



Department of Energy
Washington, DC 20585

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MEMORANDUM FOR DISTRIBUTION

FROM: CARMELO MELENDEZ 
DIRECTOR,
OFFICE OF ASSET MANAGEMENT AND
SENIOR REAL PROPERTY OFFICER

SUBJECT: Guidance for FY 2016 Facilities Information Management System Data
Validations

REFERENCE: (a) 41 CFR § 102-84.30
(b) Federal Real Property Council 2015 Guidance for Real Property
Inventory Reporting
(c) DOE Order 430.1b Real Property Asset Management

The Facilities Information Management System (FIMS) is the Department's official repository of real property data. The Department relies on the FIMS data for real property decision-making and accounting of its \$117 Billion in assets. Moreover, FIMS data is reported within the Department's financial statements and the General Services Administration's Federal Real Property Profile (FRPP). Therefore, maintaining accurate and credible data in FIMS is critical to efficient operations and resource planning.

Reference (a) requires the Department to certify the accuracy of the real property data submitted to the FRPP. Reference (b) requires the Department's Chief Financial Officer to certify the accuracy of the data being submitted to the FRPP. Reference (c) requires FIMS data be validated by site managers and contractors.

In order to ensure consistency in submission, along with timelines for same, please find attached for your use the "Fiscal Year 2016 FIMS Data Validation Guidance". Please follow this guidance when completing your Fiscal Year 2016 submissions of FIMS data. This annual memo also contains details on data points that will be validated and a list of the sites for the Office of Asset Management planned quality assurance visits.

Please provide a validation schedule to the Office of Asset Management by December 11, 2015. Validations need to take place at each site between January 15, 2016 and July 31, 2016. Please distribute this guidance to the appropriate elements of your organization.

If additional information is needed, please contact Mr. Adam Pugh at (202) 287-1397.



Attachment

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**FISCAL YEAR 2016
FACILITIES INFORMATION MANAGEMENT SYSTEM (FIMS)
DATA VALIDATION GUIDANCE**

This document provides an acceptable, but not mandatory, means for complying with the FIMS verification requirements of DOE Order 430.1B, *Real Property Asset Management*. Alternate methods that satisfy the requirements of the Order are also acceptable. However, alternate implementation methods if selected must be justified and should be discussed with the Office of Asset Management (OAM) prior to implementation to ensure the Department can meet its reporting commitments.

1. Summary of changes for FY 2016 validations

- a) **The following data elements, not previously validated, will be included in FY 2016 validation**
- Actual Sales Price (Archived Data)
 - Can't Currently Be Disposed
 - Usable Square Feet (DOE Leased, GSA Owned and GSA Leased)
 - Verify Usage Code and Status for all train bridges, vehicular bridges and culverts
- b) **Repair Needs and Size are now defined as a Performance Measures**
- c) **The following data elements will not be validated in FY 2016**
- Adjustment Cost – not scored
 - Initial Acquisition Cost – not scored
 - Hours Of Operation Per Week
 - Meters – Electricity
 - Meters – Gas Natural
 - Meters – Gas – Other
 - Meters - Coal
 - Meters – Fuel Oil
 - Meters – Steam
 - Meters – Water – Chilled
 - Meters – Water – Potable
 - Meters – Water – Non Potable, Fresh
 - Sustainability: Assessment Year
 - Sustainability: Guiding Principle Percentage
 - Sustainability: Planned Compliance Year
 - Year Acquired – not scored
 - Year Built – not scored

2. Background

- a) **Facilities Information Management System (FIMS):** FIMS is the Department's official repository of real property data.
- FIMS data is used in day-to-day decision-making and to measure the cumulative outcomes of real property decisions on the portfolio condition and utilization; this data supports the

key performance indices included in the Department's Asset Management Plan, Department's Strategic Plan, and Implementation Plan for Real Property Efficiency Plan.

- The quality of the decisions made from FIMS is a function of the accuracy of the underlying data.
 - The DOE Office of Asset Management (OAM or MA-50) is the administrator for FIMS.
- b) **Federal Real Property Profile (FRPP):** The Department's FIMS stores the real property asset data submitted annually to the Federal Real Property Profile (FRPP). 41 CFR § 102–84.30 requires that agencies verify the accuracy of each FRPP submission and 41 CFR § 102–84.55 requires annual submission of FRPP data.
- c) **Department of Energy Order 430.1B (RPAM):** RPAM requires FIMS data to be accurately populated and annually validated (paragraph 4.b.(8).a.3).

3. Purpose of the Guidance

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

4. Desired Outcome of the Validation Program

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

5. References and Supporting Information

- a) **FIMS Website:** <https://fimsweb.doe.gov/fimsinfo>
- b) **DOE Order 430.1B Real Property Asset Management (RPAM)**
<https://www.directives.doe.gov/directives/0430.1-BOrder-bc2/view>
- c) **DOE Order 436.1, Departmental Sustainability**
<https://www.directives.doe.gov/directives/0436.1-BOrder/view>

6. Applicability

- a) **This guidance is applicable to all Departmental real property holding programs and support offices.**
- This guidance identifies minimum FIMS data elements to be validated. Programs and support offices with real property holdings (programs) may elect to add additional reporting requirements or validate other data elements in addition to those identified in this guidance.

- Programs may elect to implement their validation programs through a centrally managed team in lieu of site delegation.

7. Requirement

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

8. Roles and Responsibilities

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

- Develop minimum criteria for validation.
- Establish validation process and associated training class.
- Make standard forms, supporting information and materials readily available.
- Provide overall management of the FIMS system.
- Perform quality assurance visits to review the FIMS data validation process at each site every five years to verify consistency and to ensure validations are conducted in accordance with this guidance. Coordinate site visits with Headquarters Program Offices and Sites. FY 2016 visits include:
 1. Ames Laboratory (SC)
 2. East Tennessee Technology Park (EM)
 3. Energy Technology Engineering Center (ETEC)
 4. Idaho Operations Office (NE)
 5. Los Alamos National Laboratory (NNSA)
 6. Strategic Petroleum Reserve Office (FE)
 7. Waste Isolation Pilot Plant (EM)
- When conducting quality assurance visits, OAM has the authority to correct the site's validation process if they observe deviations from the FIMS validation guidance.
- Perform quality assurance visits as requested by Programs to aid sites in developing an acceptable FIMS data validation program.
- Oversee implementation of the overall program and measure success of the FIMS Validation process.
- Monitor Corrective Action Plans and provide additional assistance to sites in "Red" Status until the data and processes are corrected to achieve a "Yellow" or "Green" Status.
- Upload FIMS data to the Federal Real Property Profile each year.

b) **Headquarters Program Office**

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

c) **Lead Program Secretarial Office (LPSO):** At multi-program sites, the LPSO is responsible for the accuracy of FIMS data at the site. The LPSO is responsible for planning, scheduling, coordinating and conducting the FIMS data validation for the entire site.

d) **Site Office**

- Verify M&O contractor is maintaining accurate FIMS records. If no M&O contractor is on site, it is the responsibility of the site to maintain accurate FIMS records and perform all other functions that the M&O contractor would accomplish with respect to FIMS and FIMS data validations.
- Perform quality control of validation efforts and if necessary, establish and track progress on the Corrective Action Plan.
- Report validation results to the Headquarters Program Office when validation is complete. Provide scorecard and supporting validation backup forms for sampled assets. Results should be reported within five business days to the Headquarters Program Office.
- Coordinate with the M&O contractor to schedule the annual validation and notify the Headquarters Program Office and OAM by November 30th of each year of the scheduled FIMS validation date(s).

- Schedule and notify the Headquarters Program Office of any required revalidation as a result of a “Red” score.
- Maintain validation scorecards and results for five fiscal years.

e) **M&O Contractor**

- Consistent with the implemented Contractor Requirements Document contained in DOE Order 430.1B Real Property Asset Management.
 - Maintain FIMS real property inventory system complete and current throughout the life cycle of the real property assets.
 - Staff and conduct FIMS validations.
 - Prepare the Corrective Action Plan and forward to the Site Office, the Headquarters Program Office and OAM.
 - Execute Corrective Action Plan to correct deficiencies in data and processes.
 - Conduct a revalidation as part of the Corrective Action Plan.
 - Facilitate quality control.
 - Provide assistance with site visit activities, including on site walkthroughs during the FIMS data validation.

9. Validation Process

- a) **Support Materials and Resources:** The most recent support materials which include training materials, Source Documentation Worksheet, Sample Size Chart and validation tools can be found on the [FIMS website](#).
- b) **Team**
- The validation team will include a designated team leader who has successfully completed the FIMS Data Validation training. FIMS Data Validation training will be conducted once a year. Contact OAM or visit the [FIMS website](#) for schedule and location of training.
 - The team includes at least one member familiar with the site’s FIMS record keeping (e.g., FIMS administrator).
 - To maintain the integrity of the process, the validation team will have at least two full time participants. Other members of the team may be rotated in and out as needed.

c) FIMS Data Elements and Assets to Validate

- DOE sites will validate the following FIMS records on four scorecards:
 - Scorecard 1
 - A random sample of DOE Owned buildings, trailers and OSF's.
 - Bridge Safety Inspection Verification.
 - Scorecard 2
 - All (100%) DOE Leased buildings, trailers and OSF's, and GSA leased and owned buildings.
 - Scorecard 3
 - DOE Land Records with ownership codes: DOE Owned (O), DOE Leased Land (D) and Withdrawn from Public Domain Land (W).
 - Sites with 25 or fewer land records will validate all land records. Sites with more than 25 land records will validate 25 land records from a random sample of their land records.
 - Scorecard 4
 - Archived records with an Archive Date between October 1, 2014 and September 30, 2015. Validate Disposition Date, Disposition Method, Actual Sales Price and Net Proceeds for these assets.
 - If 25 or fewer assets were disposed of during this period, validate all of the disposed assets. If more than 25 assets were disposed of during this period, do a random sample of 25 assets.
 - Administrative Corrections/No Disposal will not be validated.

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

| # | Data Element | DOE Owned B & T | DOE Owned OSF | DOE Leased B,T&S | GSA Owned & Leased Buildings | DOE Owned, DOE Leased, Withdrawn Land |
|----|--|-----------------|---------------|------------------|------------------------------|---------------------------------------|
| 1 | Ownership | X | X | X | X | X |
| 2 | Usage Code ^(A) | X | X | X | X | X |
| 3 | Property Type | X | X | X | X | X |
| 4 | Status ^(A) | X | X | X | X | X |
| 5 | Size - GSF (B&T), Primary Qty (S), Acreage (Land) | X | X | X | X | X |
| 6 | Usable Sqft | | | X | X | |
| 7 | Repair Needs^(A) | X | X | | | |
| 8 | Asset Percent Utilized^(A) | X | | X | X | |
| 9 | Replacement Plant Value (RPV)^(A) | X | X | X | | |
| 10 | Deferred Maintenance (DM)^(A) | X | X | | | |
| 11 | Annual Actual Maintenance*^(A) | X | X | X | X | |
| 12 | Mission Dependency ^(A) | X | X | X | X | X |
| 13 | Historic Designation | X | X | | | X |
| 14 | Using Organization ^(A) | X | X | X | X | X |
| 15 | Main Location | X | X | X | X | X |
| 16 | Location City | X | X | X | X | X |
| 17 | Location State | X | X | X | X | X |
| 18 | Location County | X | X | X | X | X |
| 19 | Location Zip Code | X | X | X | X | X |
| 20 | Location Congressional District | X | X | X | X | X |
| 21 | Excess Indicator ^(A) | X | X | | | X |
| 22 | Estimated Disposition Year ^(A) | X | X | X | | X |
| 23 | Total No of Federal Employees ^(A) | X | | X | X | |
| 24 | Total No of Contractor Employees ^(A) | X | | X | X | |
| 25 | Total No of Other Personnel ^(A) | X | | X | X | |
| 26 | Total No of Occupants ^(A) | X | | X | X | |
| 27 | Outgrant Indicator ^(A) | X | X | X | | X |
| 28 | Roads-Public Access Miles (Usage codes 1729,1739,1749) | | X | | | |
| 29 | Roads-Public Access Lane Miles (Usage codes 1729,1739,1749) | | X | | | |
| 30 | Inspection Date ^(A) | X | X | X | | |
| 31 | Annual Operating Cost (Site Level)^(A) | X | X | X | | |
| 32 | Determination Date For DOE Disposal ^(A) | X | X | | | |
| 33 | GSA Notification Submitted ^(A) | X | X | | | |
| 34 | GSA Notification Accepted ^(A) | X | X | | | |
| 35 | Can't Currently Be Disposed | X | X | | | X |
| 36 | Lease Expiration Date | | | X | X | X |
| 37 | Lease Annual Rent ^(A) | | | X | X | X |
| 38 | Lease Authority | | | X | | X |
| 39 | Disposition Date (Archived data) | X | X | X | X | X |
| 40 | Disposition Method (Archived data) | X | X | X | X | X |
| 41 | Actual Sales Price (Archived data) | X | X | X | X | X |
| 42 | Net Proceeds (Archived data) | X | X | X | X | X |

***Sites must have evidence of recording asset-level maintenance expenditures, typically through the site's Computerized Maintenance Management System required by DOE Order 430.1B. See the current guidance on Real Property Data Related to Operations and Maintenance.**

^(A) Designates data elements that must have source documents updated annually

- Bridge Safety Inspection verification includes the following.

| | | |
|---------------------|------------|--------|
| Inspection Date | Usage Code | Status |
| Location – Zip Code | Year Built | |

d) Source Data

- In general, source documentation is authoritative data that the FIMS administrator would use to enter or update data in FIMS. Source data must have an owner, be managed, dated, and updated at appropriate intervals.
- Site processes/procedures for collecting source data should be documented and available for the validation to review during the scheduled validation.
- Subject Matter Expert: The individual who is responsible for collecting, managing and updating real property data for a particular FIMS data element.
- The Source Documentation Worksheet, found on the [FIMS website](#) provides criteria for acceptable source data for each data element.
- Source data for Bridge Safety Inspection is expected to be updated with the same frequency as the required inspection. Bridge safety inspection frequency is as follows.
 - Controlled and publicly accessible train bridges – One inspection per calendar year, with not more than 540 days between successive inspections.
 - Publicly accessible vehicular bridges - Regular intervals not to exceed 24 months. Ensure the level of bridge safety inspection is commensurate with the operational (FIMS) Status of the bridge.
- If a FIMS value is zero, the source document must reflect a zero value. Lack of a source document for a zero or ‘No’ value will cause a variance for that data element.
- Inspection Dates beyond five years (more than 1,826 days) for an asset on the date of the validation will result in a variance not only for the Inspection Date but also for Repair Needs and Deferred Maintenance.
- Downloading or printing FIMS data with multiple signatures on a single source document representing that the FIMS data is valid, is not acceptable source documentation.
- If there is no historic source documentation for a particular data element, and it can’t be generated elsewhere, as a last resort, it is acceptable to develop a table from data currently in FIMS for that particular data element, have the Site’s Subject Matter Expert (SME) review the data, make needed corrections, and sign and date the table indicating that he/she certifies the data is accurate. The table can only contain data for one SME and the SME must personally review and certify the data as correct. This can be accomplished by signing and dating the table or by sending an email with the table/spreadsheet attached.

- This procedure cannot be used for the following data elements: Size, Asset Percent Utilized, Replacement Plant Value, Deferred Maintenance, Annual Operating Costs, Annual Actual Maintenance, Repair Needs, Inspection Date and Bridge Safety Inspection.
- e) **Validation Steps:** Validation is a process for assuring the accuracy of FIMS data by comparing FIMS data against its source data.
 - **Prepare for the Validation:** Complete the Source Documentation Worksheet, at least one week prior to the scheduled FIMS data validation, and have that available for the validation team. It can be downloaded from the [FIMS website](#).
 - **Determine Sample Size:** Use the Sample Size Chart from the [FIMS website](#) to identify the number of buildings, trailers and OSF's to include in the DOE Owned random sample set. These numbers are based on providing a 90% confidence level that the sample taken will reflect the entire FIMS data base for the data elements validated.
 - **Generate the DOE Owned Validation Form:** [Report #069](#) Random Asset Generator generates the DOE Owned Data Validation Reporting Form for a random sample of DOE Owned buildings, trailers and OSF's. The random sample will not be generated before the kick-off meeting. At multi-program sites, the random sample will be pulled from all assets regardless of Program ownership. This report will also generate the controlled and publicly accessible train bridge and publically accessible vehicle bridge assets for the bridge safety inspection portion of the validation.
 - **Select Outliers (optional):** Use the FIMS ad-hoc reporting tool to identify outliers that should be included in the sample set. Suggested areas of focus might include those buildings with a high RPV, Repair Needs, Deferred Maintenance or Gross Square footage. Once outliers have been identified, [Report #070](#) FRPC Element Report, can be used to generate the record(s) to copy to the DOE Owned Data Validation Reporting Form.
 - **Generate the DOE Leased and GSA Validation Form:** [Report #069a](#) DOE Leased and GSA Assets generates the DOE Leased and GSA Data Validation Reporting Form for DOE Leased, GSA Owned and GSA Leased assets.
 - **Generate the DOE Land Validation Form:** [Report #069b](#) Land generates the DOE Land Data Validation Reporting Form for land records to be validated.
 - **Generate the DOE Archived/Disposed Validation Form:** [Report #069c](#) Archived/Disposed generates the DOE Disposition Validation Reporting Form for archived records to be validated.
 - **Compare FIMS Data with Source Data:** For each real property asset being validated, compare the sites' source data to the extracted FIMS data on the Data Validation Reporting Forms.
 - **Walkthroughs:** To cross check source data and FIMS data against the actual asset a facility visit is required. This is not a detailed facility inspection, but an overview to verify that the actual conditions of the real property asset are consistent with source data

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

- Conduct a walkthrough of approximately 30%, of the building, trailer and OSF validated (e.g. for a sample size of 25, walkthrough five to seven buildings, trailers or OSF's).
- Drive by as many of the remaining validated assets as practical.
- Drive by every train bridge, vehicle bridge, and culvert to verify Usage Code and Status.
- Drive by all of the previous location of the disposed assets that are being validated to confirm they are no longer on the site.
- To help confirm that all existing real property assets are recorded in FIMS, conduct an existing asset check. During the walkthroughs, record 10 Property ID's (five buildings/trailers and 5 OSF's) of assets not currently being validated. Following the walkthroughs, confirm that each noted assets is in the FIMS database.

f) **Data Correction during Validation:** Discrepancies discovered during the validation may be corrected during the scheduled validation period to improve the score. **IMPORTANT:** To improve the score for a particular data element, all records for the site for that particular data element must be reviewed and corrected. Only reviewing and correcting the validated assets is not sufficient to improve the score for the data element.

10. Preparing Scorecards

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

| Score | Green | Yellow | Red |
|---------------------|---|--|--|
| Data Element | No more than a 5% frequency of variance | Greater than 5% but no more than 10% frequency of variance | Greater than 10% frequency of variance |

b) **Status Score:** This score is generated as a result of the compilation of data element scoring based on the frequency of variance within each of the data elements as indicated below.

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

| FIMS Scorecard Status Score | Performance Measures * | Remainder of Validated Data Elements | Notes |
|------------------------------------|---|--|--|
| Green | All Performance Measures are Green | No more than two of the remaining data elements are yellow | Preferred level of data quality |
| Yellow | One or more Performance Measures are Yellow | No more than one of the remaining data elements are Red | Minimal acceptable level of data quality |
| Red | Any one Performance Measure is Red | More than one of the remaining data elements are Red | Unacceptable data quality |

c) **Progress Score:** This rating of “Green”, “Yellow” or “Red” is developed based on the site’s efforts to improve FIMS data since its last validation.

- If a Corrective Action Plan is required based on a “Red” score, the Progress score is based on the management of the Corrective Action Plan and demonstrated improvement in the data since the last validation. Progress scoring is identified below.

| FIMS Scorecard Progress Score | Improvement of Data | Goals of the Corrective Action Plan | Notes |
|--------------------------------------|--|---|---|
| Green | Status is Green or significant improvement since last validation | Goals established are being met or no plan needed | If the Status is “Green” or “Yellow”, no corrective action plan is required and progress is typically “Green” |
| Yellow | Some improvement in data quality since last validation | Progress is slipping | |
| Red | Minimal improvement in data quality since last validation | Goals for improvement are not being met | |

d) **Scoring Bridge Safety Inspection Verification**

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

e) **Scoring Existing Asset Check**

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

11. Record Keeping and Scorecard Submittal

- a) **Records:** Site offices will maintain validation documentation (validation forms, scorecards, corrective action plans, etc.) for at least five fiscal years.
- Documentation is necessary to simplify quality assurance, spot trends and identify areas for improvement.
 - Maintaining validation documentation for five fiscal years aligns with quality assurance goals and inspection periods identified in DOE Order 430.1B and the [Department's Disposition Schedule](#).
- b) **Scorecards**
- Sites will provide all validation forms which include the scorecards to their Headquarters Program Offices consistent with guidance and timeframes noted previously in Section 8 – Roles and Responsibilities.
 - Programs will forward all validation forms which include the scorecards to OAM when each site completes its FIMS validation or required revalidation.

12. Corrective Action Plan (CAP)

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