



DEFENSE LOGISTICS AGENCY
HEADQUARTERS
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IN REPLY
REFER TO

DLMSO

April 08, 2010

MEMORANDUM FOR SUPPLY PROCESS REVIEW COMMITTEE MEMBERS

SUBJECT: Approved Defense Logistics Management System (DLMS) Change (ADC) 362, Revised DLMS Supplement (DS) 856, Advance Shipment Notice/Receiving Report (ASN/RR): Void, Replace, Change, and Contract Number Type (Wide Area Work Flow/Contract Administration/Supply Interface) (Staffed as PDC 359)

The attached change to DOD 4000.25-M, DLMS, is approved for implementation. The updated DLMS Supplement will be posted to the Defense Logistics Management Standards Office (DLMSO) Web site <http://www.dla.mil/j-6/dlms0/elibrary/TransFormats/formats.asp> within **10** days from the above date for implementation planning.

Addressees may direct questions to the DLMSO point of contact, Ms. Ellen Hilert, Chair, Supply Process Review Committee, 703-767-0676, DSN 427-0676, or e-mail: ellen.hilert@dla.mil. Others must contact their Component designated Supply Process Review Committee representative.

A handwritten signature in black ink, appearing to read "Donald C. Pipp", with a stylized flourish at the end.

DONALD C. PIPP
Director
Defense Logistics Management
Standards Office

Attachment

cc:
DUSD(L&MR)SCI

ADC 362

Revised DS 856, ASN/RR: Void, Replace, Change, and Contract Number Type

1. ORIGINATOR:

a. **Service/Agency:** Business Transformation Agency (BTA), 703-601-3907, and Defense Contract Management Agency (DCMA), 703.428.0539,

b. **Originator:** Business Transformation Agency (BTA)

2. **FUNCTIONAL AREA:** Primary: Supply/Logistics.

3. REFERENCES:

4. REQUESTED CHANGE:

a. **Description of Change:** This change documents Wide Area Workflow (WAWF) enhancements to the vendor submission of the Advance Shipment Notice (ASN) using the DLMS 856 transaction. These changes are based upon three Engineering Change Proposals (ECPs) approved by the WAWF Operational Requirements Committee (ORC) and Joint Requirements Board (JRB) for WAWF Release 4.2. Updates subsequent to staffing are highlighted in yellow. Refer to Enclosure 3 for Proposed DLMS Change (PDC) Comment Resolution.

b. **ECP 0547: Vendor Electronic Void and Replacement of a Transaction in a Submitted or Rejected Status**

(1) This update will provide the capability for a document originator to void an existing transaction via EDI and replace it with a new transaction via EDI. This change would eliminate the manual step of vendors logging into WAWF to void a document in a voidable status via the Web interface in order to submit a new version of the document. A reduction in logins would reduce WAWF system resource contention and save considerable time for the vendor. For additional information regarding this process, refer to DCMA guidance at:

<https://home.dema.mil/mocas/wawf42.cfm> (WAWF Electronic Receiving Report Changes).

(2) Cross-reference to technical WAWF requirements:

VOID_0021 – The system will permit the document to be voided via an EDI transaction.

ReSub_0017 – The system will permit a document to be resubmitted via an EDI transaction in conjunction with an EDI void

(3) Revise 4010 856, Advance Shipment Notice (ASN) as follows:

Item #	Location	Revision 4010 856, Advance Shipment Notice (ASN)	Reason
1.	DLMS Introductory notes	<u>Added ADC 362 to DLMS Introductory Note 7:</u> - <i>ADC 362, Revised DLMS Supplement (DS) 856, Advance Shipment Notice/Receiving Report (ASN/RR): Void, Replace, Change, and Contract Number Type (Wide Area Work Flow/Contract Administration/Supply Interface)</i>	Identifies DLMS Changes included in the DLMS Supplement
2.	1/BSN01/020	<u>Add the following Federal note and revise DLMS note for qualifier “01”:</u> 01 Cancellation Federal Note: <i>For WAWF, use to indicate a “Void Only” submission.</i> DLMS Note: <i>Use to cancel a previously transmitted ASN. Restricted use during DCMA pilot. Applicable to source inspection and acceptance, DCMA administered and MOCAS paid, where documents have been signed in WAWF by the inspector.</i>	Vendors will be able to indicate a Void only submission.
3.	1/BSN01/020	<u>Add new qualifier “05- Replace” and the following Federal note:</u> 05 Replace Federal Note: <i>For WAWF, use to indicate a “Void and Create” to void a previously submitted ASN/Receiving Report (RR) and concurrently create a new one.</i> DLMS Note: <i>Restricted use during DCMA pilot. Applicable to source inspection and acceptance, DCMA administered and MOCAS paid, where documents have been signed in WAWF by the inspector.</i>	Vendors will be able to void and create a new ASN/receiving report with a single action.

c. ECP 0573: Corrected Receiving Reports to MOCAS:

(1) This update will allow MOCAS-paid vendors to do electronic corrections to previously signed Source Accepted Receiving Reports. Such corrections must currently be done using paper transactions.

(2) Cross-reference to technical WAWF Requirement: The proposed functionality applies to Source Accepted, DCMA administered, MOCAS-paid WAWF Receiving Reports in a “Processed” status that have been signed in WAWF by the inspector and made available to the vendor by DCMA for correction. It provides the capability for the vendor to electronically submit a correction to the WAWF Receiving Report. For additional information regarding this process, refer to DCMA guidance at: <https://home.dcmamil/mocas/wawf42.cfm> (WAWF Electronic Receiving Report Changes).

CRR_0016 – The system will permit a properly authenticated user with a role of “Vendor” to update a corrected Receiving Report.

CRR_0311 – The system will permit the update of a Corrected Receiving Report via an EDI transaction.

Item #	Location	Revision 4010 856, Advance Shipment Notice (ASN)	Reason
1.	1/BSN01/020	<u>Add the following Federal Note 2 for existing qualifier “CO”:</u> CO Corrected Federal note: 1. Use only after receiving an acknowledgment of receipt for a previously transmitted Shipment Notice. When used, the entire Shipment Notice will be transmitted. 2. For WAWF, use to indicate a corrected ASN/RR submission.	For WAWF, vendors will be able to indicate a Corrected Receiving Report submission.

Item #	Location	Revision 4010 856, Advance Shipment Notice (ASN)	Reason
2	2/REF01/150	<p><u>Add new qualifier “P1- Previous Contract Number” and the following Federal note:</u></p> <p>P1 Previous Contract Number Federal Note: For WAWF, use to indicate a contract is being corrected. The vendor will enter the Contract Number of the immediately preceding Corrected Receiving Report or Receiving Report, to which this correction applies.</p> <p><u>Add new qualifier code “DO-Delivery Order Number” and the following Federal note:</u></p> <p>DO Delivery Order Number Federal Note: For WAWF, use to indicate a delivery order is being corrected. The vendor will enter the Delivery Order Number of the immediately preceding Corrected Receiving Report or Receiving Report, to which this correction applies.</p>	<p>For WAWF, the submission of P1 in REF01 will indicate that the entry in REF02 is the contract number of the immediately preceding Corrected Receiving Report or Receiving Report, to which this correction applies.</p> <p>For WAWF: REF Segment, Pos. 150, – Added codes “DO”, “P1”, to the list of allowable codes for REF01 where HL03 = ‘S’. P1 is to report Previous Contract Number; DO is to report Delivery Order Number.</p> <p>In order to make a correction, the original MOCAS-paid Receiving Report must be in a ‘Correction Required’ status.</p> <p>For Corrected Receiving Reports, the following ‘key lookup data’ must be included to locate the document in the database:</p> <p>Contract Number of the immediately preceding Corrected Receiving Report or Receiving Report, to which this correction applies (REF Segment, Pos. 150).</p> <p>Delivery Order Number of the immediately preceding Corrected Receiving Report or Receiving Report, to which this correction applies (REF Segment, Pos. 150).</p>

d. ECP 0528: Contract Number Type Identification and Government Document Identifier

(1) This change will provide a mechanism whereby the Contract Number on WAWF documents as listed below is identified as to the Type of Contract Number. It also provides a an optional field for a Government Micro-Purchase Document Reference.

- Receiving Report
- Micro-Purchase Receiving Report
- Repairables Receiving Report

Property Transfer
Corrected Receiving Report

(2) Cross-reference to technical WAWF Requirement:

RR_0688 – When a User with the role of “Vendor” is creating a Receiving Report, the system will permit entry of a Contract Number Type.

PTD_0002 - When a user with the role of “Contractor Property Shipper” is creating a Property Transfer Document, the system will permit entry of the Gaining Contract Number Type.

PTD_0034 - When a user with the role of “Contractor Property Shipper” is creating a Property Transfer Document, the system will permit entry of the Losing Contract Number Type.

RRR_0740 - When a user with the role of “Vendor” is creating a Repairables Receiving Report, the system will permit entry of the Gaining Contract Number Type.

RRR_1230 - When a user with the role of “Vendor” is creating a Repairables Receiving Report, the system will permit entry of the Contract Number Type.

Item #	Location	Revision 4010 856, Advance Shipment Notice (ASN)	Reason
1.	2/REF01/150	<p><u>Add new qualifier “DD-Document Identification Code” and the following Notes:</u></p> <p>DD Document Identification Code Federal Note: <i>Use to identify the Government Micro-Purchase Reference.</i> DLMS Note: <i>Use by the Government submitter to provide a value associated with a micro-purchase where no procurement document number is otherwise assigned.</i></p>	<p>Government Micro-Purchase Reference may not be greater than 20 alphanumeric characters.</p> <p>Staffing note: the original recommended name for this element was Government Document Identifier. DLMSO has revised the name to better match the usage.</p>

Item #	Location	Revision 4010 856, Advance Shipment Notice (ASN)	Reason
2.	2/REF01/150	<p>Add new Federal Note 2 to existing code “KL”:</p> <p>KL Contract Reference</p> <p>Federal note:</p> <p>1. For a Contract Data Requirements List data item, use to indicate the reference in the contract that generates the requirement for the data item, e.g., Statement of Work paragraph.</p> <p>2. <i>For WAWF, use to indicate a Contract Number Type. Cite the applicable code in REF02.</i></p> <p><i>A - Cooperative Agreement</i></p> <p><i>B - DoD Contract (FAR)</i></p> <p><i>C - DoD Contract (Non-FAR)</i></p> <p><i>D - Grant</i></p> <p><i>E - Intragovernmental</i></p> <p><i>F - Intergovernmental</i></p> <p><i>G - International Agreement</i></p> <p><i>I - Non-DoD Contract (FAR)</i></p> <p><i>J - Non-DoD Contract (Non-FAR)</i></p> <p><i>K - Other Agreement</i></p>	<p>For WAWF, there will be a new field called Contract Number Type that Vendors will enter via the Web, EDI and FTP to permit entry of a Contract Number Type.</p> <p>The field may also be populated by inspectors, acceptors.</p> <p>Where the Contract Number Type is “DoD Contract (FAR),” the system will reject the document as invalid if one of the following conditions is not met: (1) The Contract Number is 13 positions in length and the Delivery Order Number is blank (empty-no entry); (2) The Contract Number is 13 positions in length and the Delivery Order Number is 4 positions in length; (3) The Delivery Order Number is 13 positions in length; or (4) The Delivery Order Number is 17 positions in length.</p> <p>Staffing Note: Code H, Micropurchase, was removed for the code set by WAWF representatives prior to staffing.</p>

e. The following changes were requested to meet the existing WAWF and Global Exchange (GEX) usage. These changes are not associated with the current WAWF release, but are pre-existing although not previously documented.

Item	Location	Revision 4010 856, Advance Shipment Notice (ASN)	Reason
1.	1/HL03/010	<p>Add new qualifier code of “E- Transportation Equipment”:</p> <p>E Transportation Equipment</p> <p>Federal Note: <i>For WAWF, used to identify a loop containing embedded UII information.</i></p>	See Enclosure 1.

Item	Location	Revision 4010 856, Advance Shipment Notice (ASN)	Reason
2.	2/REF01/150	<u>Add new qualifier code “AX-Government Account Class Reference Number (ACRN)” to Federal IC:</u> AX Government Accounting Class Reference Number (ACRN)	Administrative update adds missing qualifier to Federal IC.
3.	2/REF04-01/150	<u>Mark DE “Used and add new qualifier code “6O-Cross Reference Number” with the following Federal note:</u> 6O Cross Reference Number Federal Note: <i>For WAWF, use to identify the parent UII. This is required to associate the identified embedded UII with its parent UII. Applicable only to vendor submission and not used for WAWF outbound interface.</i>	<p>See Enclosure 2. This is required for the vendor submission only and the appropriate hierarchical relationship is handled in the standard HL looping structure for WAWF outgoing transactions.</p> <p>Staffing Note: This element is being added to the Federal IC, but is not used in DLMS and will not appear in the DLMS Supplement.</p>

5. REASON FOR CHANGE: The change will support WAWF requirements.

6. ADVANTAGES AND DISADVANTAGES:

a. Advantages: Submitting a correction transaction from a vendor’s business application assures vendors that the data accepted in WAWF exactly matches their business application, which they rely on for many uses, including invoicing and shipping.

b. Disadvantages: None identified.

7. IMPACT:

a. Federal IC and DLMS Supplement 4010 856, Advance Shipment Notice (ASN).

b. Vendors and Components interfacing with WAWF.

c. Implementation Schedule: Support Release 4.2, March 2010.

d. DLMS Data Content: This change adds the following new/ revised DLMS Data Elements:

- **Two additional values are added to Transaction Set Purpose Code for WAWF 856 ASN**
 - **Void.** Used in WAWF to designate that the vendor is voiding a previously submitted ASN/Receiving Report (RR)
 - **Void and Create.** Used in WAWF to designate that the vendor is voiding a previously submitted ASN/Receiving Report (RR) and concurrently creating a new (replacement) ASN/RR.
- **Corrected Contract Number Cross-Reference.** Used in WAWF for the vendor to

identify the value of the Contract Number to which a correction applies. Applicable when the contract number itself is being corrected on the new submission.

- **Corrected Delivery Order Cross-Reference.** Used in WAWF for the vendor to identify the value of the Delivery Order Number to which a correction applies. Applicable when the Delivery Order Number itself is being corrected on the new submission.
- **Contract Number Type.** Used in WAWF to identify the type of contract or other source document to which the WAWF RR or Property Transfer applies. See code set above.
- **Government Micro-Purchase Reference.** Use in WAWF by the Government submitter to provide a value associated with a micro-purchase where no procurement document number is otherwise assigned.

Enclosure 1, Detailed Reason for Adding New qualifier “E – Transportation Equipment”

In order to translate the WAWF UDF to X12, WAWF developers added the HL03 = E loop.

For embedded UID data, WAWF extracts a REF^EMBEDDED^START, then the embedded data, followed by the REF^EMBEDDED^END. (See example below)

```
...
HL^5^3^D^0
SLN^1^0^1^EA^K^F^UID2^MF^FU4417^MG^PARTNUM01^XZ^LD^BZ^N
REF^U3^SERNUM001^LDFU4417PARTNUM01SERNUM001
REF^EMBEDDED^START
HL^6^5^F^0
SLN^1^0^1^EA^K^F^UID1^MF^FU4417^XZ^LD^BZ^Y^PQ^N
PID^F^IUID DESCRIPTION GOES HERE
REF^U3^SERNUM001^LDFU4417SERNUM001
REF^EMBEDDED^END
HL^7^3^D^0
SLN^1^0^1^EA^K^F^ESN^MF^FU4417^MG^PARTNUM01^XZ^LD^BZ^N
...
```

GEX accounts for this data by spawning another HL loop, HL03 = E, followed by a HL03 = F embedded data loop.

Enclosure 2, Detailed Reason for Adding New qualifier “60 – Cross Reference Number”

The problem with using the HL loops to make the association is that it we need to know which specific UID within the HL03=D loop the embedded UID (in the HL03=F loop) belongs to. Using the identifier in HL01 doesn't achieve that; it only tells us which UID Header the Embedded UID is associated with. Additionally, each of the Embedded UID's within the HL03=F loop may belong to a different UID within the HL03=D loop.

Refer to the UID D064810001 example below, to see that it has one embedded UID (D06481E001).

```
HL^3^2^I^1
LIN^0001^B8^0001
SN1^^9^EA
SLN^1^^0^^200
PID^F^^^^Bottled Water
LM^DF
HL^4^3^D^0
SLN^1^^0^1^^^^KF^UID1^MF^06481^MG^0001^XZ^D^B8^BATCH/LOT^VU^12345^DS^D^BZ^Y
REF^U3^0001^D064810001^60:1
REF^U3^0002^D064810002^60:2
REF^U3^0003^D064810003^60:3
REF^U3^0004^D064810004^60:4
REF^U3^0005^D064810005^60:5
HL^5^3^J^0
SLN^^^^1000^^MG^0001
DTM^007^20080320
HL^6^3^F^0
SLN^1^^0^1^^^^KF^UID1^MF^06481^MG^0001^XZ^D^B8^BATCH/LOT^VU^67890^DS^D^BZ^Y
REF^U3^E001^D06481E001^60:1
REF^U3^E002^D06481E002^60:2
REF^U3^E003^D06481E003^60:3
REF^U3^E004^D06481E004^60:4
REF^U3^E005^D06481E005^60:5
```

Now, if you remove the composite fields in REF04, you have no way of knowing which UID the embedded UIDs belong to. The HL02 value for the Embedded UIDs is 3, which tells us that these Embedded UIDs belong to the Parent UIDs in the HL01=4 loop, but we do not know which UID in that loop they belong to.

```
HL^3^2^I^1
LIN^0001^B8^0001
SN1^^9^EA
SLN^1^^0^^200
PID^F^^^^Bottled Water
LM^DF
HL^4^3^D^0
SLN^1^^0^1^^^^KF^UID1^MF^06481^MG^0001^XZ^D^B8^BATCH/LOT^VU^12345^DS^D^BZ^Y
REF^U3^0001^D064810001
REF^U3^0002^D064810002
REF^U3^0003^D064810003
REF^U3^0004^D064810004
REF^U3^0005^D064810005
```

HL^5^3^J^0
SLN^^^^^^1000^^^MG^0001
DTM^007^20080320
HL^6^3^F^0
SLN^1^^0^1^^^^^KF^UID1^MF^06481^MG^0001^XZ^D^B8^BATCH/LOT^VU^67890^DS^D^BZ^Y
REF^U3^E001^D06481E001
REF^U3^E002^D06481E002
REF^U3^E003^D06481E003
REF^U3^E004^D06481E004
REF^U3^E005^D06481E005

Enclosure 3, PDC Comment Resolution

#	Submitter	Comments	Resolution
1.	WAWF Contractor Support (Northrop Grumman Corporation (NGC) Team)	The NGC Team supporting WAWF has reviewed and believes these changes are consistent with the current WAWF requirements. We understand similar changes to the 857 will be made via an administrative change as part of this process and concur with that change	None required. Comparable changes to the 857 (external to DoD) will be published shortly.
2.	DLA	<p>In response to internal DLA concerns, the DLA WAWF lead provided the following clarification:</p> <p>This PDC is in support of some WAWF changes requested by the DCMA. It only applies to DCMA administered and paid contracts.</p> <p>The issue that the DCMA folks are trying to fix is that their system (MOCAS) hasn't been able to handle a corrected receiving report (ASN/ 856). For example, if a vendor submits an 856 with an error, the vendor must print a hard copy of the receiving report and write 'corrected' on the copy and fax it to the DCMA so that someone can manually enter the data into the MOCAS system. Today if the vendor were to resubmit their corrected Receiving Report/856 via WAWF, the MOCAS system would drop it as a duplicate.</p> <p>DCMA has been very careful to keep the scope of their request small. This has been a very difficult change for them due to the limitations of the MOCAS system.</p> <p>If the Source/Source (S/S) contract is a DLA issued contract and DCMA administered and paid, DCMA will get the vendor's 856 via WAWF. EBS would not get a copy of the vendor's 856 (only could receive this if DLA were using the WAWF "standards" interface) so there should be no confusion with DLA Enterprise Business System (EBS) receiving a corrected 856 (which EBS cannot process).</p> <p>DCMA will send EBS the MILSCAP PK9 Contract Completion Statement transaction to let the PCO know that the vendor has met the contract requirements and they can close out the contract. The PK9 is equal to an EDI 567.</p> <p>DCMA chose to limit the corrections to a small segment of transactions (S/S, DCMA administered/paid) for their pilot.</p> <p>Below is the link to DCMA website - if you open and select receiving reports you will find a nice briefing that explains the changes and provides screen shots for the DCMA folks... https://home.dcmamil/mocas/wawf42.cfm</p>	Updated ADC to insert reference to additional guidance available on the DCMA website.
3.	Navy	Navy concurs as written and submits no additional changes.	None required
4.	Air Force	Air Force concurs as written and submits no additional changes.	None required

