DEPARTMENT OF DEFENSE
HEADQUARTERS DEFENSE COMMISSARY AGENCY
Fort Lee, VA 23801-1800

DeCA DIRECTIVE 35-5

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Information Resource Management

# CONFIGURATION MANAGEMENT FOR AUTOMATED INFORMATION SYSTEMS (AIS)


BY ORDER OF THE DIRECTOR

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**AUTHORITY:** Defense Commissary Agency Configuration Management for Automated Information Systems (AIS) is established in compliance with DoDI 8120.2, "Automated Information System (AIS) Life-Cycle Management (LCM) Process, Review, and Milestone Approval Procedures," January 14, 1993.

**APPLICABILITY:** This directive applies to the Defense Commissary Agency (DeCA) activities to include the Headquarters, the Operations Support Center (OC), all DeCA Regions, Districts, Central Distribution Centers and Commissaries.

**MANAGEMENT CONTROLS:** The OPR has determined that this directive does not contain Management Control provisions that are subject to evaluation, testing, and other requirements of DeCAD 70-2 and as specified by the Federal Manager's Financial Integrity Act.

**HOW TO SUPPLEMENT:** Lower echelon units may not supplement this directive.

**HOW TO ORDER COPIES:** Stores needing additional copies will subit requirements on DeCA Form 30-21 to Region-IM; Regions will consolidate requirements and order per published schedule.

**SUMMARY**: This directive describes procedures for configuration management for automated data systems within the DeCA.

SUPERSEDES: DeCAD 30-9, March 12, 1993
OFFICE OF PRIMARY RESPONSIBILITY (OPR): HQ DeCA-IMPP
COORDINATORS: HQ DeCA GC, AM, IM, DO, DP, RM, OC, OC-IT, DeCA Regions
DISTRIBUTION: E

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# CONFIGURATION MANAGEMENT FOR AUTOMATED INFORMATION SYSTEMS (AIS)

## 1-1. PURPOSE:

a. This directive describes applicability, policy and methods for information managers to implement Configuration Management (CM) for Automated Information Systems (AIS) within DeCA. CM is the process that identifies the functional and physical characteristics of system content during the life cycle of the project. CM controls change to those characteristics and records and reports change processing and implementation status. CM involves four functions: Configuration Identification, Configuration Control, Configuration Status Accounting and Configuration Audits. CM should be initiated as early as the Concepts Development Phase and continued throughout the design, development, deployment, operation and discontinuation.

b. For purposes of this directive, systems in development are defined as new development before completion of Life Cycle Management (LCM) Milestone III [Development Decision]. Systems in operation/sustainment are systems having completed Milestone IV [Deployment] of LCM.

c. The purpose of CM is simple. As knowledge of the system design, operation and maintenance concept is gained and requirement definitions are refined, configuration changes will occur throughout the life of the system. These changes must be controlled to insure that they are cost-effective, the impact is understood and that they are properly documented so that all users are aware of the current configuration status.

## 1-2. REFERENCES:

a. MIL-STD 498, "Software Development and Documentation," December 5, 1994.

b. DoDD 8120.1, "Life-Cycle Management (LCM) of Automated Information Systems (AIS)," January 14, 1993.

c. DoDI 8120.2, "Automated Information System (AIS) Life-Cycle Management (LCM) Process, Review, and Milestone Approval Procedures," January 14, 1993.

## 1-3. APPLICABILITY:

a. This directive applies to all organizational elements of the DeCA. Specifically it applies to information managers, Functional Proponents (FP), and System Developers (SD). It also applies to contractors for DeCA standard AIS, when this directive is referenced in their contracts.

b. CM applies to all hardware, application software, executive software and documentation that form an AIS baseline. Hardware, application software, executive software and documentation are called Configuration Items (CI).

## 1-4. RESPONSIBILITIES:

a. The Program Manager (PM) has overall responsibility for insuring all configuration management identification, control, status accounting, user documentation, training documentation and audits are accomplished during the developmental phase of the system's life cycle.

b. The FP is responsible for reviewing all functional Engineering Change Proposal (ECP)s for which they have functional proponency; providing adequate functional guidance and Test Condition Requirements (TCR); and providing representatives to participate in the Configuration Control Board (CCB). The primary FP executive designated as a voting member of the CCB, determines the criticality of all emergency/urgent ECPs and authorizes those that must be implemented before the next scheduled Software Change Package (SCP). The FP will also participate in the validation of new systems undergoing Functional Configuration Audits (FCA).

c. The SD is responsible for reviewing and approving all technical ECPs for which they have technical proponency. The SD provides impact analysis, technical guidance, TCRs; and representatives to participate in the CCB. The primary SD executive, designated as a voting member of the CCB, determines the criticality of all technical emergency/urgent ECPs and authorizes those that must be implemented before the next scheduled SCP. The SD also participates in the validation of new systems undergoing a Physical Configuration Audit (PCA).

d. DeCA activities are responsible for submitting an Information Systems Requirement, DeCA Form 35-10 *(formerly 30-31)*, Nov. 94 to identify new requirements or discrepancies/enhancements in existing systems. Store(s), Zone Managers and Region personnel submit a DeCA Form 35-10 for systems in operation/sustainment to the Region Information Resources Management (IRM) personnel. Headquarters and Operations Support Center (OC) personnel submit DeCA Form 35-10 for systems in operation/sustainment to the Customer Assistance Office (CAO) or the OC, Change Control Officer (CCO). All requests for new hardware, software or service are submitted to the Directorate of Information Resources Management (IM), Plans and Oversight Division (IMP).

e. Region IRM, OC and HQ elements are responsible for maintaining a local log of all DeCA Form 35-10(s) initiated and submitted by their area(s). Region IRM, OC and HQ elements are also responsible for assigning originator numbers, per **Appendix B**.

## 1-5. DEFINITIONS:

a. Acronyms and terms used in this directive are defined in **Appendix A**.

## 1-6. POLICY:

a. This policy identifies CM procedures to be used for AIS software development and maintenance within DeCA. Managers at all levels of Program Management, Functional Proponency, System Development and end user staff are required to follow these configuration management procedures to identify, control and provide status accounting for changes to AIS.

b. Initiation of configuration management shall be consistent with the objectives of the system/project and its life cycle phase(s).

## 1-7. PROCEDURES:

a. **CONFIGURATION IDENTIFICATION:** Configuration Identification is a process that defines functional baseline characteristics. This process identifies the physical characteristics that describe the configuration and the documentation that define baseline characteristics. Configuration identification is a formally designated baseline, paused at a specific time and used as a reference point for change control.

(1) **Functional Baseline Identification.** Approved Systems Specifications (SS) provide a Functional Baseline. MIL-STD-498 defines Functional Configuration Identification (FCI) as the

process of identifying, controlling, and managing required documents. The functional baseline and all approved changes make up the approved FCI throughout a system's life cycle.

(2) **Allocated Baseline Identification.** Required documents create the Allocated Baseline. An allocated baseline is used when multiple configuration identifications are a part of a higher level configuration identification or total system. Allocated configuration identification is the process of identifying, controlling, and managing documents. Approved software Unit Specifications (US) and the functional baseline constitutes the current approved Allocated Configuration Identification (ACI).

(3) **Product Baseline Identification.** The products produced during LCM's Development Phase include the documentation, source code, program modules and all system changes. Product Configuration Identification (PCI) is the process of identifying, controlling, and managing the documentation, baseline, source code, program modules, and all system changes. The PCI describes all the necessary physical and functional characteristics of a configuration identification.

b. **CONFIGURATION CONTROL:** The management and tracking of system changes is called configuration control. Configuration control procedures are required for systems in the developmental and operational phases of LCM. Requests for changes are submitted on a DeCA Form 35-10. The classification and processing of DeCA Form 35-10, CCB procedures, release control procedures and new requirements are all elements of configuration control.

(1) **CONFIGURATION CONTROL FOR SYSTEMS IN DEVELOPMENT:** Configuration identification is the basis for configuration control and status accounting during the entire LCM of an AIS. Configuration identification is initially established by identifying all diagrams and draft documentation. This identification becomes more detailed as the design and testing progress. Configuration identification is applied to all hardware, computer software and associated documentation.

(a) Need Justification and Concepts Development. During the Need Justification and Concepts Development LCM phases, AIS are not subject to configuration control, except the documentation requirements identified in DoDD 8120.1 and DoDI 8120.2.

(b) Design Phase. During the Design Phase, the SD shall place all required documentation under control of configuration management. The PM identifies documents that come under control of CM, per MIL-STD-498. The FP also provides input for this decision.

(c) Development Phase. During the Development Phase all updated versions of required documentation is placed under configuration control.

1 Source code for each successfully tested program/module is placed under configuration control, during Program/Module Testing (PMT).

2 During the Functional Integration Test (FIT), the source code for each successfully tested system/cycle is placed under configuration control.

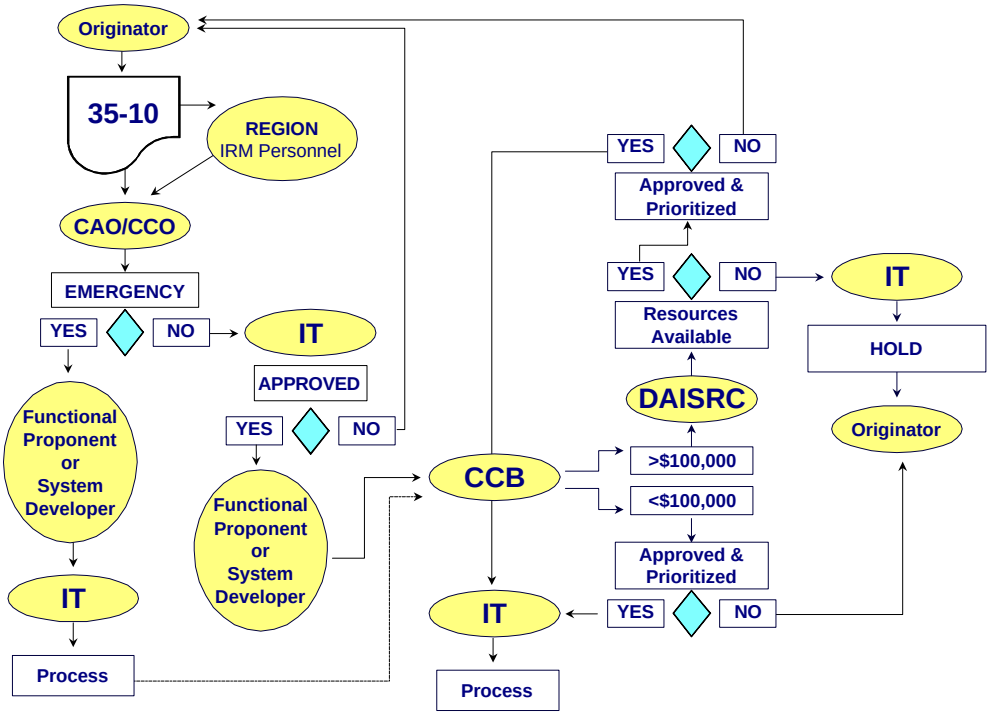
3 The exact version of each CI is identified in a Software Version Description (SVD), during the Software Qualification Test (SQT).

4 Before the Software Acceptance Test (SAT), an FCA and a PCA must be conducted per DoD-INST-8120.2. These audits verify and document that the actual configuration and their configuration identification agree.

5 During the FIT, SQT and SAT software changes are recorded on DeCA Form 35-10. Any variation in the use or processing of DeCA Form 35-10, must be coordinated with IM and described in individual test plans.

(2) **CONFIGURATION CONTROL FOR SYSTEMS IN OPERATION / SUSTAINMENT:** Requests for changes to existing AIS are submitted on DeCA Form 35-10. Developmental AIS that have successfully passed a SAT and Milestone III [Development Decision] also use DeCA Form 35-10 to request software changes. Proposed changes to an existing software baseline, make up an ECP.

(a) The flow of DeCA Form 35-10 for systems in operation/sustainment, is presented in **Figure 1**. See **Appendix C** for a copy of DeCA Form 35-10 and **Appendix D** for preparation instructions.




(b) Each organizational element (Region IRM, OC Business Unit, HQ directorate/staff office) is responsible for assigning the originator number and maintaining a local log starting with sequence number 001. Reference **Appendix B** for originator numbering structure.

(c) The Region IRM, OC Business Unit, HQ directorate/staff office forwards the DeCA Form 35-10 to the CAO or the CCO.

(d) Upon receipt of DeCA Form *35-10*, the CAO or CCO verifies the signature in Block 18 and reviews content. DeCA Form 35-10 is then routed to the appropriate FP, SD or the Operations Support Center, Information Technology Business Unit (IT).

(e) Engineering Change Proposal(s):

1 Telephonic Problem Reports: Priority 1 problems requiring immediate resolution, may be telephonically submitted in the following manner:

a Users encountering the failure, first report the problem to the Region IRM for resolution. If the Region IRM cannot solve the problem, or believe the problem requires immediate attention, the Region IRM calls the CAO.

b The CAO logs the call and attempts to resolve the problem. If the CAO cannot resolve the problem, the appropriate FP or SD is contacted. When the problem is resolved, the FP/SD providing the assistance forwards notification of closure and method of closeout to the CAO and originator.

c If the problem cannot be resolved quickly, it is forwarded to IT for coordination and further review.

2 Functional Problem Reports: Functional problem reports, are submitted in the following manner:

a Originators complete a DeCA Form 35-10 and forward it to the appropriate Region IRM, OC or HQ element responsible for maintaining the local log.

b An originator number is assigned and the local log is updated.

c DeCA Form 35-10 is sent to the CAO / CCO where the originator number is logged and problem resolution begins. If the problem cannot be resolved, the appropriate FP is contacted.

d The FP designated as a voting member of the CCB determines whether the change is of an emergency or urgent nature requiring resolution and implementation before the next scheduled CCB. That FP completes Block 22, provides functional guidance, TCRs and coordinates with the SD for resolution.

3 Technical Problem Reports: Technical problem reports, are submitted in the following manner:

a Originators complete a DeCA Form 35-10 and forward it to the appropriate Region IRM, OC or HQ element responsible for maintaining the local log.

b An originator number is assigned and the local log is updated.

c DeCA Form 35-10 is sent to the CAO / CCO where the originator number is logged and problem resolution begins. If the problem cannot be resolved, the appropriate SD is contacted.

d The SD designated as a voting member of the CCB determines whether the change is of an emergency or urgent nature requiring resolution and implementation before the next scheduled CCB. A copy of DeCA Form 35-10, with target implementation date, is returned to IT for coordination and further review.

4 All DeCA Form 35-10s, processed without prior CCB approval, are summarized for presentation at the next scheduled meeting.

(f) Authorization of Engineering Change Proposal(s):

1 DeCA Form 35-10s are forwarded to IT for approval/disapproval signature in Block 19.

a The Manager, OC-IT authorizes the request by signing Block 19. Upon approval, functional guidance, functional documentation, and TCRs are attached to the DeCA Form 35-10 and forwarded to the FP/SD for impact analysis.

(1-1) The FP/SD performs an impact analysis determining the man-hours necessary to accomplish the coding and program/module testing.

(1-2) The reverse side of DeCA Form 35-10 is completed and returned to IT for presentation at the next CCB meeting.

b If disapproved, the reason for disapproval is entered on the reverse side and a copy of DeCA Form 35-10 is returned to the originator and to the CCO.

2 All routine DeCA Form 35-10 are presented to the CCB for prioritization and scheduling.

(g) External AIS: When the DeCA Form 35-10 is requesting a modification to an external system, such as STANFINS or SAACONS, the CAO creates an internal log to track these requirements and forwards the request to the external proponent for scheduling at its CCB.

(h) Configuration Control Board (CCB) Process. DeCA has established a single CCB to provide proper change control, processing and implementation authority for operational / sustainment AISs.

1 When a decision/consensus cannot be reached among voting members, and the chairperson cannot bring about consensus, the issue is elevated to the DeCA Automated Information Systems Review Council (DAISRC) for resolution. All DeCA Form 35-10s with a cost requirement over $100,000 are directed to the DAISRC for endorsement.

2 All open DeCA Form 35-10s brought before the CCB must be complete, i.e., all blocks completed per **Appendix D**, adequate functional guidance and TCRs provided by the FP, and technical impact analysis provided by the SD.

3 CCB evaluation and control. DeCA Forms 35-10 are critically evaluated, including not making the change. The CCB may change the original classification/identification and will consider all aspects of proposed changes. Functional and technical considerations are determined, and a review of the following is performed:

a Adequacy of the functional guidance for translation into detailed program design.

b TCRs.

c Impact analysis (block 23 of DeCA Form 35-10 - man-hours necessary to make coding changes and program/module testing).

d Interface requirements to other automated systems and the impact of joint integration testing coordination (block 24 of DeCA Form 35-10).

e Functional redundancy/duplication.

f Potential impacts to system performance and operational capabilities.

g Potential impact on cost, cost growth, production costs, etc. **NOTE:** Systems scheduled for replacement, must present an economic analysis to ensure return on investment.

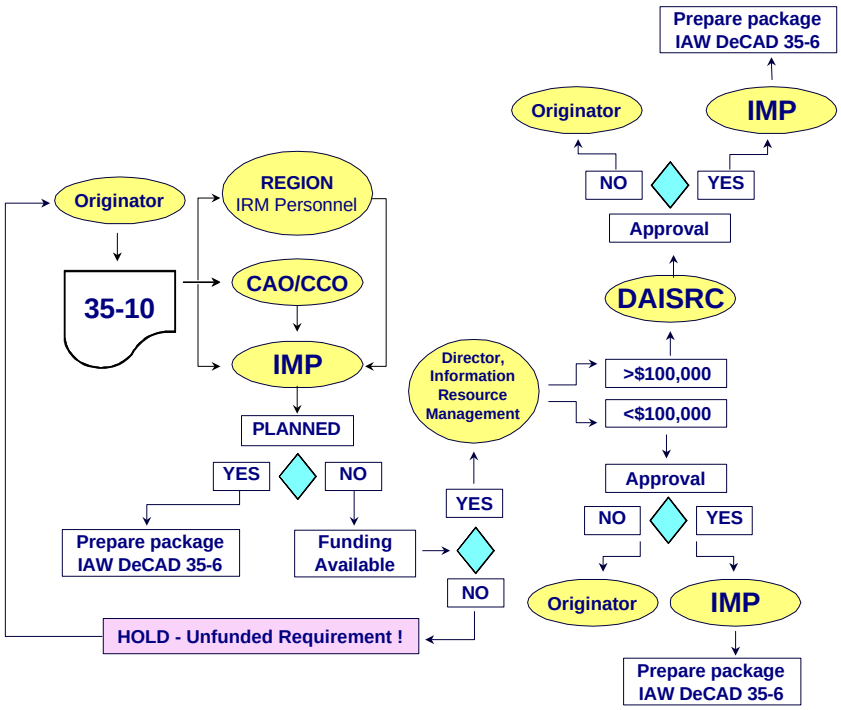
4 The CCB may place an AIS in moratorium. When an AIS is in moratorium, only priority **"1"** software change classifications are allowed. The CCB will not address routine optimization or enhancements.

5 Release Control Procedures. Following the successful completion of SAT or Lead Verification Site Test (LVST), the software baseline is frozen, placed in the configuration management library and readied for deployment. Requests for any additional software modifications must be submitted on DeCA Form 35-10 for CCB approval and inclusion in future SCP/Interim Change Package (ICP). The SD is responsible for preparing an SCP/ICP for release.

6 Certification: Before the release of an SCP/ICP, a memorandum to IT, is prepared by the SD, certifying the successful validation and completion of the SAT or LVST objectives. This certification is the final step authorizing the deployment of an SCP/ICP release beyond the test site. An endorsement memorandum, signed by the Manager, IT, certifies the SCP/ICP for release. A copy of the SVD, must be attached to this certification. This copy provides, for CM purposes, a status accounting of all current changes and a historical audit of all baseline changes. See **Appendix E** for sample copy of the memorandum and SVD preparation instructions. The CCO will maintain a record copy of all release documentation.

7 Preparation/mailing of software package contents: The SD is responsible for duplication and distribution of the SCP/ICP to include documentation, mailing labels and magnetic media/diskettes. For on-line systems, the new baseline will be moved from the test environment to the production environment electronically.

(3) **CONFIGURATION CONTROL FOR NEW REQUIREMENTS:** Requests for new hardware, software and service requirements are submitted on DeCA Form 35-10 to IMP. The request flows from the user/store, Region, OC Business Unit, or HQ directorate/staff office to IMP. **Figure 2** presents the flow of DeCA Form 35-10.




(a) Please reference **Appendix C** for a copy of DeCA Form 35-10, **Appendix D** for preparation instructions and DeCAD 35-6, "Federal Information Processing Resource Acquisition" for detailed procedures.

(b) IMP logs and reviews the requirement to ensure conformance with agency standards and information architecture, as required by DeCAD 35-6. Upon receipt, IMP determines if the request is in the approved IRM Strategic and Operational Plan(s) and the Information Resources Management Strategic Plan (IRMSP).

1 If the request has not been included, but funds are available, it is referred to the Director, IM for endorsement.

2 If the request is not included and funds are not available, the originator is notified and the request is held for possible future funding.

(c) DeCA Form 35-10s with a cost requirement over $100,000 are directed to the DAISRC for final approval.

(d) IMP staffs the requirement with the Office of Primary Responsibility (OPR). This coordination may also entail a review by another HQ Directorate or the OC. IMP may discuss the request with the initiating office to ensure complete understanding of the request and give guidance where required.

c. **CONFIGURATION STATUS ACCOUNTING:** The status accounting function provides traceability of configuration baselines. For new developmental systems, the PM insures that configuration status accounting is maintained until the last item is delivered and accepted. Configuration status accounting records are maintained for the life of the system, documenting all approved baseline changes. For systems in the operational phase, the following documents must be preserved for the life of the system.

(1) ECPs: A copy of all ECPs showing current and historical status (canceled, closed in SCP or ICP, or open).

(2) Configuration Control Board Directive (CCBD). A copy of all CCBDs authorizing changes to the baseline.

(3) Emergency/Urgent ECPs. A copy of all emergency/urgent ECPs that have been approved for implementation.

(4) SVD. A copy of all SVD documents fielded with software baseline changes. The list of ECPs contained in a SVD must match the list of approved ECPs in the corresponding CCBD or the list approved for implementation as an ICP.

d. **CONFIGURATION AUDITS:**

(1) **Functional Configuration Audit.** The FCA formally validates that an AIS development has been completed satisfactorily and has achieved the performance and functional characteristics specified in the functional documentation.

(2) **Physical Configuration Audit.** A PCA technically examines a designated configuration to verify the as-built, conforms to the technical documentation.

(3) These audits validate development completion and readiness for acceptance into a production environment. Following the successful completion of the FCA and PCA, each configuration identification is incorporated/packaged into the Product Baseline. At this point the developmental configuration shall cease to exist.

**CONFIGURATION MANAGEMENT**
**ACRONYMS / TERMS**

1-1. **ACRONYMS:**



1-2. **TERMS:**

**ADP Request Log:**

A database of all new ADP requirements (hardware / software) submitted to IMP. Log contains key data elements such as requester, purpose, justification and funding. Log is used to track status of actions and for historical reference.

**Allocated Baseline:**

Documents required throughout the Design Phase of the life cycle. An allocated baseline is used when different CIs are parts of a higher level CI or total system.

**Allocated Configuration Identification:**

The process of identifying, controlling and managing those documents that are required throughout the Design Phase of an AIS, where the CIs are a part of a higher level CI or total system.

**Configuration Control:**

Systematic evaluation, coordination, approval or disapproval, implementation of all approved changes to AIS baselines throughout all phases of the life cycle.

**Configuration Control Board:**

A board composed of representatives from the proponent organization, the developer, configuration manager, test and logistic support and users. This body provides change control evaluation, processing and implementation authority for each agency AIS.

**Configuration Control Board Directive:**

This document is a formal record of CCB decisions on all approvals, directive prioritization and scheduling. When completed and issued, this directive authorizes development and implementation of the change package.

**Configuration Item:**

Any component of an AIS that is unique and requires identification and management throughout all life cycle phases.

**Configuration Management:**

A systematic application of technical and administrative direction and oversight to identify and document a CI's functional and physical characteristics, control changes to those characteristics, record and report change processing and implementation status.

**Configuration Status Accounting:**

The status accounting function provides traceability of configuration baseline, from development through the life of systems. Configuration status accounting records include copies of all ECPs, CCBD, ICP implementation documents, and SVDs.

**DeCA Automated Information Systems Review Council (DAISRC):**

An executive level review body that ensures DeCA's Information Resources Management (IRM) and Information Technology programs are corporately reviewed and approved.

**Developmental Phase Testing:**

A sequence of development, qualification and acceptance tests conducted during the development of a new software system or the redesign/major change to a deployed system.

**Engineering Change Proposal:**

A term that includes a proposed change to a software baseline and the documentation/guidance by which the change is described.

**Functional Baseline:**

The approved Systems Specifications produced during the Concept Development phase of the life cycle.

**Functional Configuration:**

Formal validation that a CI's development has been completed satisfactorily and Audit has achieved the performance and functional characteristics specified in the functional documentation.

**Functional Configuration Identification**:

The process of identifying, controlling, and managing those documents required throughout the Design Phase of the life cycle.

**Functional Engineering Change Proposal:**

A request to change the functionality of the AIS baseline. The request requires modification to screens, menus, input data, functional logic of the processes, functional codes/tables, output screens, hardcopy reports, or other functional products. In most cases, functional ECPs are submitted by the functional end user or the assigned functional proponent.

**Functional Integration Test:**

Testing accomplished by the SD and FP for a new or changed system.

**Functional Proponent:**

The OPR for the functional proponency, functional design, development, testing and validation of new or modified software systems.

**Interim Change Package:**

A software modification release of one or more ECPs that, because of urgency, regulatory requirements or special need, must be provided before the availability of the next regularly scheduled SCP.

**Lead Verification Site Test:**

A user test of emergency or urgent changes to a deployed system conducted in a field environment, using a production data base and executed on operational hardware.

**Operational Phase Testing:**

A sequence of development and acceptance tests conducted during the introduction of SCP/ICP changes to deployed systems.

**Physical Configuration Audit:**

Technical examination of a designated CI to verify that the as built CI conforms to the technical documentation.

**Product Baseline:**

The products produced throughout the Development Phase of the life cycle including the documentation, source code, program module and all system changes and requirements.

**Product Configuration Identification:**

The process of identifying, controlling, and managing the documentation, product baseline, source code, program modules and all system changes and requirements developed throughout the Development Phase of the life cycle.

**Program Manager:**

The AIS Program Manager is the principal official responsible for planning and directing AIS program activities during the Concepts Development, Design, Development, and Deployment Phases.

**Software Acceptance Test:**

A user test of new systems or changes to a deployed system conducted in a field environment, using a production data base and executed on operational hardware.

**Software Change Package:**

A software modification release of ECPs that have been authorized through a CCBD and released on a scheduled basis throughout the life cycle of a deployed system.

**Software Qualification Test:**

An independent, third party test capable of evaluating the technical and functional requirements of a newly developed system. This test is executed on target hardware using supplemented live data files or user prepared data.

**System Developer:**

The OPR for the technical development, testing and maintenance support for DeCA standard automated systems. The SD may be augmented by contract support.

**Technical Engineering Change Proposal:**

A request to change a technical aspect of the AIS baseline. The request requires modification to executive software, operating system, communications software, job control language, backup/restart procedures or other technical features, however, it does not require changes to the functional logic, processes, data files or other functional input/output. In most cases, technical ECPs are submitted by the technical system developer or computer operations personnel.

**Test Condition Requirement:**

Document used to annotate test data conditions to verify the correctness of changes to software functional or technical processing logic. The TCR is normally submitted with the ECP to provide a means to test suggested changes and to record the test results.

**CONFIGURATION MANAGEMENT**
**ORIGINATOR NUMBERING STRUCTURE**

1-1. **ORIGINATOR NUMBER:**

□□□ | □□ | □□□

**AIS CODE | ORG CODE | SEQUENCE NUMBER**

a. **AIS CODE**: Use the three position **DeCA AIS CODE**, shown on B-2.

b. **ORG CODE:** Use the two position **ORGANIZATIONAL CODE,** shown on B-4.

c. **SEQUENCE NUMBER**: Three position numeric assigned by the originator, beginning with 001. Use a separate numerical sequence for each **DeCA SYSTEM CODE**.

**For example:**

(1) The first originator number submitted by Midwest Region (MW) for an Engineering Change Proposal (ECP) against DIBS would be B15-MW-001 (the second would be B15-MW-002)

(2) The same originator, MW, submitting the first ECP against SAVES would be F20-MW-001 (the second would be F20-MW-002)

(3) The first originator number submitted by the Operations Support Center (OC), Accountability and Reconciliation Business Unit (AR) for an ECP against SAVES would be F20-AR-001 (the second would be F20-AR-002)

(4) The same originator, AR, submitting the first ECP against DBMS would be D34-AR-001 (the second would be D34-AR-002)

d. Originator numbers must be entered on DeCA Form 35-10 *(formerly 30-31)*, Nov. 94 by the originating organizational element beginning with the effective date of this directive. Each organizational element (Region IRM, OC Business Unit, HQ directorate/staff office) is responsible for assigning the originator number and maintaining a local log starting with sequence number 001.

**CONFIGURATION MANAGEMENT**
**DeCA AIS CODES**

| SYSTEM ACRONYM | SYSTEM NAME | DeCA AIS CODE | DeCA Functional Proponent | DeCA Office for System Development |
|---|---|---|---|---|
| ASAC (EXTERNAL) | Automated System for Army Commissaries | L58 | OC-IT | OC-ITS, DCL |
| BRUCIES | Basic Region Umbrella Commissary Item Examination System | B75 | OC-IT | OC-ITS |
| CCH | Coupons Clearing House | F11 | OC-ARBU | OC-ARBU |
| CIU | Corporate Information Utility | A10 | OC-IT | OC-ITS |
| COMMUNICATIONS | N/A | N10 | OC-IT | OC-ITO |
| DACS (COUPONS) | DeCA Automated Coupons System | F10 | OC-ARBU | OC-ARBU |
| DARTS | DeCA Automated Requisition Tracking System | C12 | OC-ABU | OC-ABU |
| DBMS (EXTERNAL) | Defense Business Management System | D34 | HQ-RM | DLA |
| DCIS | Defense Commissary Information System | B20 | OC-ITQ | HQ-IMI |
| DIBS | DeCA Interim Business System | B15 | OC-IT | OC-ITS |
| DPAS | Defense Property Accounting System | S10 | OC-ABU | DFAS |
| EDAP | Energy Database Application Program | A17 | HQ-DF | OC-ITS |
| EDI INVOICING | Electronic Data Interchange | B30 | | OC-ITS |
| EEOMAS | N/A | A25 | HQ-EE | HQ-EE |
| FDS/DSD | Frequent Delivery System / Direct Store Delivery | B28 | OC-ITQ | OC-ITS |
| GENERAL | N/A | R00 | ALL | HQ-IM, OC-ITS |

**DeCA AIS CODES**

| SYSTEM ACRONYM | SYSTEM NAME | DeCA AIS CODE | DeCA Functional Proponent | DeCA Office for System Development |
|---|---|---|---|---|
| HEAT (EXTERNAL) | N/A | A21 | OC-ITO | OC-ITS |
| IDEAS | Improve DeCA Efficiency and Services | A16 | HQ-DO | OC-ITS |
| IEMS (EXTERNAL) | Installation Equipment Management System | L80 | OC-ABU | SIMA |
| INFORMS | N/A | A20 | HQ-SA | HQ-SA |
| MANPOWER | N/A | M10 | HQ-RM | OC-ITS |
| ORS (EXTERNAL) | On-Line Reporting System | U25 | OC-ITO | DLA |
| PCS | Price Change System | B45 | OC-IT | OC-ITS |
| PERSONNEL | N/A | M20 | HQ-DP | OC-ITS |
| PLANOGRAM | N/A | B50 | OC-MB | OC-ITS |
| POSMOD | Point of Sale - Modernization | B59 | OC-ITQ | HQ-IMA |
| RDIBS | Remote - DeCA Interim Business System | P15 | OC-ITQ | OC-ITS |
| SAACONS (EXTERNAL) | Standard Automated Contracting System | C47 | OC-ABU | APRAO |
| SACONS-D | Standard Automated Contracting System - DeCA | C10 | OC-ABU | OC-ABU |
| SAVES | Standard Automated Voucher Examination System | F20 | HQ-RM, HQ-AM, OC-ABU | OC-ITS |
| SCANNING | N/A | B60 | OC-ITQ | OC-ITS |
| SIMMSS (BRUCIES HQ) | Stock Item Management and Merchandising Support System | B76 | OC-MB, OC-IT | OC-ITS |
| SRD1 (EXTERNAL) | Standard Financial System Redesign | C30 | HQ-RM | DFAS |

| SYSTEM ACRONYM | SYSTEM NAME | DeCA AIS CODE | DeCA Functional Proponent | DeCA Office for System Development |
|---|---|---|---|---|
| STANFINS (EXTERNAL) | Standard Army Finance and Accounting System | C01 | HQ-RM | DFAS |
| VAN PLANNING | N/A | B80 | OC-TR | OC-ITS |
| ZDSS | Zone Manager Decision Support System | A23 | OC-IT | OC-ITS |

**CONFIGURATION MANAGEMENT**
**ORGANIZATIONAL CODES**

| | | |
|---|---|---|
| HQ | AM | Directorate of Acquisition Management |
| HQ | CC | Command Section |
| HQ | DF | Directorate of Facilities |
| HQ | DO | Directorate of Operations |
| HQ | DP | Directorate of Personnel and Training |
| HQ | EE | Office of Equal Employment Opportunity |
| HQ | GC | Office of The General Counsel |
| HQ | IG | Office of The Inspector General |
| HQ | IM | Directorate of Information Resources Management |
| HQ | IR | Office of Internal Review |
| HQ | LL | Office of Legislative Liaison |
| HQ | PA | Office of Public Affairs |
| HQ | RM | Directorate of Resource Management |
| HQ | SA | Office of Safety, Security and Administration |
| OC | AR | Accountability and Reconciliation Business Unit |
| OC | BL | Budget-Liaison Business Unit |
| OC | EC | Electronic Commerce Manager |
| OC | FS | Public Health and Food Quality Assurance Business Unit |
| OC | IT | Information Technology Business Unit |
| OC | MB | Marketing Business Unit |
| OC | OC | Operations Support Center/Office of the Director |
| OC | RA | Acquisition Business Unit |
| OC | TR | Transportation Business Unit |
| REGION | CE | Central Region |
| REGION | EU | European Region |
| REGION | MW | Midwest Region |
| REGION | NE | Northeast Region |
| REGION | NW | Northwest Region |
| REGION | SO | Southern Region |
| REGION | SW | Southwest Region |

**DeCA FORM 35-10, Nov 94**
***(formerly 30-31)***

**INFORMATION SYSTEMS REQUIREMENT**
*(For use of this form, see DeCAD 35-5; IMP is OPR.)*

CURRENT DATE

1. TO:

2. FROM

3. ORIGINATOR NUMBER

4. ENGINEERING CHANGE PROPOSAL (ECP)

5. PRIORITY CLASSIFICATION *(Check one)*
_ 1 _ 3 _ 5
_ 2 _ 4

6. SYSTEM NAME

7. BASELINE/VERSION NUMBER

8. SHORT TITLE OF PROBLEM

9. NEW REQUIREMENT *(Check one)*
_ HARDWARE _ SOFTWARE

10. DATE REQUIRED

11. SHORT TITLE OF REQUIREMENT

12. COST

13. ECONOMIC ANALYSIS
_ YES _ NO DATE:

14. BUDGETED BY: _ REQUESTOR
_ YES _ NO _ UNKNOWN _ DeCA IM

FUNDED BY: _ REQUESTOR
_ YES _ NO _ UNKNOWN _ DeCA IM

15. DESCRIPTION OF PROBLEM OR REQUIREMENT

16. RECOMMENDED SOLUTION

17. POINT OF CONTACT/PHONE # SIGNATURE AND DATE

18. NAME AND TITLE OF AUTHENTICATOR SIGNATURE AND DATE

19. TYPED NAME AND TITLE OF APPROVING OFFICIAL SIGNATURE AND DATE
_ APPROVED _ DISAPPROVED

DeCA Form 35-10, Nov 94 Supersedes DeCA Form 30-31, Jun 92 Previous Edition is Obsolete. This form was electronically produced by Elite Federal Forms, Inc

**DeCA FORM 35-10, Nov 94**
***(formerly 30-31)***

**20. ORIGINATOR NUMBER**

**21. CONTINUATION**

**22. ECP ACTION TAKEN BY OPR** *(Check all that apply)*

- IDENTIFIED AS TECHNICAL ECP
- IDENTIFIED AS FUNCTIONAL ECP
- RESOLVED BY CUSTOMER ASSISTANCE/CLOSED
- IDENTIFIED AS EMERGENCY/URGENT AND SCHEDULED AS ICP
- IDENTIFIED AS URGENT/ROUTINE FOR NEXT CCB
- CANCELLED BY HQ DeCA AS DUPLICATE OF
- CANCELLED BY HQ DeCA FOR INSUFFICIENT INFORMATION
- CANCELLED BY ORIGINATOR

**NAME/TITLE** **SIGNATURE AND DATE**

**23. ECP IMPACT ANALYSIS**

| | | |
|---|---|---|
| REVIEW ANALYSIS | _____ | MANHOURS |
| DESIGN | _____ | MANHOURS |
| PROGRAMMING | _____ | MANHOURS |
| TESTING | _____ | MANHOURS |
| DOCUMENTATION | _____ | MANHOURS |
| TOTAL | _____ | MANHOURS |

**24. THIS ECP AFFECTS/INTERFACES WITH THE FOLLOWING SYSTEMS:**

**DeCA Form 35-10, Nov 94** 2

**CONFIGURATION MANAGEMENT**
**PREPARATION INSTRUCTIONS FOR DeCA FORM 35-10**

1-1. The Information Systems Requirement, DeCA Form 35-10 *(formerly 30-31)*, Nov 94 is used to submit requests for changes to sustainment software. The form is also used to request hardware, software, and other Automated Information Systems (AIS) services. The originator must enter the current date and all required blocks.

a. When changes for sustainment software (systems having completed Milestone IV - Deployment) are submitted, blocks 4 through 8 are required; blocks 9 through 14 are not used.

b. If hardware, software or service requirements are submitted, blocks 9 through 14 are required; blocks 4 through 8 are not used.

c. Blocks 2, 3, 15 through 18 and 20 are required for all submissions.

1-2. Preparing a DeCA Form 35-10:

a. Block 1: **TO:** Request for changes to sustainment software (Required blocks 4 through 8) are routed to: Operations Support Center (OC), Customer Assistance Office (CAO) or the OC, Change Control Officer (CCO). Requests for hardware, software or services (Required blocks 9 through 14) are routed to: DeCA Headquarters, Directorate of Information Resources Management (IM), Plans and Oversight Division (IMP).

b. Block 2: **FROM:** Enter the mailing address of the originator.

c. Block 3: **ORIGINATOR NUMBER:** Assign the eight position number, as follows:

(1) The **DeCA SYSTEM CODE** (Reference **Appendix B**) is entered in positions one, two and three.

(2) Record the **ORGANIZATIONAL CODE** (Reference **Appendix B**) in positions four and five.

(3) Positions six, seven and eight are sequentially assigned.

d. Block 4: **ENGINEERING CHANGE PROPOSAL:** Enter an **X** when submitting an Engineering Change Proposal (ECP). An ECP is a proposed change to a sustainment system.

e. Block 5: **PRIORITY CLASSIFICATION:** Determine the initial priority classification of either; **"1," "2," "3," "4"** or **"5"** and enter an **X** in the appropriate priority box.

(1) A priority **"1"** classification that requires immediate action must:

(a) Prevent the accomplishment of an operational or mission essential capability.

(b) Jeopardize safety, security, or other requirements designed "critical."

(2) Priority **"2"** requests require a change that, if not performed promptly, could:

(a) Adversely affect the accomplishment of an operational or mission essential capability and no work-around solution is known.

(b) Adversely affect technical, cost, or schedule risks to the project or to life cycle support of the system, and no work-around solution is known.

(3) A priority **"3"** classification must:

(a) Adversely affect the accomplishment of an operational or mission essential capability, but a work-around is known.

(b) Adversely affect technical, cost, or schedule risks to the project or to life cycle support of the system, but a work-around is known.

(4) Fixes of a non-emergency, non-urgent nature are classified as priority **"4"** and:

(a) Result in user/operator inconvenience or annoyance but does not affect a required operational or mission essential capability.

(b) Result in inconvenience or annoyance for development or support personnel, but does not prevent the accomplishment of those responsibilities.

(5) Any other type is a priority **"5"** classification.

f. Block 6: **SYSTEM NAME:** Record the name of the affected AIS.

g. Block 7: **BASELINE/VERSION NUMBER:** Enter the current production baseline/version. Example: MDIBS Version 3.17(f)

h. Block 8: **SHORT TITLE OF PROBLEM:** Enter a short descriptive title of the problem.

i. Block 9: **NEW REQUIREMENT:** When requesting hardware, software, or services enter an **X** in the appropriate box.

j. Block 10: **DATE REQUIRED:** Enter the desired completion date.

k. Block 11: **SHORT TITLE OF REQUIREMENT:** Enter a short descriptive title.

l. Block 12: **COST:** If known, enter the cost of the requirement.

m. Block 13: **ECONOMIC ANALYSIS:** If an Economic Analysis has been completed, enter an **X** in the YES box and provide the date of the Analysis (Reference: DoD Instruction 7041.3 "Economic Analysis and Program Evaluation of Resources Management, October 18, 1992).

n. Block 14: **BUDGETED/FUNDED:** If the requirement is a budgeted item enter an **X** in the YES box and an **X** in the appropriate BY: box. When funds were allocated for the request, place an **X** in the YES box and an **X** in the appropriate BY: box.

o. Block 15: **DESCRIPTION OF PROBLEM OR REQUIREMENT:** Describe the requirement or problem. Please provide enough detail that will allow rapid identification and evaluation. When available, include a listing of attachments and referenced documents.

p. Block 16: **RECOMMENDED SOLUTION:** Enter a recommended solution and justification that supports the proposed change. Describe in detail, improvements and the impact on the user if not completed.

q. Block 17: **POINT OF CONTACT/PHONE #:** Enter the name and telephone number of the individual who should be contacted, if further explanation is required. Please include DSN and commercial telephone numbers.

r. Block 18: **NAME AND TITLE OF AUTHENTICATOR:** Enter the name and title of the primary Functional Proponent (FP) executive or their designate. The signature of the authenticator is required.

s. Block 19: **FOR INTERNAL USE ONLY.**

(1) If a request for modification to sustainment software, the Manager, IT or their designate is the approving official.

(2) If a request for hardware, software, or services the Director, IM or their designate is the approving official.

t. Block 20: **ORIGINATOR NUMBER:** Enter originator number from 3 above.

u. Block 21: **CONTINUATION:** Continuation of blocks 15 and/or 16.

v. Block 22: **FOR INTERNAL USE ONLY.** Enter X in the appropriate box. Name, title, signature and date are required.

w. Block 23: **FOR INTERNAL USE ONLY.** The System Developer (SD) records man-hours for each category specified, and total man-hours required to complete this ECP.

x. Block 24: **FOR INTERNAL USE ONLY.** Enter the names of any interfacing systems that may be affected (requires a corresponding change and interface testing) if this ECP is implemented.

1-3. Attachments that will clarify the requirement/problem and assist in the evaluation process should also be submitted.

## CONFIGURATION MANAGEMENT

### 1-1. SAMPLE MEMORANDUM FOR CERTIFICATION

MEMORANDUM FOR MANAGER, OC-IT

SUBJECT: Certification of (name of system/baseline version)

The purpose of this memorandum is to certify that all technical and functional objectives of the (SAT or LVST) have been met to the satisfaction of all participants.

This certification records the accomplishment of all prerequisites for deployment of this release.

The Software Version Description (SVD) and Test Analysis Report is attached.

Test Chairman/Test Director
(FP or SD)

_____ _____

Functional evaluator, signature Technical evaluator, signature

Attachment
As Stated

## CONFIGURATION MANAGEMENT

1-2. **PREPARATION OF SOFTWARE VERSION DESCRIPTION (SVD):** An SVD accompanies all Software Change Package (SCP)/Interim Change Package (ICP) software releases. Contents of the SVD may vary with package complexity, size and type (SCP/ICP); however, the basic contents are as follows:

a. **Cover memorandum** transmitting the package. The subject of this memorandum is the name of the system and the release control version number.

b. **Administrative Instructions (Attachment 1):** This attachment describes the physical package contents (number of tapes, diskettes, etc.) and contains an acknowledgement of implementation (form to be completed and returned to the Operations Support Center, Information Technology Business Unit (IT), after the package is loaded at user site).

c. **Engineering Change Proposal (ECP) Contents (Attachment 2):** A list of all Information Systems Requirements, DeCA Form 35-10 *(formerly 30-31)*, Nov 94 originator numbers contained in this package. This list must conform to the Configuration Control Board (CCB) Directive that authorized the SCP. For an ICP, the contents must be approved on the DeCA Form 35-10 by the Functional Proponents (FP) or System Developers (SD) designated as a voting member of the CCB and authorized to approve emergency changes.

d. **The Program List and Version Number (Attachment 3):** A listing of all changed programs, control statements, etc., and the current version number for this change package.

e. **The Corrector Descriptors (Attachment 4):** A narrative description of all the functional and technical problems definitions (cross referenced to each ECP in the package) and the corrective action taken to resolve each.

f. **The Implementation Instructions (Attachment 5):** Any load instructions or special instructions to the operator/user.

g. **List of Documentation Changes (Attachment 6):** A list identifying all documentation changes to the functional user manuals or technical operations manual required by this change.

h. **File/Record Changes (Attachment 7):** A list of any changes to the file/record formats required by this change. (DBMS or master file format changes only, do not list intermediate or work file format changes.) This list includes only those changes requiring visibility by the end user.