

C3. CHAPTER 3 – CHANGE MANAGEMENT

C3.1. GENERAL INFORMATION.

C3.1.1. Guidelines Description. This chapter describes the guidelines for maintaining the Defense Logistics Management Standards (DLMS), DLMS Implementation Conventions (IC), and procedures. The change management process ensures the proper documentation of all proposed or approved changes to the DLMS. These guidelines also apply to the legacy 80 record position based systems changes (hereafter referred to as “legacy systems or formats”) and changes employing Electronic Business (EB) methods other than Electronic Data Interchange (EDI) that are chosen by DoD Components for use within their logistics business processes and systems. The DLMS will support emerging EB technologies such as data sharing, automatic identification technology, electronic malls, web-based technology, electronic funds transfer, etc.

C3.1.2. Structured Collaboration Model. The DLMS change management process uses a structured collaboration model as a managed transformation process. On the input side, the Proposed DLMS Change (PDC) process factors in relevant DoD level policy guidance, DoD Component business requirements, relevant subject matter experts and Services Defense Automatic Addressing System (DAAS) subject matter and technical expertise. The output side of the structured collaboration model, the Approved DLMS Change (ADC) provides new or revised business rules, business objects, metadata, and functional requirements to guide Component implementation of the ADC.

C3.2. MAINTAINING DLMS IMPLEMENTATION CONVENTIONS. The Defense Enterprise Data Standards Office (DEDSO) coordinates the implementation of the DLMS and maintains control of related standards, DLMS ICs, procedures, and common support packages (e.g., versions of the American National Standards Institute, Accredited Standards Committee (ANSI ASC) X12 standards, extensible markup language (XML) based standards), participates in the standards-setting process, and ensures compliance with approved EDI standards. A DLMS IC is a composite guideline that documents a specific business interpretation of an ASC X12 transaction set standard. The DLMS IC defines the structure, content, and DLMS business rules for a specific business interpretation; it maps application data requirements into specific data fields within the X12 transaction set and establishes parameters for its business usage.

C3.2.1. Change Management.

C3.2.1.1. Scope. DLMS change management is the approval/disapproval and prioritization of changes to DLMS, achieved through DoD Component coordination and consensus, thereby promoting an integrated approach to standardization and modernization of DoD logistics business processes. Control of changes includes documentation, justification, systematic evaluation, coordination, release, implementation, and publication.

C3.2.1.2. Purpose. The change management process ensures that those involved in the change process define and evaluate the full impact of a change based on at least the following considerations before making a decision to approve and implement the change:

C3.2.1.2.1. Functional requirements

C3.2.1.2.2. Change justification

C3.2.1.2.3. Quality assurance

C3.2.1.2.4. Operational readiness

C3.2.1.2.5. Systems interfaces

C3.2.1.2.6. Technical reviews

C3.2.1.2.7. Estimated impact on total life-cycle costs

C3.2.2. Reporting Requirements.

C3.2.2.1. Status Reports. DoDM 4140.01, “DoD Supply Chain Materiel Management Procedures: Volume 1, Operational Requirements,” December 13, 2018 directs DoD Components to provide the DLMS PRC Chair with the implementation status of approved changes. Report Control Symbol (RCS) DD-A&S(AR)1419 applies for this requirement. Begin reporting the first period following publication of the approved DLMS change. Stop reporting after identifying the approved change when the change is fully implemented. Cite the DoD Component or participating external organization implementing publication(s) and change number(s), and identify the operating system or subsystem involved. Provide a copy of the publication change to the DLMS PRC Chair. Send reports to the DLMS PRC Chair.

C3.2.2.2. Status Reviews. DEDSO will maintain status of DLMS changes. The report will show the title and change number, associated dates, and current status for each DoD Component. The status review is updated continuously and is available from the DEDSO Process Changes web page.

C3.3. DLMS VERSION CONTROL.

C3.3.1. Version Numbering. The official ANSI ASC X12 version of a standard transaction set (e.g., 511) is a key ingredient in the successful application of DLMS ICs. The version number is transmitted as a code in the functional group header within an interchange envelope. The version is transmitted as a three-position code. Each major ANSI ASC X12 standards revision involving the public review process that leads to a publication of a set of American National Standards causes the version number to increase by one. The predominate DLMS version is 004. The next three positions designate the release level within each version, (e.g., 010). The release number of each version is identified in the second position of the release level. The initial ASC X12 release is release one (010). The predominant DLMS releases are 010 and 030. Both version and release numbers are commonly referred to as a version/release, e.g., ANSI ASC X12 version/release 004010 (“4010”).

C3.3.2. Multiple DLMS Versions. DLMS may support multiple ICs based on different versions/releases of the X12 standard dependent upon trading partner requirements. In addition, DLMS may support multiple standards of DLMS ICs within each ANSI ASC X12 version/release. Currently some transactions such as the DLMS 947I support multiple standards; the newer (004030) version/release is used for new implementations, while enabling existing implementations to remain at an older version/release (004010), until they can be modified to the newer version/release. Older version/release DLMS ICs may not have all the functionality of the newer one, so Component AIS should plan to modernize to the newer version release (4030). Once all Component AIS have been modernized to the newer version release, DEDSO will cancel the old DLMS IC via a formally staffed DLMS change.

C3.4. DLMS CHANGE PROCESS.

C3.4.1. New and Revised Requirements. A new requirement, design modification, system deficiency, change in DoD logistics policy, information exchange, or an operational emergency can all trigger a PDC. Examples of significant changes include those that create substantial life cycle cost savings, correct deficiencies, or make significant effectiveness change(s) in operational or logistics support requirements. Proposal submission requires inclusion of detailed procedures, and the text of revisions for the Defense Logistics Manual (DLM) 4000.25 series of manuals. Other changes include, but are not limited to: revisions to formats, codes, procedures; or changes requiring interface with other systems, retail level systems, or Federal Agencies. For all DLMS changes, two key elements are defining the problem, process gap or process improvement desired, and socializing the proposed change within the Component subject matter experts and putting forward a recommendation from a set of alternative solutions.¹ To aid in ensuring the successful and timely processing of a PDC, the submitter should accomplish the following actions prior to its formal submission:

C3.4.1.1. Issue Identification. Determine the problem, process gap, or process improvement that is desired. The clear and complete articulation of the problem, process gap, or process improvement (including available problem examples and/or illustrative data) aids in the understanding by all parties involved. It also aids in the formulation of solution alternatives, preliminary internal Component socialization, and will be essential in the preparation of the draft PDC.

C3.4.1.2. Socialization within the Component. Coordinate with subject matter experts on the issue and postulate alternative solutions. A thorough preliminary vetting of the problem statement and alternatives by the Component subject matter experts provides an internal validation of the problem statement, ensures that all viable alternatives have been developed and that there are no unforeseen/undocumented detrimental impacts to other processes and process owners.

¹ DLMS Training slides Module 6.

C3.4.1.3. Initial heads-up: contact with Component PRC representative and DLMS PRC chairperson. Early contact with the Component PRC representative and PRC Chair allows for a determination if similar solutions have been submitted and rejected and why, other applicable solutions from other Components that have either been adopted or are proposed, being worked, and are applicable to the stated problem resolution.

C3.4.1.4. Strict adherence to DLM 4000.25 PDC instructions. The adherence to the instructions for drafting PDCs is the first item of review by the applicable DLMS PRC Chair. Following the instructions aids the overall process by eliminating rejects back to the submitter for administrative errors, lack of clarity, omissions, and incompleteness.

C3.4.1.5. Provide advance unofficial draft copy to DLMS PRC chairperson. Providing an advance copy allows the PRC Chair to do a quick review and provide feedback to the submitter on any administrative errors, lack of clarity, omissions, and incompleteness that should be corrected prior to the submitters staffing the draft proposal inside their Component.

C3.4.1.6. Internal Component staffing, review, finalization. Prior to draft PDC submission to the DLMS PRC Chair, the final draft proposal should be fully vetted within the Component.

C3.4.1.7. Submit PDC to Component PRC Representative. While anyone can initiate a PDC, DEDSO only accepts draft PDC submissions from the designated Component representative to the PRC. Once submitted to DEDSO by the Component PRC representative, the draft proposal is treated as that Component's official position and all internal Component staffing and vetting is presumed to have occurred.

C3.4.2. Information Exchanges. PDCs will also be used to effect new or revised information exchanges. Information exchange is defined as the process of transferring data between two or more applications. The DLMS ICs prescribe the transfer of data among applications when transactional business events are communicated. Strict adherence to the notes contained in the DLMS ICs is critical to the successful communication among applications. The three major categories of notes contained in the DLMS ICs are:

C3.4.2.1. ANSI ASC X12 Standard Syntax and Semantic Notes. These notes must be universally adhered to by all users of the X12 transaction set.

C3.4.2.2 DLMS Notes. These notes identify the business rules and usage constraints to which all DLMS implementing trading partner users of the DLMS IC must adhere, in addition to the ANSI ASC X12 Standard Syntax and Semantic Notes.

C3.4.3. Submission. The applicable DoD Component PRC member must submit PDCs to DEDSO. DEDSO may also accept proposed changes submitted through joint Service/Agency process action teams or the equivalent sponsoring organization.

C3.4.4. Procedures. Appendix 9 is a flow chart that illustrates the process to submit a PDC and the processing of the PDC by the applicable DLMS PRC through the issuance of an ADC. In summary, processing a change, waiver, or deviation to DLMS involves the following steps and the normal associated timeframes (NOTE: The PRC Chair may accelerate the change process from the timeframes indicated and may, when appropriate, extend them):

C3.4.4.1. Step 1. The PDC sponsor (see C3.4.3) submits a PDC (or waiver or deviation request) in the format available on the DEDSO Website to the Director, DEDSO, or appropriate PRC Chair. The instructions are included at the end of the change proposal template. When more than one committee is involved, for example, supply, finance, or pipeline measurement, the PRC Chairs involved will determine the lead PRC and coordination required.

C3.4.4.2. Step 2. Within 10 calendar days of receipt of proposal, the PRC Chair evaluates the proposal and determines appropriate action, (e.g., return for additional information, work with PDC sponsor to clarify/amend, accept for staffing). The PRC Chair will verify that the submitter adequately addresses the following items in the PDC:

- Identify impact to current business processes.
- Identify organizations and systems and respective roles.
- Identify new business procedures and associated business rules.
- Define new DLMS data elements and/or changes to existing ones.
- Define new information exchanges and/or changes to existing ones.
- Identify the required implementation timelines by impacted systems.
- Identify any impact to existing DoD policy.

C3.4.4.3. Step 3. If the proposal is accepted for staffing, the PRC Chair assigns a PDC number and updates the draft PDC to ensure the following items are included, as applicable:

- Insert required changes to DLM 4000.25 series of manuals.
- Insert required changes to DLMS ICs.
- Assess interoperability impact to DoD global supply chain.
- Identify any additional DoD impacts.
- Identify and coordinate with OSD on possible DoD policy impacts.
- Optimize solution for reuse, effectiveness and efficiency.

C3.4.4.4. Step 4. Once the submitting organization and the DLMS PRC Chair are in agreement with the PDC content, the PRC Chair will release the PDC to the DoD Component PRC members for coordination. The PRC Chair also determines if submission to external standards bodies such as ANSI ASC X12 is required. If the PDC includes a change to a DLMS IC that requires review and approval by the external standards bodies, the PRC Chair will forward the IC change(s) and/or related data maintenance request(s) to those groups/committees for processing after the proposal is approved or in conjunction with staffing, as appropriate.

C3.4.4.5. Step 5. The PRC members provide the PRC Chair a fully coordinated DoD Component or participating Agency response, including a proposed implementation strategy including the desired/required implementation timeline when available, by the due date provided in the proposal, normally within 30 days of the date on the PDC. If the Component/Agency response is a non-concur, it is incumbent on the PRC representative to explain the issue and provide a proposed resolution to the DLMS PRC Chair.

C3.4.4.6. Step 6. The PRC Chair may initiate a follow up for non-response five calendar days after the due date. Additional follow up may be elevated as appropriate.

C3.4.4.7. Step 7. The PRC Chair will evaluate all comments on the PDC within 10 calendar days from receipt of all outstanding comments or in conjunction with the next scheduled PRC meeting. If necessary, the PRC will resolve comments and/or disagreement and establish an implementation date. If the Component comments cannot be resolved by the PRC membership or policy issues exist, unresolved issues may be elevated to the applicable OSD proponent for resolution. If the PRC approves the PDC, the PRC Chair will establish an implementation date based on consensus. If the PDC is disapproved by the PRC, the sponsor is notified of the disapproval.

C3.4.4.8. Step 8. Based on PDC responses, and the interface requirements associated with the specific change, the PRC Chair will establish a joint implementation date, or when appropriate, either authorize DoD Components and participating organizations to implement on a staggered schedule or authorize a limited implementation by impacted Components. This information will be included in the ADC. PDCs that begin with the 1000 number series will retain that same number in the ADCs.

C3.4.4.8.1. When an implementation date is not known/provided as part of the PDC adjudication process, the PRC Chair will include in the ADC a requirement for the DoD Components and participating organizations to actively monitor for implementation of the ADC and provide implementation dates when they become available.

C3.4.4.8.2. When one Component provides an extended implementation date, which would delay implementation by the other Components, the PRC Chair will attempt to resolve the issue with the appropriate Component or seek a methodology that will permit a phased or staggered implementation. When a satisfactory implementation date cannot be jointly agreed upon, the PRC Chair may refer the matter to the applicable OSD proponent for resolution.

C3.4.4.9. Step 9. The DLMS PRC Chair will prepare the ADC by updating the PDC content based on adjudication of Component responses to the PDC. This includes the following:

- Formalize changes to DLM 4000.25 series of manuals.
- Formalize changes to DLMS ICs.
- Create XSD files in support of DLMS IC changes.

C3.4.4.10. Step 10. When approved, all ADCs are formally incorporated into the Defense Logistics Management Standards manual and posted on the DEDSO Website on the Process Changes Page. Text changes in the manuals are identified by bold italicized print. ADCs are also posted with the appropriate DLMS IC on the DLMS IC Webpage.

C3.4.5. Post-Approved DLMS Change (ADC) Issuance Component Implementation Responsibilities.

C3.4.5.1. Review ADC and determine affected Component organizations and systems.

C3.4.5.2. Distribute ADC to affected organizations.

C3.4.5.3. Affected activities prepare system change requests (SCRs) for system developers/integrators.

C3.4.5.4. Affected system developers/integrators develop rough order of magnitude (ROM) estimates of resources and schedules required to implement ADC.

C3.4.5.5. Submit SCRs/ROMs to applicable system configuration management boards for prioritization, resourcing and scheduling.

C3.4.5.6. Perform system lifecycle release management tasks of documentation, coding, testing, and release for affected systems.

C3.4.5.7. Make necessary change to affected Component publications.

C3.4.5.8. Conduct necessary training for affected Component personnel.

C3.4.5.9. Provide implementation status updates to the PRC Chair at any time, to include full and partial implementation or required deviation. When Components are unable to meet established implementation dates, prior coordination with the PRC Chair is required. Additionally, the PRC members must provide the PRC Chair a semiannual status report on implementation of approved changes (RCS DD-A&S(Q&SA)1419 applies) per the guidance in DoDM 4140.01. The semiannual reporting of implementation status is due June 15 and December 15.