Facilities Information Management System (FIMS) Validation Training Review

Version 3.4
February 2022
# Table of Contents

Lesson 1 Before We Begin Opening and Introduction ................................................................. 1-1  
Lesson 2 Sample Size and Generating the Data Validation Reporting Forms ............................... 2-1  
Lesson 3 Source Documents ........................................................................................................ 3-1  
Lesson 4 FIMS Data Elements to be Validated ............................................................................ 4-1  
Lesson 5 A Detailed Look at the Bridge Inspection Verification .................................................. 5-1  
Lesson 6 Process Verification ....................................................................................................... 6-1  
Lesson 7 Desktop Validation using the Data Validation Reporting Forms ................................... 7-1  
Lesson 8 The Walkthrough Process ............................................................................................. 8-1  
Lesson 9 Scorecarding .................................................................................................................. 9-1  
Lesson 10 Planning the Validation ............................................................................................... 10-1  
Lesson 11 Validation Guidance and Website ............................................................................... 11-1
Before We Begin Opening and Introduction

Lesson 1
Welcome

- Introductions
  - Logistics
  - Instructors
Course Schedule

- This is a 2-day course
- Questions and experience sharing is encouraged
Course Purpose

- Address new FY2022 FIMS Validation requirements
- Review highlights and lessons learned of the Validation process
- Understand the step by step process required to perform a Validation on data in FIMS
- Understand the meaning of the results of a FIMS Validation
Sample Size and Generating the Data Validation Reporting Forms

Lesson 2
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 total number of site assets for:
    - DOE owned buildings
    - DOE owned trailers
    - DOE owned Other Structure and Facilities (OSF)
Determine Sample Set

- 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 …
## 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>
</tr>
<tr>
<td>2</td>
<td>2</td>
</tr>
<tr>
<td>3</td>
<td>3</td>
</tr>
<tr>
<td>4</td>
<td>4</td>
</tr>
<tr>
<td>5-6</td>
<td>5</td>
</tr>
<tr>
<td>7</td>
<td>6</td>
</tr>
<tr>
<td>8-9</td>
<td>7</td>
</tr>
<tr>
<td>10-11</td>
<td>8</td>
</tr>
<tr>
<td>12-14</td>
<td>9</td>
</tr>
<tr>
<td>15-16</td>
<td>10</td>
</tr>
<tr>
<td>17-20</td>
<td>11</td>
</tr>
<tr>
<td>21-23</td>
<td>12</td>
</tr>
<tr>
<td>24-27</td>
<td>13</td>
</tr>
<tr>
<td>28-33</td>
<td>14</td>
</tr>
<tr>
<td>34-39</td>
<td>15</td>
</tr>
<tr>
<td>40-46</td>
<td>16</td>
</tr>
<tr>
<td>47-56</td>
<td>17</td>
</tr>
<tr>
<td>57-69</td>
<td>18</td>
</tr>
<tr>
<td>70-87</td>
<td>19</td>
</tr>
<tr>
<td>88-113</td>
<td>20</td>
</tr>
<tr>
<td>114-154</td>
<td>21</td>
</tr>
<tr>
<td>155-232</td>
<td>22</td>
</tr>
<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.
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

- Save the generated form
Outliers – Additional Owned Assets

- 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 Repair Needs</th>
<th>Shutdown assets with Asset % Util = 100</th>
</tr>
</thead>
<tbody>
<tr>
<td>Questionable assets at a site</td>
<td>Operating assets with $0 Actual Maint</td>
</tr>
<tr>
<td>High RPV, but small footprint or vise versa</td>
<td>Add Office, Warehouse, Lab, Trailer and/or OSF if not included in random pull</td>
</tr>
</tbody>
</table>

- Use the FIMS Ad Hoc Report – Current query tool to assist with selecting outliers
  - Property ID(s) are needed to extract the outliers
  - Note: A max of 30 assets can be validated on the DOE owned form, so Sample Set + Outliers ≤ 30
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

- Save the generated form

- 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
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
  - Sites with more than 25 assets will validate a random selection of 25 assets
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

- Save the generated form
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
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
- Save the generated form
Sample Set – Disposed Assets

- Disposed sample set
  - Includes all Ownerships
  - Archived assets with an Archive Date between October 1, 2020 and September 30, 2021 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
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
- Save the generated form
**Demo: Extracting the FIMS Data**

- Utilize the Ad Hoc Report – Current to determine DOE owned count

- Generate the 016-DOE Owned Data Validation Reporting Form
  - Review: Site OpCost, Adjustments, Planning, Location, and Bridge Inspection sheets

- 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
Demo: Extracting the FIMS Data

- Generate the 017-DOE Leased, Contractor Leased and GSA Data Validation Reporting Form
- Generate the 018-DOE Land Data Validation Reporting Form
- Generate the 019-DOE Disposition Data Validation Reporting Form
Source Documents

Lesson 3
Source Documents

- 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

- The owner of the source data
- Responsible for collecting, managing, and maintaining the accurate data of record throughout the year

Should be aware of their reporting responsibilities and the FIMS year-end reporting deadlines for population of the data as well as any other Site updates throughout the year

- Should have a process to send source data at appropriate intervals to the FIMS Administrator for update to FIMS
- Shouldn’t have to be reminded by the FIMS Administrator

FIMS is DOE’s official repository of real property data
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
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 location of the asset
  - 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 document 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>Source Document Updates</th>
<th>Functionality Assessment Date</th>
<th>Repair Needs</th>
</tr>
</thead>
<tbody>
<tr>
<td>Annual Actual Maintenance</td>
<td></td>
<td></td>
</tr>
<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>

- 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
  - Databases that are repositories of information
  - 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

- Recreating source documents annually from FIMS is not acceptable
- Once a source document is generated from FIMS
  - Becomes the Subject Matter Experts living document
    - Updates should be made to this document year after year
    - Cannot not be regenerated from FIMS each year just prior to the validation
- Source Documents should be dated
  - Not days or 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 are not acceptable
Gathering Source Document

- As you are updating FIMS, you should be receiving hard copy/electronic documentation for your source data – **this is what we want to see**
  - Source Documents regenerated just prior to the validation are not acceptable

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
Initially, a list of Property IDs and Property Names can be extracted from FIMS.

Annually, the SME should update the original extract. New assets to be added as needed.

SME should be aware of their reporting deadlines for FIMS updates.
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><strong>1. Ownership</strong></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></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>GSA OA – GSA owned and GSA leased</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>2. Usage Code</strong></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></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>GSA OA – GSA owned and GSA leased</td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
Source Documentation Worksheet columns

- **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 the Property Type (building, trailer, OSF and/or land) to be validated for each specific FIMS data element
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
FIMS Data Elements to be Validated

Lesson 4
What Data Is Being Validated?

- FRPP reported data
- DOE identified critical data
- The following five pages list each data element validated in regard to the property Ownership and/or Property Type of the asset
FIMS Validation Data Elements and Performance Measures for DOE Owned Assets

- Ownership
- Usage Code
- Property Type
- Status
- Size
- Space Type Usable SF – Office
- No of Floors
- Repair Needs
- Deferred Maintenance
- 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
- 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
- Roads – Public Access Lane Miles
- Year Built
- Adjustment - Capitalized
- Adjustment Cost
- Operating Cost (site level)
- Location - Main Location, Location City/State/Zip Code
- Planning documents / Beneficial Occupancy Year (AAIM)
- Bridge Inspection verification
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\(^1\)
- **Repair Needs**
- Inspection Date
- **Asset % Utilized**
- Total No of Federal Employees\(^1\)
- Total No of Contractor Employees\(^1\)
- **Replacement Plant Value\(^3\)**
- Annual Actual Maintenance
- Annual Required Maintenance
- Functionality Assessment Date
- Modernization Cost
- Overall Asset Condition
- Estimated Disposition Year
- Outgrant Indicator\(^2\)
- Lease Start Date\(^3\)
- 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\(^1\)
- Excess Indicator\(^2\)
- Excess Date\(^2\)
- Estimated Disposition Year
- GSA Notification Submitted\(^2\)
- GSA Notification Accepted\(^2\)
- Outgrant Indicator
- Lease Start Date\(^3\)
- Expiration Date\(^3\)
- **Annual Rent**\(^3\)

**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
1) Ownership

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

- **Typical source:**
  - Source document 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 assets, use the GSA Occupancy Agreement (OA)

- **Anomalies:** DOE leased assets should have a lease agreement signed by a federal DOE Real Estate Contracting Officer (not a contractor)
2) Usage Code

- **Validated for buildings, trailers, OSF and land**
- **Typical source:**
  - Facility manager interviews/emails
  - Physical asset visit or survey, such as the utilization survey
  - Bridge Inspection report
- **Anomalies:** Usage Code is not predominant based on the Size of the asset
3) Property Type

- Validated for buildings, trailers, OSF and land

- Typical source:
  - 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 assets use the GSA Occupancy Agreement (OA)

- 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 guidance, Classification of Trailers, on the FIMS website
4) Status

- Validated for buildings, trailers, OSF and land
- Typical source:
  - Facility manager interviews/email
  - Physical asset visit or survey, such as the utilization survey
- 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)*

- **Validated for buildings, trailers, OSF and land**
- **Typical source:**
  - DOE Owned Buildings and Trailers: as-built, physical measurements, Geographic Information Systems (GIS), space management
  - DOE Owned OSF: documents from the Facility Manager / Subject Matter Expert, Bridge Inspection report
  - Land: deed for DOE owned; “Public Land Order” for withdrawn from public domain land
  - Leased assets: the Lease Agreement
  - GSA OAs: the GSA Occupancy Agreement
- **Anomalies:** Cannot be zero; For OSF, if Usage Code changes, ensure the Size is updated to match the Size Unit of Measure
6) Space Type Usable SF - Office

- Validated for buildings and trailers
- Typical Source:
  - Space Management System
  - CAD drawings
  - Physical measurements
  - Geographic Information Systems (GIS)
- Anomalies:
  - No blanks, zero must be entered if no Office space within an asset

Reference: Implementation Guidance for the Revised Office Space Standard, 08/31/2018
7) No of Floors

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

- **Typical source:**
  - As-built drawing
  - Physical visit
  - Space Management System

- **Anomalies:**
  - Include all floors designed to support personnel and/or equipment that covers at least 40% of the building footprint
    - Basement
    - Mezzanine
    - Penthouse
8) Repair Needs (Performance Measure)

- Validated for buildings, trailers and OSF

- Typical Source:
  - CAS reports at the asset level
  - CAIS to FIMS Upload report

- Anomalies: cannot be less than Deferred Maintenance, $0 is not expected for Shutdown assets, source documents are required for all values including $0; "desktop" life cycle cost estimating or modeling of Repair Needs is not acceptable

- For values uploaded from CAIS, if flagged as ‘Engineered’
  - Designated with an asterisk (*) on the CAIS to FIMS Upload Report
  - Verify there is a site estimate that supports the Repair Needs value
  - Verify estimate date
    - No older than 5 years – must be re-estimated if older than 5 years

Deficiencies need to be updated annually, physical asset inspections as required by RPAM are to be performed every 5 years or less
8) Repair Needs (Performance Measure) (continued)

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

<table>
<thead>
<tr>
<th>Site Name</th>
<th>Area Name</th>
<th>Property ID</th>
<th>RPUID</th>
<th>Repair Needs</th>
<th>Deferred Maintenance</th>
<th>Modernization Cost</th>
<th>Last Inspection Date</th>
</tr>
</thead>
<tbody>
<tr>
<td>Oak Ridge Office</td>
<td>CCP</td>
<td>0294-CCP Bath House</td>
<td>133824</td>
<td>$12,592</td>
<td>$0</td>
<td>$0</td>
<td>02/21/2019</td>
</tr>
<tr>
<td>Oak Ridge Office</td>
<td>CCP</td>
<td>0400-CCP Headquarter</td>
<td>138801</td>
<td>$0</td>
<td>$0</td>
<td>$0</td>
<td>02/21/2019</td>
</tr>
<tr>
<td>Oak Ridge Office</td>
<td>CCP</td>
<td>0400-CCP SM STORAGE</td>
<td>203465</td>
<td>$115</td>
<td>$0</td>
<td>$0</td>
<td>02/21/2019</td>
</tr>
<tr>
<td>Oak Ridge Office</td>
<td>CCP</td>
<td>0601-CCP Garage</td>
<td>204284</td>
<td>$1,706</td>
<td>$0</td>
<td>$0</td>
<td>02/21/2019</td>
</tr>
<tr>
<td>Oak Ridge Office</td>
<td>CCP</td>
<td>0694-CCP Well House</td>
<td>217570</td>
<td>$0</td>
<td>$0</td>
<td>$0</td>
<td>02/20/2019</td>
</tr>
<tr>
<td>Oak Ridge Office</td>
<td>CCP</td>
<td>1129-CCP Beach SDWK</td>
<td>205215</td>
<td>$0</td>
<td>$0</td>
<td>$0</td>
<td>03/07/2017</td>
</tr>
</tbody>
</table>

* This cost is based on an engineered estimate.
9) Deferred Maintenance (Performance Measure)

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

- **Typical Source:**
  - Documented review of an asset’s deficiencies to determine which deficiencies have been deferred
  - CAIS to FIMS Upload report

- **Anomalies:**
  - DM is greater than RPV
  - DM greater than Repair Needs
  - Verify that Deferred Maintenance is a result of a documented methodology
  - Source document is required for all values, including $0 (zero)

---

Did you know?... Deferred Maintenance from FIMS is also supplementally reported within DOE’s Annual Financial Statement.
10) Inspection Date

- **Validated for buildings, trailers and OSF**
- Do not enter an Inspection Date when no inspection compliant with required guidance has occurred
- For new assets, use the date of beneficial occupancy for the Inspection Date until CAS inspected within the 5 year cycle
- Required for DOE leased and GSA Occupancy Agreements
  - Sample Lease Inspection Form
    - [https://fims.doe.gov/fimsinfo/downloads.html](https://fims.doe.gov/fimsinfo/downloads.html)
- Verify date is within a 5 calendar year period, not more than 1,826 days (i.e., Inspection Date = 6/1/2017 must be reinspected by 6/1/2022)
10) Inspection Date (continued)

- Typical Source:
  - CAS reports as the asset level
  - CAIS to FIMS Upload report
  - Lease Inspection form for DOE Leased and GSA OAs
  - GSA memo referencing asset inspection for deficiencies
    - Sample on next page
    - Memo should be stored as an attachment in CAIS or other site system used for tracking CAS inspections

- Anomalies:
  - 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
10) Inspection Date (continued)

- Sample GSA OA Inspection memo

---

February 25th, 2021

RE: LSC01412 INSPECTION – NO DEFICIENCIES IDENTIFIED
Agency/City: Department of Energy, Aiken
Building Number: SC2340ZZ

Mr. Pasciuti,

On February 23, 2021 an inspection was conducted at the above location. Below is a list of deficiencies identified during the inspection:

1. No deficiencies noted.

The property and internal space are in compliance with the terms of the lease. It was a pleasure inspecting this property. The tenant is being well taken care of and listed no issues. Thank you for your diligence and attention. If you have any questions, please do not hesitate to contact me at (803)-922-6891.

Sincerely,

John A. Brooks
Building Manager
11) Asset % Utilized (Performance Measure)

- Validated for buildings, trailers and OSF
- RPAM requires annual utilization surveys
- For programmatic real property such as laboratories or accelerators, the Asset % Utilized is typically 100% if utilized or 0% if not utilized
- Typical source:
  - Calculated from the annual utilization survey, which requires a physical visit to the asset
- Anomalies: Verify calculation process – visit a sample of assets to do a reasonableness check; Asset % Utilized cannot be a reflection of space assignment, but reflects 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%
12) Total No of Federal Employees

- **Validated for buildings and trailers**

- **Typical source:**
  - 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

- **Anomalies:** No blanks – zero must be input and shown in the Source Document
13) Total No of Contractor Employees

- **Validated for buildings and trailers**

- **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

- **Anomalies:** No blanks – zero must be input and shown in the Source Document
14) Replacement Plant Value (RPV) (Performance Measure)

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

- How to validate:
  - 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. 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
      - 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. 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
  - If an RPV Model does not exists (represents a CAIS line item estimate)
    - Check the estimate in CAIS to see if a Cost Adder was applied
      - If applied, verify that a source document exists to support the Cost 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
  - Source document 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
  - 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

- Anomalies: Unacceptable values such as $1, $50, $100…
15) Annual Actual Maintenance
(Performance Measure)

- **Validated for buildings, trailers and OSF**
- Must provide evidence of recording asset level Actual Maintenance costs as required by RPAM, DOE Order 430.1C
- $0 is acceptable for fully serviced Leases and Occupancy Agreements
- Typical source:
  - Site financial or Computerized Maintenance Management System (CMMS), verify process is in place to capture at asset level
- Anomalies: AM = zero for operating assets (there can be exceptions, be prepared to explain); cannot be allocated
16) Annual Required Maintenance

- Validated for buildings, trailers and OSF
- Values populated by Headquarters with the RS Means Life Cycle Cost data
  - No Source Document required
  - Not validated
  - Validation form will provide the ARM Source at the bottom of the form
    - Life Cycle Cost
    - Site

- Typical source:
  - If not populated by HQ, reports from site financial or planning office

- Anomalies: Ensure estimates have been escalated to FY2024 currency values for FY2022 reporting
17) Functionality Assessment Date

- Validated for buildings, trailers and OSF with a **Status** of
  - 1 – Operating
  - 2 – Standby
  - 3 – Outgranted

- All sites should be performing Functionality Assessments
  - Initial assessments were due to be completed by 8/21/2021

- Typical source:
  - Proof of Site review, Most recent Functionality Assessment reports; CAIS Ad Hoc report

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

- **Validated for buildings, trailers and OSF**
- Results of a Functionality Assessment
- Typical source:
  - Estimates from site financial planning or projects office
  - CAIS to FIMS Upload report
- Anomalies: 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 values uploaded from CAIS, if flagged as ‘Engineered’
  - Designated with an asterisk (*) on the CAIS to FIMS Upload Report
  - Verify there is a site estimate that supports the Modernization value
  - Verify estimate date
    - No older than 5 years – must be re-estimated if older than 5 years
19) Overall Asset Condition

- **Validated for buildings, trailers and OSF with a **Status** of**
  - 1 – Operating
  - 2 – Standby
  - 3 – Outgranted

- **Typical source:**
  - Most recent site review. This review should incorporate Condition Assessment Survey, Functionality Assessments, and other real property indicators.
20) Historic Designation

- Validated for DOE owned buildings, trailers, OSF and land
- Typical source: State Historical Preservation Officer (SHPO) or site office coordinating with SHPO
  - Designation must come from the SHPO
  - Assets must be listed specifically with Property ID and/or Property Name
- Anomalies: If no SHPO evaluation, use ‘Not Evaluated’
21) Excess Indicator

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

Typical source:
- ‘Yes’ values required the email from OAM (MA-50) indicating the approval of the excess screening process
- ‘No’ values require a signed/email from Facilities Group Management or Disposition Manager/Planning
- For Disposed assets, Excess Indicator must be ‘Yes’ to reflect the asset was excess screened prior to disposition

Anomalies: No OAM approval email; for disposed asset, If Excess Indicator is ‘No’, both Excess Indicator and Excess Date are in error; the Excess Screening log is not an acceptable source document
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

| ERN | Program Office | Site Name | Area Name | Field Office | Real Property Unique ID | Property ID | Property Name | Property Type | Usage Code | Status | Primary Quantity | Primary Unit of Measure | Land Ownership Description | Overall Asset Condition - Functional Assessment | Condition Notes | RPV | Repair Needs | Hazard Category | Year Acquired | Year Built | Real Estate POC | Email Response Date | Result | OA APPROVE |
|-----|----------------|----------|-----------|--------------|-------------------------|-----------|--------------|--------------|------------|----------|------------------|--------------------------|----------------------------|---------------------|--------|-------------|----------------|--------------|-----------|----------------|---------------------|--------|------------|
| 17 - 0116 | SC | Fermilab Accelerator | All | Chicago Office | 124974 | TD45 | PortaForm 5183 - Mason Or Wk | Trailer | 101 Office | Operating | 360 | Inadequate | Intended for temporary use. | 44180.55 | $1,232 | 12 Not Applicable | 1992 | 1979 | Maria Leman-Williams | 5/19/2017 | Approved | Monika Vachtesis |
| 17 - 0117 | SC | Brookhaven National Laboratory | All | Chicago Office | 134729 | TR038 | Storage, P.S. Group | Trailer | 401 Programmatic General | Standy | 510 | Inadequate | Intended for temporary use. This temporary structure has been leased. | 1994(01) | $70,400 | 12 Not Applicable | 1992 | 1979 | Maria Leman-Williams | 5/19/2017 | Approved | Monika Vachtesis |
| 17 - 0118 | SC | Lawrence Berkeley Laboratory | All | Chicago Office | 89390 | 012 | Previously Used/Officed | Building | 793 Multifunctional Building | Standby | 4272 | Inadequate | Intended for temporary use. | 279189.20 | $0 | 12 Not Applicable | 1992 | 1979 | Maria Leman-Williams | 5/19/2017 | Approved | Monika Vachtesis |
| 17 - 0119 | SC | Lawrence Berkeley Laboratory | All | Chicago Office | 135887 | 073X | Utility Equipment Bldg | Building | 664 Other Service Buildings | Standby | 403 | Inadequate | Intended for temporary use. | 1992(04) | $0 | 12 Not Applicable | 1992 | 1979 | Maria Leman-Williams | 5/19/2017 | Approved | Monika Vachtesis |
| 17 - 0120 | SC | Lawrence Berkeley Laboratory | All | Chicago Office | 199/67 | 013B | Environmental Monitoring Station | Building | 664 Communicatio ns/Central | Standby | 76 | Inadequate | Intended for temporary use. | 48599.71 | $0 | 12 Not Applicable | 1992 | 1979 | Maria Leman-Williams | 5/19/2017 | Approved | Monika Vachtesis |

No Departmental interest was received by the Response Due Date. Retain a copy of this document and the associated email for your files. Please coordinate with your FIMS Administrator to ensure FIMS is updated accordingly.
21) Excess Indicator (continued)

- Sample Excess Screening Log from DOE PowerPedia
  - Not an acceptable Source Document
22) **Excess Date**

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

**Typical source:**
- For Excess Indicator = Yes assets, Email Response Date from OAM excess screening email (see previous pages)
- For Excess Indicator = No assets if the Excess Date is populated, Facilities Group Management or Disposition Manager/Planning
- For Disposed assets, Excess Date must be populated to reflect the asset was excess screened prior to disposition

**Anomalies:** For Excess Indicator = ‘No’, past dates are not allowed; for disposed asset, If Excess Date is blank, both Excess Indicator and Excess Date are in error; the Excess Screening log is not an acceptable source document
23) Estimated Disposition Year

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

- Typical source: 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)

- Anomalies: ‘9999’ is only used for assets with Usage Code 208 or 2008 In-Situ Closed if an estimated disposition year isn’t readily available; Cannot be left blank, reflect a past fiscal year, or reflect interagency transfers (program to program)
24) GSA Notification Submitted

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

- Typical source: Signed transmittal memo or email from DOE Real Estate forwarding SF-118 Report of Excess Real Property to GSA
  - Do not enter a date for Demolition Concurrence request emails/memos to GSA

- Anomalies: Excess Indicator = ‘No’; no transmittal source document; GSA disposal must be used by EE, FE, Western Area Power Administration (WAPA) and Southwestern Area Power Administration (SWPA) because they do not have independent authority
24) GSA Notification Submitted

Sample Source Document

Date

Transmittal Memo

SF-118

REPORT OF EXCESS REAL PROPERTY

Department of Energy
Office of Science
Consolidated Service Center

November 25, 2020

Dear Mr. Haas,

Authorization is requested for the disposal through demolition of Building 679 - Salvage Processing Facility and Structures 679D - Concrete Loading Dock.

These real properties are detailed under the agreement and are being used in a non-functional manner. These properties are no longer needed for the operation of the Laboratory.

The General Services Administration Form 118 - "Report of Excess Real Property" is used for the above referenced building structures.

The Federal Property Information Checklist for these assets is being forwarded to the Department of Housing and Urban Development for compliance with the Stewardship and Accountability Act.

It is recommended that the DOE Office of Science Consolidated Service Center be given the authority to dispose of these facilities. See the Code of Federal Regulations, Title 31, Subpart A, "Abatement, Destruction, or Removal of Public Buildings.

Your earliest attention to this matter is greatly appreciated. Should you have any questions or need further information, please contact me.

Sincerely,

Maria J. Larsen-Williams, Property Management Team Lead
Office of Acquisition & Disposition
Phone: 650.232.2044, 650.227.1302
Fax: 650.227.1322
Email: maria.larsen-williams@energy.gov

Exclusions: SF-118 with photograph

STANDARD FORM 118 (REV. 12/2016)

Previous edition is not acceptable.
25) GSA Notification Accepted

- Validated for DOE owned buildings, trailers, OSF and land as well as withdrawn from public domain land
- Typical source: Letter from GSA notifying DOE of acceptance of the SF-118 submittal
  - Do not enter a date for Demolition Concurrence request emails/memos to GSA
- Anomalies: Excess Indicator = ‘No’; no GSA acceptance source document
25) GSA Notification Accepted (continued)

- Sample Source Document

---

December 16, 2020

Ms. Marsha Lassen-Williams
Department of Energy
Office of Science Consolidated Service Center
Business Division – Property Management Team (AB-321)
25900 South Cass Avenue
Lenexa, KS 66219
Phone: 866-227-5552
Email: marsha.lassen-williams@science.doe.gov

Dear Ms. Lassen-Williams,

Thank you for your letter of November 25, 2020 requesting the U.S. General Services Administration’s (GSA) concurrence in the demolition of the following excess real property located at the Lawrence Berkeley National Laboratory (LBNL), 1 Cyclotron Road, Berkeley, California, without underlying real interest:

- FIMS Property ID # 079 Salvage Processing Facility
- FIMS Property ID # 079B Compressed Gas Loading Dock

The GSA concur with the demolition subject to the Department of Energy’s compliance, as required, with the McKinney-Vento Homeless Assistance Act, the National Environmental Protection Act (NEPA), and Section 106 of the National Historic Preservation Act (NHPA), as amended.

Our concurrence is based in accordance with Federal Management Regulations (FMR) 41 CFR 102-73.690 through §102-73.1030. Abandonment, Destruction or Donation to Public Bodies. In complying with the FMR exceptions to the public notice requirement are found in §102-73.1035.

We ask that you notify GSA upon completion of the demolition. This will assist us with tracking accomplishments of the Office of Management and Budget’s National Strategy for Real Property (March 2015). To notify us when the demolition is complete or if you need further acceptance on this matter, please contact Ms. Gina Arias-Arteta, Realty Specialist at 415-522-3451 or by email at gina.arias-arteta@gsa.gov.

Sincerely,

David Haase
Director, Office of Real Property Utilization & Disposal (992)
26) Outgrant Indicator

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

- **How to check:**
  - Source documents from Real Estate documenting the ‘Yes’ and ‘No’ values
    - Outgrant Indicator = ‘Yes’ assets require a copy of the Real Estate agreement
  - **Anomalies:** Failure to provide the Real Estate agreement will result in an error for this data element
27) Roads – Public Access Miles

- Validated for DOE owned OSF assets with Usage Code

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

- Zero (0) must be entered if no publicly accessible roads

- Typical source:
  - Subject Matter Expert in charge of site infrastructure support/planning
  - Facility Manager

- Anomalies: No source document for zero (0) values
28) Roads – Public Access Lane Miles

- 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>

- Zero (0) must be entered if no publicly accessible roads

- Typical source:
  - Subject Matter Expert in charge of site infrastructure support/planning
  - Facility Manager

- Anomalies: No source document for zero (0) values
29) Year Built

- Validated for DOE owned buildings, trailers and OSF
- Typical source:
  - Date of Beneficial Occupancy letter or other document that established year constructed
  - Bridge Inspection report
30) Adjustment Cost

- Validated for DOE owned buildings, trailers and OSF on the Adjustment sheet
  - A maximum pull of 25 random adjustment records with Adjustment Dates between 10/1/2016 and 9/30/2021

- Typical source:
  - STARS reports
  - Reports from site managed financial databases
31) Capitalized - Adjustment

- **Validated for DOE owned buildings, trailers and OSF on the Adjustment sheet**
  - A maximum pull of 25 random adjustment records with Adjustment Dates between 10/1/2016 and 9/30/2021

- **Typical source:**
  - STARS reports
  - Reports from site managed financial databases

*Remember: FIMS should match the Accounting source document for each asset*
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

- **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
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)

- **Validated at the Site level for all buildings, trailers, OSF and land on the Site OpCost sheet**
- Site-level Operating Costs are actuals, not estimates
- 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?
- **Typical source:**
  - Invoices from utility and service providers
  - Site financial reports from CFO
- **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; fully-serviced lease, typically have $0 Operating Cost
33) Lease Start Date

- Validated for DOE leased and Contractor leased buildings, trailers, OSF and land
- Electronic or printed copies of all DOE and Contractor lease agreements must be available during the validation
- Typical source: Lease agreement
- Anomalies: No lease agreement causes an error
34) Expiration Date

- Validated for DOE leased and Contractor leased buildings, trailers, OSF and land as well as GSA owned and GSA leased assets
- Electronic or printed copies of all DOE and Contractor lease/GSA Occupancy agreements must be available during the validation
- Typical source:
  - Lease agreement
  - GSA Occupancy Agreement (OA)
- Anomalies: Must be a current or future date - **not a past date**; no lease agreement or GSA OA causes an error
35) Annual Rent (Performance Measure)

- Validated for DOE leased and Contractor leased buildings, trailers, OSF and land as well as GSA owned and GSA leased assets
- Electronic or printed copies of all DOE and Contractor lease/GSA Occupancy agreements must be available during the validation
- Typical source:
  - Lease agreement
  - GSA Occupancy Agreement (OA), the September (fiscal year end) rent bill total from GSA’s Rent on the Web (ROW)
- Anomalies: no lease agreement or GSA OA causes an error
36) Disposition Date

- **Validated for Disposed assets**

- **Typical source:**
  - Site Subject Matter Expert in charge of asset disposition, i.e. Real Estate, Disposition Manager, Accounting

- **Anomalies:** 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

- **Validated for Disposed assets**

- **Typical source:***
  - 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 and the date the asset was disposed
    - Stating “the asset has been disposed” does not provide the Disposition Method
  - Ensure **Federal Transfer** is used for transfers outside of DOE
  - Ensure **Other** is only used for assets converted to personal property for disposal
  - Verify assets typically given away ($0) use **Negotiated Sale**
  - Ensure the **Public Benefit Conveyance** disposition methods are only used for GSA disposal (see next slide)
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
38) Actual Sales Price

- **Validated for Disposed assets**

- Typical source: Site Subject Matter Expert in charge of asset disposition, i.e. Real Estate, Disposition Manager, Accounting

- Anomalies: only reported for Disposition Methods
  - SP – Public Sale
  - or
  - SN – Negotiated Sale
39) Net Proceeds

- **Validated for Disposed assets**
- Typical source: Site Subject Matter Expert in charge of asset disposition, i.e. Real Estate, Disposition Manager, Accounting
- Anomalies: only reported for Disposition Methods
  - SP – Public Sale
  - or
  - SN – Negotiated Sale
40) Planning Documents

- Validated (but not scored) for AAIM anticipated assets on the Planning sheet
  - Building, trailer and land assets
  - Beneficial Occupancy Year = 2023 – 2025
  - Initial Acquisition Cost / Annual Rent (AAIM) is ≥
    - $300,000
    - $0
    - $1
    - Blank

  - 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
40) Planning Documents (continued)

- Typical source:
  - 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
  - Required by DOE Order 430.1C, paragraph 4.a.[1]

Ensure these documents are available for 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
    - Note other comments as appropriate
  - 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
42) Main Location

Location City
Location State
Location Zip Code

- Validated for DOE owned buildings, trailers, OSF and land on the Location sheet

- Looking at unique addresses at a Site
  - Ensure site addresses are consistent
  - Typical source:
    - 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’
A Detailed Look at the Bridge Inspection Verification

Lesson 5
Bridge Inspection

- Bridge Inspection information will be verified during the FIMS data validation
  - Reference DOE Order 437.1, Bridge and Tunnel Management and Implementation Memo dated 12/21/2020
  - One year to fully implement
  - Available on the FIMS website, look for the DOE Order 437.1, Bridges and Tunnels Management

https://fims.doe.gov/fimsinfo/doc.html
All sites are required to verify the Bridge Inspection information for assets with the Usage Codes 1468 Public Access Bridges, Trains, 1469 Controlled Access Bridges, Trains, 1768 Public Access Bridges, Vehicular.

The bridge data to be verified is extracted from FIMS when the DOE Owned Data Validation Reporting Form is generated. See sheet labelled Bridge Inspection.
## Bridge Inspection sheet of the DOE Owned Data Validation Reporting Form

### FIMS Bridge Safety Inspection Verification (v13.0)

<table>
<thead>
<tr>
<th>Property ID</th>
<th>Property Name</th>
<th>Underwater Inspection Date</th>
<th>Underwater Inspection Frequency</th>
<th>Seismic Vulnerability Evaluation</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

- Provides the following information on each bridge:

- Property ID
- Property Name
- Underwater Inspection Date
- Underwater Inspection Frequency
- Seismic Vulnerability Evaluation
- Routine Inspection Date
- Routine Inspection Frequency
- Posted Load Rating/Restriction
- Load Rating Date
- Usage Code Desc
- Status
- Size
- Special Inspection Date
- Scour Evaluation
- Year Built

### VERIFICATION QUESTIONS

- Are Routine, Special and Underwater Inspection Dates confirmed as being correct (Yes/No)?
- Are all inspection dates within established inspection frequency? (Yes/No)
- Are all reports signed and dated by a certified Bridge Inspector? (Yes/No)
Bridge Verification Source Documents

- Required source document(s):
  
<table>
<thead>
<tr>
<th>Document</th>
</tr>
</thead>
<tbody>
<tr>
<td>Routine Safety Inspection report</td>
</tr>
<tr>
<td>Special Inspection report (if applicable)</td>
</tr>
<tr>
<td>Underwater Inspection report (if applicable)</td>
</tr>
</tbody>
</table>

- Bridge Inspection reports must be signed and dated by a qualified Team Leader and should include the Team Leader's qualification documentation.

- See Source Documentation Worksheet under Bridge – Safety Inspection for:
  - An Inspection Personnel Qualifications Checklist
  - A list of items typically included in a Routine Safety Inspection Report
    - Ensure the inspection report includes this information

Contact Bill Seifert, MA-50, doe-bpm@hq.doe.gov, for any questions related to Bridges, Tunnels, and Culverts and their inspections.
Bridge Verification Source Documents (continued)

- Required source document(s) (continued)
  - Fracture critical member (Special) inspection and Underwater inspections may be performed as part of a Routine Safety Inspection or as an independent inspection effort

- Remember: FIMS must be updated within 30 days of a completed Bridge Inspection

Contact Bill Seifert, MA-50, doe-bpm@hq.doe.gov, for any questions related to Bridges, Tunnels, and Culverts and their inspections
Requirements for Establishing Intervals

- DOE Order 437.1, establishes inspection intervals
  - Inspection intervals are specific to each bridge, tunnel, or culvert
  - The Order should be used to determine and document the inspection interval of each active bridge asset for each type of inspection
- Active assets are FIMS Status
  - 1 – Operating
  - 2 – Standby
  - 3 – Outgranted

Reference Table 2.1 and Attachment 2 of DOE Order 437.1 for specifics on establishing inspection intervals and variances from the established intervals
Requirements for Establishing Intervals (continued)

- DOE Order 437.1, establishes inspection intervals (continued)
  - Inspection intervals may vary from the established interval based on the asset condition and other factors
    - Criteria established in DOE O 437.1
    - These variations require a source document (site memo/approval/requirement)
      - A less frequent inspection interval requires advance approval
        - Examples: DOE Bridge and Tunnel Manager (BTM)(MA-50) or FHWA approval
      - A more frequent inspection interval requires notification
        - Examples: degraded condition, requirements of the state where the bridge is located, bridge has potential foundation or scour problems

Reference Table 2.1 and Attachment 2 of DOE Order 437.1 for specifics on establishing inspection intervals and variances from the established intervals
Requirements for Establishing Intervals (continued)

- Inspections are required to be performed within the month of the required interval
  - For example, a routine vehicle bridge inspection, with an inspection frequency of 24 months completed on 7/12/2020 is expected to be inspected by 7/31/2022
How To Validate

- Are Routine, Special and Underwater Inspection Dates confirmed as being correct (Yes/No)

  - Does the **Routine Inspection Date**, **Special Inspection Date** and **Underwater Inspection Date** in FIMS match the Inspection dates from the appropriate Inspection report(s)?
  
  - If No, note on the Scorecard in the **General Comments and Recommendations**
How To Validate (continued)

Are all inspection dates within established inspection frequency? (Yes/No)

- Verify **Routine Inspection Frequency** is based on established inspection intervals in DOE Order 437.1
  - 1468 Public Access Bridges, Trains one inspection per calendar year, with not more than 540 days between
  - 1469 Controlled Access Bridges, Trains regular intervals not to exceed 24 months
  - 1768 Public Access Bridges, Vehicular

- If outside of established inspection intervals, a source document must exist for the frequency variance
How To Validate (continued)

Are all inspection dates within established inspection frequency? (Yes/No) (continued)

- Verify the Routine Inspection Date is within the number of months specified by the Routine Inspection Frequency
  - Yes (within frequency), see next slide for calculation
  - No, outside of stated Routine Inspection Frequency
    - Note on the Scorecard in the General Comments and Recommendations
Are all inspection dates within established inspection frequency? (Yes/No) (continued)

- Yes, within frequency calculation
  
  **Step 1:** Routine Inspection Date + Routine Inspection Frequency = Next bridge inspection date
  
  **Step 2:** Next bridge inspection date month/year >= today’s month/year

**Example:**

**Step 1:** Routine Inspection Date 7/12/2020 + Routine Inspection Frequency 24 months = 7/12/2022

**Step 2:** 7/2022 >= today 3/2022

(Bridge is within required inspection frequency, not required to be inspected again until 7/31/2022)
How To Validate (continued)

Are all inspection dates within established inspection frequency? (Yes/No) (continued)

- Special Inspection Date
- Special Inspection Frequency

  - If Fracture Critical Member Inspection varies from the 24 months established inspection interval

Or

  - If any other Special Inspection Frequency varies from the site-established inspection interval
    - A source document must exist for the frequency variance
How To Validate (continued)

<table>
<thead>
<tr>
<th>FIMS Values</th>
<th>VERIFICATION QUESTIONS</th>
</tr>
</thead>
<tbody>
<tr>
<td>Special Inspection Date</td>
<td>Are Routine, Special and Underwater Inspection Dates confirmed as being correct (Yes/No)</td>
</tr>
<tr>
<td>Special Inspection Frequency</td>
<td>Are all inspection dates within established inspection frequency? (Yes/No)</td>
</tr>
<tr>
<td>Underwater Inspection Date</td>
<td>Are all reports signed and dated by a certified Bridge Inspector? (Yes/No)</td>
</tr>
<tr>
<td>Underwater Inspection Frequency</td>
<td>Year Built</td>
</tr>
<tr>
<td>Loaded Rating/ Restriction</td>
<td>Size</td>
</tr>
<tr>
<td>Load Rating Date</td>
<td>Status</td>
</tr>
<tr>
<td>Scour Evaluation</td>
<td>Traffic Volume Date</td>
</tr>
<tr>
<td>Scour Critical Plan of Action</td>
<td>Usage Code Desc</td>
</tr>
<tr>
<td>Seismic Vulnerability Evaluation</td>
<td>Status</td>
</tr>
</tbody>
</table>

Special Inspection Date

- Verify the **Special Inspection Date** in FIMS is within the number of months specified by the **Special Inspection Frequency**

- If Special Inspection Frequency = ‘N/A’, Special Inspection Date should be blank

- Yes (within frequency), Special Inspection Date + Special Inspection Frequency months >= today’s month/year

- No, outside of stated Special Inspection Frequency

- Note on the Scorecard in the **General Comments and Recommendations**
### How To Validate (continued)

Are all inspection dates within established inspection frequency? (Yes/No) (continued)

- Underwater Inspection Date
- Underwater Inspection Frequency

- Verify **Underwater Inspection Date** with the source document
- If **Underwater Inspection Frequency** varies from the 60 months established inspection interval
  - A source document must exist for the frequency variance
Underwater Inspection Date

Underwater Inspection Frequency

- Verify the **Underwater Inspection Date** in FIMS is within the number of months specified by the **Underwater Inspection Frequency**
  - If Underwater Inspection Frequency = ‘N/A’, Underwater Inspection Date should be blank
  - Yes (within frequency), Underwater Inspection Date + Underwater Inspection Frequency months >= today’s month/year
  - No, outside of stated Underwater Inspection Frequency
    - Note on the Scorecard in the **General Comments and Recommendations**
### How To Validate (continued)

<table>
<thead>
<tr>
<th>Seismic Vulnerability Evaluation</th>
<th>Traffic Volume Date</th>
<th>Usage Code Desc</th>
<th>Status</th>
<th>Size</th>
<th>Year Built</th>
<th>Are Routine, Special and Underwater Inspection Dates confirmed as being correct? (Yes/No)</th>
<th>Are all inspection dates within established inspection frequency? (Yes/No)</th>
<th>Are all reports signed and dated by a certified Bridge Inspector? (Yes/No)</th>
</tr>
</thead>
</table>

- Are all reports signed and dated by a certified Bridge Inspector? (Yes/No)
  - Did a qualified Inspection Team Leader or Railroad Bridge Inspector sign and date the report(s)?
    - And
  - Does the routine Safety Inspection report provide the Team Leader’s or Railroad Bridge Inspector’s qualifications document?
    - Enter Yes or No
## Verify from the routine Bridge Safety Inspection report

- **Usage Code Description**
  - Is it a vehicle bridge or a train bridge?

- **Size**
  - Does the report confirm the FIMS **Size** (Structure Length) of the asset?

- **Year Built**
  - Does the report confirm the asset’s year built?
How To Validate (continued)

- Posted Load Rating/Restriction
- Load Rating Date
- Scour Evaluation
- Scour Critical Plan of Action
- Seismic Vulnerability Evaluation
- Traffic Volume Date

- Verify these values match the source document(s)
Record Findings

- Any discrepancies …
  - Between the FIMS data and the inspection report(s)
    - Or
  - Missing data or bridge assets in FIMS
    - Or
  - Insufficient source document(s)
    - Please note on the Scorecard in the General Comments and Recommendations
  - These discrepancies will also cause the Scorecard rating to be changed to Red – to be discussed in Lesson 9
Process Verification

Lesson 6
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 at the asset level?
  - 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
Processes to look for … (continued)

- Asset % Utilized
  - Is it based on an asset level annual survey?
    - Explain the process

- Replacement Plant Value
  - Are the RPV models used?
  - If the RPV Source = ‘Other’, does the calculation take into account current standards of construction?
    - What is the process?
    - Are the values inflated annually and recalculated at a minimum every 5 years?
  - Verify that CPV is only used for OSFs and new assets prior to the first CAS inspection
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

- Are all assets being excess screened prior to disposition?
- Is there a process in place where the FIMS admin receives a timely 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?
Desktop Validation using the Data Validation Reporting Forms

Lesson 7
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
Provides the identifying information for the asset being validated.
**DOE Owned 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>
<th>Numeric: Auto update to ‘Yes’ if &gt; 1% difference</th>
<th>Non-numeric: Auto update to ‘Yes’ if values differ</th>
</tr>
</thead>
<tbody>
<tr>
<td>Ownership</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>No</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Usage Code (A)</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>No</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Property Type</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>No</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Status (A)</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>No</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Size *</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>No</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

1. FIMS data element to be validated
2. FIMS value
3. Abbreviation / reference to the source document being used for the validation of the data element
4. Year source was created, modified or last updated
5. Value from the source document for the FIMS data element
6. Numeric: Auto update to ‘Yes’ if > 1% difference
   Non-numeric: Auto update to ‘Yes’ if values differ

**Sample Property 1**

- Area No / PLNO / Name: 0
- Program Office: 0
- Site: 0
- Area Name: 0

**Form**

<table>
<thead>
<tr>
<th>Date:</th>
<th>Type:</th>
<th>Building</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
**DOE Owned Data Validation Reporting Form (continued)**

<table>
<thead>
<tr>
<th>DOE Owned Data Validation Reporting Form (v13.0)</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Date:</strong></td>
</tr>
<tr>
<td>Program Office:</td>
</tr>
<tr>
<td>SAMPLED FACILITY 1</td>
</tr>
<tr>
<td>Area No / Prop ID / Name</td>
</tr>
</tbody>
</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>Functionality Assessment Date</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></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>Historic Designation</td>
<td>0</td>
<td></td>
<td></td>
<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>
<td></td>
<td></td>
<td>No</td>
</tr>
<tr>
<td>Estimated Disposition Year</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>No</td>
</tr>
<tr>
<td>GSA Notification Submitted</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>No</td>
</tr>
<tr>
<td>GSA Notification Accepted</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>No</td>
</tr>
<tr>
<td>Outgrant Indicator</td>
<td>0</td>
<td></td>
<td></td>
<td></td>
<td>No</td>
</tr>
<tr>
<td>Roads - Public Access Miles</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>No</td>
</tr>
<tr>
<td>Roads - Public Access Lane Miles</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>No</td>
</tr>
<tr>
<td>Year Built</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>No</td>
</tr>
</tbody>
</table>

**ADDITIONAL COMMENTS**

Provides space for an explanation of data sources and variances as well as documenting other observations or issues.
### DOE Leased, Contractor Leased and GSA Data Validation Reporting Form (v13.0)

<table>
<thead>
<tr>
<th>Program Office</th>
<th>Site</th>
<th>Type</th>
<th>Building</th>
</tr>
</thead>
<tbody>
<tr>
<td>0</td>
<td>0</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

| SAMPLED FACILITY 1 | 0 | 0 | 0 |

| Area No / Prop ID / Name | 0 | 0 | 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>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</td>
<td>0</td>
<td></td>
<td></td>
<td></td>
<td>No</td>
</tr>
<tr>
<td>Space Type Usable SF - Office</td>
<td>0</td>
<td></td>
<td></td>
<td></td>
<td>No</td>
</tr>
<tr>
<td>Repair Needs* (A)</td>
<td>0</td>
<td></td>
<td>$0</td>
<td></td>
<td>No</td>
</tr>
<tr>
<td>Inspection Date (A)</td>
<td>0</td>
<td></td>
<td></td>
<td></td>
<td>No</td>
</tr>
<tr>
<td>Asset % Utilized * (A)</td>
<td>0</td>
<td></td>
<td>0%</td>
<td></td>
<td>No</td>
</tr>
<tr>
<td>Total No of Federal Employees (A)</td>
<td>0</td>
<td></td>
<td></td>
<td></td>
<td>No</td>
</tr>
<tr>
<td>Total No of Contractor Employees (A)</td>
<td>0</td>
<td></td>
<td></td>
<td></td>
<td>No</td>
</tr>
<tr>
<td>Total No of Government Employees</td>
<td>0</td>
<td></td>
<td></td>
<td></td>
<td>No</td>
</tr>
<tr>
<td>Total No of Contractors (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>$0</td>
<td></td>
<td>No</td>
</tr>
<tr>
<td>Annual Required Maintenance (A)</td>
<td>0</td>
<td></td>
<td>$0</td>
<td></td>
<td>No</td>
</tr>
</tbody>
</table>
Let's take a look at this data.
### Additional Data At Bottom Of Forms

<table>
<thead>
<tr>
<th>RPV Source</th>
<th>Size Unit of Measure</th>
<th>0</th>
</tr>
</thead>
<tbody>
<tr>
<td>RPV Model</td>
<td>PBPI</td>
<td></td>
</tr>
<tr>
<td>RPV Factor</td>
<td>RPV Model Description</td>
<td></td>
</tr>
</tbody>
</table>

- **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
RPV Model

- Validated for buildings, trailers and OSF
- 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
### 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
### Additional Data At Bottom Of Forms (continued)

<table>
<thead>
<tr>
<th>RPV Source</th>
<th>Size Unit of Measure</th>
<th>0</th>
</tr>
</thead>
<tbody>
<tr>
<td>RPV Model</td>
<td>PBPI</td>
<td></td>
</tr>
<tr>
<td>RPV Factor</td>
<td>RPV Model Description</td>
<td></td>
</tr>
</tbody>
</table>

- **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
  - Need to verify for OSF when validating Size

- **ARM Source (to be added)**
  - Used to check the Annual Required Maintenance source, values: Life Cycle Cost or Site
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
    - Leave the Inspection Date blank
    - However, Repair Needs would be applicable if a recorded deficiency exists
## DOE Land Data Validation Reporting Form

### DOE Land Data Validation Reporting Form (v13.0)

<table>
<thead>
<tr>
<th>Date</th>
<th>Prop Type: Land</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
</tr>
</tbody>
</table>

#### SAMPLE RECORD 1

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

#### FIMS Data Element | FIMS Value | Source | Year of Source | Value from Source | Variance (Y/N) |
<table>
<thead>
<tr>
<th></th>
<th></th>
<th></th>
<th></th>
<th></th>
<th></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></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 (Acreage)</td>
<td></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</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>No</td>
</tr>
<tr>
<td>Excess Date</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>No</td>
</tr>
<tr>
<td>Estimated Disposition Year (A)</td>
<td>0</td>
<td></td>
<td></td>
<td></td>
<td>No</td>
</tr>
<tr>
<td>GSA Notification Submitted</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>No</td>
</tr>
<tr>
<td>GSA Notification Accepted</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>Lease Start Date</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>No</td>
</tr>
<tr>
<td>Expiration Date</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>No</td>
</tr>
<tr>
<td>ADDITIONAL COMMENTS</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

### Notes:

1. Blue text represents a Performance Measure
2. The superscript A designates this data element requires a source document dated within the last 365 days
3. Shaded areas designate not validated for this asset

* Performance Measures
   *(A)* Requires Annual Source Document
The date the asset was archived in FIMS
The Ownership of the archived asset
Provides the Excess Screening Reference Number from the OAM email
Required to be populated for Excess Indicator = Yes assets
For Expiration/Cancellation, verify the Disposition Date is relatively close to the Expiration Date and that this is not an early termination
For Early Termination/Cancellation, verify the Disposition Date is prior to the Expiration Date
What causes a Variance?

- When the FIMS Value and the source document value don’t match
- When a physical visit of the asset contradicts the FIMS Value and the source document value
- When the source document is out-of-date
  - Annual source document requirements
  - 5 year CAS Inspections, RPV estimates
- The lack of a source document
  - Particularly for ‘No’ and zero values
- ‘Related’ FIMS data fields
  - For example, Usage Code, Size, and No of Floors used to calculate FIMS and CAIS generated RPVs
Year of Source

- Creates a variance if older than 1 year (365 days) for data elements in this table
  - Variance column must be manually changed to ‘Yes’

<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>

Remember: Identified on each form with a superscript ‘A’ by the data element name
Identifying a Variance

- Any error/variance in the FIMS data that is identified even though the Value from Source 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 is 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 is 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 will have to be manually changed to ‘Yes’
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 13 – DOE DM Compare
- Anomaly 14 – FRPP RPV Compare
- Anomaly 17 – FRPP RN Compare
- Anomaly 19 – 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: FY20 = $502.03 and FY21 = $502.49, reported as $502
  - An explanation will be required on the Validation form for these exceptions
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
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
Data Correction During the Validation

- Data correction during the Validation is **no longer allowed**
- The Validation must be completed without correcting any data
- If time permits during your scheduled validation, a revalidation of yellow and/or red scored data elements may occur
  - Otherwise, these data elements are to be added to your Site Correction Action Plan (CAP)
- Sites will be required to acknowledge this new process when generating the DOE Owned Data Validation Reporting form
Revalidating During Your Validation

First, complete your validation of all 4 forms/scorecards (if applicable) prior to making any corrections

- These original scorecards are to be preserved
  - Rename each of the original forms/scorecards to append ‘-Original’ to the end of the file name; i.e. DOE_owned-Original.xlsx

To revalidate within the scheduled validation:

- Obtain an updated/corrected source document(s) from the SME
- Update all FIMS assets with the corrected source document data
- Generate new Data Validation Reporting Form(s)
- Revalidate the corrected data element(s)
- Rename forms/scorecard to append ‘-Revalidated’ to the end of the file name; i.e. DOE_owned-Revalidated.xlsx

Send both sets of forms/scorecards to HQPO and OAM (MA-50)

- Original and Revalidated
Sample Revalidation Scorecard

- Mark each data element
- List revalidated data elements in the General Comments

<table>
<thead>
<tr>
<th>Data Element</th>
<th>Requiremnt</th>
<th>Freq of Variance (FIMS vs. Source)</th>
<th>Score</th>
<th>Notes/Recommendations</th>
</tr>
</thead>
<tbody>
<tr>
<td>Replacement Plant Value</td>
<td>B, T, S</td>
<td>0%</td>
<td>GREEN</td>
<td>Revalidated</td>
</tr>
<tr>
<td>Annual Actual Maintenance</td>
<td>B, T, S</td>
<td>0%</td>
<td>GREEN</td>
<td></td>
</tr>
<tr>
<td>Annual Required Maintenance</td>
<td>B, T, S</td>
<td>0%</td>
<td>GREEN</td>
<td></td>
</tr>
<tr>
<td>Functionality Assessment Date</td>
<td>B, T, S</td>
<td>0%</td>
<td>GREEN</td>
<td></td>
</tr>
<tr>
<td>Modernization Cost</td>
<td>B, T, S</td>
<td>0%</td>
<td>GREEN</td>
<td></td>
</tr>
<tr>
<td>Overall Asset Condition</td>
<td>B, T, S</td>
<td>0%</td>
<td>GREEN</td>
<td></td>
</tr>
<tr>
<td>Historic Designation</td>
<td>B, T, S</td>
<td>0%</td>
<td>GREEN</td>
<td></td>
</tr>
<tr>
<td>Excess Indicator</td>
<td>B, T, S</td>
<td>0%</td>
<td>GREEN</td>
<td></td>
</tr>
<tr>
<td>Excess Date</td>
<td>B, T, S</td>
<td>0%</td>
<td>GREEN</td>
<td></td>
</tr>
<tr>
<td>Estimated Disposition Year</td>
<td>B, T, S</td>
<td>0%</td>
<td>GREEN</td>
<td></td>
</tr>
<tr>
<td>GSA Notification Submitted</td>
<td>B, T, S</td>
<td>0%</td>
<td>GREEN</td>
<td></td>
</tr>
<tr>
<td>GSA Notification Accepted</td>
<td>B, T, S</td>
<td>0%</td>
<td>GREEN</td>
<td></td>
</tr>
<tr>
<td>Outgrant Indicator</td>
<td>B, T, S</td>
<td>0%</td>
<td>GREEN</td>
<td></td>
</tr>
<tr>
<td>Roads - Public Access Miles</td>
<td>S</td>
<td>0%</td>
<td>GREEN</td>
<td></td>
</tr>
<tr>
<td>Roads - Public Access Lane Miles</td>
<td>S</td>
<td>0%</td>
<td>GREEN</td>
<td></td>
</tr>
<tr>
<td>Year Built</td>
<td>B, T, S</td>
<td>0%</td>
<td>GREEN</td>
<td></td>
</tr>
<tr>
<td>Adjustment - Capitalized</td>
<td>B, T, S</td>
<td>0%</td>
<td>GREEN</td>
<td></td>
</tr>
<tr>
<td>Adjustment Cost</td>
<td>B, T, S</td>
<td>0%</td>
<td>GREEN</td>
<td></td>
</tr>
<tr>
<td>Location</td>
<td>B, T, S</td>
<td>0%</td>
<td>GREEN</td>
<td></td>
</tr>
<tr>
<td>Operating Cost</td>
<td>B, T, S</td>
<td>0%</td>
<td>GREEN</td>
<td></td>
</tr>
</tbody>
</table>

General Comments and Recommendation: This is a revalidation of RPV and Excess Date.
Demo: Data Validation Reporting Forms

- Usage Code Variance
  - FIMS value: 400
  - Source Document value: 101

- Adjustments
  - Capitalized – Adjustment
  - Adjustment Cost

- Planning
  - Source Comments
  - In Plan?

- Location
  - GPS Locatable?
Demo: Manual Variance Change

- The Usage Code has a variance, the FIMS value and Source Value don’t match
- View Force Variance sheet of DOE Owned form
- 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
Generate the FIMS Anomaly Reports
- Report, Anomaly Report

Review reports:
- Anomaly 13 – DOE DM Compare
- Anomaly 14 – FRPP RPV Compare
- Anomaly 17 – FRPP RN Compare
- Anomaly 19 – FRPP Modernization Compare

Demo forcing variance for all validated assets for a data element
The Walkthrough Process

Lesson 8
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.
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 to verify the actual conditions of a real property asset are consistent with the source document 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**
  
- Ensure bridges with a shutdown Status require some combination of barrier, signage, flagging or other means of preventing bridge access
The Facilities Walkthrough (continued)

- Drive by every train bridge, vehicle bridge and culvert to verify **Usage Code** and **Status** (continued)

- 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

Contact Bill Seifert, MA-50, doe-bpm@hq.doe.gov, for any questions related to Bridges and their inspections
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 In-Situ Closed assets, if practical
  - Designated by **Usage Code** 208 (Building) and 2008 (OSF)
- Confirm accuracy of the Usage Code
  - Ensure not being used incorrectly for Shutdown assets
Where practical, 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

**Note:** Knowledge of missing assets is to be disclosed at the beginning of the validation

This is important to get an understanding of the severity of the issue and for discussing a plan to add the assets
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
Prior to walkthrough:  

- Generate FIMS Standard Reports for all validated assets

- 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
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
The Facilities Walkthrough (continued)

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
The Facilities Walkthrough (continued)

Sample FIMS 001 - Owned Building Complete Information report

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).

Verify some combination of barrier, signage, flagging or other means of preventing bridge access exists for Bridges with a shutdown Status.
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

![CAUTION: WEAR HARD HAT & SAFETY GLASSES IN THIS AREA](image)
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 assets
    - 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
The Facilities Walkthrough (continued)

- 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 telltale 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.
      - 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
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
Scorecarding

Lesson 9
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
FY2022 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 assets
3. Land – DOE owned, DOE leased and withdrawn from public domain
4. Disposed assets
The Scorecard Stop Light

- 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
### 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>
</tr>
</thead>
<tbody>
<tr>
<td>Status</td>
<td>Score</td>
<td>Score</td>
<td>Score</td>
<td>Score</td>
<td>Score</td>
</tr>
<tr>
<td>Corrective Action Plan Progress</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><strong>Green</strong> – No more than a 5%</td>
</tr>
<tr>
<td>2 Usage Code</td>
<td>B, T, S</td>
<td>0%</td>
<td>GREEN</td>
<td>Frequency of Variance</td>
</tr>
<tr>
<td>3 Property Type</td>
<td>B, T, S</td>
<td>0%</td>
<td>GREEN</td>
<td><strong>Yellow</strong> – Greater than 5%</td>
</tr>
<tr>
<td>4 Status</td>
<td>B, T, S</td>
<td>0%</td>
<td>GREEN</td>
<td>but no more than 10%</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>
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, and the Land 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><strong>Verifications</strong></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Overall Scorecard Rating of FIMS Data</td>
<td>Existing Asset Check</td>
<td>Bridge Safety Inspection</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>
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

### Verifications

<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>
</tr>
</thead>
<tbody>
<tr>
<td>Status</td>
<td>Score</td>
<td>Score</td>
<td>Score</td>
<td>Score</td>
<td>Score</td>
</tr>
<tr>
<td>Corrective Action Plan Progress</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

### Score

<table>
<thead>
<tr>
<th>Bridge and Culvert Verification</th>
<th>Green</th>
<th>Red</th>
<th>N/A</th>
</tr>
</thead>
<tbody>
<tr>
<td>Usage Code and Status are correct for all train and vehicle bridges and culverts</td>
<td>Discrepancies noted for bridge(s)/culvert(s) or assets were found that are not in FIMS</td>
<td>Site does not have train bridges, vehicle bridges or culverts</td>
<td></td>
</tr>
</tbody>
</table>

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

**Score**

- **In-Situ Verification**
  - *Green*: Usage Code has been confirmed as correct for the assets identified as In-Situ Closed
  - *Red*: Discrepancies were noted with the use of the In-Situ Closed Usage Code
  - *N/A*: Site does not have In-Situ Closed assets

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:
  - Missing Asset Check – for 1 or 2 missing assets
    - If more than 2 missing assets, change Status score to Red
  - 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 Score

After validating the data, confirming excess screening and checking that all Disposed assets no longer exist, update the Status to one of the following:

**New**
- All Disposition data elements are green and all assets have been excess screened as well as confirmed as being disposed.
- If any disposition data is yellow and no data element is 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.

**Table: DOE DISPOSITION FIMS VALIDATION SCORECARD**

<table>
<thead>
<tr>
<th>Data Element</th>
<th>Requirement*</th>
<th>Freq of Variance (FIMS vs. Source)</th>
<th>Score</th>
</tr>
</thead>
<tbody>
<tr>
<td>1 Disposition Date</td>
<td>B, T, S, L</td>
<td>0%</td>
<td>GREEN</td>
</tr>
<tr>
<td>2 Disposition Method</td>
<td>B, T, S, L</td>
<td>0%</td>
<td>GREEN</td>
</tr>
<tr>
<td>3 Excess Indicator</td>
<td>B, T, S, L</td>
<td>0%</td>
<td>GREEN</td>
</tr>
<tr>
<td>4 Excess Date</td>
<td>B, T, S, L</td>
<td>0%</td>
<td>GREEN</td>
</tr>
<tr>
<td>5 Sales Price</td>
<td>B, T, S, L</td>
<td>0%</td>
<td>GREEN</td>
</tr>
<tr>
<td>6 Net Proceeds</td>
<td>B, T, S, L</td>
<td>0%</td>
<td>GREEN</td>
</tr>
</tbody>
</table>

* B = Buildings, T = Trailers, S = Structures, L = Land

**Notes/Recommendations:**

- General comments and recommendations:

---

9-18
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

Important
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.
  
  - CAP is only required for data elements that cannot be revalidated within the scheduled validation period.
  
  - For Dispositions, this should include reviewing/updating a Site’s procedures/processes for disposed assets to correct the issue.

- There should be one CAP plan for a site.
  
  - If an open CAP exists from a previous year, add to that one – don’t create a new one.
When Your Status Score is RED (continued)

- 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 and provide semi-annual updates until corrective actions are complete.

- The Site Status score will remain Red, until all items outlined in the CAP have been fully implemented and completed.
When Your Status Score is RED

(continued)

■ 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 and OAM
  - Revalidation is required to be completed before July 31, 2022
  - Except for Sites with FY22 QA visits scheduled in August or September, those sites have until September 16, 2022 to revalidate
When Your Status Score is RED
(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 by 7/31/2022 (or 9/16/22 for QA Visit sites) (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)

All sites **must** use the Standard CAP template found on FIMS website at https://fims.doe.gov/fimsinfo/doc.html

<table>
<thead>
<tr>
<th>Site Name:</th>
<th>SRS</th>
<th>FIMS Administrator:</th>
<th>Bill Adams</th>
<th>Date CAP Opened:</th>
<th>5/2/2020</th>
</tr>
</thead>
<tbody>
<tr>
<td>Date CAP Closed:</td>
<td>5/2/2021</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

**Corrective Action Plan (CAP)**

<table>
<thead>
<tr>
<th>Scorecard</th>
<th>Data Element</th>
<th>Rating</th>
<th>Subject Matter Expert and Contact Information</th>
<th>Validation Date</th>
<th>Planned Date to Mitigate</th>
<th>Actual Date Mitigated</th>
<th>Explain Data Issue</th>
<th>Explain Corrective Action</th>
<th>Cause of Issue</th>
</tr>
</thead>
<tbody>
<tr>
<td>Owned</td>
<td>Asset % Utilized</td>
<td>Red</td>
<td>Will Smith, <a href="mailto:will.smith@hq.doe.gov">will.smith@hq.doe.gov</a> 555-555-5555</td>
<td>4/5/2020</td>
<td>10/21/2020</td>
<td>12/12/2020</td>
<td>EXAMPLE: Site did not conduct the Annual Utilization Survey for 10 assets</td>
<td>EXAMPLE: Site will review why these 10 assets did not have a Utilization Survey. Site will update process after findings to ensure the utilization Survey is conducted on all assets</td>
<td>EXAMPLE: Discovered the zone manager for these 10 assets did not turn in his paperwork to the SME</td>
</tr>
</tbody>
</table>

Instructions:
1. Fill in the Site Name, FIMS Administrator, and Date CAP Opened at the top of this form.
2. Click the Click to Add Line button to insert a row. Select the Scorecard, Data Element and Rating for the data element that has data problems from the picklists.
3. Enter the Subject Matter Expert, Validation Date, Planned Date to Mitigate, Explain Data Issue, and Explain Corrective Action.
4. Send to your Site/Field Office, Headquarters Program Office and Adam Pugh, MA-50 (adam.pugh@hq.doe.gov) within 15 days of the completion of your Validation.
5. Once mitigated, complete Date CAP Closed, Actual Date Mitigated and Cause of Issue. Resend completed CAP to contacts listed in #4 above.
6. Only one CAP should exists per Site/HQ Program Office (HQ PO). If an open CAPS exists, please add to it. Do not create multiple CAPS per Site/HQ PO or fiscal
Planning the Validation

Lesson 10
Validations are to be conducted annually for all sites.

Sites with multiple programs are required to coordinate a single validation for the entire site.

Validations should be scheduled to allow ample time to correct data issues prior to year-end data population for reporting to the FRPP.
Frequency and Timing (continued)

- FY2022 FIMS Validation are required to be completed between January 15th and July 31st as stated in the Guidance

- Site that are subject to Quality Assurance visits have until September 16th to complete their validations

- Provide HQ Program and OAM with planned Validation date no later than December 16th of each fiscal year

  - Any date changes should be provided to OAM

  - Validation should not occur between September 19th 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
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 data
  - 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
  - Ensure Source Documentation Worksheet is updated with current Subject Matter Expert (SME) contacts for distribution to the validation attendees
  - Inbrief (optional), kick off meeting, introductions, procedures
Establish Schedule (continued)

- Generate the following reports at the beginning of the validation
  - 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 assets
  - Report 018 for DOE owned, DOE leased and withdrawn from public domain land
  - Report 019 for Disposed assets
- Generate Anomaly reports #13, 14, 17 and 19
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, verify Bridge Inspection data
    - 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 assets
    - 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
Timeline for a Site Validation (continued)

- 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 Shutdown bridges have a means of preventing access
        - Ensure all assets are recorded in FIMS
Timeline for a Site Validation (continued)

- 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 Closed assets
      - Confirm Usage Code is correct
Establish Schedule (continued)

- Use FIMS to verify existing assets identified during walkthroughs
- Finalize the desktop validation forms
  - Record any findings from the walkthroughs
- Finalize the Scorecards and record findings in the General Comments and Recommendations section
- If necessary and time permits, perform a Revalidation to correct yellow or red scored data elements
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 (Original and Revalidation forms)
    - Source Documentation Worksheet
Retention of Information

- What should be kept?
  - Completed Data Validation Reporting Forms
  - Source Documents
  - Source Documentation Worksheet
  - Corrective Action Plan (CAP)

- 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 documents are 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
Validation Guidance and Website

Lesson 11
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
  - Corrective Action Plan Template
  - Sample Inbrief/Outbrief Template
  - Data Validation Training Manual

New
FIMS Validation Materials and Guidance (continued)

- FY22 Reporting Deadlines and Validation Guidance
  - Issued by the Office of Asset Management (OAM), DOE

Let’s take a look ....
That’s all folks!