

## APPENDIX E

### INSTRUCTIONS FOR THE PREPARATION OF REQUEST FOR DEVIATION/WAIVER

#### E.1 GENERAL

E.1.1 Scope. This Appendix establishes uniform requirements for the preparation of the "Request for Deviation/Waiver." This Appendix is a mandatory part of the standard. The information contained herein is intended for compliance.

E.1.2 Application. The provisions of this Appendix apply whenever a request for deviation or request for waiver is prepared.

#### E.2 APPLICABLE DOCUMENTS

This section is not applicable to this Appendix.

#### E.3 DEFINITIONS

E.3.1 Definitions used in this Appendix. For purposes of this Appendix, the definitions contained in Section 3 of this standard shall apply.

#### E.4 GENERAL REQUIREMENTS

E.4.1 DD Form 1694. DD Form 1694, Figure 10, is not a requirement of this standard, and is provided for reference only. RFDs/RFWs shall be prepared in contractor format, containing the information required by this Appendix in Block Number sequence.

E.4.2 Request for deviation. The contractor shall request a deviation when, prior to manufacture, it is necessary to depart temporarily from the applicable approved configuration documentation for a specific quantity of deliverable units. Normally, for the unit(s) affected, the different configuration will be permanent. (See 5.4.3)

E.4.3 Request for waiver. The contractor shall request a waiver when, during or after manufacture, the contractor desires authorization to deliver nonconforming items to the Government which do not comply with the applicable technical requirements. For the unit(s) affected, the different configuration will normally be permanent. (See 5.4.4)

E.5 DETAILED REQUIREMENTS. Detailed instructions for completion of the RFD/RFW.

E.5.1 Block 1. Date. Enter the submittal date.

E.5.2 Block 2. Procuring activity number. To be used by Government for entry of internal processing number if desired.

E.5.3 Block 3. DODAAC. Enter the DODAAC of the procuring activity.

E.5.4 Block 4. Originator name and address. Enter the name and

address of the contractor or Government activity submitting the request. Use Block 4a for the contractor or Government activity name (inclusion of submitting individual's name is optional). Use Block 4b for the contractor or Government activity address.

E.5.5 Block 5. Deviation or waiver. Enter an "X" in the appropriate box.

E.5.6 Block 6. Classification. The deviation or waiver shall be designated minor, major, or critical in accordance with the definitions in 5.4.3.3 or 5.4.4.3 by entering an "X" in the appropriate box. When short form procedure is specified by contract, the Government representative identified in the contract will make this determination.

E.5.7 Block 7. Designation for deviation/waiver.

E.5.7.1 Block 7a. Model/Type. Enter model or type designation of the CI for which this request is being submitted. For CSCIs, enter the CSCI identification number.

E.5.7.2 Block 7b. CAGE Code. Enter the CAGE Code for the activity originating the deviation/waiver.

E.5.7.3 Block 7c. System designation. The system or top level CI designation or nomenclature assigned by the Government shall be entered, if known.

E.5.7.4 Block 7d. Deviation/Waiver number. Deviation/ waiver identification numbers shall be unique for each CAGE Code identified activity. Contractors shall include the letter "D" as part of the deviation number or the letter "W" as part of the waiver number. Once a number is assigned, that number shall be retained for all subsequent submissions. Unless otherwise authorized by the Government, deviations and waivers shall be separately and consecutively numbered commencing with number one. As an alternative, numbers may be assigned from a separate series for each system that the contractor is producing. The number of characters in the deviation/waiver number, dash number, and type identification shall not exceed 15.

E.5.8 Block 8. Configuration baseline affected. Check the applicable box for the affected baseline. When short form procedure is specified by contract, the Government representative identified in the contract will make this determination.

E.5.9 Block 9. Other system/configuration items affected. Check applicable box. If yes, provide summary data in Block 20. When short form procedure is specified by contract, the Government representative identified in the contract will make this determination.

E.5.10 Block 10. Title of deviation/waiver. Enter a brief descriptive title of the deviation or waiver.

E.5.11 Block 11. Contract number and line item. Enter the complete contract number and line item.

E.5.12 Block 12. Procuring contracting officer. Enter the procuring contracting officer's name, code and telephone number applicable to the CI shown in Block 15.

E.5.13 Block 13. Configuration item nomenclature. Enter the Government assigned name and type designation, if applicable, or authorized name and number of the CI to which the deviation or waiver will apply.

E.5.14 Block 14. Classification of defect (CD).

E.5.14.1 Block 14a. CD number. If either a Government or contractor's CD applies, enter the number assigned.

E.5.14.2 Block 14b. Defect number. If a CD applies, enter the defect number(s) which correspond(s) with the characteristic(s) from which an authorized deviation or waiver is desired.

E.5.14.3 Block 14c. Defect classification. If a CD applies check the box which states the proper classification of the defect number(s) entered in Block 14b.

E.5.15 Block 15. Name of lowest part/assembly affected. An appropriate descriptive name of the part(s) shall be given here without resorting to such terms as "Numerous bits and pieces".

E.5.16 Block 16. Part number or type designation. Enter the part number(s) of the part(s) named in Block 15 or type designation/nomenclature if applicable.

E.5.17 Block 17. Effectivity. Define the effectivity of the proposed RFD/RFW by entering, as applicable, the quantity of items affected, the serial numbers of the items affected, or the lot number(s) applicable to the lot(s) affected by the deviation or waiver being requested.

E.5.18 Block 18. Recurring deviation/waiver. Show whether the same deviation or waiver has been requested and approved previously by placing an "X" in the proper box. If "yes," reference the previous correspondence, the request number, and corrective action to be taken in Block 24. In addition, if yes, provide rationale why recurrence was not prevented by previous corrective action and/or accomplished design change.

E.5.19 Block 19. Effect on cost/price. Enter the estimated reduction or price adjustment. If no change in price, cost, or fee, so state with rationale. The request for deviation or waiver shall include the specific consideration that will be provided to the Government if this "non-conforming" unit(s) (See FAR Part 46.407) is accepted by the Government.

E.5.20 Block 20. Effect on delivery schedule. State the effects on the contract delivery schedule that will result from both approval and disapproval of the request for deviation or waiver.

E.5.21 Block 21. Effect on integrated logistics support, interface, or software. If there is no effect on logistics support or

the interface, enter the words, "No effect". If the deviation or waiver will have an impact on logistics support or the interface, describe such effects on an enclosure and reference the enclosure in this block. When short form procedure is specified by contract the Government representative identified in the contract will make this determination.

E.5.22 Block 22. Description of deviation/waiver. Describe the nature of the proposed departure from the technical requirements of the configuration documentation. The deviation or waiver shall be analyzed to determine whether it affects any of the factors listed in Block 37, 39, and 40 of DD Form 1692/2. Describe any effect on each of these factors. Marked drawings should be included when necessary to provide a better understanding of the deviation or waiver.

E.5.23 Block 23. Need for deviation/waiver. Explain why it is impossible or unreasonable to comply with the configuration documentation within the specified delivery schedule. Also explain why a deviation or waiver is proposed in lieu of a permanent design change.

E.5.24 Block 24. Corrective action taken. Describe action being taken to correct non-conformance to prevent a future recurrence.

E.5.25 Block 25. Submitting activity authorized signature. An authorized official of the activity entered in Block 4 shall sign in this block and enter title.

E.5.26 Block 26. Approval/disapproval. This block will be completed by the Government activity authorized to make the decision on the request for deviation or waiver.