



**Department of Energy**  
Washington, DC 20585

November 10, 2016

MEMORANDUM FOR DISTRIBUTION

FROM: CARMELO MELENDEZ   
DIRECTOR, OFFICE OF ASSET MANAGEMENT  
AND SENIOR REAL PROPERTY OFFICER / MA-50

SUBJECT: FY 2017 Real Property Data Related to Operations and  
Maintenance Guidance

REFERENCE: (1) DOE Order 430.1C, *Real Property Asset Management*  
(2) Office of Management and Budget, Management Procedures  
Memorandum No. 2015-01 dated March 25, 2015

Pursuant to section 5.j.6 of reference (1), this memorandum provides implementing guidance for collecting and reporting FY 2017 operations and maintenance data as well and guidance for reporting data needed to prepare the Department of Energy 2018 – 2022 Real Property Efficiency Plan required by reference (2).

This memorandum is effective on October 1, 2016. It cancels the FY 2016 Real Property Data Related to Operations and Maintenance Guidance and will remain current until replaced by the FY 2018 memorandum. Please distribute it to the appropriate elements of your organization.

The attached *Implementation Procedures to Report Data Related to Operations and Maintenance on Real Property* applies only to real property (buildings, real property trailers, land, and other structures and facilities) and not personal property. The Senior Real Property Officer submits data reported in response to this memorandum to the Federal Real Property Profile, the Office of Management and Budget, Congress, and the Department's Chief Financial Officer for inclusion in the annual Agency Financial Report.

Questions on this guidance may be directed to Cindy Hunt at (202) 586-4539. Questions related to populating the Department's Facilities Information Management System may be directed to Adam Pugh at (202) 287-1397. Questions related to the Real Property Efficiency Plan may be directed to Gordie Clark at (202) 287-1304.

Attachment



**Distribution:**

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## Location of Changes

### *Implementation Procedures to Report Data Related to Operations and Maintenance of Real Property*

FY 2016	Changed from	FY 2017	Changed to
1.a	sites and their field and site offices	1.a	Program/field/site offices and sites
1.a	financial data	1.a	Facilities Information and Management System (FIMS) cost and inventory assessment data
1.a	owned or leased by the United States Department of Energy (DOE or the Department)	1.a	where the United States Department of Energy (DOE or the Department) has a legal interest in, or right to use, such property
1.b	Programs and support offices with real property holdings, or Programs	1.b	The Program Secretarial Officer/Program Office (PSO) and other DOE elements with responsibility for real property
1.c		1.c	Added: the Cost (Actual or Estimated), Measurement, or Assessment for each Data element as identified in Table 1 below
1.c		1.c	Deleted from Table 1: Quarterly Maintenance Report Added to Table 1: Annual Maintenance Expenditures Core Capability Overall Asset Condition Modernization Asset % Utilized Usable Office Square Feet
1.d	the actual and estimated costs listed above for the following types of	1.d	the cost, actual or estimated, for those data elements listed in Table 1 above for those
1.d	the following kinds of interest	1.d	the kinds of interest identified in Table 2 below
1.d		1.d	Deleted from Table 2: Quarterly Maintenance Added to Table 2: Annual Maintenance Expenditures Modernization
		1.e	Added: Collect and report the measurement or assessment results for the data elements listed in Table 1 above for those real property

FY 2016	Changed from	FY 2017	Changed to
			assets (buildings, real property trailers, structures, and land) in which the Department has the kinds of interest identified in Table 3:
1.e		1.f	Added: and methods for identifying Repair Needs (RN) that are also Deferred Maintenance & Repair (DM).
2.a.i.1	Collect these asset-level cost estimates as directed by the Lead Program Secretarial Office (LPSO) or Cognizant Secretarial Office (CSO).		
2.a.i.2	Include estimated, fully-burdened costs for predictive, preventive, and corrective maintenance or surveillance and maintenance for which FY 2016 is the optimum period of accomplishment as determined by:	2.a.i.1	Estimate the unconstrained asset-level costs for predictive and preventive maintenance, surveillance and maintenance, repairs, and renovations for which FY 2017 is the optimum period of accomplishment as determined by:
2.a.i.2.b	The site Maintenance Management Plan,	2.a.i.1.b	The site maintenance management and DM reduction programs,
2.a.i.3		2.a.i.2	Added: d. Contractor indirect costs.
2.a.i.4	For projects with a mixed scope of betterments and maintenance	2.a.i.3	For anticipated projects with a mixed scope of work including both construction and maintenance activities
		2.a.i.4	Added: 4. Zero (\$0) is an acceptable value.
2.a.i.5	Omit maintenance the site does not plan to accomplish in FY 2016, whether funded but not accomplished in FY 2014 or before, or has been deferred to FY 2016 or later.	2.a.i.1	Omit estimates for maintenance that the site does not plan to accomplish in FY 2017 even if funded but not accomplished in prior years.
2.a.ii.1	Collect these asset-level, fully-burdened actual costs for predictive, preventive, and corrective maintenance or surveillance and maintenance incurred in FY 2016.	2.a.ii.1	Collect the asset-level costs for predictive and preventive maintenance, surveillance and maintenance, repairs, and renovations accrued in FY 2017.

FY 2016	Changed from	FY 2017	Changed to
2.a.ii.2.a	Expenditures for materials, equipment, and services paid under a purchase order, contract or agreement	2.a.ii.2.a	Materials and supplies, equipment, and services paid under a purchase order, contract or agreement, including the costs of any sustainable products used to address deteriorated conditions in asset component systems
2.a.ii.2.d	Cost of direct supervision by work foreman, planning and scheduling; storage and staging of materials; supplies required for maintenance activities, including the costs of any sustainable products used to address deteriorated conditions in asset component systems.	2.a.ii.2.d	Contractor indirect costs.
2.a.ii.3	Do not allocate corrective maintenance costs. Use maintenance and financial management systems to minimize a site's reliance on allocation of predictive and preventive maintenance and surveillance and maintenance costs.	2.a.ii.3	Do not allocate repair costs.
2.a.ii.3		2.a.ii.4	Use maintenance and financial management systems to minimize a site's reliance on allocation of predictive and preventive maintenance and surveillance and maintenance costs.
		2.a.ii.5	For completed projects with a mixed scope of work including both construction and maintenance activities that provide similar maintenance benefits to multiple assets at a single cost: a. First deduct any estimated project costs for construction, and b. Then distribute the remaining costs to the impacted assets based on size.
2.a.ii.4	Omit betterment and alteration costs.	2.a.ii.6	Omit construction costs.

FY 2016	Changed from	FY 2017	Changed to
2.a.ii.5	Omit real property asset disposal costs.	2.a.ii.7	Omit real property asset disposal costs.
2.a.iii	Quarterly Maintenance Costs – replaced in its entirety	2.a.iii	Annual Maintenance Expenditures
2.b.i	Collect the fully-burdened costs	2.b.i	Collect the costs
2.b.ii	Omit betterment costs.	2.b.ii	Omit construction and renovation costs.
2.b.v	Appendix A provides an alternative compliance approach for sites that do not know one or more of an asset’s operations costs.	2.b.v	Appendix A provides FIMS allocation procedures for sites that do not know one or more of an asset’s operations costs.
2.c.i	based on mission dependency, maintenance requirements, or the results of lifecycle or condition modeling	2.c.i	Inspection frequency may be based on mission dependency, maintenance requirements, assets that pose an increased risk to life safety or the environment, or the results of life cycle or condition modeling. Use of inspection intervals exceeding five years requires approval from the cognizant PSO.
2.c.ii	Use and document the application of industry standard methods , commensurate with the asset’s status, usage, or ownership, or more thorough procedures when mandated by Federal, state, or local codes or the Program, to determine for each real property asset:	2.c.ii	For each real property asset, use and document the application of industry standard methods, to determine the information in the list below. Ensure methods are commensurate with each asset’s ownership, use, status, and mission dependency. Use more thorough procedures when mandated by Federal, state, or local codes or the Program.
2.c.iv	<ol style="list-style-type: none"> <li>1. Component system</li> <li>2. Asset</li> <li>3. Site</li> <li>4. Program</li> </ol>	2.c.iv	<ol style="list-style-type: none"> <li>1. Component</li> <li>2. Assembly</li> <li>3. System</li> <li>4. Asset</li> <li>5. Site</li> <li>6. Program</li> </ol>
2.c.v	Estimate costs to resolve deficiencies, fully-burdened, for FY 2016 at a component system level, tallied to an asset level, based on CAS.	2.c.v	Estimate costs to resolve deficiencies for FY 2017 at a system level, tallied to an asset level, based on CAS using the CAIS or another nationally recognized cost estimating system

FY 2016	Changed from	FY 2017	Changed to
			that is formatted in UNIFORMAT II and based on annually updated unit cost data.
		2.c.v.1	Added: Document each approved program-specific equivalency or exemption from cost estimating requirements.
2.c.x	When corrective maintenance is past its optimum period but no longer needed, reduce deferred maintenance accordingly.	2.c.x.2	When a repair is past its optimum period but no longer needed, reduce DM accordingly.
2.c.ix	For fiscal years ending without a CAS, inflate cost estimates to correct deficiencies in the backlog to FY 2016 dollars using R.S. Means cost tables or factors appearing in the table below:	2.c.v.1	See Footnote 13
2.c.xi	When corrective maintenance with an optimum period previously for FY2015 or earlier now has an optimum period of FY 2016 or later, reduce deferred maintenance accordingly.	2.c.x.2	When a repair is past its optimum period but no longer needed, reduce DM accordingly.
2.c.xii	When a site's LPSO or an asset's CSO changes, do not reduce deferred maintenance.	2.c.x.4	When the DOE element with responsibility for a real property asset changes, do not reduce DM.
2.c. xiii	When an asset's status changes (e.g. from active to inactive) perform a CAS and update deferred maintenance, if needed.	2.c.x.5	When an asset's status changes (e.g., from active to inactive) perform a CAS, reevaluate and update DM as needed.
2.c. xiv	An asset's FY 2016 deferred maintenance equals the cost to correct all identified deficiencies past optimum period and deemed unacceptable to management in FY 2015 or before.	2.c.x	An asset's FY 2017 Deferred Maintenance & Repair (DM) equals the cost to correct all identified deficiencies past optimum period and deemed unacceptable to management in FY 2017 or before.
2.c.xv	An asset's FY 2016 repair needs equals the cost to correct all identified deficiencies.	2.c.ix	An asset's FY 2017 Repair Needs (RN) equals the cost to correct all identified deficiencies. Repair Needs will always equal or exceed DM.

FY 2016	Changed from	FY 2017	Changed to
2.c.xv.1	Repair needs will always equal or exceed deferred maintenance; the difference between the two depends on the established optimum period and each noted deficiency's acceptability to management.	2.c.x.1	The difference between RN and DM depends on the established optimum period and each noted deficiency's acceptability to management.
		2.c.ix.6	Added: When a repair needed to keep an inactive asset safe and to support eventual disposition is past its optimum period, report as DM.
		2.c.ix.7	Added: When a repair needed to ensure the structural integrity, historical preservation or other such requirements of an asset with a Historic Designation of National Historic Landmark, National Register Listed, or National Register Eligible is past its optimum period, report as DM.
2.d	Laboratory Operations Board (LOB) Infrastructure Assessment (as required by the LPSO or CSO)–replaced in its entirety	2.d	Core Capability
2.d	Laboratory Operations Board (LOB) Infrastructure Assessment (as required by the LPSO or CSO)–replaced in its entirety	2.e	Overall Asset Condition (i.e. Functionality)
		2.e	Added: Modernization-new section
		2.g	Added: Asset % Utilized-new section
		2.h	Added: Usable Office Square Feet-new section
3.a	owned or leased by the Department or the General Services Administration on behalf of the Department per 41 CFR § 102–84.40	3.a	where DOE has a legal interest in, or right to use, such property
3.b.i	Quarterly Maintenance Report – replaced in its entirety	3.b.i	Annual Maintenance Expenditures
3.d	the following table	3.d	in Table 4 below
		3.d	Table 4 updated with FY2017 Milestone Dates

FY 2016	Changed from	FY 2017	Changed to
3.f	The Office of Government-wide Policy, General Services Administration (GSA/OGP)	3.f	The General Services Administration Office of Government-wide Policy (GSA/OGP)
4.		4.	Definitions removed. See Attachment 1 of DOE O 430.1C.
5.c	SFFAS No. 6 or 42 – Marcus Jordan (CF-11), 301-903-6280.	5.e	SFFAS No. 6 or 42 – Genoa Mitchell (CF-11), 301-903-1243.
		5.c	Added: OMB A-136, Financial Reporting Requirements, Section II.5.10, Freeze the Footprint, and OMB MPM 2015-01, Implementation of OMB Memorandum M-12-12 Section 3: Reduce the Footprint – Gordie Clark (MA-50), 202-287-1304.
		5.d	Added: DOE excess screening procedures – Monja Vadnais (MA-50), 202-586-6199.
Appendix A	Expected Operation Cost Generating Assets–replaced in its entirety	Appendix A	FIMS Methodology for Allocating Site-Level Operations Costs to Individual Assets
Appendix B-1.a	when the asset condition index of a program’s considered portfolio falls below 0.95	Appendix B-1.a	when the Deferred Maintenance Index of a program’s considered portfolio exceeds 5.0
Appendix B-1.a (Fn 12)	Asset Condition Index (ACI) = $1 - ((\text{Deferred Maintenance (DM)}) / (\text{Replacement Plant Value (RPV)}))$	Appendix B-1.a (Fn 22)	Deferred Maintenance Index (DMI) = $(\text{Deferred Maintenance \& Repair (DM)} / \text{Replacement Plant Value (RPV)}) \times 100$
Appendix B-1.b	maintenance investment index (sustainment rate)	Appendix B-1.b	Maintenance Investment Index (MII)
Appendix B-1.b	requested	Appendix B-1.b	planned amounts reported
Appendix B-1.b.1v	Usage Codes: All except for 3000 series programmatic real property structures.	Appendix B-1.b.1v	Usage Codes: All
Appendix B-1.c.v	For replacement plant value, Conventional Facility Indicator (CFI): The percentage of an asset deemed conventional and thus not cared for with programmatic funds. The replacement value considered will equal the product of a CFI value and the replacement value	Appendix B-1.c.v	Replacement Plant Value (RPV): Conventional Facility Indicator (CFI) is applied

FY 2016	Changed from	FY 2017	Changed to
	where the CFI value represents a percentage between zero and 100 percent.		
Appendix B-1.d	annually in January	Appendix B-1.d	annually in the second quarter
		Appendix B-2	Maintenance budget expenditure-new section
Appendix B-2.d.ii	Criteria for acceptable condition, currently an asset condition index of 0.95 or better, and the percentage of assets in (b) and (c) above by count with an asset condition index equal to or greater than 0.95	Appendix B-3.d.ii	Criteria for acceptable condition, currently an Deferred Maintenance Index of less than 5.0, and the percentage of assets in (b) and (c) above by count with a DMI less than 5.0
Appendix B-3	Operating Costs as required by the Federal Real Property Profile	Appendix B-4	Operating Costs as required by the Federal Real Property Profile
		Appendix B-5	Utilization as required by the Federal Real Property Profile-new section
		Appendix B-6	Area and Operation and Maintenance Costs reported as Other Information in the Department's Annual Financial Report-new section
		Appendix B-7	Area as required by OMB MPM 2015-01, Implementation of OMB Memorandum M-12-12 Section 3: Reduce the Footprint-new section
2.c.ix		Appendix D	Cost Inflation Factors-new Appendix

**Attachment**

***Implementation Procedures to Report Data Related to  
Operations and Maintenance of Real Property***

**1. PURPOSE AND APPLICABILITY**

- a. These implementation procedures for Fiscal Year (FY) 2017 will assist Program/field/site offices and sites to consistently and accurately collect and report Facilities Information and Management System (FIMS) cost and inventory assessment data related to the operation and maintenance of real property assets where the United States Department of Energy (DOE or the Department) has a legal interest in, or right to use, such property.
- b. The Program Secretarial Officer/Program Office (PSO) and other DOE elements with responsibility for real property may implement alternate procedures in consultation with the Senior Real Property Officer or designee (SRPO) that ensure the Department continues to meet its reporting commitments.
- c. These implementation procedures specifically address the Department’s obligations to report the Cost (Actual or Estimated), Measurement, or Assessment for each Data element as identified in Table 1 below:

**Table 1**

<i>Data Element</i>	<i>Cost, Measurement, or Assessment</i>	<i>Source of Requirement/Obligation</i>	<i>External Reporting Medium</i>
Annual Required Maintenance	<ul style="list-style-type: none"><li>• Estimated Cost</li></ul>	<ul style="list-style-type: none"><li>• DOE O 430.1C</li></ul>	<ul style="list-style-type: none"><li>• Not reported externally</li></ul>
Annual Actual Maintenance	<ul style="list-style-type: none"><li>• Actual Cost</li></ul>	<ul style="list-style-type: none"><li>• Guidance for Real Property Inventory Reporting referenced in 41 CFR § 102–84</li><li>• DOE Order 430.1C</li></ul>	<ul style="list-style-type: none"><li>• Federal Real Property Profile (FRPP)</li></ul>
Annual Maintenance Expenditures <sup>1</sup>	<ul style="list-style-type: none"><li>• Actual Cost</li></ul>	<ul style="list-style-type: none"><li>• H.R. Conference Report 108-10 accompanying Public Law 108-7</li><li>• DOE Order 430.1C</li></ul>	<ul style="list-style-type: none"><li>• President’s Budget Request</li></ul>

**Table 1**

<i>Data Element</i>	<i>Cost, Measurement, or Assessment</i>	<i>Source of Requirement/Obligation</i>	<i>External Reporting Medium</i>
Operations	<ul style="list-style-type: none"> <li>Actual Cost</li> </ul>	<ul style="list-style-type: none"> <li>Guidance for Real Property Inventory Reporting referenced in 41 CFR § 102–84 DOE Order 430.1C</li> </ul>	<ul style="list-style-type: none"> <li>Federal Real Property Profile</li> </ul>
Repair Needs	<ul style="list-style-type: none"> <li>Estimated Cost</li> </ul>	<ul style="list-style-type: none"> <li>Guidance for Real Property Inventory Reporting referenced in 41 CFR § 102–84</li> <li>DOE O 430.1C</li> </ul>	<ul style="list-style-type: none"> <li>Federal Real Property Profile</li> </ul>
Deferred Maintenance & Repair	<ul style="list-style-type: none"> <li>Estimated Cost</li> </ul>	<ul style="list-style-type: none"> <li>Statement of Federal Financial Accounting Standards (SFFAS) 6, Accounting for Property, Plant, and Equipment</li> <li>SFFAS 42, Deferred Maintenance and Repairs: Amending SFFAS 6, 14, 29 and 32</li> <li>Infrastructure Executive Committee FY 2017 Focus Area</li> <li>DOE O 430.1C</li> <li><i>State of General Purpose Infrastructure Report</i></li> </ul>	<ul style="list-style-type: none"> <li>Annual performance and financial reports</li> </ul>
Core Capability	<ul style="list-style-type: none"> <li>Assessment</li> </ul>	<ul style="list-style-type: none"> <li>Strategic Objective 9, 2014-2018 DOE Strategic Plan</li> <li>DOE O 430.1C</li> </ul>	<ul style="list-style-type: none"> <li>Annual performance reports</li> </ul>

**Table 1**

<i>Data Element</i>	<i>Cost, Measurement, or Assessment</i>	<i>Source of Requirement/Obligation</i>	<i>External Reporting Medium</i>
Overall Asset Condition	<ul style="list-style-type: none"> <li>Assessment</li> </ul>	<ul style="list-style-type: none"> <li>FY 2016-2017: Agency Priority Goal-National Laboratories</li> <li>DOE O 430.1C</li> </ul>	<ul style="list-style-type: none"> <li><a href="https://www.performance.gov/">https://www.performance.gov/</a></li> </ul>
Modernization	<ul style="list-style-type: none"> <li>Estimated Cost</li> </ul>	<ul style="list-style-type: none"> <li>DOE O 430.1C</li> </ul>	<ul style="list-style-type: none"> <li>Not reported externally</li> </ul>
Asset % Utilized	<ul style="list-style-type: none"> <li>Assessment</li> </ul>	<ul style="list-style-type: none"> <li>Guidance for Real Property Inventory Reporting referenced in 41 CFR § 102-84</li> <li>Strategic Objective 9, 2014-2018 DOE Strategic Plan</li> <li>DOE O 430.1C</li> </ul>	<ul style="list-style-type: none"> <li>Federal Real Property Profile</li> </ul>
Usable Office Square Feet	<ul style="list-style-type: none"> <li>Measurement</li> </ul>	<ul style="list-style-type: none"> <li>DOE O 430.1C</li> <li><i>State of General Purpose Infrastructure Report</i></li> </ul>	<ul style="list-style-type: none"> <li>Not reported externally</li> </ul>

<sup>1</sup> Program self-reported; not collected via FIMS.

- d. Collect and report the cost, actual or estimated, for those data elements listed in Table 1 above for those real property assets (buildings, real property trailers, structures, and land) in which the Department has the kinds of interest identified in Table 2 below:

**Table 2**

		<i>Cost (Actual or Estimated)</i>						
	Ownership	Annual Required Maintenance	Annual Actual Maintenance	Annual Maintenance Expenditures	Operations <sup>1</sup>	Deferred Maintenance & Repair	Repair Needs	Modernization <sup>3</sup>
Buildings, Real Property Trailers, and Structures	DOE Owned	X	X	X	X	X	X	X
	DOE Leased or Licensed	X	X		X		X	X
	GSA Owned or Leased	X	X		X		X	X
	Contractor Owned, Leased, or License	X	X		X		X	X
	Federal or Non-Federal Permit	X	X <sup>2</sup>		X		X	X
	Grant Recipient Owned	X	X		X		X	X
Land	All Types				X			

<sup>1</sup> Required at the site level for all sites. Provide asset-level costs when available. See Appendix A, *FIMS Methodology for Allocating Site-Level Operations Costs to Individual Assets* for additional information.

<sup>2</sup> Required for buildings and structures.

<sup>3</sup> Optional for trailers.

- e. Collect and report the measurement or assessment results for the data elements listed in Table 1 above for those real property assets (buildings, real property trailers, structures, and land) in which the Department has the kinds of interest identified in Table 3:

**Table 3**

		<i>Assessment Results</i>			
	Ownership	Core Capability	Overall Asset Condition <sup>1</sup>	Asset % Utilized	Usable Office Square Feet <sup>4</sup>
Buildings, Real Property Trailers, and Structures	DOE Owned	X	X	X	X
	DOE Leased or Licensed	X	X	X	X
	GSA Owned or Leased	X	X <sup>2</sup>	X	X
	Contractor Owned, Leased, or License	X	X	X	X
	Federal or Non-Federal Permit	X	X <sup>3</sup>	X	X
	Grant Recipient Owned	X	X	X	X
Land	All Types	X			

<sup>1</sup> Required for active assets only.

<sup>2</sup> Required for buildings only.

<sup>3</sup> Required for buildings and structures only.

<sup>4</sup> Required for buildings and trailers only.

- f. Determine the minimum acceptable level of condition for each real property asset, the times in the asset life cycle when maintenance actions should be accomplished on its systems and components to preserve and maximize the useful life of the asset<sup>1</sup>, and methods for identifying Repair Needs (RN) that are also Deferred Maintenance & Repair (DM). Select person(s) to make these determinations who:
  - i. Have not participated in the asset's Condition Assessment Survey (CAS).
  - ii. Have responsibility for real property management or oversight at the site<sup>2</sup>.

## 2. DATA GATHERING METHODS

### a. Maintenance

#### i. Annual Required Maintenance

1. Estimate<sup>3</sup> the unconstrained asset-level costs for predictive and preventive maintenance, surveillance and maintenance, repairs, and renovations for which FY 2017 is the optimum period of accomplishment as determined by:
  - a. Condition assessment surveys,
  - b. The site maintenance management and DM reduction programs,
  - c. Vendor maintenance schedules, or
  - d. Life cycle or condition modeling.Omit estimates for maintenance that the site does not plan to accomplish in FY 2017 even if funded but not accomplished in prior years.
2. Incorporate in estimated costs:
  - a. Materials, equipment, and services planned for acquisition through a purchase order, contract, or agreement,
  - b. Prevailing wage and cost burden rates,
  - c. Ancillary services or work necessary to resolve the deficiency, and
  - d. Contractor indirect costs<sup>4</sup>.

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<sup>1</sup> The determination is based on engineering/maintenance analysis and is independent of funding availability or other resource implications.

<sup>2</sup> The intent of establishing these qualifications is to separate the responsibility for identification and disclosure of a deficiency (i.e. the assessment) from the determination that a deficiency is past optimum period and unacceptable to management (i.e. the management decision).

<sup>3</sup> A predictive process used to quantify the monetary valuation of resources required by the scope of a real property life cycle activity or project. [DOE G 413.3-21, Cost Estimating Guide](#) provides useful techniques and references.

<sup>4</sup> See references: Chapter 15 of the Department of Energy Financial Management Handbook; Cost Accounting Standard 401, *Consistency in Estimating, Accumulating and Reporting Costs*; and, local procedures.

3. For anticipated projects<sup>5</sup> with a mixed scope of work including both construction and maintenance activities that would provide similar maintenance benefits to multiple assets at a single cost:
  - a. First deduct any estimated project costs for construction, and
  - b. Then distribute the remaining estimated costs to the impacted assets based on size<sup>6</sup>.
4. Zero (\$0) is an acceptable value.

ii. Annual Actual Maintenance

1. Collect the asset-level costs for predictive and preventive maintenance, surveillance and maintenance, repairs, and renovations accrued<sup>7</sup> in FY 2017.
2. Include costs for:
  - a. Materials and supplies, equipment, and services paid under a purchase order, contract or agreement, including the costs of any sustainable products<sup>8</sup> used to address deteriorated conditions in asset component systems,
  - b. Prevailing wage and cost burden rates,
  - c. Ancillary services or work necessary to resolve the deficiency, including any payments made under an alternative financing arrangement for maintenance services, and
  - d. Contractor indirect costs.
3. Do not allocate<sup>9</sup> repair costs.
4. Use maintenance and financial management systems to minimize a site's reliance on allocation of predictive and preventive maintenance and surveillance and maintenance costs.
5. For completed projects with a mixed scope of work including both construction and maintenance activities that provide similar maintenance benefits to multiple assets at a single cost:
  - a. First deduct any estimated project costs for construction, and
  - b. Then distribute the remaining costs to the impacted assets based on size.
6. Omit construction costs.
7. Omit real property asset disposal costs.

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<sup>5</sup> Projects may be accomplished thru a construction-type contract and follow the associated regulations.

<sup>6</sup> Area (e.g., square feet or acres) for buildings, trailers, and land; primary unit of measure for structures.

<sup>7</sup> Recognize expenses in the period they are incurred regardless of when they are paid.

<sup>8</sup> Materials and equipment meeting performance requirements that are energy-efficient (Energy Star or Federal Energy Management Program (FEMP)-designated), water-efficient, bio based, environmentally preferable (e.g., Electronic Product Environmental Assessment Tool (EPEAT)-registered), non-ozone depleting, non-toxic or contain less toxic alternatives or recycled content.

<sup>9</sup> The practice of apportioning site-level costs to individual assets based on a parametric factor like size or hours of operation.

iii. Annual Maintenance Expenditures<sup>10</sup>

1. Collect the site-level accrued costs for predictive and preventive maintenance, surveillance and maintenance, repairs, and renovations of real property in FY 2017 from a site's maintenance and financial management systems, distinguishing between:
  - a. Direct funded costs, and
  - b. Indirect funded costs.
2. Omit construction costs.
3. Omit real property asset disposal costs.

b. Operations

- i. Collect the costs for electricity, water/sewer, pest control, central heating, central cooling, snow removal, gas, refuse, recycling, grounds, janitorial, and rent incurred in FY 2017 by (1) sites and (2) assets, such that the sum of all asset-level costs for a site equals the site-level total costs.
- ii. Omit construction and renovation costs.
- iii. Omit payments to providers of information technology, communications, security, or parking fee collections management services.
- iv. Include payments made under an energy savings performance contract (ESPC), another third-party financed agreement, and in-lieu-of payments made to a utility service provider under the respective utility-related operations cost.
- v. Appendix A provides FIMS allocation procedures for sites that do not know one or more of an asset's operations costs.

c. Repair Needs and Deferred Maintenance & Repair

- i. Complete a physical condition assessment survey for each asset no later than 1,826 days (five years) following its acquisition, its previous CAS, or sooner when mandated by: Federal, state, or local codes; the Program; or site management. Inspection frequency may be based on mission dependency, maintenance requirements, assets that pose an increased risk to life safety or the environment, or the results of life cycle or condition modeling. Use of inspection intervals exceeding five years requires approval from the cognizant PSO.

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<sup>10</sup> Maintenance Expenditures are the cost of work performed to preserve property in a condition suitable for its designated purpose. Maintenance Expenditures include preventive and predictive maintenance, surveillance and maintenance, repairs, and renovation costs.

- ii. For each real property asset, use and document the application of industry standard methods<sup>11, 12</sup> to determine the information in the list below. Ensure methods are commensurate with each asset's ownership, use, status, and mission dependency. Use more thorough procedures when mandated by Federal, state, or local codes or the Program.
  - 1. The current condition of each in place system,
  - 2. Each component's estimated time to failure,
  - 3. The estimated cost to correct identified deficiencies and,
  - 4. Whether or not component deficiencies will exceed their optimum period as of the end of the fiscal year.
  
- iii. Prioritize inspection methods as follows:
  - 1. Visual (non-invasive) is the preferred method
  - 2. Non-destructive testing
  - 3. Function measurement
  - 4. Sample testing (e.g., tribology)
  - 5. Destructive testing
  
- iv. Record observations made during, and the estimates produced by, each CAS in a database, such as the Department's Condition Assessment Information System (CAIS) queryable on any of the following levels:
  - 1. Component
  - 2. Assembly
  - 3. System
  - 4. Asset
  - 5. Site
  - 6. Program
  
- v. Estimate costs to resolve deficiencies for FY 2017 at a system level, tallied to an asset level, based on CAS using the CAIS or another nationally recognized cost estimating system that is formatted in UNIFORMAT II and based on annually updated unit cost data.
  - 1. Document each approved program-specific equivalency or exemption from cost estimating requirements<sup>13</sup>.
  
- vi. When multiple inspections covering all of an asset's systems have occurred within a single fiscal year, record the date of the final inspection.

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<sup>11</sup> For more information on conducting a CAS, review the *CAS Quick Reference Guide* located at <https://cais.doe.gov/caisinfo/doc.html>

<sup>12</sup> Some sites will additionally note utility consumption, conservation opportunities, and potential improvements during their CAS.

<sup>13</sup> See Appendix D, *Cost Inflation Factors*

- vii. Use the following sources only to support or corroborate CAS results:
1. Unexecuted repair work orders,
  2. Special studies or inspection reports (e.g., elevator or roof inspections),and,
  3. Asset/system/component age based on acquisition/installation year or time in operation.
- viii. Once a maintenance task or project activity addresses an identified deficiency, remove the estimated cost to correct that deficiency from the maintenance backlog within the same fiscal year, regardless of when the next CAS will occur.
- ix. An asset's FY 2017 **Repair Needs (RN)** equals the cost to correct all identified deficiencies. Repair Needs will always equal or exceed DM.
- x. An asset's FY 2017 **Deferred Maintenance & Repair (DM)** equals the cost to correct all identified deficiencies past optimum period and deemed unacceptable to management in FY 2017 or before.
1. The difference between RN and DM depends on the established optimum period and each noted deficiency's acceptability to management<sup>14</sup>.
  2. When a repair is past its optimum period but no longer needed, reduce DM accordingly.
  3. When a repair with an optimum period previously for FY 2017 or earlier now has an optimum period of FY 2018 or later, reduce DM accordingly.
  4. When the DOE element with responsibility for a real property asset changes, do not reduce DM.
  5. When an asset's status changes (e.g., from active to inactive)<sup>15</sup> perform a CAS, reevaluate and update DM as needed.
  6. When a repair needed to keep an inactive asset safe and to support eventual disposition is past its optimum period, report as DM.
  7. When a repair needed to ensure the structural integrity, historical preservation or other such requirements of an asset with a Historic Designation of National Historic Landmark, National Register Listed, or National Register Eligible is past its optimum period, report as DM.

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<sup>14</sup> The definition of maintenance and repairs appearing in SFFAS 42, item 8, includes a footnote (4) that reads in part "Management shall determine what level of condition is acceptable."

<sup>15</sup> Appendix E of the FIMS Data Element Dictionary identifies available status codes. An asset assigned Status Code 1, 2, or 3 is an "Active" asset. An asset assigned Status Code 4, 5, 6, 7, IC or IM is an "Inactive" asset. Find a crosswalk of FIMS - FRPP status codes in the annual *Federal Real Property Profile Reporting Requirement* memorandum issued by the SRPO.

d. Core Capability

- i. Assess the real property portfolio against delineated program mission requirements by core capability every five years following cognizant PSO guidance. Perform assessments more frequently if mission requirements change, the core capability assigned to an asset changes, the asset is repurposed, or there are major changes to the asset's physical condition or use.
- ii. Identify the primary capability and if applicable the secondary and tertiary capabilities for each asset that would be most degraded should the asset fail to perform as intended following cognizant PSO guidance.
- iii. Record determination in the Core Capability-Primary, Core Capability-Secondary, or Core Capability-Tertiary fields in FIMS using the available options<sup>16</sup>.

e. Overall Asset Condition (i.e. Functionality)

- i. Complete a functional assessment of each operating real property asset at least once during any five-year period or other risk-based interval as approved by the cognizant PSO. Select one or more subject matter experts (SME) familiar with the asset, its systems, and how it is used to perform the mission to make this determination.
- ii. Determine each asset's current capability to meet mission requirements following cognizant PSO guidance based on:
  1. Analysis of needs and condition assessment information, and
  2. Judgement of the SME(s).
- iii. Document significant mission-related asset deficiencies and inadequacies as well as the corresponding impact on mission in the FIMS data field, "Condition Notes", considering:
  1. existing environment, safety, or health risks,
  2. capability to perform current mission,
  3. ability to attract and maintain key staff,
  4. ability to meet DOE requirements,
  5. reliability, and
  6. capacity to perform current mission.
- iv. Record the "Overall Asset Condition" in FIMS using one of the following Asset Condition Ratings:

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<sup>16</sup> Program Secretarial Officers are responsible for providing FIMS Administrators with an accurate list of program specific core capabilities.

1. Adequate
2. Substandard
3. Inadequate

f. Modernization

- i. Estimate the cost of improvements necessary to bring the asset to an Overall Asset Condition of “Adequate” considering:
  1. safety, health, and security risks and standards,
  2. current mission requirements,
  3. environmental risks and regulations,
  4. ability to attract and maintain key staff,
  5. current fire safety and seismic requirements,
  6. sustainability targets,
  7. reliability goals, and
  8. capacity to perform current mission.
- ii. Record the estimated cost in the “Modernization” field in FIMS.

g. Asset % Utilized

- i. Conduct an annual utilization survey of each asset measuring how fully the asset is being used considering capacity and frequency of use following cognizant PSO guidance.
- ii. Determine independent of Status that portion of an asset in use based on area as measured in either Gross Square Feet or Rentable Square Feet according to Ownership. The evaluation is a measure of how “full” the space is and not a reflection of space assignment. For programmatic real property, the Asset % Utilized may be considered to be 100% if the mission requires 100% of the facility, even though there may be times when the facility is not fully utilized, or is even unutilized.
- iii. Record the portion of the asset in use as a whole number, 0 to 100, in the “Asset % Utilized” field in FIMS.

h. Usable Office Square Feet

- i. Use ANSI/BOMA Z65.1-2010, *Office Buildings: Standard Methods of Measurement*, or IFMA/ASTM E1836-01, *Standard Classification for Building Floor Area Measurements for Facility Management* to determine the portion of each building or trailer available for occupants use as office<sup>17</sup>.

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<sup>17</sup> 101 OFFICE - All traditional office environments where personnel are primarily engaged in desk- or workstation-oriented tasks. An office can be a conventional structure with individual rooms and/or groups of rooms that house

- ii. Record the amount in whole numbers in the “Space Type Usable SF-Office” field in FIMS.

### 3. REPORTING REQUIREMENTS

- a. Ensure that FIMS contains a complete inventory of land parcels, buildings, real property trailers, and structures where DOE has a legal interest in, or right to use, such property.
- b. Report in whole dollars all costs and estimates discussed in this guidance for the respective FIMS data elements, subject to the following exception:
  - i. Submit Annual Maintenance Expenditures, in thousands of dollars, using the *Facilities Maintenance and Repair* templates provided by the Chief Financial Officer in the FY 2019 Congressional Budget Call guidance.
- c. Record in each asset’s FIMS Inspection Date the date of the final CAS during the fiscal year. Do not enter an inspection date when no inspection compliant with this guidance has occurred. Do not enter future dates.
- d. Submit all requested data by the deadlines appearing in Table 4 below:

**Table 4**

<i>Milestone Date</i>	<i>Task</i>
11/08/2016	<p><b>START:</b> Populate in FIMS the Annual Required Maintenance Costs for <b>FY 2017</b>.</p> <p><i>(Note: On this date, the SRPO will remove data previously entered in these fields; thereafter, sites may enter current data.)</i></p>
01/15/2017	<p><b>FINISH:</b> Populate in FIMS the Annual Required Maintenance Costs for <b>FY 2017</b>.</p>

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one or more individuals per room. Another recent development concerns facilities characterized by large open spaces, with workstations defined by modular furniture or movable partitions. [FIMS Data Element Dictionary]

**Table 4**

<i>Milestone Date</i>	<i>Task</i>
1/31/2017	<p><b>FINISH:</b> Populate the following FIMS fields:</p> <ol style="list-style-type: none"> <li>1. Anticipated Disposition Method where the Estimated Disposition Year is <b>FY 2017 – FY 2022</b> and Excess Indicator is set to “Y”.</li> <li>2. All fields in the Anticipated Acquisition Information Module for <b>FY 2018 - FY 2022</b> planned actions<sup>18</sup>.</li> </ol> <p>Confirm the following FIMS fields for assets acquired through an Occupancy Agreement with GSA, both GSA owned and GSA leased:</p> <ol style="list-style-type: none"> <li>1. Annual Rent</li> <li>2. Usage Code</li> <li>3. Rentable SQFT</li> <li>4. Usable SQFT</li> <li>5. Occupants</li> <li>6. Expiration Date</li> <li>7. Estimated Disposition Year</li> </ol> <p><i>(Note: This data supports the DOE FY 2018 - FY 2022 Real Property Efficiency Plan)</i></p>
02/23/2017	<p><b>FINISH:</b> Recalculate FIMS-generated building and trailer Replacement Plant Values (RPV) with calendar year <b>2017</b> model costs.</p>
08/01/2017	<p><b>START:</b> Populate the following FIMS fields for <b>FY 2017:</b></p> <ol style="list-style-type: none"> <li>1. Repair Needs</li> <li>2. Deferred Maintenance</li> <li>3. Modernization</li> <li>4. Unifomat II Values<sup>19</sup></li> </ol> <p><i>(Note: On this date, the SRPO will remove data previously entered in these fields; thereafter, sites may enter current data.)</i></p>
09/01/2017	<p><b>FINISH:</b> Confirm the following FIMS field for <b>FY 2017:</b></p> <ol style="list-style-type: none"> <li>1. Ownership<sup>20</sup></li> </ol>

<sup>18</sup> Detailed instruction for populating AAIM can be found in Chapter 6 and Appendix H of the FIMS Users Guide: <https://fimsweb.doe.gov/fimsinfo/documentation>.

<sup>19</sup> The FIMS Version Release scheduled for mid-January 2017 will delete Deficiency System (1-5) data elements based on FIMS Request for Change 16-17.

<sup>20</sup> The FIMS Version Release scheduled for mid-January 2017, will revise options available for “Ownership” based on FIMS Request for Change 15-10.

**Table 4**

<i>Milestone Date</i>	<i>Task</i>
09/20/2017	<p><b>FINISH:</b> Populate the following FIMS fields for <b>FY 2017:</b></p> <ol style="list-style-type: none"> <li>1. Repair Needs</li> <li>2. Deferred Maintenance</li> <li>3. Modernization</li> <li>4. Uniformat II Values</li> </ol> <p>Update the following FIMS fields for <b>FY 2017:</b></p> <ol style="list-style-type: none"> <li>1. Inspection Date</li> <li>2. Status</li> <li>3. Excess Indicator</li> </ol> <p>Complete archiving real property assets disposed of during <b>FY 2017.</b></p> <p>Complete <b>FY 2017</b> declarations of excess.</p>
09/25/2017	<p><b>DATA FREEZE: FY 2017 Deferred Maintenance &amp; Repair Report:</b> The following FIMS data elements will display FY 2017 data but will not be available for edit until 11/06/2017:</p> <ol style="list-style-type: none"> <li>1. Repair Needs</li> <li>2. Deferred Maintenance</li> <li>3. Modernization Cost</li> <li>4. Uniformat II Values</li> <li>5. Excess Indicator</li> <li>6. Excess Date</li> <li>7. Replacement Plant Value</li> <li>8. Gross Sqft</li> <li>9. Site Factor</li> <li>10. RPV Model</li> </ol> <p><i>(Note: This data supports the Annual Financial Report due 10/06/2017.)</i></p>
09/25/2017	<p><b>START:</b> Populate the following FIMS fields for <b>FY 2017:</b></p> <ol style="list-style-type: none"> <li>1. Annual Actual Maintenance Costs</li> <li>2. Operations Costs</li> </ol> <p><i>(Note: On this date, the SRPO will remove data previously entered in these fields; thereafter, sites may enter current data.)</i></p>
10/17/2017	<p>Program provides SRPO with explanation when Deferred Maintenance &amp; Repair growth or reduction between the most recent and previous fiscal years equals or exceeds ten percent.</p>

**Table 4**

<i>Milestone Date</i>	<i>Task</i>
10/26/2017	PSOs confirm the following FIMS field is correct for the <b>FY 2020</b> budget preparation cycle. 1. IFI Site  <i>(Note: Notify the FIMS Administrators if changes are required.)</i>
11/03/2017	<b>FINISH:</b> Populate the following FIMS fields for <b>FY 2017:</b> 1. Annual Actual Maintenance Costs 2. Operations Costs  Update the following FIMS fields for <b>FY 2017:</b> 1. Core Capability 2. Overall Asset Condition 3. Asset % Utilized 4. Space Type Usable SF-Office 5. Estimated Disposition Year
11/06/2017	<b>FINISH: FY 2017 FIMS Year-end Snapshot</b> taken.  All FIMS fields are now available for use.  Archiving of real property assets disposed of during <b>FY 2018</b> may begin.  <b>FY 2018</b> excess declaration may begin.  <i>(Note: This data supports the Federal Real Property Profile submission due on 12/15/2017.)</i>
11/30/2017	Submit Program Office FIMS data certification statement to the SRPO.
Per DOE FY 2019 Congressional Budget Call Guidance & Templates	Include <b>FY 2017</b> Annual Maintenance Expenditures in the Congressional Budget Justification.

- e. The SRPO will fulfill the Department's reporting obligations using the data as submitted by the sites without further computations, subject to the exceptions outlined in Appendix B of this guidance.
- f. The General Services Administration Office of Government-wide Policy (GSA/OGP) will automatically calculate the Condition Index for each real property asset as outlined in Appendix C of this guidance.

#### 4. DEFINITIONS. SEE ATTACHMENT 1 OF DOE O 430.1C.

## 5. FOR FURTHER INFORMATION

- a. Operations and maintenance data collection, reporting, and alternative procedures; real property deferred maintenance & repair reporting supporting required supplemental information for the DOE Annual Financial Report – Cindy Hunt (MA-50), 202-586-4539.
- b. DOE FIMS and CAIS reporting methods – Adam Pugh (MA-50), 202-287-1397.
- c. OMB A-136, *Financial Reporting Requirements*, Section II.5.10, Freeze the Footprint, and OMB MPM 2015-01, *Implementation of OMB Memorandum M-12-12 Section 3: Reduce the Footprint* – Gordie Clark (MA-50), 202-287-1304.
- d. DOE excess screening procedures – Monja Vadnais (MA-50), 202-586-6199.
- e. SFFAS No. 6 or 42 – Genoa Mitchell (CF-11), 301-903-1243.

## Appendix A

### ***FIMS Methodology for Allocating Site-Level Operations Costs to Individual Assets***

Sites are encouraged to collect and enter operating cost at the constructed asset level where that data is available. When asset-level operating cost is not available, the Facilities Information Management System (FIMS) uses a standard method for allocating operating cost to assets for Federal Real Property Inventory Reporting. This Appendix describes the standard method<sup>21</sup>.

Operating Cost components are allocated from the Site-level to the Asset-level in FIMS for DOE Owned buildings (with the exception of Natural Gas, Central Heating, and Central Cooling which are excluded for trailers). There is no operating cost allocation for OSF, land, DOE Leased, GSA Owned, GSA Leased and Permitted assets.

The Site level operating cost represents the total of the following operating costs spent by the site during a given fiscal year. The operating cost values entered at the asset level are summarized and subtracted from the operating cost entered at the Site level. The difference is then allocated to the DOE Owned building and trailers assets based on Hours of Operation and Gross Square Feet (GSF).

#### **List of Operating Cost**

Electricity Cost  
Water/Sewer Cost  
Pest Control Cost  
Central Heating Cost  
Central Cooling Cost  
Snow Removal Cost  
Gas Cost  
Refuse Cost  
Recycle Cost  
Grounds Cost  
Janitorial Cost

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<sup>21</sup> For purposes of data validation, sites relying on FIMS to allocate costs may simply make a note of this in their procedures.

**Example of the Allocation**

**STEP 1**

	GSF	HR/WEEK	GSF,HR/WEEK
Building A,	1,000	60	60,000
Building B,	2,000	168	336,000
Building C,	4,000	60	240,000
Building D,	6,000	80	480,000
			<b>1,116,000</b> TOTAL

**STEP 2**

\$70,000 Natural Gas bill for the site.

$$(\$70,000) / (1,116,000 \text{ GSF,HR/WEEK}) = \text{Allocation factor } \mathbf{0.0627} \text{ \$,GSF,HR/WEEK}$$

**STEP 3**

	Allocation factor	GSF,HR/WEEK		Natural Gas Cost per building
Building A,	0.0627	60,000	=	<b>\$3,763.44</b>
Building B,	0.0627	336,000	=	<b>\$21,075.27</b>
Building C,	0.0627	240,000	=	<b>\$15,053.76</b>
Building D,	0.0627	480,000	=	<b>\$30,107.53</b>
				<b>\$70,000.00 Total Check</b>

## Appendix B

### *Senior Real Property Officer Data Aggregation Procedures*

1

The Senior Real Property Officer or designee (SRPO) will fulfill the Department's reporting obligations using the data as submitted by the sites without further computations, subject to the following exceptions:

#### **1. Maintenance budget or expenditure sufficiency**

- a. Purpose: Determining the sufficiency of either planned or actual maintenance investments in a single year using the National Research Council Federal benchmark of between two and four percent of replacement value, with the expectation of an additional one to two percent (for a total of three to six percent) when the Deferred Maintenance Index<sup>22</sup> of a program's considered portfolio exceeds 5.0.
- b. Approach: The Maintenance Investment Index (MII) will use Annual Actual Maintenance reported in FIMS or planned amounts reported in a budget submission aggregated by the cognizant PSO from the following kinds of assets:
  - i. Property Type: Building, Trailer, and Structure
  - ii. Status: Operating, Standby, and Outgranted
  - iii. Ownership: Owned
  - iv. Usage Codes: All
- c. Approach: The MII will use Replacement Plant Values (RPV) reported in FIMS aggregated by program from the following kinds of assets:
  - i. Property Type: Building, Trailer, and Structure
  - ii. Status: Operating, Standby, and Outgranted
  - iii. Ownership: Owned
  - iv. Usage Codes: All
  - v. Replacement Plant Value (RPV): Conventional Facility Indicator (CFI) is applied
- d. Schedule: The SRPO will complete this analysis annually in the second quarter using previous fiscal year data from the annual FIMS snapshot while preparing an annual report. The SRPO may also complete this analysis with each phase of the budget process.

#### **2. Maintenance budget execution**

- a. Purpose: Determining the execution of required maintenance investments in a single year.

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<sup>22</sup> Deferred Maintenance Index (DMI) =  $\left( \frac{\text{Deferred Maintenance \& Repair (DM)}}{\text{Replacement Plant Value (RPV)}} \right) \times 100$

- b. Approach: The Maintenance Budget Index (MBI) will use Annual Actual Maintenance reported in FIMS aggregated by the cognizant PSO from the following kinds of assets:
  - i. Property Type: Building, Trailer, and Structure
  - ii. Status: Operating, Standby, and Outgranted
  - iii. Ownership: Owned
  - iv. Usage Codes: All
- c. Approach: The MBI will use the Annual Required Maintenance reported in FIMS aggregated by program from the following kinds of assets:
  - i. Property Type: Building, Trailer, and Structure
  - ii. Status: Operating, Standby, and Outgranted
  - iii. Ownership: Owned
  - iv. Usage Codes: All
- d. Schedule: The SRPO will complete this analysis annually in the second quarter using previous fiscal year data from the annual FIMS snapshot while preparing an annual report.

### **3. Deferred Maintenance & Repair reported as Required Supplemental Information in the Department's Annual Financial Report**

- a. Purpose: Present the total reportable deferred maintenance & repair for FY 2016 and FY 2017 for each category appearing in SFFAS 42, Appendix B, Illustration 3 and the associated qualitative information required by paragraph 15 of the same standard.
- b. Approach: The SRPO will tally the asset-level deferred maintenance from the most recent and the previous fiscal years for active assets where:
  - i. Property Type: Building, Trailer, or Structure
  - ii. Status: Operating, Standby, and Outgranted
  - iii. Historic Designation: For "General PP&E," Non-Contributing Element, Not Evaluated, and Evaluated, Not Historic; For "Heritage Assets," National Historic Landmark, National Register Listed, and National Register Eligible
  - iv. Ownership: Owned
  - v. Usage Codes: All
- c. Approach: The SRPO will tally the asset-level deferred maintenance from the most recent and the previous fiscal years for inactive assets screened internally for excess where:
  - i. Property Type: Building, Trailer, or Structure
  - ii. Status: All other status codes not listed above
  - iii. Excess Indicator: Yes
  - iv. Ownership: Owned
  - v. Usage Codes: All

- d. Approach: The SRPO will prepare a qualitative narrative that addresses the Department's:
  - i. Definitions of maintenance and repair, methods for estimating deferred maintenance and repair, and policies for prioritizing maintenance and repair;
  - ii. Criteria for acceptable condition, currently an Deferred Maintenance Index of less than 5.0, and the percentage of assets in (b) and (c) above by count with a DMI less than 5.0; and,
  - iii. Deferred maintenance growth or reduction between the most recent and previous fiscal years when the change equals or exceeds ten percent.
- e. Schedule: The SRPO will complete this analysis annually during the first week of October using previous fiscal year data from the FIMS deferred maintenance snapshot.

#### **4. Operating Costs as required by the Federal Real Property Profile**

The SRPO will submit the sum of each asset's operations and annual actual maintenance costs. For more details, see the annual FRPP reporting requirements memorandum issued by the SRPO.

#### **5. Utilization as required by the Federal Real Property Profile**

The SRPO will compare for each asset the reported Asset % Utilized with the Department's threshold values for its use: Office, Hospital, Warehouse, Laboratory or Housing, and report the asset as "Unutilized", "Underutilized", or "Utilized" to the Federal Real Property Profile. For more details, see the annual Federal Real Property Profile reporting guidance memorandum issued by the SRPO.

#### **6. Area and Operation and Maintenance Costs reported as Other Information in the Department's Annual Financial Report**

- a. Purpose. Report the total square footage and operations and maintenance costs associated with assets, subject to the "Freeze the Footprint (FtF)" policy as identified by GSA using FRPP Data Element #3<sup>23</sup>, from the latest available reporting year, and comparing these values with the FY 2012 FtF baseline amounts (as assigned by GSA) consistent with the requirements of OMB A-136, *Financial Reporting Requirements*, Section II.5.10, Freeze the Footprint. Required for the performance periods FY 2014 thru FY 2016. NOTE: Beginning in FY 2017, OMB intends to establish a new reporting requirement measuring the actual square footage disposed of owned buildings based on agency reduction targets and the operation and maintenance costs avoided as a result of such disposals.
- b. Approach: The SRPO will tally the asset-level building area from the prior fiscal year for assets where:
  - i. Property Type: Building or Trailer

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<sup>23</sup> FY2013-2015 FRPP *Guidance for Real Property Inventory Reporting*

- ii. Status: All
  - iii. Ownership: DOE Owned, DOE Leased, GSA Owned, or GSA Leased
  - iv. FRPP FtF Asset: Yes
- c. Approach: The SRPO will tally the asset-level annual operating and maintenance costs from the prior fiscal year for assets where:
- i. Property Type: Building or Trailer
  - ii. Status: All
  - iii. Ownership: DOE Owned or DOE Leased
  - iv. FRPP FtF Asset: Yes
- d. Approach: The SRPO will provide a brief narrative highlighting actions the agency is taking to maintain overall FtF square footage and reduce the related costs associated with real property.

**7. Area as required by OMB MPM 2015-01, Implementation of OMB Memorandum M-12-12 Section 3: Reduce the Footprint**

- a. Purpose. Report in the DOE Real Property Efficiency Plan the total inventory of building area where the predominant use of a building or trailer is “Office”, “Warehouse”, or “Other than Office or Warehouse” relative to its corresponding baseline. In FY 2017, the comparison baseline was set at the end of FY 2015. Report projected acquisition and disposal of building area by predominant use from 2017 thru 2022.
- b. Approach: The SRPO will tally the asset-level building area from the most recent and the baseline fiscal years for assets where:
- i. Property Type: Building or Trailer
  - ii. Status: All
  - iii. Ownership: DOE Owned, DOE Leased, GSA Owned, or GSA Leased
  - iv. Usage Codes: All
- c. Approach: The SRPO will tally the asset-level building area planned for disposal from the most recent fiscal year for assets where:
- i. Property Type: Building or Trailer
  - ii. Status: Shutdown, Undergoing Stabilization/Deactivation, Undergoing Decommissioning, Undergoing Disposition, In-Situ Closed, In-Situ Closed-Long Term Management
  - iii. Ownership: DOE Owned, DOE Leased, GSA Owned, or GSA Leased
  - iv. Usage Codes: All
  - v. Estimated Disposition Year: FY2017 thru FY2022
  - vi. Excess Indicator: Yes
- d. Approach: The SRPO will tally the asset-level building area planned for acquisition of assets where:
- i. Property Type: Building or Trailer

- ii. Ownership: DOE Owned, DOE Leased, GSA Owned, or GSA Leased
  - iii. Usage Codes: 101 (Office) and 400 series (Warehouse)
  - iv. Beneficial Occupancy Year: FY2018 thru FY2022
- e. Schedule: The SRPO will complete this analysis annually in March using ad-hoc data query from both the FIMS current inventory and from the Anticipated Acquisition Information Module.

## Appendix C

### *Federal Real Property Council Data Aggregation Procedures*

On behalf of the Federal Real Property Council, the General Services Administration Office of Government-wide Policy will automatically calculate the Condition Index for each real property asset.

#### **1. Condition Index**

- a. Approach: The GSA/OGP uses the following formula to calculate condition index:

$$\text{Condition Index (CI)} = \left[ 1 - \left( \frac{\text{Repair Needs}}{\text{Replacement Plant Value (RPV)}} \right) \right] \times 100$$

Note: An acceptable calculated value may be negative.

## Appendix D

### *Cost Inflation Factors*

When a site must generate an engineering cost estimate to correct deficiencies found in unique systems or components because the nationally recognized cost estimating system unit cost data is not available, document, approved program-specific cost estimating procedures. For fiscal years ending without a CAS, inflate engineering cost estimates to correct deficiencies in the backlog to FY 2017 dollars using the factors appearing in the table below:

<u>FROM YEAR</u> to 2017	<u>INFLATORS</u> <sup>24</sup>
2016	
2015	
2014	
2013	
2012	

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<sup>24</sup> Inflators derived from non-labor escalation rates provided on page xx of the FY 2018 CBR Budget Preparation Guidance.