OFFICE OF SCIENCE (SC)
FACILITIES INFORMATION MANAGEMENT SYSTEM (FIMS)
VALIDATION GUIDANCE

1. Background - FIMS is the Department's official repository of real property data. FIMS data is used within and outside the Department for real property decision making that impact mission and resource requirements. Further, FIMS data is used to measure the cumulative outcomes of real property decisions on condition and utilization, key indices with the Department's Asset Management Plan. The quality of the decisions and analysis that can be made from the FIMS system is a function of the accuracy and consistency of the underlying data. Therefore, various internal controls on the data have been or will be put in place to assure the accuracy and consistency of the data. This guidance addresses validation of FIMS data as a control over that data.

2. References and supporting information (may be found at http://www.oecm.energy.gov and http://fims.hr.doe.gov/data_validation.htm)
    a. DOE Order 430.1B Real Property Asset Management.
    b. 41 CFR101 – Federal Real Property Ownership.
    c. Federal Real Property Council Guidance of December 20, 2004.
    d. FIMS Internal Control Guidance Signed by Chief Financial Officer Dated December 31, 2005.
    e. Current FIMS User's Guide.
    f. Current FIMS Validation Training Manual.

3. Purpose - This guidance identifies the roles, responsibilities and expected outcomes of the FIMS Validation process. For guidance on conducting the validation process, refer to the FIMS Validation process training course materials.

4. Application - This guidance applies to SC HQs, SC Field Offices, SC Site Offices, and SC Contractors with responsibility for SC owned real property buildings. At this time, owned Other Structures and Facilities (OSF), trailers, and leased facilities are excluded. This guidance defines *minimum* requirements established by the Office of Science to meet the Federal Real Property Council (FRPC) reporting requirements pertaining to the accuracy and validity of the Department's real property data.

5. Desired Outcome - The desired outcome of validation includes:
    a. Establish internal controls to validate FIMS data.
    b. Obtain a 90% confidence level that the FIMS data is materially accurate.
    c. Achieve an overall Scorecard rating of "Green".

6. Roles and Responsibilities
    a. Headquarters, Office of Science
        i. Develops policy.
        ii. Provides direction and guidance for the overall management of FIMS.
        iii. Ensures the FIMS validation training is made available.

b. SC Site Office
   i. Conducts management oversight for the implementation of the FIMS system.
   ii. Determines performance level for the contractor's performance measures.
   iii. Participates in the validation process, and if necessary, establishes and tracks progress on the corrective action plan.
   iv. Reports results of validation to HQs, Office of Science.
   v. Reviews and approves corrective actions.
   vi. Maintains validation results and documentation (worksheets, scorecards, and random samples) for five years.

c. Contractor
   i. Populates and manages the FIMS real property inventory system as complete and current throughout the life cycle of the real property assets.
   ii. Prepares QA and internal validation of the FIMS data.
   iii. Generates and updates the QA Plan to include the FIMS Validation process.
   iv. Coordinates a planned validation with the site office.
   v. Prepares the corrective action plan, if required, for review and approval by the site office.
   vi. Implements the corrective actions.
   vii. Maintains validation results and documentation (worksheets, scorecards, and random samples) for five years.

d. SC Integrated Support Center
   i. Provides support to SC and the Site Offices as requested.
   ii. Performs independent oversight as requested by HQs, Office of Science.

7. Performance Measures - Each SC site office should ensure a performance objective is developed to achieve a "Green" rating through applying the validation process for the FRPC's identified data elements. (Refer to the 2006 FIMS Validation Process Training materials for the guidance on conducting the validation).

8. FIMS QA Plan - To assure uniformity, sites are to update their FIMS QA plans using the following headings:

   a. Organizational Structure
      i. Internal organizational structure to manage FIMS.
      ii. Discuss roles and responsibilities.

   b. Source Documentation
      i. System to identify and document the sources for all data.

   c. Data Update Process
      i. Process in place to assure changes are reported in the system.

d. Data Verification/Certification and Training
   i. Schedule for database updates.
   ii. Process for reviewing data entry and ensuring data accuracy
      1. Identify the subject matter expert (the subject matter expert may be different than the contractor FIMS administrator).
      2. Describe process and schedule for verification of all data elements.
   iii. Describe qualifications and training requirements for individuals who administer FIMS.

e. Validation Process
   i. Internal validation process.
   ii. Process to implement the validation of the data elements identified by the FRPC.

f. Record Keeping

9. Validation Periods - The following table identifies the expected minimum validations that will be performed to comply with this guidance based on the outcome of previous validations.

	Superior Status (Green Status)	Minimal Acceptable (Yellow Status)	Unacceptable (Red Status)
Site Level	Annual	Annual	Semi Annual
Program Level	The Program Level will review the site's data on an as needed basis.		

10. When to Validate - Validation should be performed when sites can take a snapshot of their FIMS data and there will be minimal changes in the source documentation until validation is complete. Beginning in FY '07, validations should be completed by June 30, 2007. In FY '08 and on an annual basis thereafter, validations should be completed by February 15.

11. What to Validate – At a *minimum*, the FIMS data elements that satisfy the FRPC's metrics and data elements shall be validated. It is expected that all source documentation will be made available to the validation team at the time of validation. At this time, validation will be performed on SC owned real property buildings.

12. Composition and Training of the Validation Team - The SC site office representative and contractor FIMS administrator are required to complete the FIMS validation training prior to the occurrence of a validation. The team leader should be the Site Office Representative and or the Contractor FIMS Administrator. The validation team will consist of the following members:
    a. DOE SC Site Office Representative
    b. M&O/Contractor FIMS administrator
    c. M&O/Contractor Subject Matter Expert(s) (as needed)
    d. SC Integrated Support Center Representative (optional)
    e. Independent Representative (optional)

13. Scoring – Site FIMS data shall be scored on a red, yellow, and green score card for status and progress.

    a. Specific Data Element – Each of the FRPC data elements shall be status scored based on the frequency of material error.[1]

Score	Green	Yellow	Red
Data Element	No more than 5% error.	No more than 10% error.	Greater than 10% error.

Status Scoring of Specific Elements

    b. Status – The status of the overall data shall be scored as a direct result of the error rates identified within each of the FRPC data elements.

FIMS Scorecard Status Score	Key Elements (RPV, DM, AUI, MD, Op Cost)	Remainder of FRPC Elements	Notes
Green	All elements green.	All elements at-least yellow.	Preferred level of data quality.
Yellow	Any element yellow.	No more than one red element.	Minimal acceptable level of data quality.
Red	Any elements red.	More than one red element.	Unacceptable data quality.

Scoring of Status

    c. Progress – The progress in data improvement shall be scored based on the management of the corrective action plan and demonstrated improvement in the data since the last validation.[2]

FIMS Scorecard Progress Score	Improvement of Data	Corrective Action Plan Goals	Notes
Green	Status is green or significant improvement since last validation	Goals established and being met or no plan needed.	If status is green, no corrective plan is needed.
Yellow	Some improvement in data quality since last validation.	Progress is slipping.	
Red	Minimal improvement in data quality since last validation.	Goals for improvement not being met.	Unacceptable data quality.

Scoring of Progress

    d. Scorecard – It is expected that a final scorecard will be made available at the time of out brief.

[1]Frequency of material error = the % of error found within the data that is judged to be material. Refer to the FIMS Validation training materials for a discussion on this topic.

[2]Refer to the FIMS Validation training materials for a discussion on this topic.

14. Reporting and Recording Keeping
    a. All action offices will maintain validation documentation (worksheets, scorecards, and random samples) for at least five fiscal years.
        i. Documentation is necessary to follow-up with previous validation and to identify areas for improvement.

    b. SC Site Offices will report FIMS status and progress ratings at the frequencies indicated in paragraph 9 to Headquarters, Office of Science.