

NOT MEASUREMENT SENSITIVE
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NOTICE OF CHANGE
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MIL-STD-973  
INTERIM NOTICE 2 (DO)  
24 NOVEMBER 1993

MILITARY STANDARD  
CONFIGURATION MANAGEMENT

TO ALL HOLDERS OF MIL-STD-973:

1. This Notice of Change is in response to the Government-Industry Data Exchange Program (GIDEP) Problem Advisory numbered XR1-P-93-02, dated 23 July 1993, titled "MIL-STD-973, SPECIFICATIONS AND STANDARDS, SYSTEMIC PROBLEMS." This Advisory identified problems associated with the application of MIL-STD-973 on contracts, with "who" does "what" with deliverables to the Government, and with the forms.

a. We can only concur with the Advisory when it stresses that appropriate tailoring of MIL-STD-973 is required for contractual implementation. Users of this Notice of Change are referred to paragraph 1.3 on page 1 as a reminder. Tailoring guidance is provided in paragraph 6.2 on pages 101 through 119.

b. Delivery instructions for data deliverables to the Government are not appropriate for inclusion in a MIL-STD. Such information is properly placed in the contract. Paragraphs highlighted in the Advisory as causing confusion have been revised on the change pages contained herein.

c. Corrections to the forms are being held for the next revision of the MIL-STD. In the interim, users of the forms are advised to ignore the last sentence (in bold) of the long note at the top of each form that addresses delivery of completed forms. In all cases, completed forms are to be delivered to the Government in accordance with the contract.

2. THE FOLLOWING PAGES OF MIL-STD-973 HAVE BEEN REVISED AND SUPERSEDE THE PAGES LISTED:

NEW PAGE	DATE	SUPERSEDE PAGE	DATE
53	1 DECEMBER 1992	53	REPRINTED WITHOUT CHANGE
54	24 NOVEMBER 1993	54	17 APRIL 1992
55	17 APRIL 1992	55	REPRINTED WITHOUT CHANGE
56	24 NOVEMBER 1993	56	17 APRIL 1992
61	24 NOVEMBER 1993	61	17 APRIL 1992
62	24 NOVEMBER 1993	62	17 APRIL 1992

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NEW PAGE	DATE	SUPERSEDE PAGE	DATE
63	24 NOVEMBER 1993	63	17 APRIL 1992
64	17 APRIL 1992	64	REPRINTED WITHOUT CHANGE
141	24 NOVEMBER 1993	141	17 APRIL 1992
142	24 NOVEMBER 1993	142	1 DECEMBER 1992
147	24 NOVEMBER 1993	147	17 APRIL 1992
148	24 NOVEMBER 1993	148	1 DECEMBER 1992
171	24 NOVEMBER 1993	171	1 DECEMBER 1992
172	24 NOVEMBER 1993	172	17 APRIL 1992
173	24 NOVEMBER 1993	173	17 APRIL 1992
174	17 APRIL 1992	174	REPRINTED WITHOUT CHANGE

3. RETAIN THIS NOTICE AND INSERT BEFORE TABLE OF CONTENTS.

4. Holders of MIL-STD-973 will verify that page changes indicated above have been entered. This notice will be retained as a check sheet. This issuance, together with the appended pages, is a separate publication. Each notice is to be retained by stocking points until the Military Standard is completely revised or cancelled.

5. In this Notice, pound signs (#) are used in the left margin to denote changes (additions, modifications, corrections, deletions) from the basic standard. This was done as a convenience only, and the Government assumes no liability whatsoever for any inaccuracies in these notations. Bidders and contractors are cautioned to evaluate the requirements of this document based on the entire content irrespective of the marginal notation and relationship to the basic standard.

Preparing activity:

OSD - DO

(Project: CMAN-0036)

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5.4.3.3.2 Major. A deviation shall be designated as major when:

- a. The deviation consists of a departure involving:  
(1) health; (2) performance; (3) interchangeability, reliability, survivability, maintainability, or durability of the item or its repair parts; (4) effective use or operation; (5) weight; or (6) appearance (when a factor) or
- b. When the configuration documentation defining the requirements for the item classifies defects in requirements and the deviations consist of a departure from a requirement classified as major. (See MIL-STD-109)

5.4.3.3.3 Critical. A deviation shall be designated as critical when:

- a. The deviation consists of a departure involving safety or
- b. When the configuration documentation defining the requirements for the item classifies defects in requirements and the deviations consist of a departure from a requirement classified as critical. (See MIL-STD-109)

5.4.3.4 Format. Unless otherwise specified, the contractor shall use DD Form 1694, "Request for Deviation/Waiver", (See Appendix E), a contractor designed form, or a letter to request a deviation. Each request shall contain all information required by Appendix E. If DD Form 1694 is used, the form shall be prepared in accordance with Appendix E. (See 6.3)

5.4.3.5 Disposition of deviations. Unless otherwise specified in the contract, requests for critical or major deviations should be approved or disapproved within 30 calendar days of receipt by the Government, and minor deviations should be approved or disapproved within 15 calendar days of receipt by the Government.

5.4.3.5.1 Minor deviations. Unless otherwise specified by the Government, minor deviations shall be authorized (or disapproved) for the Government by the activity authorized to approve or concur in classification of Class II changes.

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# 5.4.3.5.2 Critical and major deviations. Critical and major  
# deviations shall be approved in accordance with the terms of the  
# contract

5.4.4 Requirements for Requests for Waiver (RFW). The contractor shall not offer, for acceptance by the Government, items that incorporate a known departure from requirements, unless a request for waiver has been approved in accordance with this standard. Authorized waivers apply to a specific quantity of manufactured items and do not constitute change to the FCD, ACD, or PCD. The contractor may process a request for waiver if, during or after manufacture of an item which incorporates a known departure from requirements, it is determined that the item is considered suitable for use "as is" or after repair by an approved method. Waivers do not apply to software code listings. Where it is determined that a change should be permanent, a Class I or Class II engineering change must be processed in accordance with this standard.

5.4.4.1 Restrictions on waivers. Unless unusual circumstances exist, critical waivers and waivers which would affect service operation, logistic interoperability, or maintenance (e.g., repair parts, operation or maintenance procedures, or compatibility with trainers or test sets) shall not be requested. The effectivity of the request for waiver normally should not include the entire remaining number of deliverable units on the contract; if that is the case, an engineering change should be submitted.

5.4.4.2 Recurring waivers. Submittal of recurring waivers is discouraged and shall be minimized. If a proposed waiver is recurring (a repetition or extension of a previously approved waiver), it is probable that either the requirements of the documentation are too stringent or the corrective action of the manufacturer was ineffective. If it is necessary for a contractor to request a waiver for the same situation with the same item more than two times (or for the remainder of the contracted quantity of deliverable units), then the need for an engineering change, rather than a waiver, shall be addressed between the Government and the contractor.

5.4.4.3 Classification of waivers. Each request for waiver shall be designated as critical, major, or minor by the originator in accordance with this standard. Classification disagreements shall be referred to the Government for decision.

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5.4.4.3.1 Minor. A waiver shall be designated as minor when:

- a. The waiver consists of acceptance of an item having a nonconformance with contract or configuration documentation which does not involve any of the factors listed in 5.4.4.3.3 or 5.4.4.3.2.
- b. When the configuration documentation defining the requirements for the item classifies defects in requirements and the waivers consist of a departure from a requirement classified as minor. (See MIL-STD-109)

5.4.4.3.2 Major. A waiver shall be designated as major when:

- a. The waiver consists of acceptance of an item having a nonconformance with contract or configuration documentation requirements involving: (1) health; (2) performance; (3) interchangeability, reliability, survivability, or maintainability of the item or its repair parts; (4) effective use or operation; (5) weight; or (6) appearance (when a factor).
- b. When the configuration documentation defining the requirements for the item classifies defects in requirements and the waivers consist of a departure from a requirement classified as major. (See MIL-STD-109)

5.4.4.3.3 Critical. A waiver shall be designated as critical when:

- a. The waiver consists of acceptance of an item having a nonconformance with contract or configuration documentation involving safety; or
- b. When the configuration documentation defining the requirements for the item classifies defects in requirements and the waivers consist of a departure from a requirement classified as critical. (See MIL-STD-109)

5.4.4.4 Format. Unless otherwise specified, the contractor shall use DD Form 1694 (See Appendix E), a contractor designed form, or a letter to request a waiver. Each request shall

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contain all information required by Appendix E. If DD Form 1694 is used, the form shall be prepared in accordance with Appendix E. (See 6.3)

5.4.4.5 Disposition of waivers. Unless otherwise specified in the contract, requests for critical or major waivers should be approved or disapproved within 30 calendar days of receipt by the Government, and minor waivers should be approved or disapproved within fifteen calendar days of receipt by the Government.

5.4.4.5.1 Minor waivers. Unless otherwise specified by the Government, minor waivers shall be dispositioned by the local Material Review Board (MRB) when such a board is properly constituted, or in the absence of such MRB by the Contract Administration Office (CAO).

# 5.4.4.5.2 Critical and major waivers. Critical and major  
# waivers shall be approved in accordance with the terms of the  
# contract.

5.4.5 Parts substitutions. Unless otherwise specified by contract, part substitution for parts identified in the current approved configuration documentation of an item from the product baseline through the remainder of the item's life cycle shall conform as follows:

- a. Substitution of a non-repairable part for an item for which the contractor has configuration documentation custody shall not require a Class I or Class II engineering change or a request for deviation or waiver when:
  - (1) The part is identified as an authorized substitute or superseding part in a military specification or standard; and
  - (2) The part will not be installed in equipment to be submitted for verification and reliability demonstration tests.
- b. Substitution of a non-repairable part shall require a Class II engineering change when:
  - (1) The part substituted is determined, by the contractor having configuration documentation custody over the item, to be a preferred part over the original; or



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authorized. For parts substitutions which do not require requests for deviations see 5.4.5. Authorized deviations are a temporary departure from requirements and do not constitute a change to the ACD, FCD, or PCD. Where it is determined that a change should be permanent, an ECP must be processed in accordance with 5.4.2.

5.4.8.3.1 Restrictions on deviations. Unless unusual circumstances exist, requests for deviations affecting safety shall not be submitted. Requests for deviations which would affect service operation or maintenance should not be submitted or authorized as deviations. Such changes that will affect specifications, drawings or technical manuals shall be proposed and processed as ECPs.

5.4.8.3.2 Recurring deviations. Submittal of recurring deviations is discouraged and shall be minimized. If a proposed deviation is recurring (a repetition or extension of a previously approved deviation), it is probable that either the requirements of the documentation are too stringent or the corrective action of the manufacturer was ineffective. If it is necessary for a contractor to request a deviation for the same situation with the same item more than two times, then the need for an engineering change, rather than a deviation, shall be addressed between the Government and the contractor.

5.4.8.3.3 Deviation format. DD Form 1694 (See Appendix E) shall be used for all requests for deviations unless otherwise specified by contract. The form shall be prepared in accordance with Appendix E. Local reproduction of the form is authorized. (See 6.3)

5.4.8.3.4 Deviation significant factors. The following factors are significant in evaluating the effects of a deviation: (1) health; (2) safety; (3) performance; (4) interchangeability, reliability, survivability, maintainability, or durability of the item or its repair parts; (5) effective use or operation; (6) weight; (7) appearance (when a factor); or (8) cost to the Government.

5.4.8.3.5 Deviation review and approval. Unless otherwise specified in the contract, minor deviations which do not affect any factor listed in 5.4.8.3.4 will be approved (or disapproved) for the Government by the CAO. Deviations affecting one or more of the factors listed in 5.4.8.3.4 can be authorized only by the PCO or their specifically designated representative. Requests for deviations will be processed within 30 calendar days of receipt by the Government.

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5.4.8.4 Requirements for waivers. Supplies or services which do not conform in all respects to the contract requirements normally are rejected. An item which through error during manufacture does not conform to the specified configuration documentation shall not be delivered to the Government unless a waiver has been processed and granted in accordance with this standard.

5.4.8.4.1 Restrictions on waivers. Unless unusual circumstances exist, requests for waivers affecting safety will not be authorized. ECPs shall be used for such deficiencies.

5.4.8.4.2 Recurring waivers. Submittal of recurring waivers is discouraged and shall be minimized. If a proposed waiver is recurring (a repetition or extension of a previously approved waiver), it is probable that either the requirements of the documentation are too stringent or the corrective action of the manufacturer was ineffective. If it is necessary for a contractor to request a waiver for the same situation with the same item more than two times (or for the remainder of the contracted quantity of deliverable units), then the need for an engineering change, rather than a waiver, shall be addressed between the Government and the contractor.

5.4.8.4.3 Waiver format. DD Form 1694 (See Appendix E) shall be used for all requests for waivers unless otherwise specified by contract. The form shall be prepared in accordance with Appendix E. Local reproduction of the form is authorized. (See 6.3)

5.4.8.4.4 Waiver significant factors. The following factors are significant in evaluating the effects of a waiver: (1) health; (2) safety; (3) performance; (4) interchangeability, reliability, survivability, maintainability, or durability of the item or its repair parts; (5) effective use or operation; (6) weight; (7) appearance (when a factor); or (8) cost to the Government.

5.4.8.4.5 Waiver review and approval. Unless otherwise specified by the procuring activity, waivers which involve only defects classified as "minor" and which do not affect any of the factors listed in 5.4.8.4.4 will be reviewed and dispositioned by the cognizant CAO. Unless otherwise specified by the procuring activity, waivers which have an effect on any of the factors listed in 5.4.8.4.4 shall be reviewed by the CAO, as appropriate, and forwarded to the PCO with recommendations. Waivers which



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# affect one or more of the factors listed in 5.4.8.4.4 can be granted only by the PCO or a specifically designated representative. (See MIL-STD-1520 for additional guidance.) Requests for waivers will be processed within 30 calendar days of receipt by the Government.

### 5.5 Configuration Status Accounting (CSA).

5.5.1 Purpose of CSA. The purpose of CSA is to assure accurate identification of each CI and delivered unit so that the necessary logistics support elements can be correctly programmed and made available in time to support the CI. An adequate and accurate CSA will enhance program and functional manager's capabilities to identify, produce, inspect, deliver, operate, maintain, repair, refurbish, etc., CIs in a timely, efficient, and economical manner in satisfying their assigned responsibilities.

5.5.2 CSA requirements. The contractor's information system shall be capable of meeting contractual requirements for CSA. Appendix H, as tailored in the contract, establishes requirements for CSA of the documentation and identification numbers which describe CIs, the processing and implementation of changes to CIs and their associated documentation, and the actual configuration of units of CIs. (See 6.3)

5.5.3 Preferred information system. The contractor shall provide CSA information from the contractor's information system to the maximum extent possible. Where information beyond the existing contractor system is required by the Government to be included in the data base or in the formatted output, such additional information shall be provided as supplements to the existing system without disrupting the existing system or requiring the generation of a completely new system for the Government.

5.5.4 Retention of historical data base. The contractor shall retain a complete historical record of all the information required by the Government to be stored in the system. Such historical information shall be formatted and maintained in such a manner that it can readily be copied, in total or by specific elements identified by the Government, for transfer in a format specified in the contract.

5.5.5 CSA data elements. The contractor shall utilize the data elements identified and defined in Appendix I as a guide in the preparation of all applicable CSA records and reports. (See 6.3)

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5.5.6 Contractor focal point. The contractor shall identify a focal point for the CSA system to interface with the data base users.

5.5.7 CSA analysis requirements. The contractor shall review and analyze CSA data. When potential or actual problems/delinquencies which impact the Government are detected, the contractor shall contact the Government within one business day to establish a course of action to rectify the situation. In addition:

- a. Analysis shall be performed to detect trends in the problems reported.
- b. Corrective actions shall be evaluated to: (1) verify that problems have been resolved, adverse trends have been reversed, and changes have been correctly implemented in the appropriate processes and products, and (2) to determine whether additional problems have been introduced.

5.5.8 Reporting accomplishment of retrofit changes. When units already accepted by the Government are returned to the contractor, either for prolonged use or for specific retrofit action, the contractor shall document the incorporation of all retrofit changes to those units in his custody and shall report the status of those units. Appendix J delineates the detailed procedures for reporting accomplishment of retrofit changes by the contractor. These procedures shall be used to report accomplishment, in accordance with retrofit instructions, at the contractor's home plant, at other contractor-operated activities, and at Government operated activities, as directed by the Government. (See 6.3)

5.6 Configuration audits. FCA and PCAs will normally be conducted by the Government prior to acceptance of a CI and prior to establishing the PBL.

5.6.1 Contractor participation and responsibilities. The contractor shall be responsible for supporting Government conducted configuration audits in accordance with the following requirements except as amended by the contract.

5.6.2 Subcontractors and suppliers. The contractor shall be responsible for insuring that subcontractors, vendors, and suppliers participate in Government configuration audits, as appropriate.

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INSTRUCTIONS FOR THE PREPARATION OF AN ECP  
UTILIZING DD FORMS 1692 THROUGH 1692-7

D.1 GENERAL

D.1.1 Scope. This Appendix establishes uniform requirements for the preparation of DD Forms 1692 through 1692/6, Engineering Change Proposal, Pages 1-7. This Appendix is a mandatory part of the standard. The information contained herein is intended for compliance.

D.1.2 Application. The provisions of this Appendix apply to all ECP preparing activities and to proposed engineering changes for systems, CIs, HWCIs, and CSCIs.

D.2 APPLICABLE DOCUMENTS

This section is not applicable to this Appendix.

D.3 DEFINITIONS

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

D.4 GENERAL REQUIREMENTS

D.4.1 Use of the ECP forms. DD Forms 1692 through 1692/6 (See Figures 9a - 9g) shall be used for the submission and processing of all class I engineering changes. When ECP Short Form procedures are specified, only DD Form 1692 (Page 1), with applicable enclosures is required. Supplemental page(s) may be used with the ECP forms as necessary.

D.4.2 Supporting data. In addition to the information required by this Appendix, the ECP package shall include supporting data. (See 5.4.2.2.3.3)

D.4.3 Local reproduction. Local reproduction of DD Forms 1692-1692/6 is authorized.

D.4.4 Distribution statement. The appropriate distribution markings shall be affixed to the ECP package in accordance with the requirements of the contract. (See MIL-STD-1806)

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D.5 DETAILED REQUIREMENTS. Detailed instruction for completion of the DD Forms 1692 through 1692/6.

D.5.1 DD Form 1692, "Engineering Change Proposal, Page 1". (See Figure 9a).

D.5.1.1 Block 1. Date. Enter the submittal date of the ECP or of the revision to the ECP.

D.5.1.2 Block 2. Procuring activity number. To be used by Government for entry of internal processing number, if desired.

D.5.1.3 Block 3. DODAAC. Enter the DODAAC of the procuring activity.

D.5.1.4 Block 4. Originator name and address. Enter the name and address of the contractor or Government activity, submitting the ECP. 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.

D.5.1.5 Block 5. Class of ECP. Enter I or II for the applicable ECP as defined in 5.4.2.2.1 or 5.4.2.4. When ECP short form procedure is specified by the contract, the Government # representative identified in the contract shall assign the change # classification.

D.5.1.6 Block 6. Justification code. Enter the justification # code, as defined by 5.4.2.3.2, which is applicable to the proposed # Class I engineering change. When short form procedure is specified # in the contract, the Government representative identified in the # contract will assign the appropriate justification code for other than VECPS.

CODES

B - Interface  
C - Compatibility  
D - Deficiency  
O - Operational or logistics support  
P - Production stoppage  
R - Cost Reduction  
S - Safety  
V - Value engineering

D.5.1.6.1 Value engineering ECP. When the contract contains a value engineering clause, each value engineering ECP shall be identified both by the "V" in Block 6 and by the entry of the following notation at the top of Page 1 of the ECP form: "VALUE ENGINEERING CHANGE PURSUANT TO CONTRACT CLAUSE."

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D.5.1.22 Block 22. Effect on production delivery schedule.  
State the estimated delivery schedule of items incorporating the change, either in terms of days after contractual approval, or by specific dates contingent upon contractual approval by a specified date. If there will be no effect on the delivery schedule, so state. For a complex ECP, or for related ECPs, this delivery date will be repeated on the milestone chart together with the schedule for other interrelated actions.

D.5.1.23 Block 23. Retrofit.

# D.5.1.23.1 Block 23a. Recommended item effectivity. When the contractor recommends that the engineering change be accomplished in accepted items by retrofit, the quantities and serial (or lot) numbers of accepted items in which the change will be incorporated by retrofit shall be entered in Block 23a, or in a referenced enclosure. Such statement regarding items currently in production shall be based upon the estimated approval date of the ECP.

D.5.1.23.2 Block 23b. Ship/vehicle class affected. When the delivered CI is installed in one or more ship/vehicle classes, enter the identification of such classes. Not applicable when ECP Short Form procedure is specified by contract.

# D.5.1.23.3 Block 23c. Estimated kit delivery schedule. State estimated kit delivery schedule by quantity and date. When special tooling for retrofit is required for Government use, reference an enclosure in Block 23c on which is specified the dates of availability of tools, jigs, and test equipment required in conjunction with the kits to accomplish the change.

D.5.1.23.4 Block 23d. Locations or ship/vehicle numbers affected. State the location(s) at which retrofit is to be accomplished. If retrofit is to be accomplished in ships (or in vehicles for which the serial numbers are not shown in Block 23), enter the ship hull numbers (or vehicle numbers). Not applicable when ECP Short Form procedure is specified by contract.

# D.5.1.23.5 For CSCI changes which are to be incorporated as part of a hardware or equipment change, and where implementation of the CSCI change is per a hardware retrofit schedule, or where the fielded version of the software is to be replaced,  
#  
#  
#

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# the appropriate information will be included in Blocks 23a - 23d  
# either directly or by reference.

D.5.1.24 Block 24. Estimated costs/savings under contract.  
Enter the total estimated costs/savings impact of the ECP on the contract for the subject CI. This Figure normally will be the same as that in column 5, line e, of DD Form 1692/3 (Page 4). (Savings shall be shown in parentheses.)

D.5.1.25 Block 25. Estimated net total costs/savings. Enter the total estimated costs/savings impact of the basic and all related ECPs, including other costs/savings to the Government. This Figure normally will be the same as that in column 6 the bottom line of Page 4 or, if there are related ECPs, in column 4, line e, of Page 5. Not applicable when ECP Short Form procedures are specified by contract.

D.5.1.26 Block 26. Submitting activity authorized signature.  
# An authorized official of the activity entered in Block 4 shall sign this block and provide title in Block 26b. This indicates the ECP has the official sanction of the submitting activity.

D.5.1.27 Block 27. Approval/disapproval. This block is for use by the Government. [Note: The Contract Administration Office will review all engineering changes. It will recommend approval or disapproval of Class I ECPs by marking Block 27a and completing Blocks 27d, 27e and 27f. It will concur or non-concur in the classification of Class II engineering changes by marking Block 27c accordingly and by completing Blocks 27d, 27e and 27f. When the Government requires approval of Class II engineering changes prior to contractor implementation, the designated approval activity will mark Block 27b accordingly and will complete Blocks 27d, 27e, and 27f. For Class I ECPs, the Government contracting officer will mark Block 27g accordingly and will complete Blocks 27h, 27i and 27j.]

D.5.2 DD Form 1692/1, "Engineering Change Proposal, Page 2", Effects on Functional/Allocated Configuration Identification. DD Form 1692/1 (See Figure 9b) is to be completed only if the proposed change affects the system specification or the item development specification(s). If a separate product function specification is used, effects on such specification of changes proposed after the PBL has been



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E.5 DETAILED REQUIREMENTS. Detailed instructions for completion of the DD Form 1694.

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

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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".

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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.

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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.