

**Fourth Estate Manpower Tracking System
Change Management Plan**



12 September 2013

FMTS CM Plan

Preface

This plan documents Change Management (CM) processes required for the sustainment of the Fourth Estate Manpower Tracking System (FMTS). It supports the FMTS Configuration Management Plan and compliance with Configuration Management and Information Assurance (IA) requirements documented in Attachment 3 to Enclosure 4 of DoDI 8500.2, *Information Assurance Implementation*, February 6, 2003, for Mission Assurance Category III DoD information systems.

The process and procedures documented in this plan will be used as the basis for all FMTS CM activities and are supplemented by the FMTS Change Control Board (CCB) Charter, the FMTS Change Request (CR) Guide and the FMTS CR Form.

Summary of Changes

<u>DATE</u>	<u>AUTHOR</u>	<u>CHANGE</u>

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FMTS Change Management

1.0. Introduction

The Fourth Estate Manpower Tracking System (FMTS) is the authoritative manpower data system for the Office of the Secretary of Defense (OSD), the Office of the DoD Inspector General, the non-Intelligence Defense Agencies and DoD Field Activities, the Joint Staff, the Combatant Commands, and the Chairman of the Joint Chiefs of Staff (CJCS) controlled activities (collectively termed “the 4th Estate”). FMTS consists of unclassified and classified instances. The system is used for all manpower data management and reporting, to include force structure, positions and associated manning information. Additionally, the system is used to identify the personnel assigned to positions and is used by the Joint Community to store Individual Augmentee (IA) manpower and personnel data for J1-PRD in addition to Permanent Party Data. FMTS provides joint mission-area personnel status updates to the Joint HQs, supports the personnel and manpower information needs of the Joint Staff, and supports the manpower needs of the unified commands. The magnitude and complexity of changing two instances of FMTS and keeping them synchronized is acknowledged by Personnel & Readiness Information Management (P&R IM), as the system Program Management Office (PMO).

1.1. Overview

Change Management (CM) is the process of planning, coordinating, implementing and monitoring changes affecting FMTS. The FMTS CM Plan defines how the change process is implemented for all FMTS environments. The objectives of the plan are to:

- Provide details on how changes to the FMTS requirements are identified and managed.
- Define the roles and responsibilities of key parties in the FMTS CM process.
- Minimize the delays in providing required changes to the FMTS users
- Support FMTS Configuration Management and Information Assurance compliance with Mission Assurance Category III information assurance requirements.

1.2. Scope

- The scope of the activities described in this plan is restricted to the formal CM process instituted by P&R IM, who oversees the life cycle management of FMTS. As policies evolve or technical advances are introduced, all changes to FMTS will be managed as outlined in this plan. This includes the proposing, reviewing, and prioritizing of any installation or alteration to the application software which adds to, deletes from, or modifies the classified instance of FMTS (FMTS SIPR) or the unclassified instance of FMTS (FMTS NIPR) production environments.

The FMTS Change Management (CM) Plan is to be used as a guideline for understanding the FMTS change management program instituted by P&R IM. The Executive Council Charter and the Change Control Board (CCB) Charter are the governance documents for FMTS. The

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Change Request Guide and the Change Request Form support the CM Plan and provide additional information and guidance.

2.0. Change Identification

Change identification is the process of documenting, and maintaining the baseline configuration of the system. Change identification is required for managing changes throughout the life-cycle of the system. The change identification process includes:

- The establishment and maintenance of the functional requirements baseline.
- The identification of the change and, where applicable, all supporting references and documentation.
- The determination of the types of documentation required for each change, if applicable.
- The issuance of a change identifier (Change Request (CR) number) to uniquely identify each change, as well as the documentation which defines and supports the change.
- The implementation of functional requirements and their associated documentation.

3.0. Change Control

The primary purpose of change control is to manage changes to the functional requirements baseline. This includes the identification of change requirements, and the implementation of approved changes. The change control process includes the following:

- CR submission by users to Organization Administrators (OAs).
- Endorsement and submission of CR by OAs.
- Logging and assessment of each CR.
- PMO Program Manager's (PM) initial review and prioritization.
- Evaluating each CR for enterprise-wide application and criticality.
- Determining the cost, risk, and schedule to implement each CR.
- Conducting CCB meetings.
- Developing, testing, and fielding approved changes.
- Closing out the CR

4.0. Change Requests

Proposed changes to FMTS will be submitted in the format of a change request (CR). A sample CR Form and the field descriptions are available in the FMTS Change Request Guide found on the P&R IM web site at http://www.prim.osd.mil/init/init_fourthestatemanpower.html. When either a new requirement or a change to an existing requirement is proposed, the Submitter will forward their completed request form to their Organization Administrator (OA) for review and endorsement. Office of the Under Secretary of Defense (OUSD) Personnel and Readiness (P&R) policy staff may submit change requests directly to P&R IM. Users assigned to the Joint Staff,

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US Elements of NATO, or US Mission to the United Nations may submit request forms through JS J1, who acts as the OA for these organizations.

Once a change has been endorsed by the OA, the OA will forward the CR to the appropriate FMTS Support Team (FST) Help Desk email account for processing:

NIPRNET	js.pentagon.j1.list.fmts-service-desk@mail.mil
SIPRNET	JSOCIOServiceDesk@js.smil.mil

The FST will enter the CR into a database for tracking and documentation purposes. The submitting OA will receive electronic acknowledgement from the FST that the CR has been received and is in review status.

4.1. Types of Changes

The Change Management (CM) Plan applies to changes to the FMTS application software. The following is a description of the types of changes that can take place.

- Application Changes – Changes to any application code that is running on or linked to by any hardware or software in the FMTS production environment. These changes are typically made to enhance function or performance, or to fix a known error.
- Software Changes – All software changes, patches and updates to the operating system, to include software version upgrades, as well as vendor supplied products (PeopleSoft, PeopleTools, WebLogic, etc.).

Changes will be entered in the FMTS change management database.

Changes to FMTS are considered to be either “technical” or “functional.” For the purpose of this plan, technical changes are those required for the maintenance, sustainment or usability of the system. Functional changes are those requested by an Organization Administrator (OA), changes required by evolving business practices, or changes required by law, policy, or regulation.

The FMTS PM has the authority to approve any technical change. All functional changes must be reviewed by the CCB. The FMTS PM may elevate a technical change to the CCB, if they consider it in the best interest of the FMTS program.

4.2. Resources

Changes to FMTS are subject to the availability of resources and contractual limitations. Approved changes may be deferred accordingly. The FMTS CCB may approve changes to meet emerging functional, policy, or legislative requirements. Within existing resources, changes will be funded based on the following order of precedence:

- Emergency restoral of functionality or access.

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- Compliance with Information Assurance requirements.
- Implementation of vendor-provided patches and current versions.
- Compliance with emerging regulatory requirements.
- Functionality changes affecting the enterprise.
- Unique requirements affecting an organization

The FMTS PM has final decision authority on what changes will be funded.

5.0. Roles and Responsibilities

The FMTS Change Request (CR) process involves OAs, the FST, the FMTS PMO, and the FMTS Change Control Board (CCB).

5.1. Organization Administrator

The OA is the single point of contact between their organization users and the FST for individual CRs. The responsibilities of the OA in the CM process include:

- Communicating between their organization users and the FST.
- Reviewing proposed CRs submitted by their organization's Users to ensure compliance with the guidance contained in the FMTS Change Request Guide located on the P&R IM web site.
- Ensuring all change requests include complete documentation.
- Endorsing/disallowing proposed CRs submitted by their organization's Users.
- Submitting endorsed CRs to the FST.
- Supporting analysis of CRs by the FST to ensure the scope and requirements of the CR are fully documented.
- Representing their organization at CCB meetings when their organization's CRs are being reviewed.

5.2. Program Management Office (PMO)

OSD (P&R) IM serves as the FMTS PMO and has overall responsibility for ensuring the quality of the CM process. Specific responsibilities include:

- Developing and implementing the CM process, in line with OUSD (P&R) strategies.
- Escalating disagreements on proposed changes to the FMTS Executive Council Chairperson, as appropriate.
- Ensuring all parties comply with CM process standards and procedures.
- Sponsoring internal improvement projects to implement new technology and process improvement.
- Communicating CM process procedures and standards to the FMTS user community.
- Attending appropriate senior management level service support and development reviews.

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- Developing requirements for CM standards, procedures, measurements, tools and technology in coordination with the FST Lead.
- Approving or disapproving technical changes to FMTS required for the maintenance or sustainment of the system.
- Work with the Joint Staff J-1's Change Control Board (CCB) member to prioritize the list of proposed changes that affect the manpower and workforce modules of FMTS.
- Submitting functional CRs to the CCB for their review.

5.3. Change Control Board

The FMTS Change Control Board (CCB) is the primary authority for the approval or disapproval of all proposed functional changes to FMTS, and will function throughout the life cycle of FMTS. The responsibilities of the CCB in the CM process include:

- Promote a cooperative environment for making change management (CM) decisions regarding the modification of the FMTS enterprise application.
- Review each CR with regard to its ability to support the business needs of all stakeholders and its criticality.
- Discuss the prioritized list of CRs provided by the CCB Chairperson
- Provide recommendation to approve, disapprove, defer, or request further analysis of the CR
- Consider the business enterprise applicability for all of the supported users and the effects on the enterprise application.
- Examine the costs and benefits data for feasibility of the recommended change.
- Ensure that security features are not compromised or circumvented when approving changes to FMTS software, hardware, and supporting infrastructure.

The FMTS CCB consists of the following voting members:

- CCB Chairperson-FMTS Program Manager
- Joint Staff J-1 Manpower and Personnel (Representing Joint organizations)
- Total Force Planning and Requirements (TFP&RQ)
- Office of the Director Administration and Management (ODA&M)
- Defense Civilian Personnel Advisory Service (DCPAS)

The Associate Members listed below represent other OSD or Joint organizations with an interest in FMTS. They are permitted to participate in the FMTS CCB discussions but cannot vote. Additional Associate Members may be identified at the discretion of the Chairperson.

- Joint Staff J-8 Force Structure, Resources, and Assessment Directorate (Joint Staff J-8)
- Defense Manpower Data Center (DMDC)
- Organization Administrators whose change requests are under consideration

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- The FST Lead (as technical advisor to the Chairperson)

6.0. CCB Meetings

The CCB will meet quarterly, or as determined by the Chairperson. The FMTS support staff will develop a read-ahead package for the CCB members in coordination with the CCB Chairperson. The FMTS support staff will conduct a pre-briefing with the CCB Chairperson to finalize the read-ahead package. The package will be delivered to the CCB members 5-7 calendar days prior to the scheduled CCB meeting. This allows members ample time to thoroughly review the materials prior to the upcoming meeting. The read-ahead package will typically include:

- A copy of the presentation and meeting agenda.
- Status of outstanding action items
- CR Recommendation Package for each change under discussion.
- Information Items for other issues to be discussed.

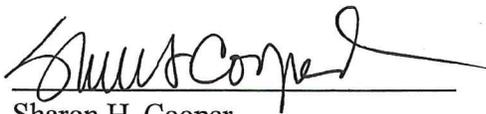
The Chairperson may initiate virtual meetings to decide on CRs.

While the CCB may approve functional changes to FMTS, approved technical and functional changes may be delayed based on funding, contractual, or other resource constraints. To ensure the CCB members are aware of the status of all changes and related issues, the FMTS PMO will provide the CCB a prioritized list and status of all approved and deferred CRs for their review and comment. The CCB will provide recommended revisions to the CR list to the PM for consideration.

7.0. CCB Appeal Process

An objective of the FMTS change review process is to identify, discuss, assess, and resolve, whenever possible, all substantive issues prior to presenting change requests to a formal CCB. Except under the most unusual circumstances, an appeal should not be used to raise new issues that should have been considered during the initial review process. FMTS OAs may appeal disapproval of a CR by the CCB to the Chairperson within 7 working days of the CCB decision. The OA will submit additional justification for the proposed change within the 7 working days to CCB Chairperson by email. The CCB Chairperson will submit the additional justification to the PMO for analysis and recommendation. If additional justification supports the CR, the Chairperson will schedule the CR for reevaluation by the CCB. Otherwise, the Chairperson will notify the OA of final disapproval of the CR.

SEP 19 2013



Sharon H. Cooper

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Date

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Glossary

Abbreviations and Acronyms

This section contains abbreviations and acronyms used throughout this document

Acronym	Definition
CCB	Change Control Board
CM	Change Management
CJCS	Chairman of the Joint Chiefs of Staff
CMDB	Change Management Database
CR	Change Request
DCE	Detailed Cost Estimate
DISA	Defense Information Systems Agency
DMDC	Defense Manpower Data Center
DoD	Department of Defense
DoDI	Department of Defense Instruction
FMTS	Fourth-Estate Manpower Tracking System
FRD	Functional Requirements Document
FST	FMTS Support Team
IA	Information Assurance
IM	Information Management
JS	Joint Staff
NIPR	Non-Secure Internet Protocol Router Network
OA	Organization Administrator
OSD	Office of the Secretary of Defense
OSD(P&R)	OSD Personnel and Readiness
PM	Program Manager
PMO	Program Management Office
PTE	Preliminary Technical Estimate
PTR	Preliminary Technical Recommendation
SIPR	Secret Internet Protocol Router Network
TDD	Technical Design Document