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SENSITIVE**

**MIL-STD-481B
15 JULY 1988**

**SUPERSEDING
MIL-STD-481A
18 OCT 1972**

MILITARY STANDARD

CONFIGURATION CONTROL- ENGINEERING CHANGES (SHORT FORM), DEVIATIONS AND WAIVERS



AMSC N4479

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DISTRIBUTION STATEMENT A.

Approved for public release; distribution is unlimited.

FOREWORD

1. This military standard is approved for use by all departments and agencies of the Department of Defense.
2. Beneficial comments (recommendations, additions, deletions) and any pertinent data which may be of use in improving this document, should be addressed to: Naval Air Engineering Center, Systems Engineering and Standardization Department (Code 53), Lakehurst, NJ 08733-5100, by letter or using the self-addressed Standardization Document Improvement Proposal (DD Form 1426) appearing at the end of this document.
3. This standard is intended for use in contracts involving the procurement of multi-application items or items for which the prescribed detail design was not developed by the contractor. MIL-STD-481 sets forth the requirements for preparation and submittal of an abbreviated Engineering Change Proposal (ECP). The information to be submitted emphasizes the impact on the item under contract, with very limited description of the effect on interfaces and Integrated Logistic Support (ILS). When this standard is prescribed, the procuring activity must assume the major responsibility for determinations of possible effects of the engineering change on higher level or associated items. Requirements for preparation and submittal of deviations and waivers are included.
4. Where complete descriptions of ECPs are required, MIL-STD-480 should be specified in contracts. MIL-STD-480 requires more data be submitted with an ECP, i.e., all known interfaces, specification change notices or notices of revision, detailed ILS effects and other information that would be required to completely update the functional, allocated or product configuration identification.

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1. SCOPE

1.1 Scope. This standard establishes requirements, formats and procedures for the preparation, submission and approval or disapproval of engineering change proposals (ECPs), utilizing DD Form 1693, and requests for deviations and waivers utilizing DD Form 1694.

1.2 Purpose. The purpose of this standard is to establish configuration control requirements and procedures applicable to the acquisition and modification of items procured by the Department of Defense (DoD).

1.3 Application. It is intended that this standard be applied to contracts or orders for procurement of the following:

a. multi-application or standard items which were not developed as subdivisions of a specific system;

b. items fabricated in accordance with a mandatory detail design which was not developed by the fabricator; and

c. privately developed items (e.g., commercial off-the-shelf items), when the procuring activity has determined that the application of change control to such items is necessary and that the short form ECP is applicable.

2. APPLICABLE DOCUMENTS

2.1 Government documents.

2.1.1 Specifications, standards, and handbooks. The following specifications, standards, and handbooks form a part of this document to the extent specified herein. Unless otherwise specified, the issues of these documents are those listed in the issue of the Department of Defense Index of Specifications and Standards and supplements thereto, cited in the solicitation.

STANDARDS

MILITARY

MIL-STD-109	- Quality Assurance Terms and Definitions
MIL-STD-480	- Configuration Control-Engineering Changes, Deviations and Waivers
MIL-STD-1520	- Corrective Action and Disposition System for Nonconforming Material

2.1.2 Other Government documents, drawings, and publications. The following other Government documents, drawings, and publications form a part of this document to the extent specified herein. Unless otherwise specified, the issues are those in effect on the date of the solicitation.

Cataloging Handbook H4/H8 - Commercial and Government Entity (CAGE)
DoD-4105.61M - Procurement Coding Manual

2.2 Order of precedence. In the event of a conflict between the text of this standard and the references cited herein, the text of this standard shall take precedence. Nothing in this document, however, supersedes applicable laws and regulations unless a specific exemption has been obtained.

2.3 Source of documents.

2.3.1 Government specifications, standards, and handbooks. Copies of the referenced federal and military specifications, standards, and handbooks are available from the Department of Defense Single Stock Point, Commanding Officer, Naval Publications and Forms Center, 5801 Tabor Avenue, Philadelphia, PA 19120-5099. For specific acquisition functions, these documents should be obtained from the contracting activity or as directed by the contracting officer.

3. DEFINITIONS

3.1 Definitions used. For the purpose of this standard, the following definitions apply:

3.1.1 Configuration. The functional and physical characteristics of hardware, firmware, software or a combination thereof as set forth in technical documentation and achieved in a product.

3.1.2 Configuration control. The systematic proposal, justification, evaluation, coordination, approval or disapproval of proposed changes, and the implementation of all approved changes in the configuration of a configuration item (CI) after formal establishment of its baseline.

3.1.3 Configuration identification. The selection of the documents to comprise the baseline for the systems and CIs involved, and the numbers and other identifiers affixed to the items and documents. The approved documents that identify and define the item's functional and physical characteristics in the form of specifications, drawings, associated lists, interface control documents, and documents referenced therein.

3.1.4 Configuration Item (CI). An aggregation of hardware, firmware, software, or any of its discrete portions, which satisfies an end use function and is designated for configuration management. CIs may vary widely in complexity, size and type from an aircraft, ship or electronic system to a test meter or round of ammunition. During development and manufacture of the initial (prototype) production configuration, CIs are those items whose performance parameters and physical characteristics must be separately defined (specified) and controlled to provide management insight needed to achieve the overall end use function and performance. Any item required for logistic support and designated for separate procurement is a CI.

3.1.5 Contract Administration Office (CAO). The Government office assigned the responsibilities related to the administration of contracts at the contractor's plant.

3.1.6 Deviation. A specific written authorization, granted prior to the manufacture of an item, to depart from a particular performance or design requirement of a specification, drawing or other document, for a specific number of units or a specific period of time. A deviation differs from an engineering change in that an approved engineering change requires corresponding revision of the documentation defining the affected item, whereas a deviation does not contemplate revision of the applicable specification or drawing.

3.1.7 Engineering change. An alteration in the approved configuration identification of a CI under development, delivered, or to be delivered.

3.1.8 Engineering Change Proposal (ECP). A proposed engineering change and the documentation by which the change is described, justified, and submitted to the procuring activity for approval or disapproval.

3.1.9 Privately Developed Item (PDI). An item developed at private expense and offered to the Government, with Government control of the article's configuration normally limited to its form, fit and function.

3.1.10 Procuring Contracting Officer (PCO). An individual authorized to enter into contracts and agreements on behalf of the Government, including the issuance of contract modifications that authorize approved configuration changes.

3.1.11 Waiver. A written authorization to accept an item which, during manufacture or after having been submitted for inspection, is found to depart from specified requirements, but nevertheless is considered suitable for use "as is" or after repair by an approved method.

3.2 Abbreviations & Acronyms

ACI	Allocated configuration identification
CAO	Contract administration office
CCB	Configuration control board
CD	Classification of defect
CFE	Contractor furnished equipment
CI	Configuration item
ECP	Engineering change proposal
FCI	Functional configuration identification
GFE	Government furnished equipment
GFP	Government furnished property
ILS	Integrated logistics support
MIPR	Military interdepartmental purchase request
PCI	Product configuration identification
PCO	Procuring contracting officer
PDI	Privately developed item
VECP	Value engineering change proposal

4. GENERAL REQUIREMENTS

4.1 General requirements for ECPs. The contractor shall not incorporate any change into an item, as described in the configuration identification prescribed by the contract, unless an ECP has been approved as set forth herein. Contractual authorization will be required prior to implementation of an ECP which affects contract cost, fee, schedule or technical requirements specified either in the contract or in the configuration identification prescribed directly by its identifying number in the contract. (Configuration control begins at contract award using the functional, allocated or product configuration identification prescribed by the Government and continues throughout the life of a configuration item.)

4.1.1 Format. DD Form 1693 (Figure 1). The ECP short form shall be used for all ECPs submitted under this standard. Local reproduction of this form, as illustrated by Figure 1, is authorized. The short form shall be prepared in accordance with the instructions in Appendix A.

4.1.2 Submittal. The quantities and distribution shall be as specified on DD Form 1423, Contract Data Requirements List (See paragraph 6.2).

4.2 General requirements for deviations. Prior to manufacture of a CI, if a contractor considers it necessary to depart from the mandatory requirements of the specified configuration identification, the contractor may request that a deviation be authorized. As an example, a deviation relating to an alternative material or process may be requested when it is substantiated that the delivery schedule cannot be met unless the deviation is granted. A proposed design change (ECP) may be converted to an authorized departure (deviation) at the option of the Government. Items shall not be delivered to, or accepted by the Government, which incorporate a known departure from documentation unless an ECP, deviation or waiver has been approved by the procuring activity, or unless authorized by contract.

4.2.1 Format. DD Form 1694 (Figure 2). The Request for Deviation/Waiver form shall be used for all requests for deviations unless otherwise specified by contract. The form shall be prepared in accordance with Appendix B. Local reproduction of the form is authorized.

4.2.2 Submittal. The quantities and distribution shall be as specified on DD Form 1423, Contract Data Requirements List (See paragraph 6.2).

4.3 General 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 identification shall not be delivered to the Government unless a waiver has been processed and granted in accordance with this standard. If a local Material Review Board (MRB) is properly constituted, such MRB will review and disposition minor waivers. If no MRB exists, minor waivers will be approved or disapproved by the CAO. Critical and major waivers shall be submitted to the PCO for approval or disapproval. (See MIL-STD-1520 for additional guidance.)

4.3.1 Format. DD Form 1694 (Figure 2). The Request for Deviation/Waiver form shall be used for all requests for waivers unless otherwise specified by contract. The form shall be prepared in accordance with Appendix C. Local reproduction of the form is authorized.

4.3.2 Submittal. The quantities and distribution shall be as specified on DD Form 1423, Contract Data Requirements List (See paragraph 6.2).

5. DETAILED REQUIREMENTS

5.1 ECP specifics.

5.1.1 Expediting ECPs. An ECP which, in the contractor's judgement, requires immediate action, may be initiated by telephone, message, personal contact or telecopier to be followed by the contractor's written statement within three (3) work days. If the initial reaction by the addressee of the communication is favorable, a written ECP in accordance with this standard shall be submitted as soon as practicable, but not later than 30 calendar days after the first communication.

5.1.2 Revisions and amendments to ECPs. When an ECP requires change, the contractor shall submit either a revision or amendment with a new date and appropriate notation.

5.1.2.1 Revisions. An ECP shall be revised when major alterations or changes to the initial ECP are necessary in order to describe the proposed change, and the Government concurs in the additional engineering effort involved. A revision is a completely new edition of an existing ECP. It shall supersede the original ECP or latest revision and all existing amendments. The information which differs from the original ECP shall be identified so as to be readily discerned. The first revision to an ECP shall be identified by the notation "R1" in the revision block of the ECP form. Subsequent revisions shall be identified as "R2", "R3", etc. The date of the ECP shall be the date of the revision.

5.1.2.2 Amendments. An amendment clarifies, corrects, adds to, deletes from or makes minor changes to an existing ECP. Amendments to an ECP shall explicitly state changes to the original ECP, revised ECP or prior amendment. The first amendment to an ECP shall be identified by the notation "A1" in the amendment block of the ECP form. Subsequent amendments shall be identified as "A2", "A3", etc.

5.1.3 ECP coverage. Unrelated engineering changes shall not be covered by the same ECP; rather, a separate ECP shall be prepared for each engineering change.

5.1.4 ECP supporting data. ECPs shall be supported by marked copies of drawings, other technical documentation or parts thereof and the information, as required to justify and describe the change. ECPs originated by subcontractors may be included as supporting data.

5.1.5 Classified data. Classified data essential to the evaluation and disposition of an ECP shall be submitted separately in accordance with approved security procedures and referenced in the ECP. The ECP shall bear the lowest classification authorized by regulation. For guidance, consult with the CAO. DD Form 254 of DoD Contract Security Classification

Specification applies.

5.1.6 ECP approval/disapproval.

5.1.6.1 Approval. Approval of an ECP will be achieved by: (a) the signature on the ECP form of an authorized representative of the Government procuring activity, or of a review activity delegated such authority, and by the return of an approved copy to the contractor; or by (b) contractual authorization when the ECP affects the contract (see 4.1).

5.1.6.2 Disapproval. When an ECP is disapproved, the PCO will notify the contractor of such disapproval in writing within 30 calendar days of the disapproval date giving the reason(s) for disapproval.

5.2 Deviation specifics.

5.2.1 Deviation significant factors. The following factors are significant in evaluating the effects of a deviation: (a) health; (b) safety; (c) performance; (d) interchangeability; reliability, survivability, maintainability, or durability of the item or its repair parts; (e) effective use or operation; (f) weight; (g) dimensions; (h) appearance (when a factor); or (i) cost to the Government.

5.2.2 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.

5.2.3 Deviation review and approval. Unless otherwise specified in the contract, minor deviations which do not affect any factor listed in 5.2.1 shall be approved (or disapproved) for the Government by the CAO. Deviations affecting one or more of the factors listed in 5.2.1 can be authorized only by the PCO or their authorized representative. Requests for deviations shall be processed within 30 calendar days of receipt by the Government.

5.2.4 Recurring deviations. Requests for recurring deviations shall be carefully scrutinized by the procuring activity. If a proposed deviation is recurring (a repetition or extension of a previous deviation), it is probable that either the requirements of the technical documentation are too stringent or the corrective action of the manufacturer was ineffective. In the case of the former, an ECP should be processed to change the documentation.

5.3 Waiver specifics.

5.3.1 Waiver significant factors. The following factors are

significant in evaluating the effects of a waiver: (a) health; (b) safety; (c) performance; (d) interchangeability; reliability, survivability, maintainability, or durability of the item or its repair parts; (e) effective use or operation; (f) weight; (g) dimensions; (h) appearance (when a factor); or (i) cost to the Government.

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

5.3.3 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 5.2.1 shall be reviewed and dispositioned by the local MRB subject to approval or disapproval by the cognizant CAO. Unless otherwise specified by the procuring activity, waivers which have an effect on any of the factors listed in 5.2.1 shall be reviewed by the CAO, as appropriate, and forwarded to the PCO with recommendations. Waivers of critical or major defects or waivers which affect one or more of the factors listed in 5.2.1 can be granted only by the PCO or an authorized representative. Requests for waivers shall be processed within 30 calendar days of receipt by the Government.

5.3.4 Recurring waivers. Requests for recurring waivers shall be carefully scrutinized by the procuring activity. If a proposed waiver is recurring (a repetition or extension of a previous waiver), it is probable that either the requirements of the technical documentation are too stringent or the corrective action of the manufacturer was ineffective.

6. INFORMATION FOR GUIDANCE ONLY

(This section contains information of a general or explanatory nature which is helpful, but is not mandatory.)

6.1 Consideration of data requirements. The following data requirements should be considered when this standard is applied to a contract. The applicable Data Item Descriptions (DIDs) should be reviewed in conjunction with the specific acquisition to ensure that only essential data are requested/provided and that the DIDs are tailored to reflect the requirements of the specific acquisition. To ensure correct contractual applications of the data requirements, Contract Data Requirements List (DD Form 1423) must be prepared to obtain the data, except where DoD FAR Supplement 27.410-6 exempts the requirement for a DD Form 1423.

<u>Reference Paragraph</u>	<u>DID Number</u>	<u>DID Title</u>
4.1	DI-CMAN-80644	Engineering Change Proposal (Short Form)
4.2	DI-CMAN-80640	Request for Deviation
4.3	DI-CMAN-80641	Request for Waiver

(Copies of DIDs required by civilian or Government contractors in connection with specific acquisition functions should be obtained from the Commanding Officer, Naval Publications and Forms Center, 5801 Tabor Avenue, Philadelphia, PA 19120-5099 or as directed by the contracting officer.)

6.2 Subject term (key word) listing.

Configuration
 Configuration control
 Configuration identification
 Configuration item
 Data item description
 Deviation
 Engineering change proposal
 Waiver

6.3 Changes from previous issue. Asterisks or vertical lines are not used in this revision to identify changes with respect to the previous issue due to the extensiveness of the changes.

6.4 Additional definitions. For a complete list of definitions pertaining to configuration control, see MIL-STD-480, paragraph 3.

6.5 Military coordination of certain ECPs, deviations or waivers. If the procuring activity or purchasing office is not the military activity responsible for technical requirements, the concurrence of such military activity (or in the case of a Military Inter-departmental Purchase Request (MIPR) the concurrence of the requiring department) shall be obtained prior to contractual action on an ECP affecting technical requirements of the contract or of a document prescribed directly by its identifying number in the contract.

6.6 Comments on waivers, deviations or engineering change requests (DD Form 1998). DD Form 1998 may be used by the CAO to record routing, comments and recommendations to the procuring activity when the reviewing activity does not have approval or disapproval authority.

ENGINEERING CHANGE PROPOSAL (SHORT FORM) <i>(See MIL-STD-481 for instructions)</i>		DATE (YYMMDD)	Form Approved OMB No. 0704-0188	
		PROCURING ACTIVITY NUMBER		
<small>Public reporting burden for this collection of information is estimated to average 2 hours per response, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding this burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to Washington Headquarters Services, Directorate for Information Operations and Reports, 1215 Jefferson Davis Highway, Suite 1204, Arlington, VA 22202-4302, and to the Office of Information and Regulatory Affairs, Office of Management and Budget, Washington, DC 20503.</small>				
1. ORIGINATOR NAME AND ADDRESS		2. CONTRACT NUMBER AND LINE ITEM		
		3. PROCURING CONTRACTING OFFICER		
		CODE	TEL	
4. TITLE OF CHANGE				
5. ECP NUMBER	REV	AMEND	6. CAGE CODE	7. CLASS OF ECP
				8. JUST. CODE
				9. PRIORITY
10. SPECIFICATIONS AFFECTED			11. DRAWINGS AFFECTED	
CAGE CODE	SPECIFICATION / DOCUMENT NO.		REV.	CAGE CODE
				NUMBER
				REV.
12. CONFIGURATION ITEM NOMENCLATURE / TYPE DESIGNATION / WEAPON SYSTEM CODE				13. IN PRODUCTION
				<input type="checkbox"/> YES <input type="checkbox"/> NO
14. LOWEST ASSEMBLY AFFECTED				
NOMENCLATURE		PART NO.	NSN	
15. DESCRIPTION OF CHANGE				
16. NEED FOR CHANGE				
17. EFFECT ON ASSOCIATED EQUIPMENT				
18. PRODUCTION EFFECTIVITY BY SERIAL NUMBER			19. EFFECT ON PRODUCTION DELIVERY SCHEDULE	
20. RECOMMENDED RETROFIT EFFECTIVITY	21. ESTIMATED KIT DELIVERY SCHEDULE		22. ESTIMATED COSTS / SAVINGS	
23. SUBMITTING ACTIVITY AUTHORIZED SIGNATURE			23.a. TITLE	
24. APPROVAL / DISAPPROVAL a. RECOMMEND <input type="checkbox"/> APPROVAL <input type="checkbox"/> DISAPPROVAL				
b. APPROVAL		c. GOVERNMENT ACTIVITY		DATE (YYMMDD)
<input type="checkbox"/> APPROVED			SIGNATURE	
<input type="checkbox"/> DISAPPROVED				
d. APPROVAL		e. GOVERNMENT ACTIVITY		DATE (YYMMDD)
<input type="checkbox"/> APPROVED			SIGNATURE	
<input type="checkbox"/> DISAPPROVED				

REQUEST FOR DEVIATION / WAIVER (See MIL-STD-480 or 481 for instructions)				DATE (YYMMDD)		Form Approved OMB No. 0704-0188	
Public reporting burden for this collection of information is estimated to average 2 hours per response, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding this burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to Washington Headquarters Services, Directorate for Information Operations and Reports, 1215 Jefferson Davis Highway, Suite 1204, Arlington, VA 22202-4302, and to the Office of Information and Regulatory Affairs, Office of Management and Budget, Washington, DC 20503.						PROCURING ACTIVITY NUMBER	
1. ORIGINATOR NAME AND ADDRESS						2. <input type="checkbox"/> DEVIATION <input type="checkbox"/> WAIVER	
4. DESIGNATION FOR DEVIATION / WAIVER						3. <input type="checkbox"/> MINOR <input type="checkbox"/> MAJOR <input type="checkbox"/> CRITICAL	
a. MODEL/TYPE			b. CAGE CODE	c. SYS. DESIG.	d. DEV/WAIVER NO.	5. BASELINE AFFECTED	
						<input type="checkbox"/> FUNCTIONAL <input type="checkbox"/> ALLOCATED <input type="checkbox"/> PRODUCT	
7. SPECIFICATIONS AFFECTED - TEST PLAN						6. OTHER SYSTEM / CONFIGURATION ITEMS AFFECTED	
						<input type="checkbox"/> YES <input type="checkbox"/> NO	
7. SPECIFICATIONS AFFECTED - TEST PLAN				8. DRAWINGS AFFECTED			
	CAGE CODE	SPECIFICATION / DOCUMENT NO.		REV.	CAGE CODE	NUMBER	REV.
a. SYSTEM							
b. ITEM							
c. TEST PLAN							
9. TITLE OF DEVIATION / WAIVER				9.a. WEAPON SYSTEM CODE OR DESIGNATION			
10. CONTRACT NO. AND LINE ITEM				11. PROCURING CONTRACTING OFFICER			
				CODE		TEL	
12. CONFIGURATION ITEM NOMENCLATURE				13. CLASSIFICATION OF DEFECT			
a. CD NO.		b. DEFECT NO.		c. DEFECT CLASSIFICATION			
				<input type="checkbox"/> MINOR <input type="checkbox"/> MAJOR <input type="checkbox"/> CRITICAL			
14. NAME OF LOWEST PART / ASSEMBLY AFFECTED				15. PART NO. OR TYPE DESIGNATION			
16. LOT NO.				17. QTY		18. RECURRING DEVIATION / WAIVER	
						<input type="checkbox"/> YES <input type="checkbox"/> NO	
19. EFFECT ON COST / PRICE				20. EFFECT ON DELIVERY SCHEDULE			
21. EFFECT ON INTEGRATED LOGISTICS SUPPORT, INTERFACE OR SOFTWARE							
22. DESCRIPTION OF DEVIATION / WAIVER							
23. NEED FOR DEVIATION / WAIVER							
24. SERIAL NUMBER(S) AFFECTED							
25. SUBMITTING ACTIVITY AUTHORIZED SIGNATURE				25.a. TITLE			
26. APPROVAL / DISAPPROVAL							
a. RECOMMEND <input type="checkbox"/> APPROVAL <input type="checkbox"/> DISAPPROVAL							
b. APPROVAL		c. GOVERNMENT ACTIVITY		SIGNATURE		DATE (YYMMDD)	
<input type="checkbox"/> APPROVED <input type="checkbox"/> DISAPPROVED							
d. APPROVAL		e. GOVERNMENT ACTIVITY		SIGNATURE		DATE (YYMMDD)	
<input type="checkbox"/> APPROVED <input type="checkbox"/> DISAPPROVED							

APPENDIX A

INSTRUCTIONS FOR PREPARATION OF ECP UTILIZING
DD FORM 1693 (SHORT FORM)

10. GENERAL

10.1 Scope. This appendix establishes uniform requirements for preparing the ECP short form. This appendix is a mandatory and integral part of this standard.

20. APPLICABLE DOCUMENTS (See paragraph 2.)

30. DEFINITIONS

30.1 Definitions used in this appendix. For purposes of this appendix, the definitions contained in Section 3 of this standard shall apply.

40. GENERAL REQUIREMENTS

Not applicable

50. DETAILED REQUIREMENTS

50.1 Required information. The ECP package shall provide the information required by this appendix. Enclosures (supplemented with necessary exhibits, sketches, and drawings) referenced in blocks on the ECP form, (see Figure 1), shall be used when necessary to enable an understanding of the impact of the proposed change. Local reproduction of DD Form 1693 is authorized.

50.2 ECP Short Form.

- a. Date. Enter the submittal date of the ECP or revision.
- b. Procuring activity number. To be used by procuring activity for entry of internal processing number if desired.

50.2.1 Block 1. Originator name and address. Enter the name and address of the contractor or Government activity submitting the ECP.

50.2.2 Block 2. Contract number and line item. Enter the number of the current production contract and the line item number, or in the case of a Government proposed change, the task number under which the ECP will be funded and implemented.

50.2.3 Block 3. Procuring contracting officer. Enter name, code, and telephone number of the procuring contracting officer (PCO).

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50.2.4 Block 4. Title of change. Enter a brief descriptive title indicating the purpose of the ECP.

50.2.5 Block 5. ECP number/revision/amendment. Once an ECP number is assigned to the first submittal of a change proposal, that number shall be retained for all subsequent submittals of that change proposal. The contractor shall use a numbering system that assures that a number is not assigned to more than one ECP. Regardless of what numbering system is used, ECPs should be numbered consecutively for the life of the contract. Revisions or amendments shall be formally designated and submitted as necessary (see 5.1.2.1 and 5.1.2.2).

50.2.6 Block 6. CAGE code. Enter the CAGE code identification of the activity assigning the ECP number. (See Cataloging Handbook H4/H8.)

50.2.7 Blocks 7., 8., and 9. The CAO or other review activity shall apply MIL-STD-480 in assigning Classes (Block 7), Justification Codes (Block 8) and Priorities (Block 9).

50.2.7.1 Block 7. Class of ECP. Unless otherwise specified in the contract, this block shall not be filled in by the contractor. The CAO or other designated review activity will enter the appropriate classification.

50.2.7.2 Block 8. Justification code. When the contract contains a value engineering clause, each value engineering change proposal (VECP) shall be identified both by the entry of the "V" in Block 8 and by the entry of the following notation at the top of the form: "VALUE ENGINEERING CHANGE PURSUANT TO CONTRACT CLAUSE." For other than VECs, justification codes will be entered by the cognizant CAO or other designated review activity.

50.2.7.3 Block 9. Priority. Unless otherwise specified in the contract or order, this block shall not be filled in by the contractor. The cognizant CAO or other designated review activity will enter the proper priority.

50.2.8 Block 10. Specifications affected. If specifications are affected by the ECP, their identity by code identification of the design activity, document number, and revision letter shall be entered.

50.2.9 Block 11. Drawings affected. Enter the indicated information relating to the highest level drawing affected. The code identification to be entered is that of the design activity whose number is assigned to the listed drawing(s). Other significant drawings and all drawings referenced in the item specification(s) which are affected by the ECP shall be listed on an enclosure referenced in this block.

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50.2.10 Block 12. Configuration item nomenclature. Enter the Government assigned name, type designation and weapon system code. (Refer to Procurement Coding Manual DoD 4105.61M for type designation and weapon system codes.)

50.2.11 Block 13. In production. The "yes" box shall be marked if deliveries of the item shown in Block 12 have not been completed, whereas the "no" box shall be marked if deliveries have been completed.

50.2.12 Block 14. Lowest assembly affected. An appropriate, complete descriptive name of the part(s) shall be given here without resorting to such terms as "Numerous bits and pieces". The number(s) of the part(s) shall also be entered. Additionally, applicable National Stock Numbers (NSNs) shall be entered. An attached list may be used when necessary.

50.2.13 Block 15. Description of change. Describe the nature of the engineering change in sufficient detail that it may be clearly understood and evaluated. If the engineering change cannot be described completely in words, supporting data in the form of sketches or marked drawings shall be furnished and shall be referenced in Block 15. If the contract requires compliance with a mandatory detail design, the exact revision proposed for each drawing, list or other document shall be described.

50.2.14 Block 16. Need for change. Explain why the engineering change is required. If the engineering change involves a material substitution because the specified material is unavailable, or if a redesign is required to permit use of different machining processes because the tooling and machines needed for the existing design are not on hand, so state. If the proposed engineering change is intended to improve performance, describe the proposed improvement in quantitative terms. If the engineering change is intended to eliminate a deficiency or malfunction, describe the need accordingly. If the engineering change is a cost reduction or VECP, include that statement here and reference Block 22. Previous correspondence regarding the proposed engineering change shall be referenced. The results of any testing accomplished on the item, as modified by the ECP, shall be described or reference made to an enclosed report.

50.2.15 Block 17. Effect on associated equipment. If there are known effects of the ECP on support equipment, other aspects of integrated logistic support or interfaces with their items, describe such effects on an enclosure and reference such enclosure in this block. If it is believed there is no such effect, enter the following: "No known effect."

50.2.16 Block 18. Production effectivity by serial number. Enter the contractor's estimated production effectivity point for the production items, including serial number, or other item identification (e.g., block or lot number) as approved by the Government. The firm effectivity by date and serial number shall be confirmed as soon as practicable.

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50.2.17 Block 19. Effect on production delivery schedule. Enter in this block, as appropriate, one of the following: (a) "No change in schedule", (b) specific delivery date contingent upon ECP approval by a stated date, or (c) an estimated schedule in terms of days after ECP approval.

50.2.18 Block 20. Recommended retrofit effectivity. If the contractor recommends accomplishment of the ECP in Government accepted items by retrofit (retroactive alteration), the quantities and serial (or lot) numbers of accepted items, and the unaccepted items that will not be incorporated in production, shall be entered. Such statement regarding items currently in production shall be based upon the estimated approval date of the ECP.

50.2.19 Block 21. Estimated kit delivery schedule. If retrofit kits are involved, state estimated kit delivery schedule by quantity and date.

50.2.20 Block 22. Estimated costs/savings. Enter the total estimated cost/saving impact of the ECP on the contract for the applicable item. (Savings shall be indicated by parentheses.) If a value (code V) ECP is involved, reference an enclosure showing estimated cost/saving analysis, including impact on integrated logistic support insofar as can be determined, and the additional information required by the contract clause. If both production and retrofit are involved, show a breakdown of both production and retrofit cost/savings.

50.2.21 Block 23. Submitting activity authorized signature. An authorized official of the activity entered in Block 1 shall sign in this block and enter their title in Block 23a. This indicates the ECP has the official sanction of the submitting activity.

50.2.22 Block 24. Government approval/disapproval. Unless otherwise specified by contract, ECPs shall be approved or disapproved by the Government procuring activity prior to implementation. Where intermediate level technical reviews are required, the authorized Government representative will attach comments to the ECP and place a check mark in Block 24a, recommending approval or disapproval. When the Government representative is authorized by the procurement contract to approve Class II changes before they are implemented by the contractor, the Government representative so designated shall record their decision in Block 24b and complete Block 24c. Blocks 24d and 24e are for use by the Government procuring activity when approval or disapproval authority is retained at that level.

APPENDIX B

INSTRUCTIONS FOR THE PREPARATION OF
REQUEST FOR DEVIATION UTILIZING
DD FORM 1694

10. GENERAL

10.1 Scope. This appendix establishes uniform requirements for preparing requests for deviations. This appendix is a mandatory and integral part of this standard. Information contained herein is intended to be used throughout the DoD establishment.

10.2 Application. Unless otherwise authorized by contract, DD Form 1694, (see Figure 2), shall be completed when the contractor deems it necessary to depart temporarily from the applicable technical requirements. Local reproduction of DD Form 1694 is authorized.

20. APPLICABLE DOCUMENTS (See paragraph 2.)

30. DEFINITIONS

30.1 Definitions used in this appendix. For purposes of this appendix, the definitions contained in Section 3 of this standard shall apply.

40. GENERAL REQUIREMENTS

Not applicable

50. DETAILED REQUIREMENTS

50.1 Deviation/waiver form. (See Figure 2.)

- a. Date. Enter the submittal date of the deviation.
- b. Procuring activity number. To be used by procuring activity for entry of internal processing number if desired.

50.1.1 Block 1. Originator name and address. Enter the name and address of the contractor, or Government activity, submitting the request for deviation.

50.1.2 Block 2. Deviation or waiver. Enter an "X" in the deviation box.

50.1.3 Block 3. Classification. No entry by contractor required.

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50.1.4 Block 4. Designation for deviation/waiver.

- a. Model/type. Enter model or type designation of the configuration item for which this deviation is being requested.
- b. CAGE code. Enter the CAGE code as shown in Defense Logistic Agency (DLA) Cataloging Handbook H4/H8 of the activity assigning the deviation number.
- c. System designation. The system or top level configuration item designation assigned by the Government shall be entered, if known.
- d. Deviation number. The contractor shall assign a number from a numbering system that assures the same number is not assigned to more than one request for deviation. The series of numbers assigned to requests for deviations shall be a separate series from that used for ECPs and requests for waivers. Contractors shall include the letter "D" as part of the deviation number.

50.1.5 Block 5. Baseline affected. No entry by contractor required.

50.1.6 Block 6. Other affected CIs. No entry by contractor required.

50.1.7 Block 7. Specifications affected - test plan. If the deviation is a deviation from or affects a specification or test plan, enter the identification of such document(s).

50.1.8 Block 8. Drawings affected. If the deviation is a deviation from a drawing or drawings, enter the identification of such drawing(s).

50.1.9 Block 9. Title of deviation/waiver. Enter a brief descriptive title of the deviation.

50.1.9.1 Block 9a. Weapon system code or designation. Enter the appropriate weapon system code or designation. (For example, AH-64 Apache, code - AIC; MK 48 Torpedo, code - FTL; or, F-16 Falcon, code - AFH.) Refer to DoD Procurement Coding Manual DoD 4105.61M for additional system and equipment codes.

50.1.10 Block 10. Contract number and line item. Enter the number of the prime contract and line item.

50.1.11 Block 11. Procuring contracting officer. Enter the procuring contracting officer's name, code and telephone number applicable to the CI shown in Block 12.

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50.1.12 Block 12. 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 will apply.

50.1.13 Block 13. Classification of defect.

- a. CD number. If either a Government or contractor's CD applies, enter the number assigned.
- b. Defect number. If a CD applies, enter the defect number(s) which correspond(s) with the characteristic(s) from which an authorized deviation is desired.
- c. Defect classification. If a CD applies check the box which states the proper classification of the defect number(s) entered in Block 13b. (See MIL-STD-109)

50.1.14 Block 14. Name of lowest part or assembly affected. An appropriate descriptive name of the part(s) shall be given here without resorting to such terms as "Numerous bits and pieces".

50.1.15 Block 15. Part number or type designation. Enter the number(s) of the part(s) named in Block 14 or type designation if applicable.

50.1.16 Block 16. Lot number. If lot numbers have been assigned, the number(s) applicable to the lot(s) for which the deviation is requested shall be entered. Lot may also be defined by serial numbers of the affected items.

50.1.17 Block 17. Quantity. Enter the quantity of items or period of time for which the deviation is requested.

50.1.18 Block 18. Recurring deviation. Show whether the same deviation has been requested and approved for a previous contract or lot by placing an "X" in the proper box. If "yes," reference the previous correspondence, the request number and corrective action taken in Block 23.

50.1.19 Block 19. Effect on cost/price. Whenever a reduction of effort or material will result or the item will be restricted to limited use and if the nonconformance is approved, enter the estimated reduction or price adjustment. If no change in price, cost, or fee is considered equitable, so state with rationale.

50.1.20 Block 20. Effect on delivery schedule. State the effects on the contract delivery schedule that will result from approval or disapproval of the request for deviation.

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50.1.21 Block 21. Effect on integrated logistic support, interface or software. If there is no effect on logistic support, interface or software, enter the words "No effect". If the deviation will have an impact on logistic support, interface or software, describe such effects on an enclosure and reference the enclosure in this block.

50.1.22 Block 22. Description of deviation. Describe the nature of the proposed departure from the technical requirements of the configuration identification. The deviation shall be analyzed to determine whether it affects any of the factors listed in 5.2.1. Describe any effect on each of these factors which has not been covered in Block 21. If there is no effect on any factor in 5.2.1, enter the following note: "No effect on factors in Para 5.2.1. of MIL-STD-481". Marked drawings shall be included when necessary to provide a better explanation of the deviation.

50.1.23 Block 23. Need for deviation. Explain why it is impossible or unreasonable to comply with the prescribed technical documentation within the specified delivery schedule. Also explain why a deviation is proposed in lieu of a permanent design change. If the deviation is recurring, an explanation shall be given as to the steps being taken to prevent a future recurrence.

50.1.24 Block 24. Serial number(s) affected. The contractor shall identify the affected items by serial number(s).

50.1.25 Block 25. Submitting activity authorized signature. An authorized official of the activity entered in Block 1 shall sign in this block and enter their title in Block 25a.

50.1.26 Block 26. Government approval/disapproval. If a Government representative is delegated responsibility only for review of deviations, check the box recommending approval or disapproval in Block 26a. When a Government representative is authorized by the procurement contract to approve or disapprove minor deviations and when a deviation properly classified as minor is submitted, such Government representative shall record their decision by checking either the "approved", or "disapproved" box in Block 26b and complete Block 26c. Blocks 26d and 26e are for use by the procuring activity when authority is retained at that level.

APPENDIX C

INSTRUCTIONS FOR THE PREPARATION OF
REQUEST FOR WAIVER UTILIZING
DD FORM 1694

10. GENERAL

10.1 Scope. This appendix establishes uniform requirements for preparing requests for waivers. This appendix is a mandatory and integral part of this standard. Information contained herein is intended to be used throughout the DoD establishment.

10.2 Application. Unless otherwise authorized by contract, DD Form 1694, (see Figure 2), shall be completed when the contractor desires to deliver to the Government, nonconforming items that are suitable for use "as is" or after repair by an approved method. Local reproduction of DD Form 1694 is authorized.

20. APPLICABLE DOCUMENTS (See paragraph 2.)

30. DEFINITIONS

30.1 Definitions used in this appendix. For purposes of this appendix, the definitions contained in Section 3 of this standard shall apply.

40. GENERAL REQUIREMENTS

Not applicable

50. DETAILED REQUIREMENTS

50.1 Deviation/waiver form. (See Figure 2.)

a. Date. Enter the submittal date of the waiver.

b. Procuring activity number. To be used by procuring activity for entry of internal processing number if desired.

50.1.1 Block 1. Originator name and address. Enter the name and address of the contractor, or Government activity, submitting the request.

50.1.2 Block 2. Deviation or waiver. Enter an "X" in the waiver box.

50.1.3 Block 3. Classification. No entry by contractor required.

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50.1.4 Block 4. Designation for deviation/waiver.

- a. Model/type. Enter model or type designation of the configuration item for which this waiver is being requested.
- b. CAGE code. Enter the CAGE code as shown in Defense Logistic Agency (DLA) cataloging handbook H4/H8 of the activity assigning the waiver number.
- c. System designation. The system or higher level configuration item designation assigned by the Government shall be entered, if known.
- d. Waiver number. The contractor shall assign a number from a numbering system that assures the same number is not assigned to more than one request for waiver. The series of numbers assigned to requests for waivers shall be a separate series from that used for ECPs and requests for deviations. Contractors shall include the letter "W" as part of the waiver number.

50.1.5 Block 5. Baseline affected. No entry by contractor required.

50.1.6 Block 6. Other affected CIs. No entry by contractor required.

50.1.7 Block 7. Specifications affected - test plan. If the waiver is a waiver from or affects a specification or test plan, enter the identification of such document(s).

50.1.8 Block 8. Drawings affected. If the waiver is a waiver from a drawing or drawings, enter the identification of such drawing(s).

50.1.9 Block 9. Title of deviation/waiver. Enter a brief descriptive title of the waiver.

50.1.9.1 Block 9a. Weapon system code or designation. Enter the appropriate weapon system code or designation. (For example, AH-64 Apache, code - AIC; MK 48 Torpedo, code - FTL; or, F-16 Falcon, code - AFH.) Refer to DoD Procurement Coding Manual DoD 4105.61M for additional system and equipment codes.

50.1.10 Block 10. Contract number and line item. Enter the number of the prime contract and line item.

50.1.11 Block 11. Procuring contracting officer. Enter the procuring contracting officer's name, code and telephone number applicable to the CI shown in Block 12.

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50.1.12 Block 12. Configuration item nomenclature. Enter the Government assigned name and type designation, if applicable, or authorized name and number of the CI to which the waiver will apply.

50.1.13 Block 13. Classification of defect.

- a. CD number. If either a Government or contractor's CD applies, enter the number assigned.
- b. Defect number. If a CD applies, enter the defect number(s) which correspond(s) with the characteristic(s) from which an authorized waiver is desired.
- c. Defect classification. If a CD applies, check the box which states the proper classification of the defect number(s) entered in Block 13b. (See MIL-STD-109)

50.1.14 Block 14. Name of lowest part or assembly affected. An appropriate descriptive name of the part(s) shall be given here without resorting to such terms as "Numerous bits and pieces".

50.1.15 Block 15. Part number or type designation. Enter the number(s) of the part(s) named in Block 14 or type designation if applicable.

50.1.16 Block 16. Lot number. If lot numbers have been assigned the number(s) applicable to the lot(s) for which the waiver is requested shall be entered. Lot may also be defined by serial numbers of the affected items.

50.1.17 Block 17. Quantity. Enter the quantity of items for which the waiver is requested.

50.1.18 Block 18. Recurring waiver. Show whether the same waiver has been requested and approved for a previous contract or lot by placing an "X" in the proper box. If "yes", reference the previous correspondence, the request number and corrective action taken in Block 23.

50.1.19 Block 19. Effect on cost/price. Whenever a reduction of effort or material will result or the item will be restricted to limited use, and if the nonconformance is approved, enter the estimated reduction or price adjustment. If no change in price, cost, or fee is considered equitable, so state with rationale.

50.1.20 Block 20. Effect on delivery schedule. State the effects on the contract delivery schedule that will result from approval or disapproval of the request for waiver.

50.1.21 Block 21. Effect on integrated logistic support, interface or software. If there is no effect on logistic support, interface or software, enter the words "No effect". If the waiver will have an impact

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on logistic support, interface or software, describe such effects on an enclosure and reference the enclosure in this block.

50.1.22 Block 22. Description of waiver. Describe the nature of the nonconformance from the technical requirements of the configuration identification. The waiver shall be analyzed to determine whether it affects any of the factors listed in 5.3.1. Describe any effect on each of these factors which has not been covered in Block 21. If there is no effect on any factor in 5.3.1, enter the following note: "No effect on factors in Para 5.3.1. of MIL-STD-481". Marked drawings may be included to provide a better understanding of the waiver.

50.1.23 Block 23. Need for waiver. Explain why a waiver is needed. If the waiver is recurring, an explanation shall be given as to the steps being taken to prevent a future recurrence.

50.1.24 Block 24. Serial number(s) affected. The contractor shall identify the affected items by serial number(s).

50.1.25 Block 25. Submitting activity authorized signature. An authorized official of the activity entered in Block 1 shall sign in this block and enter their title in Block 25a.

50.1.26 Block 26. Government approval/disapproval. Normally the Government representative (CAO) is authorized by the procurement contract to approve or disapprove minor waivers. Their decision shall be recorded by checking either the "approved" or "disapproved" box in Block 26b and completing Block 26c. When the Government representative has not been delegated responsibility for approval or disapproval of major or critical waivers, check the box recommending approval or disapproval in Block 26a, and complete Block 26c. Such Government representative shall then forward the form to the procuring activity for final action and signature for approval or disapproval in Blocks 26d and 26e.

CONCLUDING MATERIAL

Custodians:

Army - AR
Navy - AS
Air Force - 10

Preparing activity:

Navy - AS

Review activities:

(Project CMAN-0017)

Army - AL, AM, AT, AV, CR, EA, ER,
GL, MD, ME, MI, SC, SM, TM
Navy - EC, MC, NM, OS, SH, YD,
Air Force - 11, 26
DLA - DH
DOD - DC, DO, DS, NS

User activities:

Army - CE, MR, TE
Navy - CG, OS, SH, YD
Air Force - 19

Civil Agency Coordinating Activities:

EIA
AIA

STANDARDIZATION DOCUMENT IMPROVEMENT PROPOSAL

(See Instructions - Reverse Side)

1. DOCUMENT NUMBER

2. DOCUMENT TITLE

3a. NAME OF SUBMITTING ORGANIZATION

4. TYPE OF ORGANIZATION

VENDOR

USER

MANUFACTURER

OTHER (Specify): _____

B. ADDRESS *(Street, City, State, ZIP Code)*

5. PROBLEM AREAS

a. Paragraph Number and Wording:

b. Recommended Wording:

c. Reason/Rationale for Recommendation:

6. REMARKS

7a. NAME OF SUBMITTER *(Last, First, MI)* - Optional

b. WORK TELEPHONE NUMBER *(Include Area Code)* - Optional

c. MAILING ADDRESS *(Street, City, State, ZIP Code)* - Optional

8. DATE OF SUBMISSION *(YYMMDD)*

(TO DETACH THIS FORM, CUT ALONG THIS LINE.)