SHPO
  - If no SHPO evaluation, use Not Evaluated
Lesson 7 Summary

- Describe the FIMS data elements/performance measures being validated (Part 1)
Process Verification

Lesson 8
Lesson 8 Objectives

- Understanding the importance of reviewing the Site processes / procedures for obtaining the FIMS data
FIMS Validation Process

1. **Inbrief**
   - Lesson 3

2. **Determine Sample Size**
   - Lesson 4

3. **Generate the Data Validation Forms**
   - Lesson 5

4. **Source Documents**
   - Lesson 6

5. **Desktop Validation**
   - Lesson 10

6. **Data Element Review (Part 2)**
   - Lesson 9

7. **Process Verification**
   - Lesson 8

8. **Data Element Review (Part 1)**
   - Lesson 7

9. **Prepare Scorecards**
   - Lesson 12

10. **Follow-up Actions & Outbrief**
    - Lesson 13

11. **Walkthroughs**
    - Lesson 11

12. **How to Plan the Validation**
    - Lesson 14
Processes

- It is essential to look at the processes at a site
  - The methodology for capturing the data
  - A site’s procedures for collecting the data
- Source documents are important but so are the source processes
  - The Validation is more than just matching the FIMS value to the Source Document value
- Need to be documented
- Make available for the validation team to review during the Validation
Processes to look for …

- **Repair Needs and Deferred Maintenance** –
  - Is Repair Needs inspection based?
  - What is the process for determining DM?
  - Are they inflated annually between the CAS inspection years?

- **Actual Maintenance** –
  - Is it captured at the asset level?
    - Examine/explain the process

- **Inspection Date** –
  - Verify the inspection cycle is 5 years or less
<table>
<thead>
<tr>
<th>Processes to look for ... (continued)</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Asset % Utilized</strong> -</td>
</tr>
<tr>
<td>- Is it based on an asset level annual survey?</td>
</tr>
<tr>
<td>- Explain the process</td>
</tr>
<tr>
<td><strong>Replacement Plant Value –</strong></td>
</tr>
<tr>
<td>- Are the RPV models used?</td>
</tr>
<tr>
<td>- If the RPV Source = ‘Other’, does the calculation take into account current standards of construction?</td>
</tr>
<tr>
<td>- What is the process?</td>
</tr>
<tr>
<td>- Are the values inflated annually and recalculated at a minimum every 5 years?</td>
</tr>
<tr>
<td>- Verify that CPV is only used for OSFs and new assets prior to the first CAS inspection</td>
</tr>
</tbody>
</table>
Processes to look for ... (continued)

- **RPV Factor**
  - If the default 1.568 is not being used
    - What process was used to develop the RPV Factor?
      - Is the calculation available?

- **Operating Cost -**
  - Is the Site level cost based on actual invoices/contracts?
  - If site allocated the asset level cost, is the process documented?
    - Explain the process
      - Ensure it is based on sound business practices
 Processes to look for … (continued)

- **Historical Designation**
  - Has an evaluation been completed by the State Historic Preservation Officer (SHPO)?
  - Does the letter identify assets by Property ID or Property Name?
  - If not, the assets are considered ‘Not Evaluated’
Processes to look for … (continued)

- Disposition Date
- Disposition Method
- Actual Sales Price
- Net Proceeds

- Is there a process in place where the FIMS admin receives notification (usually via email) that an asset has been disposed?

- Does the source document include the above data elements with specific mention to the appropriate FIMS values?

- For example, an email that states the asset was “disposed” does not provide the Disposition Method
  - Was it Demolished or Sold?
Lesson 8 Summary

- Understand the additional process / methodology checks that are a necessary part of the validation
A Detailed Look at the FIMS Data being Validated (Part 2)

Lesson 9
Lesson 9 Objectives

- Review the remainder of the specific FIMS data elements and performance measures being validated
FIMS Validation Process

- Inbrief Lesson 3
- Determine Sample Size Lesson 4
- Generate the Data Validation Forms Lesson 5
- Source Documents Lesson 6
- Desktop Validation Lesson 10
  - Data Element Review (Part 2) Lesson 9
  - Process Verification Lesson 8
- Data Element Review (Part 1) Lesson 7
- Walkthroughs Lesson 11
  - Prepare Scorecards Lesson 12
  - Follow-up Actions & Outbrief Lesson 13
  - How to Plan the Validation Lesson 14
21) Excess Indicator

- Definition: A Yes/No indicator
  - Set to ‘Yes’, if no one at the site has a mission need and if excess screening with other DOE programs has been completed by MA-50 (OAM)
  - An email will be sent from OAM indicating that the excess screening is complete and the Excess Indicator can be set to ‘Yes’
  - Requires **Status** to be updated simultaneously
21) Excess Indicator (continued)

- Validated for DOE owned buildings, trailers, OSF and land as well as withdrawn from public domain land
- Validated for DOE owned Disposed assets
- Update frequency: As needed
21) Excess Indicator (continued)

- How to check:
  - Source document must be the email from OAM (MA-50) indicating the approval of the excess screening process for ‘Yes’ values
  - ‘No’ values require a signed/email from Facilities Group Management or Disposition Manager/Planning
  - For Disposed DOE owned buildings trailers, OSF and land as well as withdrawn from public domain land, Excess Indicator must be ‘Yes’ to reflect the asset was excess screened prior to disposition
  - If Excess Indicator is ‘No’, both Excess Indicator and Excess Date are in error for the disposed asset
21) Excess Indicator (continued)

- Sample Source Document for Excess Indicator = Yes
  - Email from RP-ExcessScreening@hq.doe.gov (MA-50/OAM)
  - A table of the assets that have been screened
22) Excess Date

Definition:

- When the Excess Indicator is set to ‘Yes’
  - Excess Date is entered to reflect the date (mm/dd/yyyy) the asset was screened and declared excess to the Department via an email from MA-50 (OAM)
  - Once, entered this date is protected from any further updates

- When the Excess Indicator is set to ‘No’
  - **Required** for assets planned to be excess within the next 10 years
    - Excess Date is to be populated with the date the asset is planned to be excess
  - For assets that will be declared excess to mission needs beyond the 10 year period, the Excess Date is optional
22) Excess Date (continued)

- For Excess Indicator = ‘No’ assets, the Excess Date must be reviewed and updated annually
  - Past dates are not allowed
- Validated for DOE owned buildings, trailers, OSF and land as well as withdrawn from public domain land
- Validated for Disposed assets
- Update frequency: As needed
22) Excess Date (continued)

How to check:

- For Excess Indicator = Yes assets, date from excess screening email from OAM
- For Excess Indicator = No assets if the Excess Date is populated, Facilities Group Management or Disposition Manager/Planning memo/email
- For Disposed DOE owned buildings, trailers, OSF and land as well as withdrawn from public domain land

Excess Date should be populated to reflect the asset was excess screened prior to disposition

- If Excess Date is blank, both Excess Indicator and Excess Date are in error for the disposed asset
22) Excess Date (continued)

- Sample Source Document for Excess Indicator = Yes
  - Email from RP-ExcessScreening@hq.doe.gov
  - A table of the assets that have been screened
23) Estimated Disposition Year

- **Definition:** The estimated fiscal year that disposition of a real property asset will be completed
  - Populate all assets planned to be disposed in the current ten-Fiscal Year (FY) planning and budgeting window (e.g. the current FY plus the following nine FY’s)
  - For assets planned for disposition beyond the current ten-Fiscal Year planning and budgeting window, where the Estimated Disposition Year is either known or estimated, populate with the known or estimated fiscal year
  - Must be updated if mission requirements change
23) Estimated Disposition Year (continued)

Definition: (continued)

- For assets planned for disposition beyond the current ten-Fiscal Year planning and budgeting window, where the Estimated Disposition Year is unknown or impractical to develop, populate with “8888”

- Only assets with a Status of “In Situ Closed” (IC) or “In-Situ Closed Long Term Monitoring” (IM) may be populated with “9999”, if an estimated disposition year isn’t readily available

- Shall not
  - Reflect a past fiscal year
  - Reflect interagency transfers (program to program)
  - Be left blank
23) Estimated Disposition Year
(continued)

- **Validated for buildings, trailers, OSF and land**
- Update frequency: Annually
- How to check: Documentation from the Disposition Manager/Planning, supported by, and aligned with five-year planning documentation
  - Such as Master Asset Plans, Master Site Plans, Annual Lab Plans, Master Facility Plans, Deep Dive Records or similar
  - Required by DOE O 430.1C, paragraph 4.a.(1)
24) GSA Notification Submitted

Definition: Date that represents when DOE submitted a Report of Excess Real Property (ROE) (SF-118) to GSA and is pending acceptance by GSA

- The GSA disposal process begins with the Report of Excess Real Property
- GSA Disposal authority must be used by EE, FE, Western Area Power Administration (WAPA) and Southwestern Area Power Administration (SWPA) because they do not have independent authority

- All remaining HQ Program Offices and Power Administrations may use DOE’s disposal authority and/or optionally use the GSA disposal option
Validated for DOE owned buildings, trailers, OSF and land as well as withdrawn from public domain land

Update frequency: As needed

How to check: Excess Indicator must = ‘Yes’, signed transmittal memo or email from DOE Real Estate forwarding SF-118 to GSA
24) GSA Notification Submitted

Sample Source Document

From: Finn, Cindy B
Sent: Wednesday, February 17, 2016 9:54 AM
To: Lori Dennis - 4P5 at science.doe.gov
Cc: Shewairy, John C <John.Shewairy@science.doe.gov>; Plant, Melanie <Melanie.Plant@science.doe.gov>; Sitzlar, Johnathan <Johnathan.Sitzlar@science.doe.gov>; Buhaly, David <David.Buhaly@science.doe.gov>; Baber, Tracye <Tracey.Baber@science.doe.gov>; Me Enders, Carmelo (HQ) <Carmelo.Enders@science.doe.gov>; Whiteford, Scott (HQ) <Scott.Whiteford@science.doe.gov>; Steinna, David (HQ) <David.Steinau@science.doe.gov>
Subject: Self-Sufficiency Parcel #13

Lori,
Attached are the documents necessary for GSA disposition of the subject parcel. The only document not included is the one page DOE Internal Screwing Form which I will send you this Friday. Note that I have sent you a clause for CERCLA 120(h)(4)(D) for a Clean Parcel to be included in the Quilchuan Deed. Also, there will need to be a restriction stating that no new entrance from the parcel onto Bethel Valley Road will be allowed.

Please call if you have any questions and thank you very much for assisting us on this action.

Sincerely,

Cindy B. Finn
ORO Real Estate Contracting Officer
(865) 576-4431
Cindy.Finn@science.doe.gov
25) GSA Notification Accepted

- **Definition:** Date that represents DOE has received an acceptance of the Report of Excess Real Property (ROE) (SF-118) from the GSA disposal office.
- **Validated for DOE owned buildings, trailers, OSF and land as well as withdrawn from public domain land.**
- **Update frequency:** As needed.
- **How to check:** Excess Indicator must = ‘Yes’, letter from GSA notifying DOE of acceptance of the SF-118 submittal.
25) GSA Notification Accepted
(continued)

Sample Source Document

---

January 13, 2015

Ms. Cindy B. Finn
Real Estate Contracting Officer
U.S. Department of Energy
P.O. Box 2001
Oak Ridge, TN 37831

Re: Report of Excess, Parcel G, 20 +/- acres, Bethel Valley Road, Oak Ridge, TN 37831,
4-B-TN-0669-AE

Dear Ms. Finn:

This is to advise you that the Report of Excess for the above property located in Oak Ridge, TN,
is hereby accepted by the U.S. General Services Administration (GSA). Please be advised that
in accordance with 41 CFR 102-75.240 and 245, no interim use shall be made of the property
without prior concurrence of the GSA. The financial responsibility of physical care, handling,
protection, maintenance and repairs of the property will be determined in accordance with
provision of the Federal Management Regulations, Section 102-75.970.

Should you have any questions, please contact Ms. Debbie Young, Project Manager, by
telephone at 404-331-3625 or by email at debra.young@gsa.gov.

Sincerely,

Lori P. Dennis
Chief, Southeastern Branch
GSA Real Property Utilization and Disposal Division (4P2S)
26) Outgrant Indicator

- Definition: Indicates Yes (Y) or No (N) the right to use DOE property by means of a lease, easement, license or permit. DOE, the “grantor”, grants to federal, state and non-governmental entities (known as “grantees”) the right to enter upon government owned or leased land, property and/or facilities for the purpose of conducting grantee business.

- Validated for DOE owned and DOE leased buildings, trailers, OSF and land as well as withdrawn from public domain land

- Update frequency: Annually

- How to check: source documents from Real Estate; Outgrant Indicator = Yes assets require a copy of the Real Estate agreement

- Failure to provide the Real Estate agreement will result in an error for this data element
27) Roads – Public Access Miles

- Definition: Record the subset of the OSF Size (miles) that are public access
- The road is publicly accessible if it is
  - Available, except during scheduled periods, extreme weather or emergency condition
  - Passable by four-wheel standard passenger cars
  - And open to the general public for use without restrictive gates, prohibitive signs or regulations other than restrictions based on size, weight or class of restriction
- Toll plazas are not considered restrictive gates
27) Roads – Public Access Miles

(continued)

- Enter zero (0) if no publicly accessible roads
  - Source documents must support any reported zeroes

- Validated for DOE owned OSF assets with Usage Code

<table>
<thead>
<tr>
<th>Usage Code</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>1729</td>
<td>Primary Roads</td>
</tr>
<tr>
<td>1739</td>
<td>Secondary Roads</td>
</tr>
<tr>
<td>1749</td>
<td>Tertiary Roads</td>
</tr>
</tbody>
</table>

- Update frequency: As needed
- How to check: Subject Matter Expert in charge of site infrastructure support/planning, Facility Manager
28) Roads – Public Access Lane Miles

- Definition: Record the number of publicly accessible lane miles
  
  Lane Miles = miles of road $\times$ number of lanes

- Same definition of publicly accessible roads as ‘Roads – Public Access Miles’

- Enter zero (0) if no publicly accessible roads
  - Source documents must support any reported zeroes
28) Roads – Public Access Lane Miles (continued)

- Validated for DOE owned OSF assets with Usage Code

<table>
<thead>
<tr>
<th>Code</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>1729</td>
<td>Primary Roads</td>
</tr>
<tr>
<td>1739</td>
<td>Secondary Roads</td>
</tr>
<tr>
<td>1749</td>
<td>Tertiary Roads</td>
</tr>
</tbody>
</table>

- Update frequency: As needed
- How to check: Subject Matter Expert in charge of site infrastructure support/planning, Facility Manager
29) Year Built

Definition: For DOE construction, the calendar year that a building/trailer is accepted for beneficial occupancy.

If acquiring an existing building/trailer, it is the calendar year the building/trailer was constructed (best estimate if unknown).

For OSF, the calendar year construction of the structure was completed.
29) Year Built  (continued)

- Validated for DOE owned buildings, trailers and OSF
- Update frequency: As needed
- How to check: date of Beneficial Occupancy letter or other document that established year built; Bridge Safety Inspection report
30) Adjustment Cost

- Definition: Enter the actual incurred cost of each betterment to an existing real property asset

- **Validated for DOE owned buildings, trailers and OSF on the Adjustment sheet**
  - A maximum pull of 25 random adjustment records with Adjustment Dates between 10/1/2014 and 9/30/2019

- Update frequency: As needed

- How to check: STARS reports or reports from site managed financial databases
31) Capitalized - Adjustment

- Definition: Indicates (Yes/No) whether an asset’s Adjustment meets the Chief Financial Officer’s capitalization threshold requirements and are similarly recorded in the Standard Accounting and Reporting System (STARS)

- Capitalization is the process whereby plant and equipment items …
  - Costing at least $500,000 (capitalization threshold since 2012)
  - Having an anticipated service life of 2 years or more
  - That are purchased, constructed or fabricated in-house including major modifications or improvements to any of these items
  - Are recorded in the STARS system by site accounting/finance
31) Capitalized – Adjustment
(continued)

- Validated for DOE owned buildings, trailers and OSF on the Adjustment sheet
  - A maximum pull of 25 random adjustment records with Adjustment Dates between 10/1/2014 and 9/30/2019

- Update frequency: As needed

- How to check: STARS reports or reports from site managed financial databases
How to validate the Adjustments

- If **Adjustment Cost** is less than $500,000 (capitalization threshold), is **Capitalized – Adjustment** = Yes?
  - Is this line item Adjustment part of a project that was Capitalized (over the $500,000 threshold)?
    - Yes, Adjustment is acceptable if it matches the Source Document and the Source Document details the project cost that was over the threshold
    - No, was the Adjustment capitalized in error?
      - Yes, this would cause an error for this Adjustment entry
      - If it was not capitalized in error, please provide reason for being capitalized on the Validation form
How to validate the Adjustments (continued)

- Is **Adjustment Cost** negative?
  - Does accounting have a negative entry on their books?
    - Yes, Adjustment is acceptable if it matches the Source Document
    - No, this would cause an error for this Adjustment entry

Remember: FIMS should match the Accounting source document for each asset
How to validate the Adjustments (continued)

- Is Adjustment Cost = $0?
  - Why was this entry created?
    - There is no need to track $0 cost
      - This Adjustment would cause an error

- Are adjustment entries created to simply reconcile FIMS and STARS?
  - This is not an appropriate entry
  - Entries are to be tied to a physical betterment to the asset
  - Legacy entries prior to FY2018 will be accepted, but entries after September 30, 2017 will cause an error
32) Operating Cost (Performance Measure)

Definition:

- Operating Cost includes the following:
  - Utilities
    - Include plant operations and purchase of energy
  - Cleaning and/or janitorial
    - Includes pest control, refuse collection and disposal to include recycle operations
  - Roads/grounds expenses
    - Includes grounds maintenance, landscaping and snow and ice removal from roads, piers and airfields
Definition: (continued)

- For a fully-serviced lease, operating and maintenance cost is defined as total contract cost which would correspond to the lease cost. For these types of leases, the Annual Rent should be reported as the lease cost while Annual Actual Maintenance and the Operating Cost fields should be reported as $0.

- For a non-fully serviced lease, lease cost should be reported as Annual Rent while any additional operating or maintenance contracts should be reported in the respective Annual Actual Maintenance and/or Operating Cost fields.
32) Operating Cost (Performance Measure) (continued)

- Operating Costs are actuals, not estimates
- Source documentation is required for all values, including zero ($0)
- **Validated at the Site level on the DOE Owned Data Validation Reporting Form for all buildings, trailers, OSF and land**
- Update frequency: Annually
- How to check: invoices from utility and service providers or site financial reports from CFO
  - Electricity, Water/Sewer, Pest Control, Central Heating, Central Cooling, Snow Removal, Gas, Refuse, Recycle, Grounds and Janitorial
32) Operating Cost (Performance Measure) (continued)

- If site allocated to asset level, verify that an allocation procedure is in place
  - For example, if electricity is reported at the asset level, was it metered? Was there an engineering estimate?

- Anomalies: Site level Operating Cost must be greater than or equal to the total asset level Operating Cost (buildings, trailers, OSF and land) input by Site; Cost should not include overhead labor
33) Initial Date

- Definition: The date on which the current lease, permit, license, easement or other ingrant agreement was executed (signed)
- Electronic or printed copies of all DOE and Contractor lease agreements should be available during the validation
- Validated for DOE leased and Contractor leased buildings, trailers, OSF and land
- Update frequency: As needed
- How to check: Lease agreement
34) Expiration Date

Definition: This date represents the expiration of the current ingrant term regardless of termination rights and renewal options

- Once a renewal option is formally exercised, then that date will be the new expiration date

- Must be current or future date; not a past date

- Electronic or printed copies of all DOE and Contractor lease/GSA Occupancy agreements should be available during the validation
34) Expiration Date (continued)

- Validated for DOE leased and Contractor leased buildings, trailers, OSF and land as well as GSA owned and GSA leased buildings
- Update frequency: As needed
- How to check: Lease agreement, GSA Occupancy Agreement
35) Annual Rent  (Performance Measure)

- Definition: Current annual rent for a lease
  For GSA Occupancy Agreements, the September (fiscal year end) rent bill total from GSA’s Rent on the Web (ROW)
  - Updated annually at fiscal year-end with the amount paid for the previous 12 months

- Electronic or printed copies of all DOE and Contractor lease/GSA Occupancy agreements should be available during the validation
Validated for DOE leased and Contractor leased buildings, trailers, OSF and land as well as GSA owned and GSA leased buildings

Update frequency: Annually

How to check: Lease agreement, GSA Occupancy Agreement
## 36) Disposition Date

### Definition:
- The date the disposal action was completed

<table>
<thead>
<tr>
<th>Disposition Method</th>
<th>Disposition Date value</th>
</tr>
</thead>
<tbody>
<tr>
<td>DM – Demolished</td>
<td>Date demolition is complete</td>
</tr>
<tr>
<td>FT – Federal Transfer</td>
<td>Date of letter of transfer</td>
</tr>
<tr>
<td>OT – Other Disposition</td>
<td>Date real property asset was converted to personal property</td>
</tr>
<tr>
<td>All Public Benefit Conveyance (CF, HA, HE, HM, LW, NS, PA, PF, PR, SH, WC)</td>
<td>Date of assignment letter to sponsoring agency or deed date to grantee</td>
</tr>
<tr>
<td>LD – Loss Due to Disaster</td>
<td>Date of disaster</td>
</tr>
<tr>
<td>LE – Expiration/Cancellation</td>
<td>Expiration/Cancellation date</td>
</tr>
<tr>
<td>LT – Loss Due to Training Exercise</td>
<td>Date of actual loss due to training exercise</td>
</tr>
<tr>
<td>LX – Early Termination/ Cancellation</td>
<td>Termination/Cancellation date</td>
</tr>
<tr>
<td>SN – Negotiated Sale</td>
<td>Deed date</td>
</tr>
<tr>
<td>SP – Public Sale</td>
<td>Deed date</td>
</tr>
</tbody>
</table>
36) Disposition Date (continued)

- **Validated for Disposed assets**
- Update frequency: Static
- How to check: Site Subject Matter Expert in charge of asset disposition, i.e. Real Estate, Disposition Manager, Accounting

**NEW FY2020**: The Disposition Date must be within 1 year of the Date Archived
- If not, this will cause all disposition data elements to be in error for the particular asset
37) Disposition Method

Definition:
- The method in which the real property asset left the Department’s inventory
- The table below identifies the selections that are valid for DOE or GSA Disposition or ones that should be used for Disposition through GSA only

<table>
<thead>
<tr>
<th>Used for DOE or GSA Dispositions</th>
<th>Used for GSA Dispositions only</th>
</tr>
</thead>
<tbody>
<tr>
<td>Admin Correction/No Disposal</td>
<td>PBC: Correctional Facility Use</td>
</tr>
<tr>
<td>Demolished</td>
<td>PBC: Health or Educational Use</td>
</tr>
<tr>
<td>Federal Transfer</td>
<td>PBC: Historic Monuments</td>
</tr>
<tr>
<td>Loss Due to Disaster</td>
<td>PBC: Law Enforcement/Emergency Resp</td>
</tr>
<tr>
<td>Loss Due to Training Exercise</td>
<td>PBC: Negotiated Sale to Public Agency</td>
</tr>
<tr>
<td>Other Disposition</td>
<td>PBC: Port Facilities</td>
</tr>
<tr>
<td>Sale, Negotiated</td>
<td>PBC: Public Airports</td>
</tr>
<tr>
<td>Sale, Public</td>
<td>PBC: Public Parks/Recreation</td>
</tr>
<tr>
<td>Early Termination/Cancellation</td>
<td>PBC: Self-help Housing</td>
</tr>
<tr>
<td>Expiration/Cancellation</td>
<td>PBC: Wildlife Conservation</td>
</tr>
</tbody>
</table>

Key: PBC – Public Benefit Conveyance
37) Disposition Method (continued)

- Common Issues
  - **Federal Transfer**
    - Definition: The building, trailer, land or OSF has been designated for transfer to another federal agency
    - Not from one HQ Program Office to another HQ Program Office
    - Not from one Site to another Site
    - Not from a Site to the State or City government
    - Has to transfer outside of DOE, i.e. DOD or DOI
  
- Public Benefit Conveyance Disposition Methods
  - Only valid when GSA is used for Disposal of an asset
    - Process starts with the Report Of Excess Real Property (SF118)
37) Disposition Method (continued)

Common Issues (continued)

- Other
  - Definition: This Status is to be used for disposition of real property that has been reclassified to personal property for disposal
  - Not to be used when it seems no other Disposition Method is appropriate
    - Call the FIMS Helpdesk for assistance
  - Typically used for trailers
  - Also acceptable for equipment like generators
  - Also acceptable for small shed like buildings, i.e. typical sheds purchased at a home improvement store
37) Disposition Method (continued)

- Common Issues (continued)
  - Public Sale
    - Indicates the building, trailer, OSF or land parcel has been sold/transferred (regardless of consideration), via a public open sale, to a private business, community, commercial development group or local governmental development authority. A public sale usually involve public notices and advertisements are made before the sale as a notice to the general public. This process involves competitive bidders where the property is sold to the highest bidder.
  
  - Negotiated Sale
    - Indicates the building, trailer, OSF or land parcel has been sold/transferred (regardless of consideration), via a negotiated sale, to a governmental entity (state or local). This type of sale is non-competitive.
    - This typically includes assets given to the local community reuse organizations
    - These two are sometimes confused
      - Check with Real Estate
37) Disposition Method (continued)

- **Validated for Disposed assets**
- Update frequency: Static
- How to check: Site Subject Matter Expert in charge of asset disposition, i.e. Real Estate, Disposition Manager, Accounting
- **Anomalies:** Ensure the disposition source document states the exact Disposition Method, i.e. stating “the asset has been disposed” does not provide the Disposition Method
38) Actual Sales Price

Definition:
- Report the actual sales price for the disposed asset with a Disposition Method of
  - SP – Public Sale
  or
  - SN – Negotiated Sale
- Actual Sales Price is greater than or equal to zero

**Validated for Disposed assets**

- Update frequency: Static
- How to check: Site Subject Matter Expert in charge of asset disposition, i.e. Real Estate, Disposition Manager, Accounting
39) Net Proceeds

- **Definition:**
  - For assets with a Disposition Method set to
    - SP – Public Sale
    - or
    - SN – Negotiated Sale
      - Subtract any costs incurred in the sale of the asset (disposal cost) from the **Actual Sales Price**
  - LX – Early Termination/ Cancellation
    - Report the cost avoidance from early termination less the costs incurred to prepare the leased property for return to the owner

- **Net Proceeds** can be zero or negative in cases where the disposal cost exceeds proceeds
39) Net Proceeds (continued)

- Validated for Disposed assets
- Update frequency: Static
- How to check: Site Subject Matter Expert in charge of asset disposition, i.e. Real Estate, Disposition Manager, Accounting
40) Planning Documents

- NEW FY2020
- Validated (but not scored) for AAIM anticipated assets
  - Building, trailer and land assets
  - Beneficial Occupancy Year = 2021 – 2023
  - Initial Acquisition Cost / Annual Rent (AAIM) is ≥
    - $300,000
    - $0
    - $1
    - blank

On the Planning sheet of the DOE Owned form
40) Planning Documents (continued)

- How to check:
  - Site Planning documents, which document the mission need and the planned timing for new assets, such as
    - Master Asset Plans
    - Master Site Plans
    - Annual Lab Plans
    - Master Facility Plans
    - Deep Dive Records
      - Five-year real property planning and budgeting documentation required by DOE Order 430.1C, paragraph 4.a.[1]

Ensure these documents are brought to your validation
40) Planning Documents (continued)

- What will be validated:
  - Planned real property assets exist in AAIM
    - Populate the Source/Comment column with the Site Planning Document name / date
    - If the AAIM asset is found in the Site Planning document, select ‘Yes’ from the In Plan? pick list
    - If the AAIM asset is not found in the Site Planning document, select ‘No’ from the In Plan? pick list
  - If planned real property assets are found in the Planning Documents that don’t exist in AAIM, this will be noted on the DOE Owned Scorecard
41) Bridge Safety Inspection Verification

- Latest Safety Inspection will be verified for OSF Usage Codes:
  - 1468 Public Access Bridges, Trains
  - 1469 Controlled Access Bridges, Train
  - 1768 Public Access Bridges, Vehicular

- Required Bridge Safety Inspection Date intervals:
  - Controlled access and publicly accessible train bridges – one inspection per calendar year, with not more than 540 days between successive inspections
    - Required when Status is:
      - 1 – Operating
      - 2 – Standby
      - 3 – Outgranted
41) Bridge Safety Inspection Verification (continued)

- Publicly accessible vehicular bridges – regular intervals not to exceed twenty-four months
  - Required for all Status options

- Verify
  - Location Zip Code
  - Size
  - Status
  - Usage Code
  - Year Built

- Update frequency: Required to be updated within 30 days of inspection completion

- How to check: Bridge Safety Inspection report
Safety Inspection reports are to be signed and dated and should include the inspector’s qualification documentation.

- An Inspector Qualifications Checklist is available, see link in the Source Documentation Worksheet.

- A list of typically routine inspection report items can be found in the Source Documentation Worksheet under Bridge – Safety Inspection.

- Ensure Site Bridge Inspectors have this information.

- Contact Cindy Hunt, MA-50 for any questions related to Bridges and their inspections.

  - cindy.hunt@hq.doe.gov
Take a deep breath!
Hold on to your seat!
This is a game changer!
42) Main Location
Location City
Location State
Location Zip Code

- NEW FY2020
- Looking at unique addresses at a Site
  - Ensure site addresses are consistent
- Validated for DOE owned buildings, trailers, OSF and land
- Update frequency: As needed
How to check:

- Enter the address into Google maps, Apple maps or other mapping application
  - If GPS locatable, select ‘Yes’ from the Yes or No column pick list
  - If not GPS locatable, select ‘No’ from the Yes or No column pick list. This will cause the Variance column to change to ‘Yes’
Lesson 9 Summary

- Describe the remaining FIMS data elements/performance measures being validated
Desktop Validation using the Data Validation Reporting Forms

Lesson 10
Lesson 10 Objectives

- Describe in detail, the process that must be followed in conducting a FIMS Validation
- At the end of this lesson, students will be able to:
  - Have a working understanding of the tools and forms available for conducting a validation and for reporting the results of the validation effort
Data Validation Reporting Forms

- Forms provide the basis of the validation effort
- Completed for each of the assets to be validated
- Provides structure for
  - Identifying difference between the FIMS value and the Source Document value
  - Commenting on issues and observations
## DOE Owned Data Validation Reporting Form

<table>
<thead>
<tr>
<th>Program Office</th>
<th>Site</th>
<th>Area Name</th>
</tr>
</thead>
<tbody>
<tr>
<td>0</td>
<td>0</td>
<td>0</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Area No / Prop ID / Name</th>
<th>0</th>
<th>0</th>
<th>0</th>
</tr>
</thead>
</table>

<table>
<thead>
<tr>
<th>FIMS Data Element</th>
<th>FIMS Value</th>
<th>Source</th>
<th>Year of Source</th>
<th>Value from Source</th>
<th>Variance (Y/N)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Ownership</td>
<td>0</td>
<td></td>
<td></td>
<td></td>
<td>No</td>
</tr>
<tr>
<td>Usage Code *(A)</td>
<td>0</td>
<td></td>
<td></td>
<td></td>
<td>No</td>
</tr>
<tr>
<td>Property Type</td>
<td>0</td>
<td></td>
<td></td>
<td></td>
<td>No</td>
</tr>
<tr>
<td>Status *(A)</td>
<td>0</td>
<td></td>
<td></td>
<td></td>
<td>No</td>
</tr>
<tr>
<td>Size *(A)</td>
<td>0.000</td>
<td></td>
<td></td>
<td></td>
<td>No</td>
</tr>
<tr>
<td>Space Type Usable SF - Office</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>No</td>
</tr>
<tr>
<td>No of Floors</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>No</td>
</tr>
<tr>
<td>Repair Needs *(A)</td>
<td>$0</td>
<td></td>
<td></td>
<td></td>
<td>No</td>
</tr>
<tr>
<td>Deferred Maintenance *(A)</td>
<td>$0</td>
<td></td>
<td></td>
<td></td>
<td>No</td>
</tr>
<tr>
<td>Inspection Date *(A)</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>No</td>
</tr>
<tr>
<td>Asset % Utilized *(A)</td>
<td>0%</td>
<td></td>
<td></td>
<td></td>
<td>No</td>
</tr>
<tr>
<td>Total No of Federal Employees *(A)</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>No</td>
</tr>
<tr>
<td>Total No of Contr Employees *(A)</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>No</td>
</tr>
<tr>
<td>RPV *(A)</td>
<td>$0</td>
<td></td>
<td></td>
<td></td>
<td>No</td>
</tr>
<tr>
<td>Annual Actual Maintenance *(A)</td>
<td>$0</td>
<td></td>
<td></td>
<td></td>
<td>No</td>
</tr>
<tr>
<td>Annual Required Maintenance *(A)</td>
<td>$0</td>
<td></td>
<td></td>
<td></td>
<td>No</td>
</tr>
</tbody>
</table>
### DOE Owned Data Validation Reporting Form (continued)

<table>
<thead>
<tr>
<th>DOE Owned Data Validation Reporting Form (v11.0)</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Date:</strong></td>
</tr>
<tr>
<td>Program Office: 0</td>
</tr>
<tr>
<td><strong>SAMPLED FACILITY 1</strong></td>
</tr>
<tr>
<td><strong>Area No / Prop ID / Name:</strong> 0 0 0</td>
</tr>
<tr>
<td><strong>FIMS Data Element</strong></td>
</tr>
<tr>
<td>Economic Assessment Date (A)</td>
</tr>
<tr>
<td>Modernization Cost (A)</td>
</tr>
<tr>
<td>Overall Asset Condition (A)</td>
</tr>
<tr>
<td>Historic Designation</td>
</tr>
<tr>
<td>Excess Indicator</td>
</tr>
<tr>
<td>Excess Date</td>
</tr>
<tr>
<td>Estimated Disposition Year (A)</td>
</tr>
<tr>
<td>GSA Notification Submitted</td>
</tr>
<tr>
<td>GSA Notification Accepted</td>
</tr>
<tr>
<td>Outgrant Indicator (A)</td>
</tr>
<tr>
<td>Roads / Public Access Miles</td>
</tr>
<tr>
<td>Roads / Public Access Lane Miles</td>
</tr>
<tr>
<td>Year Built</td>
</tr>
<tr>
<td><strong>ADDITIONAL COMMENTS</strong></td>
</tr>
<tr>
<td>RPV Source</td>
</tr>
<tr>
<td>RPV Model</td>
</tr>
<tr>
<td>RPV Model Description</td>
</tr>
</tbody>
</table>

* Performance Measures

(A) Requires Annual Source Document
## DOE Leased, Contractor Leased and GSA Data Validation Reporting Form

### DOE Leased, Contractor Leased and GSA Data Validation Reporting Form (v11.0)

<table>
<thead>
<tr>
<th>FIMS Data Element</th>
<th>FIMS Value</th>
<th>Source</th>
<th>Year of Source</th>
<th>Value from Source</th>
<th>Variance (Y/N)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Ownership</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>No</td>
</tr>
<tr>
<td>Usage Code (A)</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>No</td>
</tr>
<tr>
<td>Property Type</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>No</td>
</tr>
<tr>
<td>Status (A)</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>No</td>
</tr>
<tr>
<td>Size</td>
<td>0.000</td>
<td></td>
<td></td>
<td></td>
<td>No</td>
</tr>
<tr>
<td>Space Type Usable SF - Office</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>No</td>
</tr>
<tr>
<td>Repair Needs* (A)</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>No</td>
</tr>
<tr>
<td>Inspection Date (A)</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>No</td>
</tr>
<tr>
<td>Asset % Utilized * (A)</td>
<td>0%</td>
<td></td>
<td></td>
<td></td>
<td>No</td>
</tr>
<tr>
<td>Total No of Federal Employees (A)</td>
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<td></td>
<td></td>
<td></td>
<td>No</td>
</tr>
<tr>
<td>Total No of Contractor Employees (A)</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>No</td>
</tr>
<tr>
<td>Annual Actual Maintenance* (A)</td>
<td>$0</td>
<td></td>
<td></td>
<td></td>
<td>No</td>
</tr>
<tr>
<td>Annual Required Maintenance (A)</td>
<td>$0</td>
<td></td>
<td></td>
<td></td>
<td>No</td>
</tr>
</tbody>
</table>
DOE Leased, Contractor Leased and GSA Data Validation Reporting Form (continued)

<table>
<thead>
<tr>
<th>FIMS Data Element</th>
<th>FIMS Value</th>
<th>Source</th>
<th>Year of Source</th>
<th>Value from Source</th>
<th>Variance (Y/N)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Functionality Assessment Date</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>No</td>
</tr>
<tr>
<td>Modernization Cost</td>
<td>$0</td>
<td></td>
<td></td>
<td></td>
<td>No</td>
</tr>
<tr>
<td>Overall Asset Condition</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>No</td>
</tr>
<tr>
<td>Est Disposition Yr</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>No</td>
</tr>
<tr>
<td>Outgrant Indicator</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>No</td>
</tr>
<tr>
<td>Initial Date</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>No</td>
</tr>
<tr>
<td>Expiration Date</td>
<td>0</td>
<td></td>
<td></td>
<td></td>
<td>No</td>
</tr>
<tr>
<td>Annual Rent*</td>
<td>$0</td>
<td></td>
<td></td>
<td></td>
<td>No</td>
</tr>
</tbody>
</table>

**ADDITIONAL COMMENTS**

- RPV Source
- RPV Model: PBPI
- RPV Model Description: RPV Factor

* Performance Measures
(1) Requires Annual Source Document
# DOE Land Data Validation Reporting Form

<table>
<thead>
<tr>
<th>FIMS Data Element</th>
<th>FIMS Value</th>
<th>Source</th>
<th>Year of Source</th>
<th>Value from Source</th>
<th>Variance (Y/N)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Ownership</td>
<td>0</td>
<td></td>
<td></td>
<td></td>
<td>No</td>
</tr>
<tr>
<td>Usage Code (A)</td>
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<td></td>
<td></td>
<td></td>
<td>No</td>
</tr>
<tr>
<td>Property Type</td>
<td>0</td>
<td></td>
<td></td>
<td></td>
<td>No</td>
</tr>
<tr>
<td>Status (A)</td>
<td>0</td>
<td></td>
<td></td>
<td></td>
<td>No</td>
</tr>
<tr>
<td>Size (Acreage)</td>
<td>0.000</td>
<td></td>
<td></td>
<td></td>
<td>No</td>
</tr>
<tr>
<td>Historic Designation</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>No</td>
</tr>
<tr>
<td>Excess Indicator (A)</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>No</td>
</tr>
<tr>
<td>Excess Date (A)</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>No</td>
</tr>
<tr>
<td>Estimated Disposition Year (A)</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>No</td>
</tr>
<tr>
<td>GSA Notification Submitted (A)</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>No</td>
</tr>
<tr>
<td>GSA Notification Accepted (A)</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>No</td>
</tr>
<tr>
<td>Outgrant Indicator (A)</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>No</td>
</tr>
<tr>
<td>Initial Date</td>
<td>0</td>
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<td></td>
<td>No</td>
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<tr>
<td>Separation Date</td>
<td></td>
<td></td>
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<td></td>
<td>No</td>
</tr>
<tr>
<td>Annual Rent</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>No</td>
</tr>
</tbody>
</table>

**ADDITIONAL COMMENTS**

* Performance Measures  
(A) Requires Annual Source Document
### DOE Disposition Data Validation Reporting Form (v11.0)

<table>
<thead>
<tr>
<th>FIMS Data Element</th>
<th>FIMS Value</th>
<th>Source</th>
<th>Year of Source</th>
<th>Value from Source</th>
<th>Variance (Y/N)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Disposition Date</td>
<td>0</td>
<td></td>
<td></td>
<td></td>
<td>No</td>
</tr>
<tr>
<td>Disposition Method</td>
<td>0</td>
<td></td>
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<td></td>
<td>No</td>
</tr>
<tr>
<td>Excess Indicator</td>
<td>0</td>
<td></td>
<td></td>
<td></td>
<td>No</td>
</tr>
<tr>
<td>Excess Date</td>
<td>0</td>
<td></td>
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<td></td>
<td>No</td>
</tr>
<tr>
<td>Actual Sales Price</td>
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<td></td>
<td></td>
<td></td>
<td>No</td>
</tr>
<tr>
<td>Net Proceeds</td>
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<td></td>
<td></td>
<td></td>
<td>No</td>
</tr>
</tbody>
</table>

### ADDITIONAL COMMENTS

<table>
<thead>
<tr>
<th>Date Archived</th>
<th>0</th>
<th>Excess Reference Number</th>
</tr>
</thead>
<tbody>
<tr>
<td>Ownership</td>
<td>0</td>
<td>Expiration Date</td>
</tr>
</tbody>
</table>
Data Validation Reporting Form Data

- Provides the following validation identifying information for each asset validated:

<table>
<thead>
<tr>
<th>Date</th>
<th>Area Number</th>
</tr>
</thead>
<tbody>
<tr>
<td>Property Type</td>
<td>Prop ID</td>
</tr>
<tr>
<td>Program Office</td>
<td>Property Name</td>
</tr>
<tr>
<td>Site</td>
<td>Area Name</td>
</tr>
</tbody>
</table>

- **FIMS Data Element**
  - FIMS data element to be validated
Data Validation Reporting Form Data
(continued)

- **FIMS Value**
  - FIMS data element value from the FIMS standard report
    - #016 and #020 (outliers) for DOE owned buildings, trailers and OSF
    - #017 for DOE leased and Contractor leased buildings, trailers and OSF and GSA owned and leased buildings
    - #018 for DOE owned, DOE leased and withdrawn from public domain land assets
    - #019 for Disposed assets
Data Validation Reporting Form Data (continued)

- **Source**
  - Abbreviation/reference to the source document being used for the validation of the data element
  - **Examples**
    - Jane Smith, Real Estate email
    - Accounting year-end email
    - CAIS Report
    - Excess Screening Email
    - Report of Excess submittal to GSA
Data Validation Reporting Form Data (continued)

Year of Source

- Year source was created, modified or last updated
- Creates a variance if older than 1 year (365 days) for:

<table>
<thead>
<tr>
<th>Annual Actual Maintenance</th>
<th>Functionality Assessment Date</th>
<th>Repair Needs</th>
</tr>
</thead>
<tbody>
<tr>
<td>Annual Rent</td>
<td>Inspection Date</td>
<td>RPV</td>
</tr>
<tr>
<td>Annual Required Maintenance</td>
<td>Modernization Cost</td>
<td>Status</td>
</tr>
<tr>
<td>Asset % Utilized</td>
<td>Operating Cost</td>
<td>Total No of Contractor Employees</td>
</tr>
<tr>
<td>Deferred Maintenance</td>
<td>Outgrant Indicator</td>
<td>Total No of Federal Employees</td>
</tr>
<tr>
<td>Estimated Disposition Year</td>
<td>Overall Asset Condition</td>
<td>Usage Code</td>
</tr>
</tbody>
</table>
Data Validation Reporting Form Data
(continued)

- **Value from Source**
  - Value from the source document for the corresponding FIMS data element

- **Variance (Y/N)**
  - Numeric data: Automatically updates to ‘Yes’ if the variance between the **FIMS Value** and the **Value from Source** is greater than 1%
  - Non-numeric data: Automatically updates to ‘Yes’ if the FIMS Value differs from the **Value from Source**
Identifying a Variance

- Any error/variance in the FIMS data that is identified even though the Source Value and FIMS Value equal, requires the Variance column to be changed manually to ‘Yes’ to reflect the error
  - For example, if there is a Variance for Size, then the RPV is in error because Size is a component of RPV. The Variance column for RPV has to be manually changed to ‘Yes’.
  - Likewise, if the Inspection Date is greater than 5 years (1,826 days) and therefore has a variance, the Repair Needs and Deferred Maintenance are in error and the Variance column for Repair Needs and Deferred Maintenance has to be manually changed to ‘Yes’

- The lack of a Source Document for a No or Zero value causes a variance and the Variance column would have to be manually changed to ‘Yes’
Force Variance Sheet of the Data Validation Reporting Forms

- Provides a reference for when a manual change is required to the Variance column
  - If Annual Actual Maintenance is allocated and not based on actual asset level costs
    - Force variance on Annual Actual Maintenance
  - If Excess Indicator is = ‘Yes’ and Estimated Disposition Year is blank
    - Force variance on Estimated Disposition Year
  - If a variance exists for the Inspection Date
    - Force variance on Repair Needs and Deferred Maintenance
  - If the Inspection Date is beyond a 5 year calendar period
    - Force variance on Inspection Date, Repair Needs and Deferred Maintenance
Force Variance Sheet of the Data Validation Reporting Forms (continued)

- Provides a reference for when a manual change is required to the Variance column (continued)
  - If lifecycle cost estimating or modeling is used to generate Repair Needs and Deferred Maintenance
    - Force variance on Repair Needs and Deferred Maintenance
  - For a FIMS generated or CAIS RPV Model generated RPV values, if a variance exists on the Usage Code
    - Force variance on RPV
  - For a FIMS generated or CAIS RPV Model generated RPV values, if a variance exists on the Size (GSF)
    - Force variance on RPV
  - For a FIMS generated or CAIS RPV Model generated RPV values, if a variance exists on the No of Floors
    - Force variance on RPV
Provides a reference for when a manual change is required to the Variance column (continued)

- For FIMS generated RPV values, if insufficient source documentation exists for a custom RPV Factor
  - Force variance on RPV
- For site generated RPV values, if methodology for building/trailer RPV is based on CPV (except for new construction)
  - Force variance on RPV
- If the Functionality Assessment Date is beyond a 5 year calendar period
  - Force variance on Functionality Assessment Date and Modernization Cost
Force Variance Sheet of the Data Validation Reporting Forms – Adjustment Sheet

- Provides a reference for when a manual change is required to the Variance column for the Adjustment sheet
  - If Adjustment Cost is less than $500,000, the Capitalized - Adjustment is set to 'Yes' and is not part of a capitalized project that is greater than $500,000
    - Force variance on Adjustment Cost and Capitalized - Adjustment
  - If Adjustment Cost = $0
    - Force variance on Adjustment Cost and Capitalized - Adjustment
  - If Adjustments exist to simply reconcile FIMS and STARS and is dated after 9/30/2017
    - Force variance on Adjustment Cost and Capitalized - Adjustment
Force Variance on the Adjustment Sheet

- If the Adjustment entry causes a variance
  - The Variance (Y/N) column will have to be manually changed to ‘Yes’ to identify the variance
Force Variance Sheet of the Disposition Data Validation Reporting Forms

- Provides a reference for when a manual change is required to the Variance column
  - For DOE owned assets
    - If Excess Indicator = ‘No’
      - Force variance on Excess Indicator and Excess Date
    - If Excess Date is blank
      - Force variance on Excess Indicator and Excess Date
  - If Date Archived is ≥ 1 year from the Disposition Date
    - Force variance on Disposition Date, Disposition Method, Excess Indicator, Excess Date, Sales Price (if applicable) and Net Proceeds (if applicable)
Additional Variance Check – FIMS Anomaly Reports

- The same value cannot be reported from one fiscal year to the next fiscal year (excluding zero) for the following:
  - Repair Needs
  - Deferred Maintenance
  - RPV
  - Modernization Cost
To check these scenarios, **four** Anomaly Reports have been developed:

- Anomaly 16 – FRPP DM Compare
- Anomaly 17 – FRPP RPV Compare
- Anomaly 20 – FRPP RN Compare
- Anomaly 22 – FRPP Modernization Compare

These reports should be generated at year-end before the HQ year-end processing to ensure values being reported annually are different from the previous year values.
Additional Variance Check – FIMS

Anomaly Reports (continued)

- These four reports are to be run for your Site as part of your Validation
  - If the report finds no assets for your Site, continue with your validation
  - If assets are found for a data element, guidance requires that data element to be changed to Red for all your validated assets
    - This will require the Variance column to be changed to ‘Yes’ for that data element for all validated assets

Note: There may be exceptions. For example, a CAIS generated value increased but not enough to increase the value by a $1. Therefore the value reported for the past fiscal year and the current are the same.

Repair Needs: FY18 = $502.03 and FY19 = $502.49, reported as $502
  - An explanation will be required on the Validation form for these exceptions
Additional Comments

- Provides space for an explanation of data sources and variance
- Use to document other observations or issues
Data Validation Reporting Form Data (continued)

- Additional data displayed at the bottom of the DOE Owned and DOE Leased, Contractor Leased & GSA forms for each asset validated
  - **RPV Source**
    - Displayed for buildings, trailers and OSF
    - Indicates if the RPV was generated using
      - FIMS
      - CAIS
      - Other
    - If ‘Other’ source, the Site must provide source documents showing the calculation used for developing the RPVs; including annual inflation of the value
      - Must be recalculated at a minimum every 5 years
Data Validation Reporting Form Data (continued)

- Additional data displayed at the bottom of the DOE Owned and DOE Leased, Contractor Leased & GSA forms for each asset validated (continued)

  - **RPV Model**
    - Validated for buildings and trailers only
    - Use Appendix F of the FIMS User’s Guide to cross reference the asset’s Usage Code and selected RPV Model
      - If the Usage Code / RPV model are not found as a suggested selection in the table, ask the site to explain the RPV Model choice selected
        - If the explanation is reasonable, the RPV Model choice is accepted
Data Validation Reporting Form Data (continued)

- Additional data displayed at the bottom of the DOE Owned and DOE Leased, Contractor Leased & GSA forms for each asset validated (continued)

  - **RPV Model Description**
    - For buildings, trailers and OSF
    - Provides the name of the chosen RPV Model

  - **Size Unit of Measure**
    - Specifies the measurement for the quantity reported in the Size data element
Additional data displayed at the bottom of the DOE Owned and DOE Leased, Contractor Leased & GSA forms for each asset validated (continued)

- PBPI - Physical Barriers Preventing Inspection
- Displayed for OSF only
  - For OSF not conducive to inspection and lack existing source of auditable deficiency data, in FIMS
    - Set PBPI to ‘Yes’
    - Set Repair Needs and Deferred Maintenance to $0, and
    - Leave the Inspection Date blank
    - However, Repair Needs would be applicable if a recorded deficiency exists
Data Validation Reporting Form Data
(continued)

- Additional data displayed at the bottom of the DOE Owned and DOE Leased, Contractor Leased & GSA forms for each asset validated (continued)

  - **RPV Factor**
    - Validated for buildings and trailers only for FIMS RPVs
    - FIMS Default value is 1.568
    - If other than FIMS default, site must provide source documents as to the process used to develop the RPV Factor(s)
      - If no RPV Factor calculation is available, a variance must be noted for each RPV using the RPV Factor on the Data Validation Reporting form
Data Validation Reporting Form Data
(continued)

- Additional data displayed at the bottom of the DOE Disposition form for each asset validated (continued)
  - **Date Archived**
    - Provides the date the asset was archived in FIMS
  - **Ownership**
    - Provides the Ownership of the archived asset
  - **Excess Reference Number**
    - Provides the Excess Screening reference number from the OAM email
      - Required to be populated for Excess Indicator = Yes assets
Additional data displayed at the bottom of the DOE Disposition form for each asset validated (continued)

- **Expiration Date**
  - For **Disposition Method** = Expiration/Cancellation
    - Verify the Disposition Date is relatively close to the Expiration Date and that this is not an early termination
  - For **Disposition Method** = Early Termination/Cancellation
    - Verify the Disposition Date is prior to the Expiration Date
Data Validation Reporting Forms

- Care should be taken to **not** modify the Data Validation Reporting Forms
  - There are a multitude of macros and formulas that allow the forms to populate and calculate the scoring
- Also don’t try to move or insert sheets within the forms, this will break the processing in the forms
- Print the XRef sheet of each of the Data Validation Reporting Forms for the validation team members
  - Provides Facility #, Area Number, Area Name, Property ID, Property Type, Property Name, Status and Usage Description of the assets being validated
  - Facility # identifies which sheet in the form an asset resides on
  - Use to identify assets for the walkthroughs
Capitalized – Adjustment section
- FIMS Value
- Source Value
- Variance (Y/N)

FIMS Value is populated with data pulled from FIMS
Input your Source Value from your source document
Variance (Y/N) column will automatically update
  - Unless a variance forces you to manually change it
Adjustment sheet of the DOE Owned Data Validation Reporting Form (continued)

- **Adjustment Cost** section
  - FIMS Value
  - Source Value
  - Variance (Y/N)

- FIMS Value is populated with data pulled from FIMS
- Input your Source Value from your source document
- Variance (Y/N) column will automatically update
  - Unless a variance forces you to manually change it
NEW FY2020

Provides the following identifying information on the extracted AAIM asset(s):

<table>
<thead>
<tr>
<th>Property ID – Property Name</th>
<th>Usage Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>Area Number</td>
<td>Acq Cost / Annual Rent</td>
</tr>
<tr>
<td>Ownership</td>
<td>Beneficial Occupancy Year</td>
</tr>
</tbody>
</table>
Populate the following from the planning documents:

- **Source/Comments**
  - Enter the planning document name and date
  - Note other comments as appropriate

- **In Plan?**
  - If the AAIM asset is found in the Site planning document, select ‘Yes’ from the pick list
  - If the AAIM asset is not found in the Site planning document, select ‘No’ from the pick list

- If planned real property assets are found in the planning documents that don’t exist in AAIM, note this on the DOE Owned Scorecard
Location sheet of the DOE Owned Data Validation Reporting Form

- NEW FY2020
- Provides the following identifying information on each unique address for DOE owned assets:

<table>
<thead>
<tr>
<th>Site Name</th>
<th>Location State</th>
</tr>
</thead>
<tbody>
<tr>
<td>Main Location</td>
<td>Location Zip Code</td>
</tr>
<tr>
<td>Location City</td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>GPS Locatable?</th>
</tr>
</thead>
<tbody>
<tr>
<td>No</td>
</tr>
<tr>
<td>No</td>
</tr>
<tr>
<td>No</td>
</tr>
<tr>
<td>No</td>
</tr>
<tr>
<td>No</td>
</tr>
</tbody>
</table>
Populate the following based upon if the address is GPS locatable:

- **Yes or No**
  - If the address is GPS locatable, select ‘Yes’ from the pick list
  - If the address is not GPS locatable, select ‘No’ from the pick list
    - This will cause a variance and the Variance column will automatically change to ‘Yes’
Provides the following identifying information on each bridge asset:

<table>
<thead>
<tr>
<th>Property ID</th>
<th>Status</th>
</tr>
</thead>
<tbody>
<tr>
<td>Property Name</td>
<td>Size</td>
</tr>
<tr>
<td>Usage Code Desc</td>
<td>Location Zip Code</td>
</tr>
<tr>
<td>Safety Inspection Date</td>
<td>Year Built</td>
</tr>
</tbody>
</table>
The following information is to be populated from the Bridge Safety Inspection source document:

- **Date of Inspection from Safety Inspection Report**
  - Enter date when safety inspection was performed (not date of report)

- **Date within 1 yr - Trains or within 2 years - Public Access Vehicular (Yes/No)**
  - Controlled and publically accessible train bridges
    - Bridge Safety Inspection completed for these bridges with a **Status** of Operating, Standby or Outgranted
    - One inspection per calendar year, with not more than 540 days between successive inspections

  - Publicly accessible vehicular bridges
    - Bridge Safety Inspections completed for these bridges for all **Status** options
    - Regular intervals not to exceed twenty-four months

- Enter Yes or No
The following information is to be populated from the Bridge Safety Inspection source document (continued)

- **Safety Inspection Report Signed/Dated by certified bridge inspector (Yes/No)**
  - Enter Yes or No

- **Safety Inspection supports operational (FIMS) status of bridge (Yes/No)**
  - FIMS Status = ‘Operating’, the source document should reflect ‘Operating’
  - Enter Yes or No
The following information is to be verified from the Bridge Safety Inspection source document:

- **Usage Code Description**
  - Is it a vehicle bridge or a train bridge?
- **Status**
- **Size**
- **Location Zip Code**
- **Year Built**

If discrepancies are found, they are to be noted on the Scorecard in the General Comments and Recommendations section.
Key Points of Caution

- Desktop Validation Limitations
  - FIMS data is measured against other data sources, not against a full physical evaluation of the asset

- Source Data
  - The validation is only as good as the source data
  - The validation is only meaningful if the source data is accurate and trusted

- False Positives
  - A real possibility if the source data is out of date, incorrect or misinterpreted
Correction to Discrepancies

- Discrepancies discovered during the validation may be corrected during the scheduled validation period to improve the score
  - To improve the score for a particular data element, all assets for the site for that particular data element must be reviewed and corrected
    - All assets must be reviewed against a correct source document
    - FIMS must be updated with correct values
    - Change the extracted data on the Data Validation Reporting Form on the FIMS sheet
    - Must be completed within the Validation schedule
  - Only reviewing and correcting the assets being validated is **not** sufficient to improve the score
  - May not be practical for large sites
Lesson 10 Summary

- Understand the desktop validation
- Learn which FIMS Anomaly reports are used for the Validation
- Learn how to identify and explain variances
- Understand the process of the Bridge Safety Inspection verification and the Planning Documents and Location validation
- Learn how to correct discrepancies for a particular data element during a validation, if practical
Demo: Manual Variance Change

- The Usage Code has a variance, even though the FIMS value and Source Value match, the walk through revealed a different predominant use.
- This causes a Variance on the FIMS generated RPV because Usage Code is used to determine the RPV Model.
- The Data Validation Reporting Form will have to be changed manually to show a Variance for RPV.

Let’s take a look at how this is done ....
Demo: Grouping

- Review the process of selecting data on the Data Validation Reporting Forms and copying it to multiple sheets
  - Save time with populating the forms

- Group
- Copy
- Paste Values
- Ungroup
Demo: FIMS Anomaly Report
Variance Check

- Generate the FIMS Anomaly Reports
  - Report, Anomaly Report

- Review reports:
  - Anomaly 16 – FRPP DM Compare
  - Anomaly 17 – FRPP RPV Compare
  - Anomaly 20 – FRPP RN Compare
  - Anomaly 22 – Modernization Compare

- Demo forcing variance for all validated assets for a data element
Lesson 10 Exercise 4
Mock HQ Quality Assurance Visit FIMS Validation

- Sites will present their Source Document data element and describe the process/procedure for collecting /updating a particular data element
- HQ Team: Review and ask questions
- Class: Ask questions
- Class: Does Source Document and procedures meet validation requirements?
  - Discuss whether Source Document is acceptable or unacceptable and why
The Walkthrough Process

Lesson 11
Lesson 11 Objectives

- Discuss the facilities walkthrough process to further validate FIMS data
FIMS Validation Process

1. Inbrief Lesson 3
2. Determine Sample Size Lesson 4
3. Generate the Data Validation Forms Lesson 5
4. Source Documents Lesson 6
5. Desktop Validation Lesson 10
6. Data Element Review (Part 1) Lesson 7
7. Data Element Review (Part 2) Lesson 9
8. Process Verification Lesson 8
9. Prepare Scorecards Lesson 12
10. Follow-up Actions & Outbrief Lesson 13
11. How to Plan the Validation Lesson 14
12. Walkthroughs Lesson 11
The Facilities Walkthrough

- Although the validation is largely a ‘paper validation’; it is critical that the review team see and touch some of the assets to verify usage, utilization and overall condition of the facility.
- The walkthrough is not a condition assessment survey, but more of a reality check.
- Some facility knowledge is necessary but the walkthrough relies more on observation and communication skills.
- The walkthrough is performed in the later part of the validation process, after the desktop validation.
The Facilities Walkthrough (continued)

After the Data Validation Reporting Forms are generated, pick a few of the assets being validated to visit

- Recommend that a walkthrough be conducted on 30% of the assets selected for the validation
- For a site validating 25 DOE owned assets and 5 DOE leased, Contractor leased and GSA assets, you should walkthrough 8-9 buildings/trailers/OSF
- Include DOE leased assets, Contractor leased, GSA assets and land assets
- No hard rules on which to select to walkthrough
- This is not a detailed facility inspection, but an overview to verify actual conditions of a real property asset are consistent with the source data and FIMS data
- Expect a walkthrough to take no more than 10 minutes per facility
The Facilities Walkthrough (continued)

- Drive by as many of the remaining validated assets as practical
  - DOE owned
  - DOE leased
  - Contractor leased
  - GSA owned/leased
  - Withdrawn from public domain land
  - Verify:
    - The asset exists
    - Property Type
    - Status
The Facilities Walkthrough (continued)

- Drive by every train bridge, vehicle bridge and culvert to verify **Usage Code** and **Status**
- Appendix C OSF Usage Codes has detailed definitions and diagrams for determining appropriate **Usage Code**
- Ensure all assets found at a Site are recorded in FIMS
The Facilities Walkthrough (continued)

- Where practical, drive by any roads designated as **Public Access Miles** and **Public Access Lane Miles**

- Verify these assets are public access roads

  - The road is publicly accessible if it is
    - Available, except during scheduled periods, extreme weather or emergency condition
    - Passable by four-wheel standard passenger cars
    - And open to the general public for use without restrictive gates, prohibitive signs or regulations other than restrictions based on size, weight or class of restriction
  
  - Toll plazas are not considered restrictive gates
The Facilities Walkthrough (continued)

- Drive by all assets, if practical, with a **Status** of **In-Situ Closed** or **In-Situ Closed – LTM**
- Confirm accuracy of the **Status**
  - Ensure not being used incorrectly for Shutdown assets
Drive by the previous location of all the Disposed assets that are being validated

- To confirm they are no longer on the site
The Facilities Walkthrough (continued)

- To help confirm that all existing real property assets are recorded in FIMS, conduct an existing asset check
  - During the walkthroughs record the Property ID of
    - 10 assets not currently being validated
      - 5 buildings/trailers
      - 5 OSF
    - At the conclusion of the walkthrough, logon to FIMS and confirm the 10 assets exist in FIMS
The Facilities Walkthrough (continued)

Prior to walkthrough: (continued):

- Generate FIMS Standard Reports for all validated assets

For buildings,

- **DOE owned** – 001 - Owned Building Complete Information Report
- **DOE leased, Contractor Leased, GSA owned and GSA leased** – 002 - Ingrant Building Complete Information Report
The Facilities Walkthrough (continued)

Prior to walkthrough: (continued):

- Generate FIMS Standard Reports for all validated assets (continued)

  - For trailers,
    - **DOE owned** – 003 - Owned Trailer Complete Information Report
    - **DOE leased and Contractor leased** – 004 - Ingrant Trailer Complete Information Report

  - For OSF,
    - **DOE owned** – 005 - Owned OSF Complete Information Report
    - **DOE leased and Contractor leased** – 006 - Ingrant OSF Complete Information Report
The Facilities Walkthrough (continued)

Prior to walkthrough: (continued):

- Generate FIMS Standard Reports for all validated assets (continued)

- For Land,
  - DOE owned and withdrawn from public domain – 007 - Owned/Withdrawn Land Complete Information Report
  - DOE leased – 008 - Ingrant Land Complete Information Report

- For Bridges,
  - 015 - Bridge Safety Inspection Report to PDF format
    - Extracts all train bridges, vehicle bridges and culverts
Prior to walkthrough: (continued):

- Generate FIMS Standard Reports for all validated assets (continued)

  - For Public Access Roads,
    - 011 - Owned OSF Public Access Roads Report
      - Extracts primary, secondary and tertiary roads with Public Access Miles and Public Access Lane Miles

  - For Disposed
    - Print the sheet labelled XRef from the DOE Disposition Validation Reporting Form
Red arrows identify items that can be verified on walkthroughs.
Use the PDF version of report 015 to verify Usage Code and Status for all train bridges (Usage Codes 1468 and 1469), vehicle bridges (Usage Code 1768 and 1769) and culverts (Usage Code 2629)
Use the PDF version of report 011 to extract your site assets designated as public access roads. Simply verify that each asset extracted has public access roads.
The Facilities Walkthrough (continued)

Prior to walkthrough:

- Schedule visit with site and tenant
  - If possible, go with site facilities representative familiar with the asset
- Verify that no Personal Protective Equipment (PPE) is needed or simple PPE
  - If needed (hard hat, ear plugs, safety glasses) should be provided
The Facilities Walkthrough (continued)

- During Walkthrough:
  - Verify **Usage Code**
    - Most facilities have an obvious predominant usage
  - Verify **Asset % Utilized**
    - For DOE owned, DOE leased and Contractor leased buildings, trailers and OSF as well as GSA leased and GSA owned buildings
    - Not necessary to count people or cubicles
    - Look for unused blocks of space or empty work areas
    - Discuss utilization and usage (code) with building representative or tenant
During Walkthrough: (continued)

- Do a “sanity check” on Repair Needs
  - If there is minimal Repair Needs, does the asset look and feel well maintained?
    - Well lit and clean; no tell tale water marks, dirty diffusers or possible mold?
    - Comfortable temperatures and humidity?
    - Carpets and paint look good?
    - Mechanical rooms look clean and their components in good repair. Controls in “automatic”?
    - Bathrooms functional and in decent shape?
    - Electric panels closed and inaccessible to unqualified individuals?
The Facilities Walkthrough (continued)

- During Walkthrough: (continued)
  - Verify **Property Type** – is the asset recorded properly?
    - Ensure assets reported as Buildings and Trailers are fully enclosed
      - OSF assets may have missing walls or a missing roof
    - Verify that trailers triple-wide or larger or modular buildings are reported as Buildings, not Trailers
The Facilities Walkthrough (continued)

- During Walkthrough: (continued)
  - Check for **Status** misclassification
  - Does the **Size** seem accurate and the **No of Floors**?
  - Verify that multiple buildings and/or trailers assets are not being reported as one single record in FIMS
  - Randomly select and verify other data (such as **Year Built**, **Excess Indicator** and **Occupant data**) from the FIMS complete information reports
The Facilities Walkthrough (continued)

- After the Walkthrough:
  - Document any apparent data element discrepancies on the Data Validation Reporting Forms and rescore data element(s) by changing the variance, if needed
  - False positives are often identified during walkthroughs
    - A real possibility if the source data is out of date, incorrect or misinterpreted
  - Add facility walkthrough notes to the Data Validation Reporting Forms
  - Discrepancies found during a walkthrough take precedence over the desktop validation
Lesson 11 Summary

- Understand how to perform a walkthrough of a facility
- Learn which assets require a drive by during the walkthroughs
- Learn to perform the existing asset check
- Learn that discrepancies found during the walkthrough take precedence over the desktop validation and require rescoring of the data element(s)
Lesson 11 Exercise 5

Walkthrough results

Review the following scenarios and address the questions

1. A walkthrough is conducted on a DOE owned building, Property ID Bldg 001. FIMS indicates the Asset % Utilized is 100% and that matches the source documentation. However, during the walkthrough it appears that only 50% of the warehouse is being utilized and the Facility Manager has stated during the walkthrough that it is never more than 50% utilized at any time during the year. The Status in FIMS reflects the warehouse is operating and that seems accurate based on what you have seen. What data element(s) does this impact for the validation?

2. As part of the walkthrough, you are driving by the remaining assets in your sample set. You have come across one building that was demolished 12 months ago. FIMS indicates the building is 0% utilized but the Status is operating. What data element(s) does this impact for the validation?
Review the following scenarios and address the questions

3. During your bridge and culvert review, one culvert was discovered that should be recorded as a controlled access vehicle bridge. What changes would be required to the DOE Owned Data Validation Reporting Form?
Scorecarding

Lesson 12
Lesson 12 Objectives

- Understand how scorecarding works
FIMS Validation Process

1. Inbrief Lesson 3
2. Determine Sample Size Lesson 4
3. Generate the Data Validation Forms Lesson 5
4. Source Documents Lesson 6
5. Data Element Review (Part 1) Lesson 7
6. Data Element Review (Part 2) Lesson 9
7. Process Verification Lesson 8
8. Desktop Validation Lesson 10
9. Walkthroughs Lesson 11
10. Scorecarding Lesson 12
11. Follow-up Actions & Outbrief Lesson 13
12. How to Plan the Validation Lesson 14
Scorecarding

- Scorecard reporting is:
  - Compact and conveys results quickly
    - One page summary of findings
  - To be finalized during the validation
  - Focuses attention on the facts and findings
FY2020 FIMS Validation

- Four scorecards will be generated
  - 1 - DOE owned buildings, trailers and OSF
  - 2 - DOE leased and Contractor leased buildings, trailers and OSF as well as GSA owned and leased Buildings
  - 3 - Land – DOE owned, DOE leased and withdrawn from public domain
  - 4 - Disposed assets
A scorecard is a stop light chart

- **Green** – Go and continue to do great things
  - Few if any defects noted (as measured in the frequency of variance)

- **Yellow** – Proceed with caution
  - Some defects noted but not deemed to be affecting overall FIMS data quality
  - There is an opportunity for improvement or at least monitoring

- **Red** – Stop and address a problem
  - Defects noted affect the quality of the data
  - Corrective action required
Scorecard Form

- Combined and automatically populated in the Data Validation Reporting Forms
- Look for the sheet labelled **Scorecard**

| 12 | 13 | 14 | 15 | FIMS | XRef | Variance | Scorecard | Scorecard Ratings | Force Variance |
# Sample Scorecard

## DOE OWNED FIMS VALIDATION SCORECARD

**[SITE NAME]**  
Program: [Program Name]  
Dates of Validation: [Validation Dates]

<table>
<thead>
<tr>
<th>Overall Scorecard Rating of FIMS Data</th>
<th>Existing Asset Check</th>
<th>Bridge Safety Inspection</th>
<th>Bridge &amp; Culvert</th>
<th>Public Access Roads</th>
<th>In-Situ</th>
<th>Score</th>
</tr>
</thead>
<tbody>
<tr>
<td>Status</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Corrective Action Plan Progress</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Data Element</th>
<th>Requirement*</th>
<th>Freq of Variance (FIMS vs. Source)</th>
<th>Score</th>
<th>Notes/Recommendations</th>
</tr>
</thead>
<tbody>
<tr>
<td>1 Ownership</td>
<td>B, T, S</td>
<td>0%</td>
<td>GREEN</td>
<td></td>
</tr>
<tr>
<td>2 Usage Code</td>
<td>B, T, S</td>
<td>0%</td>
<td>GREEN</td>
<td></td>
</tr>
<tr>
<td>3 Property Type</td>
<td>B, T, S</td>
<td>0%</td>
<td>GREEN</td>
<td></td>
</tr>
<tr>
<td>4 Status</td>
<td>B, T, S</td>
<td>0%</td>
<td>GREEN</td>
<td></td>
</tr>
<tr>
<td>5 Size</td>
<td>B, T, S</td>
<td>0%</td>
<td>GREEN</td>
<td></td>
</tr>
<tr>
<td>6 Space Type Usable SF - Office</td>
<td>B, T, S</td>
<td>0%</td>
<td>GREEN</td>
<td></td>
</tr>
<tr>
<td>7 No of Floors</td>
<td>B, T, S</td>
<td>0%</td>
<td>GREEN</td>
<td></td>
</tr>
<tr>
<td>8 Repair Needs</td>
<td>B, T, S</td>
<td>0%</td>
<td>GREEN</td>
<td></td>
</tr>
<tr>
<td>9 Deferred Maintenance</td>
<td>B, T, S</td>
<td>0%</td>
<td>GREEN</td>
<td></td>
</tr>
</tbody>
</table>
Explaining the Scorecard

At the data element level, red, yellow and green ratings are automatically assigned based on the frequency of variance percentage (see column on Scorecard):

<table>
<thead>
<tr>
<th>Score</th>
<th>Green</th>
<th>Yellow</th>
<th>Red</th>
</tr>
</thead>
<tbody>
<tr>
<td>Data Element</td>
<td>No more than a 5% frequency of variance</td>
<td>Greater than 5%, but no more than 10% frequency of variance</td>
<td>Greater than 10% frequency of variance</td>
</tr>
</tbody>
</table>

Data elements which are validated to source documents but are outside accepted definitions or conventions are assessed red with an explanation:

- Example: Annual Actual Maintenance matches between FIMS and the source document but is considered to be a variance because through discussion with the site, it is discovered that Annual Actual Maintenance is allocated to the site assets and not tracked by actual expenditures at the asset level. As a result, this data element would be red.
Status Score

- To score **Green**:  
  - All performance measures are green  
  - And, no more than two of the remaining data elements are yellow

- A score of **Yellow** is received if:  
  - If one or more performance measures are yellow  
  - Or, no more than one of the remaining data elements are red

- A score of **Red** is received  
  - If one or more of the performance measures result in a red rating  
  - Or, more than one of the remaining data elements are red

**Performance Measures**: Annual Actual Maintenance, Annual Rent, Asset % Utilized, Deferred Maintenance, Operating Cost (site level), RPV, Repair Needs and Size
The Status score applies to the DOE Owned, the DOE Leased, Contractor Leased and GSA, the Land, and the Disposition scorecards.
Corrective Action Plan Progress Score

- If a Corrective Action Plan (CAP) was developed as a result of the previous fiscal year’s validation, this score will represent the site’s efforts to manage the CAP and implement improvements to the FIMS data since their last validation.

- If no CAP is in place for a site on a particular scorecard, the score will be ‘N/A’ (not applicable).
Corrective Action Plan Progress Score (continued)

- **Green** – results-oriented CAP in place with goals and necessary resources to implement
  - CAP goals are being met
  - Significant improvement in data quality since last validation

- **Yellow** – indication that limited, positive efforts are being taken to address the CAP
  - Progress is slipping on meeting the CAP goals
  - Some improvement in data quality since last validation

- **Red** – indication that CAP is not being managed and implemented
  - Goals in the CAP are not being met
  - Minimal improvement in data quality since last validation

*Use N/A if no previous Corrective Action Plan exists*
The Corrective Action Plan Progress score applies to the DOE Owned, the DOE Leased, Contractor Leased and GSA, the Land, and the Disposition scorecards.
Scoring the Existing Asset Check

- After verifying that the 10 recorded properties from the walkthrough are in the FIMS database, change the Existing Asset Check score on the DOE Owned scorecard as follows:
  - **Green** if all 10 assets are found in FIMS
  - **Red** if one or more of the 10 assets are not in FIMS

<table>
<thead>
<tr>
<th>SITE NAME</th>
<th>Program: [Program Name]</th>
<th>Dates of Validation: [Validation Dates]</th>
</tr>
</thead>
<tbody>
<tr>
<td>Verifications</td>
<td>Overall Scorecard Rating of FIMS Data</td>
<td>Existing Asset Check</td>
</tr>
<tr>
<td>Status</td>
<td>Score</td>
<td>Score</td>
</tr>
<tr>
<td>Corrective Action Plan Progress</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
Existing Asset Check

- Missing assets have a direct effect on the DOE Owned Scorecard Status score
  - If 1 or 2 of the 10 assets checked are missing from FIMS
    - If the current DOE Owned Status score is Green, the Status score is to be changed to Yellow
    - If the current DOE Owned Status score is Yellow, the Status score is to be changed to Red
  - If 3 or more assets checked are missing from FIMS,
    - The DOE Owned Status score is to be changed to Red

- Knowledge of missing assets is to be disclosed at the beginning of the validation
  - Important to get an understanding of the severity of the issue and for getting a plan to add the assets
Scoring the Bridge Safety Inspection Verification

The Bridge Safety Inspection Verification applies to the DOE Owned scorecard
### Scoring the Train Bridge, Vehicle Bridge and Culvert Verification

**Score Green Red N/A**

**Bridge and Culvert Verification**

Usage Code and Status are correct for all train and vehicle bridges and culverts

Discrepancies noted for bridge(s)/culvert(s) or assets were found that are not in FIMS

Site does not have train bridges, vehicle bridges or culverts

---

The Bridge and Culvert Verification applies to the DOE Owned scorecard
### Scoring the Public Access Roads Verification

The Public Access Roads Verification applies to the DOE Owned scorecard.
Scoring the In-Situ Verification

The In-Situ Verification applies to the DOE Owned scorecard.
Status Score Adjustment

- The Status score on the DOE Owned Scorecard must be adjusted if a Red score is received for any of the following:
  - Bridge and Culvert verification
  - Public Access Roads verification
  - In-Situ verification

<table>
<thead>
<tr>
<th>If current Status score is:</th>
<th>Adjust Status score to:</th>
</tr>
</thead>
<tbody>
<tr>
<td>Green</td>
<td>Yellow</td>
</tr>
<tr>
<td>Yellow</td>
<td>Red</td>
</tr>
<tr>
<td>Red</td>
<td>Red</td>
</tr>
</tbody>
</table>
Disposition Scorecard Status

After validating the data, confirming excess screening and checking that all Disposed assets no longer exist, update the Status as follows:

- **Green** if all disposition data elements are green, all assets were excess screened and have been confirmed as disposed
- **Yellow** if any disposition data element is yellow and no data element is red
- **Red** if any disposition data element is red, or an asset is found to still be on the Site, or an asset was not excess screened
Finalizing the Scorecards

On the Scorecard sheet

- Update the header information for
  - Site Name
  - Program
  - Dates of Validation

- To record the scores, simply type Green, Yellow or Red in the appropriate cell
  - This will color the cell background appropriately

- Add General Comments and Recommendations
Lesson 12 Summary

- Learn how to prepare the scorecards

<table>
<thead>
<tr>
<th>Overall Scorecard Rating of FIMS Data</th>
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<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
Lesson 12 Exercise 6

- Review the follow scenarios and determine the Score Card Status and Corrective Action Plan Progress ratings
DOE Site South:

- All data elements found to have less than a 5% frequency of variance except:
  - RPV – Other
    - The RPVs were inflated in FY19 using the RS Means Any City Inflator
    - The site lacks a source document to show the initial RPV calculations
- The In-Situ Status check found a building incorrectly recorded as In-Situ
Lesson 12 Exercise 6

■ DOE Site West:
  - All data elements found to have less than a 5% frequency of variance except:
    ■ Adjustment Cost
      - Source document was produced from FIMS and signed by Accounting
    ■ Asset % Utilized is found to not be consistently applied through an annual utilization survey process
      - Will be corrected in 60 days
    ■ Historic Designation was loaded in the system based on an educated analysis. A request has been submitted to the State Historical Preservation Officer
      - FIMS will be updated once the report is received from the SHPO
Lesson 12 Exercise 6

- DOE Site North:
  - Size, Repair Needs, Deferred Maintenance and Asset % Utilized all had no detected frequency of variance
  - RPV, Operating Cost and Annual Actual Maintenance had a frequency of variance of under 5%
  - Usage Code and Status had a frequency of variance of 7% and 10% respectively
  - All remaining data elements had no variances
  - The existing asset check uncovered 3 assets that were not found in FIMS
  - FY19 Corrective Action Plan was to address Usage Code which had a frequency of variance of 32%
Follow Up Actions and Outbrief

Lesson 13
Lesson 13 Objectives

- Learn to address shortcomings and close the loop
- Review the Outbrief process
FIMS Validation Process

1. Inbrief
   Lesson 3

2. Determine Sample Size
   Lesson 4

3. Generate the Data Validation Forms
   Lesson 5

4. Source Documents
   Lesson 6

5. Desktop Validation
   Lesson 10

6. Data Element Review
   (Part 2)
   Lesson 9

7. Process Verification
   Lesson 8

8. Data Element Review
   (Part 1)
   Lesson 7

9. Walkthroughs
   Lesson 11

10. Prepare Scorecards
    Lesson 12

11. Follow-up Actions & Outbrief
    Lesson 13

12. How to Plan the Validation
    Lesson 14
Follow Up Actions: Address Shortcomings and Close the Loop

- Identify the source and scope of the problem with a site’s data
  - Complexity
  - Extent
- Determine which data source is correct
  - Verify the source data versus the FIMS data
- Investigate beyond the sample set
  - High frequency of variance can indicate a problem across a site’s data set
  - It is OK to drill further to help diagnose a problem as long as time permits
Outbrief

- Optional

  Outbrief meeting to site management and staff
  - Validation scorecards
  - Recommendations for follow-up actions
    - Further validation
    - Changes to FIMS information
    - Timeline for rectifying issues

- Disagreements
  - Capture and document disagreements with validation findings and recommendations for results
Outbrief – Sample Presentation

- **Sample Inbrief/Outbrief Template**
  - Combined

- Available under the **Data Validation** topic at [https://fims.doe.gov/fimsinfo/doc.html](https://fims.doe.gov/fimsinfo/doc.html)

- Prior to the Outbrief meeting, the presentation must be edited to replace the underlined, italic text with the appropriate information
Lesson 13 Summary

- Address shortcomings and close the loop
- Understand the Outbrief process
Planning the Validation

Lesson 14
Lesson 14 Objectives

- Frequency and Timing
- Quality Assurance Visits
- Assembling a Validation Team
- Setting the Validation Schedule
- Corrective Action Plan (CAP)
- Data Retention
- Discuss Validation Meeting Guidelines
FIMS Validation Process

Inbrief Lesson 3
Determine Sample Size Lesson 4
Generate the Data Validation Forms Lesson 5
Source Documents Lesson 6

Desktop Validation Lesson 10
Data Element Review (Part 2) Lesson 9
Process Verification Lesson 8
Data Element Review (Part 1) Lesson 7

Walkthroughs Lesson 11
Prepare Scorecards Lesson 12
Follow-up Actions & Outbrief Lesson 13
How to Plan the Validation Lesson 14
Frequency and Timing

- Validations are to be conducted annually for all sites.
- Sites with multiple programs are required to coordinate a single validation for the entire site.
Frequency and Timing (continued)

- The FIMS Validation guidance recommends that validations should be completed between January 15th and July 31st of each fiscal year
  - Provide HQ Program Office with planned Validation date to be reported to OAM no later than November 30th of each fiscal year
  - Any date changes should be provided to OAM
  - Validation should not occur between August 1st and December 15th which is the annual update cycle for FIMS data
Validation Schedule and Quality Assurance Visits

Quality Assurance Visits

- Performed by OAM/Headquarters Programs
- Typically occur every 5 years
  - However, sites can request a visit anytime
- To verify consistency and to ensure validations are conducted in accordance with the guidance
- Sites to be visited for the current fiscal year are listed in the Data Validation Guidance which is available from the FIMS website at

  https://fims.doe.gov/fimsinfo/doc.html
Validation Schedule and Quality Assurance Visits (continued)

Scheduled FY2020 Quality Assurance Visits

<table>
<thead>
<tr>
<th>Facility Name</th>
<th>Location</th>
</tr>
</thead>
<tbody>
<tr>
<td>Brookhaven National Laboratory (SC)</td>
<td></td>
</tr>
<tr>
<td>EM Consolidated Business Center (EM)</td>
<td></td>
</tr>
<tr>
<td>Moab/Crescent Junction (EM)</td>
<td></td>
</tr>
<tr>
<td>Nevada Field Office (NNSA)</td>
<td></td>
</tr>
<tr>
<td>Pacific Northwest National Laboratory (SC)</td>
<td></td>
</tr>
<tr>
<td>Portsmouth USEC (NE)</td>
<td></td>
</tr>
<tr>
<td>Princeton Plasma Physics Laboratory (SC)</td>
<td></td>
</tr>
<tr>
<td>Thomas Jefferson National Accelerator Facility (SC)</td>
<td></td>
</tr>
</tbody>
</table>
Validation Schedule and Quality Assurance Visits (continued)

- Quality Assurance Visits (continued)
  - Assign a site point of contact to coordinate visit
    - Maps, security requirements, gate passes, meeting location - building and room number, time and electronic equipment passes
  - Contact HQ attendees 2-3 weeks prior to visit please
Assembling the Validation Team

Ideal team consists of:

- Designated team leader who has completed the FIMS Data Validation training within the last 2 years
- A minimum of at least two individuals, one of which should be the FIMS Administrator, who are familiar with the assets to be validated and the source documentation
- Others may be rotated in and out of the team as source data or facility experts
Timeline for a Site Validation

- Establish Schedule
  - Schedule times for review and facility visits that are as convenient and efficient as reasonable
  - About 2 - 3 days for a site to validate buildings, trailers, OSF, land and Disposed assets
  - Use the Source Documentation Worksheet to coordinate the FIMS updates with the Subject Matter Experts (SMEs)
  - Inbrief (optional), kick off meeting, introductions, procedures
Timeline for a Site Validation (continued)

- Establish Schedule (continued)
  - Generate the following reports at the beginning of the validation (Morning, day one)
    - The random sample report 016 for DOE owned buildings, trailers and OSF
      - Add in Outliers using report 020
    - Report 017 for DOE leased and Contractor leased buildings, trailers and OSF as well as GSA owned and GSA leased buildings
    - Report 018 for DOE owned, DOE leased and withdrawn from public domain land
    - Report 019 for Disposed assets
    - Generate Anomaly reports #16, 17, 20 and 22
Timeline for a Site Validation (continued)

- **Establish Schedule (continued)**
  - Desktop validation
    - Validate DOE owned buildings, trailers and OSF
    - If applicable, validate Adjustments
    - If applicable, validate the Planning documents
    - Validate the Location data
    - If applicable, review Bridge Safety Inspection records
    - Validate Operating Cost (site level)
    - If applicable, validate DOE leased and Contractor leased buildings, trailers and OSF as well as GSA owned and GSA leased buildings
    - If applicable, validate DOE owned, DOE leased and withdrawn from public domain land
    - If applicable, validate Disposed assets

Don’t forget to review/discuss the documented processes/procedures for collecting the FIMS source data as you are validating
Establish Schedule (continued)

- Physical walkthrough
  - Arrange walkthroughs for buildings, trailers, OSF and land
  - Perform walkthroughs
  - Select 10 random assets for the Existing Asset Check
  - Drive by as many of the assets being validated as practical
  - Drive by every train bridge, vehicle bridge and culvert asset
    - Verify **Usage Code** and **Status**
    - Ensure all assets are recorded in FIMS
**Establish Schedule** (continued)

- **Physical walkthrough** (continued)
  - Drive by any roads designated as Public Access Miles and Public Access Lane Miles to confirm the accuracy of the public access roads
  - Drive by the previous location of all disposed assets
  - Drive by the In-Situ assets
    - Confirm **Status** is correct
Establish Schedule (continued)

- Use FIMS to verify existing assets identified during walkthroughs
- If appropriate, correct discrepancies discovered during the validation
- Fill gaps and finalize the desktop validation forms
  - Record any findings from the walkthroughs
- Finalize the Scorecards and record findings in the General Comments and Recommendations section
Timeline for a Site Validation (continued)

- Establish Schedule (continued)
  - Outbrief (optional)
  - Within 5 business days of your validation, send your HQ Program Office and OAM copies of the completed
    - Data Validation Reporting Forms
    - Source Documentation Worksheet
When Your Status Score is RED

- If a Site Status score is Red on any of the 4 scorecards, the site is required to develop a Corrective Action Plan (CAP) within 15 days of the validation.
  - For Dispositions, this should include reviewing/updating a Site’s procedures/processes for disposed assets to correct the issue.
- A copy of the CAP is to be delivered to the Site Office, HQ Program Office and OAM.
- The HQ Program Office will oversee the execution of the plan, forward a copy of the CAP to OAM and provide semi annual updates until corrective actions are complete.
When Your Status Score is RED (continued)

- The Site Status score will remain Red, until all items outlined in the CAP have been fully implemented and completed.
- Once the CAP is fully implemented and completed, the Site may choose to revalidate to improve their Status score.
- A schedule/date for the revalidation should be provided to the Site Office/HQ Program:
  - Revalidation is required within 60 days or before August 1st of the current fiscal year.
When Your Status Score is RED  
(continued)

- A schedule/date for the revalidation should be provided to the Site Office/HQ Program  
  (continued)
- Revalidation is only required for those data elements that scored either **Red** or **Yellow**
  - To Revalidate, just generate a new validation form by running the appropriate FIMS standard report and validate just those data elements that were scored **Red** or **Yellow**
  - Data elements that originally scored **Green** are not required to be revalidated
- If **Red** or **Yellow** scored data elements cannot be corrected in 60 days  (i.e. Condition Assessment Surveys not within 5 year cycles)
  - Justify in the CAP
  - Revalidation will not be required, yearly validations will continue
Corrective Action Plan (CAP)

- Sample available on FIMS website at https://fims.doe.gov/fimsinfo/doc.html
- Usually your scorecard with a few additional columns to identify:
  - Correction Action Plan
  - Person Responsible and Contact Information
  - Estimated Date of Completion
  - Actual Completion Date

<table>
<thead>
<tr>
<th>FIMS Data Element</th>
<th>Score</th>
<th>Recommendations</th>
<th>Corrective Action Plan</th>
<th>Person Responsible and Contact Information</th>
<th>Estimated Date of Completion</th>
<th>Actual Completion Date</th>
</tr>
</thead>
<tbody>
<tr>
<td>Ownership</td>
<td>Green</td>
<td>Check animal housing to see if 745 or 746 need more detail in the source documents</td>
<td>Review usage codes for all buildings, Update in-house Space Management Database</td>
<td></td>
<td>6/30/2020</td>
<td></td>
</tr>
<tr>
<td>Usage Code</td>
<td>RED</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Property Type</td>
<td>Green</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
Retention of Information

- What should be kept?
  - Completed Data Validation Reporting Forms
  - Source Documents
  - Source Documentation Worksheet
  - Corrective Action Plans

- How long?
  - No less than five years
    - Allows trending and identifying areas for improvement
    - Aligns with RPAM quality assurance goals and inspection periods

- Who should keep?
  - Site and/or Field Office
  - Validation materials should remain with FIMS
    - Should transfer from Contractor to Contractor
Validation Meeting Guidelines

- Establish Guidelines for the Validation
  - To provide a forum for discussion
  - To stay focused and help expedite the process
  - Recommendations from lessons learned
    - Print the XRef sheet from the Data Validation Reporting Forms to obtain the list of assets being validated
    - Discuss how the Source Data is organized
      - Validations run more efficiently if the same data element is validated for all assets on the form at the same time versus all data elements for one asset at a time
      - If a source document cannot be located in a short time frame, move on and come back to it later
    - Plan to discuss the process/procedures for obtaining source data
Establish Guidelines for the Validation (continued)

- Recommendations from lessons learned (continued)
  - Roles and Responsibilities
    - Every attendee needs to play a part, such as
      - Check Source Documents required to be updated annually
      - Check Source Documentation Worksheet for Subject Matter Expert and verify it matches the actual Source Document
      - Check the RPV x-walk for FIMS generated and CAIS RPV Model generated RPVs
      - Operate the computer to update the forms
      - Call out the Property IDs from the XRef list to aid in locating the Source Document values
      - Locate and read the Source Document values
      - Map out the plan for the walkthroughs
  - Conduct all side conversations outside the meeting room – disruptive to the validation process
Lesson 14 Summary

- Know the frequency and timing of scheduling a FIMS validation
- Understand Quality Assurance Visits
- Know the participants of the validation team
- Understand the validation schedule
- Understanding the CAP
- Know the retention time period for validation materials
- Establish validation meeting guidelines
Lesson 14  Exercise 7

Mock HQ Quality Assurance Visit FIMS Validation (continued)

- Sites will present their Source Document data element and describe the process/procedure for collecting /updating a particular data element
- HQ Team: Review and ask questions
- Class: Ask questions
- Class: Does Source Document and procedures meet validation requirements?
  - Discuss whether Source Document is acceptable or unacceptable and why
Validation Guidance and Website

Lesson 15
Lesson 15 Objectives

- Where are the data validation materials and guidance found?
- FIMS Website review
FIMS Validation Materials and Guidance

- Validation materials are available from the FIMS website under the Data Validation topic at https://fims.doe.gov/fimsinfo/doc.html
  - Source Documentation Worksheet
  - Sample Size Chart
  - Sample Corrective Action Plan
  - Sample Inbrief/Outbrief Template
  - Data Validation Training Manual
FIMS Validation Materials and Guidance (continued)

- FY20 Reporting Deadlines and Validation Guidance
  - Issued by the Office of Asset Management (OAM), DOE

Let’s take a look ....
FIMS Validation Training Course

The End!