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SENSITIVE**

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**DEPARTMENT OF DEFENSE
STANDARD PRACTICE**

**UNIFIED FACILITIES CRITERIA, FACILITIES CRITERIA
AND UNIFIED FACILITIES GUIDE SPECIFICATIONS**



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FOREWORD

1. This standard is approved for use by all departments and agencies of the Department of Defense.

2. This standard establishes procedures for the development and maintenance of Unified Facilities Criteria (UFC), Facilities Criteria (FC), and Unified Facilities Guide Specifications (UFGS). Use these procedures for the planning, design, construction, operation and maintenance, sustainment, restoration, and modernization of facilities for all departments, Services, agencies, and activities of the Department of Defense.

3. Questions, comments, suggestions and recommended changes to this document can be submitted as follows:

Addressed to:

Commander, Naval Facilities Engineering Command
Capital Improvements, Engineering Criteria and Programs Office (CI1)
6506 Hampton Blvd., Norfolk, VA 23508-1278

Electronically submitted utilizing the criteria change request (CCR) on the Whole Building Design Guide (WBDG) website associated with the MIL-STD (<https://www.wbdg.org/ffc/dod/federal-military-specifications-standards/mil-std-3007>).

Since contact information can change, you may want to verify the currency of this address information using the ASSIST Online database at <https://assist.dla.mil>.

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1 SCOPE

1.1 Purpose. This standard establishes policy for developing and maintaining Unified Facilities Criteria (UFC), Facilities Criteria (FC), and Unified Facilities Guide Specifications (UFGS) as common facility standards and engineering practices for the Department of Defense (DoD) and other supported agencies.

1.2 Applicability. UFC, FC, and UFGS provide facility planning, design, construction, operation and maintenance, sustainment, restoration, and modernization criteria for facilities owned by the DoD.

1.3 Authority. This standard implements the UFC program as a component of the Defense Standardization Program and is established by House Conference Report 105-247 (9 September 1997); Tri-Service Unified Design Guidance Report to the congressional defense committees (March 1998); Office of the Deputy Under Secretary of Defense (DUSD) letter (29 May 2002); DoD Directive (DoDD) 4270.5, Military Construction (<https://www.esd.whs.mil/Portals/54/Documents/DD/issuances/dodd/427005p.pdf>); and DoD Instruction (DoDI) 4120.24, Defense Standardization Program (DSP) (<https://www.esd.whs.mil/Portals/54/Documents/DD/issuances/dodi/412024p.pdf>). The Military Departments jointly develop individual UFC, FC, and UFGS pursuant to their authorities under Title 10, United States Code, and therefore represent DoD consensus standards.

1.4 Other criteria. Where there are no UFC, FC, or UFGS, other criteria may still be in effect and will be used until superseded or incorporated into UFC, FC, or UFGS. Inactive UFC or FC documents can be used to identify requirements but will be verified and determined to be applicable prior to use.

2 APPLICABLE DOCUMENTS

2.1 General. The documents listed in this section are specified in sections 3, 4, or 5 of this standard. This section does not include documents cited in other sections of this standard or recommended for additional information or as examples. While every effort has been made to ensure the completeness of this list, document users are cautioned that they must meet all specified requirements of documents cited in sections 3, 4, or 5 of this standard, whether or not they are listed.

2.2 Government documents.

2.2.1 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 cited in the solicitation or contract.

DEPARTMENT OF DEFENSE STANDARDS

UFC 1-200-01	-	DoD Building Code (General Building Requirements)
UFC 1-300-01	-	Criteria Format Standard
UFC 1-300-02	-	Unified Facilities Guide Specifications (UFGS) Format Standard

(Copies of these documents are available online at <https://www.wbdg.org/ffc/dod/unified-facilities-criteria-ufc>.)

OFFICE OF MANAGEMENT AND BUDGET

OMB Circular A-119 - Federal Participation in the Development and Use of Voluntary Consensus Standards and in Conformity Assessment Activities, dated 10 February 1998.

(Copies of these documents are available online at <https://www.whitehouse.gov/wp-content/uploads/2017/11/Circular-119-1.pdf>.)

PUBLIC LAW

- Public Law 94-168 - To declare a national policy of coordinating the increasing use of the metric system in the United States, and to establish a United States Metric Board to coordinate the voluntary conversion to the metric system.
- Public Law 104-113 - National Technology Transfer and Advancement Act of 1995, Section 12(d), dated 7 March 1996

(Copies of these documents are available online at <https://uscode.house.gov/>.)

2.3 Order of precedence. Unless otherwise noted herein or in the contract, in the event of a conflict between the text of this document and the references cited herein, the text of this document takes precedence. Nothing in this document, however, supersedes applicable laws and regulations unless a specific exemption has been obtained.

3 DEFINITIONS

3.1 Approval authority. The Engineering Senior Executive Panel (ESEP) is the approval authority for UFC, FC, and UFGS documents. The approval authority was established as part of the House Conference Report 105-247, dated 9 September 1997, accompanying Conference Committee on House Report (H.R.) 2016, Military Construction Appropriations Act, 1998, that directed DoD and the Services to establish procedures for unification of facilities criteria. The ESEP exercises approval authority as represented on the signature page of each UFC and FC document. The ESEP has delegated approval authority for UFGS documents to discipline working groups (DWG) and functional working groups (FWG). Approval authority for UFC and FC includes authority to waive or exempt published requirements that lie within the authority of the approval authority to establish. Criteria requirements mandated by law are not to be waived or exempted.

3.2 Archived or superseded criteria documents. UFC, FC, or UFGS are designated as an archived or superseded criteria document if a newer version of the UFC, FC, or UFGS has been developed, requirements have been incorporated into other documents, requirements are available in non-Government standards, or requirements have become obsolete. Archived and superseded criteria are no longer active documents or required criteria. Archived or superseded criteria documents are retained for historical records and are available on the WBDG in archived status or may be available via retained Construction Criteria Base (CCB) standards.

3.3 Authority having jurisdiction (AHJ). The designated authority or duly authorized representative charged with administering and enforcing the provisions of the UFC, FC, and UFGS—the criteria documents. The AHJ renders interpretations of the criteria and clarifies the application of its provisions. Such interpretations and clarifications are in compliance with the intent and purpose of the criteria. Such interpretations and clarifications must not have the effect of waiving or exempting requirements specifically provided for in the criteria. The terms “building official” and “authority having jurisdiction” used in the criteria, reference codes, and standards are synonymous.

3.4 Building official. The designated authority or duly authorized representative charged with administering and enforcing the provisions of the UFC, FC, and UFGS—the criteria documents. The building official renders interpretations of the criteria and clarifies the application of its provisions. Such interpretations and clarifications are in compliance with the intent and purpose of the criteria. Such interpretations and clarifications must not have the effect of waiving or exempting requirements specifically provided for in the criteria. The terms “building official” and “authority having jurisdiction” used in the criteria, reference codes, and standards are synonymous.

3.5 Construction criteria. Construction criteria typically refers to UFGS documents.

3.6 Coordinating Panel (CP). A four-member panel composed of a senior representative of each Military Department and the Office of the Secretary of Defense (OSD) responsible for day-to-day administration and management of the UFC program under the direction of the ESEP. The CP establishes policy and procedures to execute unified facilities policy as established by the ESEP; formulates and recommends UFC program requirements to the ESEP for approval; provides coordination and oversight of the tri-Service DWGs and FWGs; and arbitrates technical and procedural differences impeding the development of unified criteria. CP representatives serve within the same organization or functional reporting chain as their respective ESEP member. The CP is composed of the Office of the Secretary of Defense for Sustainment; Air Force Civil Engineer Center, Chief, Technical Services Division, Facilities Engineering Directorate; U.S. Army Corps of Engineers, Chief, Military Engineering and Construction Technical Branch; and Naval Facilities Engineering Command, Engineering Criteria and Programs Office.

3.7 Core Unified Facilities Criteria (UFC). Core UFC documents identified in the Criteria Management System (CMS) consist of those UFC that address general building requirements, high-performance mandates, and discipline-specific systems found in most buildings. The core UFC address building code compliance, life safety, legislation compliance, and performance. The core UFC provide requirements for the majority of traditional building systems prevalent on DoD facility construction projects.

3.8 Core Unified Facilities Guide Specification (UFGS). UFGS addressing general building requirements. UFGS frequently used and directly correlated to a core UFC. UFGS that are frequently used but specialized (tied to mission, such as runways, or specialized components or systems) are considered ‘specialty’ UFGS.

3.9 Criteria change. Changes to UFC, FC, or UFGS can occur when less than 40 percent of the document pages require update, inclusive of previous changes to the document. Criteria changes are intended to facilitate quick changes to the documents and keep them current between criteria revision cycles.

3.10 Criteria management system (CMS). Web enabled computer application supporting the Tri-Service criteria programmatic and project management efforts. The application is hosted by the National Institute of Building Sciences. The CMS application provides support for: the management of UFC, FC & UFGS documents and projects associated with developing, revising or changes to the documents; tracking document revisions and change history; enabling document reviewing and commenting functionality; managing and addressing CCRs; enabling criteria workload requests for each fiscal year (FY); allowing archiving and storing document source files; tracking DWG and FWG membership listing and technical representatives; and an electronic approval and signature process associated with documents. Numerous reports and metrics associated with the criteria program can be obtained from CMS. Access to CMS is limited to authorized personnel and requires registration to access the application.

3.11 Criteria change request (CCR). A criteria change request, commonly referred to as a CCR, is a requested change or revision to the criteria. CCRs may be provided by anyone, such as but not limited to industry, private entities, or DoD personnel. CCRs are submitted electronically via links provided on the WBDG and automatically routed for adjudication to the appropriate criteria managers within DWGs or FWGs.

3.12 Criteria revision. Revisions to UFC, FC, or UFGS occur when 40 percent or more of the document pages require update, inclusive of previous changes to the document.

3.13 Defense agencies and DoD field activities. DoD agencies and field activities are those entities under oversight and management of the OSD but not part of the Military Departments of the Army, Navy, and Air Force.

3.14 Discipline working group (DWG) and functional working group (FWG). Lead representative from each Military Department responsible for the unification and maintenance of criteria documents. Each DWG or FWG is represented by one (1) member from each Military Department. The Office of the Secretary of Defense may also designate a DWG or FWG member. The establishment of DWGs align with the traditional disciplines of architecture and engineering. The establishment of FWGs align with functional or operational areas to address facility criteria requirements. DWGs and FWGs synchronize criteria development efforts within various technical areas to eliminate redundant criteria and duplication of effort. DWGs and FWGs facilitate the development, coordination, review, approval, and maintenance of UFC, FC, and UFGS. DWGs and FWGs may be collectively referred to as DWGs. Other Defense Agencies may participate on DWGs as associate members.

3.15 Discipline working group (DWG) and functional working group (FWG) listing. Discipline and functional working groups are established or eliminated dependent on current or projected criteria program management needs. The CP recommends establishment or elimination of DWGs or FWGs to the ESEP for concurrence and approval. Currently approved working groups are as listed.

DISCIPLINE	FUNCTIONAL
Architecture	Aviation
Civil	Construction
Cost Engineering	Comprehensive Planning
Electrical	Contingency Engineering
Fire Protection	Facility Space Planning
Geotechnical	Fuels
Mechanical	Medical
Pavements	Renewable Energy Generation
Structural	Security
	Specifications
	Sustainability
	Utility Control
	Waterfront

3.16 Engineering Senior Executive Panel (ESEP). A four-member panel composed of a Senior Executive Service (SES) representative from each Military Department and the OSD responsible for directing and resourcing the UFC program consistent with statutory requirements and DoD policy. The ESEP establishes UFC program policy and priorities; approves UFC documents for publication; provides

and defends funding and staff for the UFC program; resolves issues referred by the CP that may impede the unification process; and approves requests (individually for their Service) for waivers and exemptions to criteria. ESEP members are appointed by appropriate authority within each Military Department and the OSD. The ESEP is composed of representatives from the Office of the Secretary of Defense for Sustainment; Deputy Director of Civil Engineers, Deputy Chief of Staff for Logistics, Engineering and Force Protection, Headquarters U.S. Air Force; U.S Army Corps of Engineers, Chief, Engineering and Construction; and Naval Facilities Engineering Command, Chief Engineer.

3.17 Equivalencies. Alternative materials, design and methods of construction and equipment that do not lessen quality, strength, effectiveness, fire resistance, durability, and safety. In these instances, formal exemptions are not required. Note that alternative materials, design and methods of construction and equipment must not be misconstrued as a waiver or exemption.

3.18 Exceptions. A special situation where an alternative is permitted or something is excluded from a criteria requirement. Exceptions are defined in UFC, FC, or UFGS. They do not require a waiver or exemption but can require approval from an entity such as the building official or AHJ. Example:

“Stages greater than 1,000 square feet in area (93 m²) will be equipped with a Class III wet standpipe system with 1-1/2-inch and 2-1/2-inch (38 mm and 64 mm) hose connections on each side of the stage.”

“Exception: Where the building or area is equipped throughout with an automatic sprinkler system, a 1-1/2-inch (38 mm) hose connection will be installed in accordance with NFPA 13 or in accordance with NFPA 14 for Class II or III standpipes.”

3.19 Exemption. An indefinitely approved release from a UFC or FC requirement. Exemption request and approval process are addressed in Appendix A.

3.20 Facilities Criteria (FC). FC define functional requirements for specific types of facilities within a Service. Such as, child development centers, barracks, or dining facilities. Requirements are established by the Service regulatory or functional authority rather than the technical community of architects and engineers. FC are non-unified criteria and address a Service’s unique requirements.

3.21 Facility sponsor. The DoD component with a requirement for a facility or associated facility project and the responsibility to provide all funding necessary to undertake and complete the project. May also be referred to as the “project sponsor.”

3.22 Inactive criteria documents. UFC, FC, or UFGS are designated as an inactive criteria document if they have not been revised or changed to maintain requirements as current and applicable. Inactive UFC and UFGS are the result of insufficient program requirements (facility projects) requiring their use, resulting in a low return on investment (ROI) or need to maintain. Inactive criteria documents are not mandatory criteria. They are available on the WBDG and can still contain useful information; however, not all requirements/technologies may be current and should be validated on a project-by-project basis to determine mandatory requirements.

3.23 Participating organizations. The participating organizations are defined as the Army Corps of Engineers (USACE), the Naval Facilities Engineering Command (NAVFAC), and the Air Force Civil Engineer Center (AFCEC). Criteria document development is a joint effort of these organizations.

These organizations are referred to as participating organizations. The National Aeronautics and Space Administration (NASA) is considered a participating organization for the UFGS through a memorandum of understanding (MOU).

3.24 Preparing activity (PA). Lead Service assigned responsibility for the management of the criteria document. The PA can designate another Service or technical proponent to revise or change the criteria documents or portions of the criteria documents by coordinating with and designating a project technical proponent from another participating organization or technical agency.

3.25 Project sponsor. The DoD component with a requirement for a facility or associated facility project and the responsibility to provide all funding necessary to undertake and complete such projects. May also be referred to as the “facility sponsor.”

3.26 Technical proponent. A representative from a participating organization responsible for developing or coordinating the project-level effort to update a criteria document. The technical proponent can be a DWG or FWG member or other member of a participating organization or technical agency.

3.27 Technical representative (TR). Technical working-level representative from another participating organization for a particular document assigned to assist the technical proponent in the DoD component review, unification, and maintenance of a criteria document.

3.28 Tenant organization. An entity belonging to a DoD Component (Military Department or Defense organization) occupying land or facilities on an installation managed by a different DoD Component. Tenant organizations do not include non-federal public or private entities operating under a lease, easement, or license granted by the DoD component.

3.29 UFGS master database. The UFGS database is composed of the UFGS available on the WBDG.

3.30 Unified Facilities Criteria (UFC). A document that provides DoD facility design requirements. The UFC and FC format standards are addressed in UFC 1-300-01.

3.31 Unified Facilities Guide Specifications (UFGS). A document that provides DoD construction requirements. UFGS are edited by the designer of record for use on each project. The UFGS format standard is addressed in UFC 1-300-02.

3.32 Waivers. Provides authority to deviate from a UFC or FC requirement for no more than twelve months or for a length of time as designated by the approval authority. Treat waivers considered for an indefinite period of time as exemptions and follow the exemption approval process. The waiver request and approval process are addressed in Appendix A.

4 GENERAL REQUIREMENTS

4.1 Background.

4.1.1 Whole Building Design Guide (WBDG). In 1989, DoD adopted the Construction Criteria Base (CCB) information system as the official distribution method for facilities criteria. OSD and the DoD Services have been instrumental in the advancement of the CCB and have overseen its evolution into the WBDG. The WBDG provides web-based access to current facilities criteria documents for use by DoD Services, agencies, and field activities, as well as contractors performing work for DoD. Archived, superseded, and inactive criteria documents are also available via the WBDG website.

4.1.2 Unification of Facilities Criteria. Language on unified design guidance in House Conference Report 105-247, dated 9 September 1997, accompanying Conference Committee on House Report (H.R.) 2016, Military Construction Appropriations Act of 1998, directed DoD and the Services to establish procedures for unification of facilities criteria. The three Military Departments, under the auspices of the OSD, established a working group to address unification issues. The working group surveyed existing procedures, criteria, and guide specifications, evaluated the extent of criteria uniformity, identified areas where greater uniformity was practical, analyzed options for management of a uniform guidance system, and submitted a framework to the congressional defense committees in response to the House direction. This document implements that framework.

4.1.3 UFC, FC, and UFGS established. The UFC, FC, and UFGS systems were designed to standardize and streamline the process for developing, maintaining, and disseminating criteria as a result of the Military Construction Appropriations Act of 1998. The working group concluded that the use of DWGs is the most efficient method of achieving criteria uniformity. This approach maintains specialized expertise in each Service and enhances the ability to provide rapid responses to technical and programmatic issues.

4.1.4 Engineering Senior Executive Board established. The Engineering Senior Executive Board, now referred to as the ESEP, was established in 1998 by the DoD Installations Policy Board to implement the UFC and UFGS systems for DoD. The MOU on Unified Design Guidance (Unified Facilities Criteria) establishing the ESEP (initially referred to as the Tri-Service Engineering Senior Executive Board) can be reviewed at https://www.wbdg.org/FFC/DOD/udg_mou.pdf.

4.1.5 Coordinating Panel (CP) established. The CP was established in 1998. The CP is sponsored by the ESEP. The charter establishing the CP (initially referred to as the Tri-Service Design Guidance Coordinating Panel) can be viewed at https://www.wbdg.org/FFC/DOD/tsdgcgcp_charter.pdf.

4.1.6 Discipline Working Groups (DWG) established. The DWGs were established in 2003 in support of the UFC program in compliance with the charter for the CP. The charter guiding the DWG can be viewed at https://www.wbdg.org/FFC/DOD/dwg_charter.pdf.

4.1.7 SpecsIntact. SpecsIntact is an automated specification processing system developed in partnership between NASA, NAVFAC, and USACE for producing and maintaining master guide specifications and developing project specifications from master documents. Use SpecsIntact as the word processing software to edit the UFGS database. SpecsIntact can be downloaded from <https://specsintact.ksc.nasa.gov>. NASA, NAVFAC, and USACE entered into an MOU agreeing to use SpecsIntact. This SpecsIntact MOU designates NAVFAC and USACE as member agencies in the joint funding, maintenance, enhancement, and usage of the SpecsIntact system. This MOU is available on the WBDG at https://www.wbdg.org/FFC/DOD/specsintact_mou_091614.pdf.

4.1.8 NASA designated as UFGS participating organization. Subsequent to the SpecsIntact MOU for joint development, maintenance, and usage of SpecsIntact, the members identified the advantages of developing common specifications. NASA, NAVFAC, USACE, and AFCEC entered into a UFGS MOU, agreeing to jointly fund, maintain, use, unify, and support the UFGS. This MOU designates NASA as a participating organization with equal representation on the UFGS working group. This MOU is available on the WBDG at https://www.wbdg.org/FFC/DOD/ufgs_moa.pdf.

4.1.9 Return on investment (ROI). Criteria documents are developed to provide enforceable standards while providing a positive ROI. A criteria cost-benefit analysis report prepared by NAVFAC in December 2004 showed significant ROI for UFC and UFGS documents. ROI for UFC, FC, and UFGS documents are attributable to:

- a. Requirements: Reduced effort to define facility requirements associated with DD Form 1391, requests for proposals (RFP), and contract documents (design drawings and specifications)
- b. Studies: Remove the need for project studies to develop unique DoD requirements
- c. Technical evaluation: Reduce effort to resolve criteria conflicts used by different contractors in proposals
- d. Design/redesign: Reduce design costs and minimize redesign and additional design effort
- e. Construction: Material and labor savings through the use of more economical and efficient materials and systems (adoption of proven technologies)
- f. Reduce construction change orders, request for information, and rework
- g. Commissioning cost savings
- h. Construction litigation: Reduce Government liability
- i. Operations savings: Reduce functional and system inefficiencies
- j. Maintenance savings: Reduce recurring maintenance
- k. Maintenance costs: Reduce need to replace systems or fund operations and maintenance efforts
- l. Safety: Reduce safety-related costs
- m. Disposal: Reduce facility disposition and hazardous cleanup costs

4.1.10 Criteria Management System (CMS). CMS became available in December 2010 as a web-based project management system to facilitate criteria program coordination. The application was initially targeted for managing new, revised, and changes to UFC, FC, and UFGS documents and increasing project visibility. The system continues to be enhanced and provides a repository for source document files for ongoing and future management efforts associated with the criteria documents and other program functions.

4.1.11 Defense Standardization Program (DSP). DoD established the DSP program to promote standardization of materiel, facilities, and engineering practices to improve military operational readiness and reduce total ownership costs and acquisition cycle time. DoD policy is to state requirements in performance terms wherever practical and make maximum use of non-Government standards and commercial technologies, products, and practices. Key DSP documents are available at <https://www.dsp.dla.mil/Policy-Guidance/>. MIL-STD-3007 follows the requirements of the DSP program and establishes procedures for the development and maintenance of UFC, FC, and UFGS.

4.1.12 Non-Government standards (NGS). Nationally and internationally recognized technical, professional, and industry associations and societies prepare standards that may have potential application in DoD. DoD Services and agencies are required to use NGS and participate in their development to meet agency needs and objectives when consistent with the agency's mission, priorities, and budget resources.

4.1.13 Facilities Criteria (FC). The need for FC documents was established in October 2012 by the ESEP. Multiple Services having a majority of similar but some unique facility requirements shall

utilize the UFC criteria format standard but address Service-specific requirements via Service-specific chapters or placed within the body of the document for minor service unique requirements. The goal is to minimize the number of FC criteria documents and strive for UFC documents—unified requirements or a large percentage of overall unified requirements.

4.1.14 UFC, FC and UFGS Authorities. UFC, FC and UFGS are issued under the authority of the ESEP. Their enforcement of their provisions as they pertain to facility projects can be delegated to the local Component Office’s Chief Engineer’s Technical Representative. The Component Office’s Chief Engineer’s local Technical Representatives are considered the “Building Official” or “Authority Having Jurisdiction” (AHJ). Their authorities are addressed herein as well as in UFC 1-200-01. Table I shows the alignment of code responsibilities and authorities with various entities as they are addressed in the MIL-STD, UFC 1-200-01 and predominant industry standard building codes (ICC IBC and NFPA 1).

		FUNCTION			
		CODE DEVELOPMENT APPROVAL & ADOPTION	CODE ENFORCEMENT	CODE EQUIVALENCIES / ALTERNATIVES	CODE WAIVERS & EXEMPTIONS
D O C U M E N T	ICC IBC NFPA 1	ICC Code Development Committees NFPA Technical Committee on Fire Code	BO AHJ	BO AHJ	X - Board of Appeals
	UFC 1-200-01	Service Chief Engineers Engineering Senior Executive Panel	BO / AHJ	BO / AHJ	Service's Chief Engineer Engineering Senior Executive Panel member
	MIL-STD 3007	Engineering Senior Executive Panel	BO / AHJ	BO / AHJ	Service's Chief Engineer Engineering Senior Executive Panel member

BO - Building Official
 AHJ - Authority Having Jurisdiction
 ICC - International Code Counsel
 NFPA - National Fire Protection Association

TABLE I. Code Responsibilities and Authorities.

4.2 Approach. Implementation, management, and execution of the UFC, FC, and UFGS criteria programs rely on the use and adoption of non-Government standards to the maximum extent practicable. The ESEP responsibilities are identified in paragraph 3.16. The ESEP provides oversight of the CP, DWGs, and FWGs and members act individually as the approval authority for waivers and exemptions to criteria under their purview. The CP, chartered by the ESEP, works directly with DWGs and FWGs established to facilitate unification. The DWGs and FWGs are composed of technical personnel who develop unified criteria and guide specifications.

4.2.1 Establishing UFC, FC, and UFGS criteria. Criteria documents are developed to establish, implement, and provide enforceable standards. Criteria documents will adopt non-Government standards when they meet DoD requirements. They are developed using the coordinated, collective technical resources of all the Services. Criteria documents are developed in compliance with and implement the applicable requirements contained in Public Laws (P.L.), Executive Orders (E.O.), Code of Federal Regulations (CFR), DoDI, DoDD, or other higher authority documents, as applicable. Criteria documents also address facility requirements in support of mission or operational needs and establish minimum performance standards to address the total lifecycle requirements associated with facilities.

4.3 Programming and scheduling. Multiple factors, as identified in paragraph 4.4.2, and available funding are the determining parameters establishing which existing and new criteria documents are updated or developed. Funding of criteria document projects is subject to the procedures and priorities within each participating organization. Each participating organization must budget and obligate funds for new documents and general maintenance of the UFC, FC, and UFGS for which they are responsible.

These funds cover changes of a minor and unplanned nature in response to comments typically received through the CCR process.

4.3.1 Program list. Every fiscal year, each DWG and FWG identifies in CMS the criteria documents that need to be developed (new documents), revised, changed, or consolidated. Criteria document requirements, including an estimated cost of each item, shall be prioritized and submitted to the CP for use in preparing an annual composite unified criteria program planned for implementation. CMS shall be utilized to prioritize and submit the DWG or FWG list to the CP. When two or more organizations identify and provide funding for updating or developing a UFC, FC, or UFGS, a technical proponent shall be assigned by the CP to manage the funding and project effort.

4.3.2 Program coordination. The CP is responsible for coordinating and consolidating DWG and FWG requirements and develops the integrated priority list of criteria documents included in the annual unified criteria program. Selection shall be based on DWG and FWG recommendations, DoD program priorities, fiscal year defense plan priorities, priorities of each participating organization, and available resources. The integrated priority list shall be provided to the ESEP for concurrence.

4.3.3 Program management. The CMS is the official computer application that enables program management and coordination. It must be utilized and sustained to facilitate critical program functions, including:

- a. Repository of criteria source documents
- b. Criteria program list planning
- c. Project visibility and management for criteria development, changes, and revisions
- d. Criteria reviews and comment resolution
- e. Program execution and reporting
- f. Project/document approval
- g. CCR feedback and management
- h. DWG and FWG membership

4.4 Criteria development.

4.4.1 Unification and non-Government standards. Development of criteria documents is a joint effort of USACE, NAVFAC, and AFCEC. These organizations are referred to as participating organizations. NASA is considered a participating organization for the UFGS through an MOU. Other DoD organizations participate as regulatory or functional authorities and their criteria requirements are addressed through the participating organizations. All planning, design, construction, operations, and maintenance criteria for facilities shall be unified to the extent practicable. The unification process maximizes use of non-Government standards in accordance with Public Law 104-113, National Technology Transfer and Advancement Act of 1995, Section 12(d), dated 7 March 1996, and Office of Management and Budget Circular A-119, Federal Participation in the Development and Use of Voluntary Consensus Standards and in Conformity Assessment Activities, dated 10 February 1998. Figure 1 represents the reliance on non-Government standards (industry standards) as the base of the UFC, FC, and

UFGS program. Furthermore, the tiers represent the overlay of criteria requirements that leverage common standards and avoid duplication.

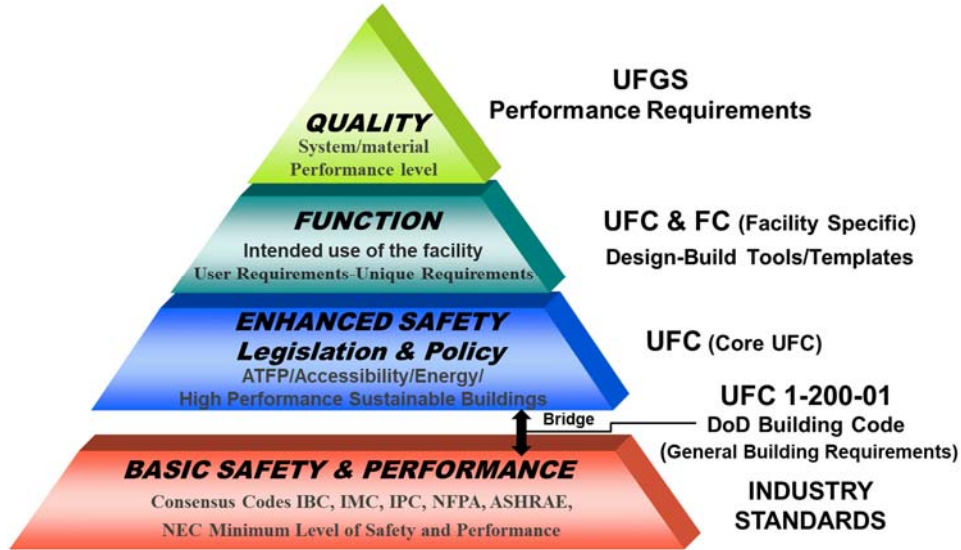


FIGURE 1. Criteria triangle.

4.4.2 Criteria development considerations. Developing, revising, or changing criteria must account for various considerations to implement effective requirements. Technical requirements, proven or mature technologies, and Service or operator requirements must be defined so they can be utilized by various users and meet permissible Federal Acquisition Regulations (FAR) and Defense Federal Acquisition Regulations (DFAR) requirements. Figure 2 depicts the various considerations that influence criteria requirements.



FIGURE 2. Criteria considerations.

4.4.3 Criteria development, revisions, and change approvals. The CP, working with recommendations and inputs from the DWGs and FWGs, manages and recommends the need for new criteria documents and criteria revisions to the ESEP via the yearly program coordination and program list. Following concurrence by the ESEP that criteria should be developed or revised, and based on available resources and funding, the appropriate DWG or FWG shall be assigned to accomplish the task. Factors such as the availability of non-Government and industry technical standards must be considered when determining the need to develop, revise, or change criteria. The process for UFC and FC criteria management is shown in Figure 3. The UFGS process is similar, with the exception that no final review and approval by the CP and ESEP is required for UFGS.

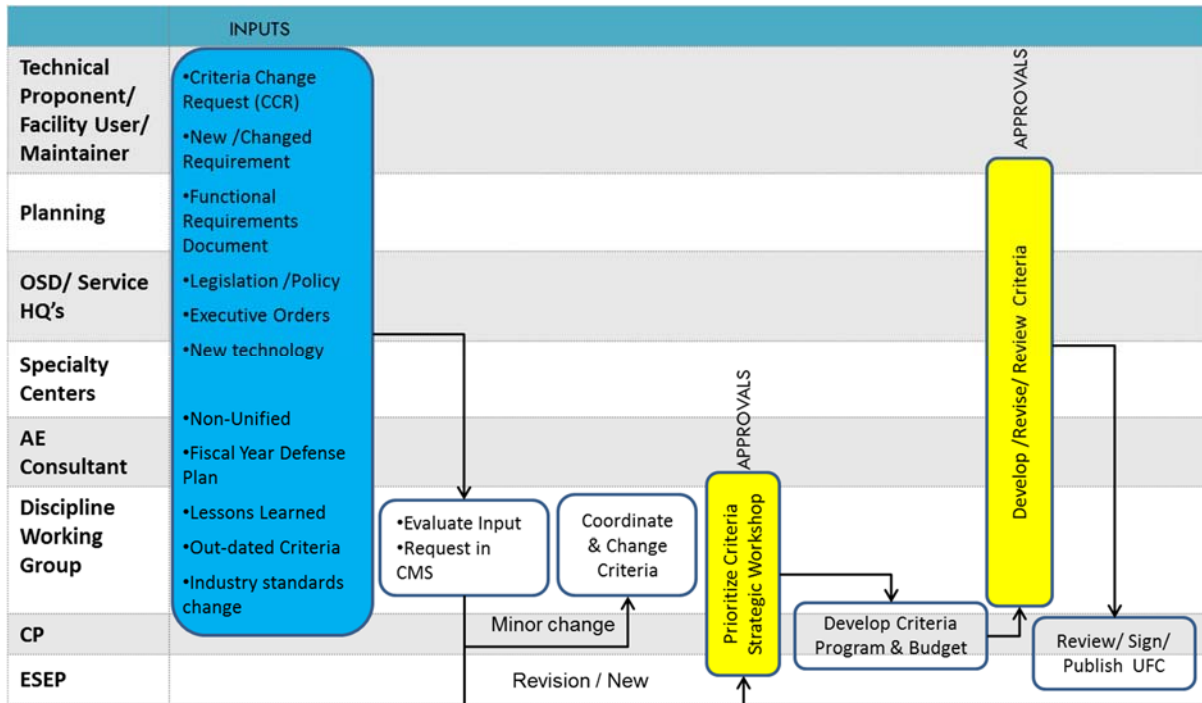


FIGURE 3. Criteria development, revision, and change process.

4.4.4 Approvals for initiating new FC. Before any new FC is approved for development, the FC requirement must be vetted through the DWG or FWG and reviewed by the CP with documented concurrence for development. This will ensure the FC is appropriate as a Service-unique requirement versus a possible unification with other Services having a similar requirement.

4.5 Metric system. Public Law 94-168 designates the International System (SI) of measurement (metric system) as the preferred system of weights and measures for United States trade and commerce. Executive Order 12770, Metric Use in Federal Government Programs, requires the use of the metric system in Federal acquisitions except when such use is "impracticable or is likely to cause significant inefficiencies or loss of markets to United States firms."

4.5.1 Requirements for use in UFC and UFGS. UFC 1-300-01 addresses the use of SI units in criteria documents and UFC 1-300-02 addresses the use of SI units in guide specifications.

4.5.2 Requirements for use in design and construction. Generally, design and construction of new or renovated facilities should consider the use of the SI system of measurement unless such use leads to inefficiencies or would be otherwise impractical. Increased initial cost or lifecycle cost is an indicator

of inefficiencies. The design agent/project manager is responsible for determining whether to use SI units on a project-by-project basis. Customer preferences or limited designer experience are not adequate justifications on their own for eliminating metric use, but are valid considerations as part of the decision process. Decisions not to use SI units must be justifiable and documented in the permanent project files. Where RFPs or similar alternatives to the design-bid-build process are used, the RFP can be issued in dual units (inch-pound and SI) with the requirement that each proposal indicate the system of units to be used by the contractor throughout. For any type of project for any Service, do not use dual units on the drawings.

4.6 Format standards. Criteria are developed, including revisions and changes, in accordance with UFC 1-300-01. Guide specifications are developed and revised in accordance with UFC 1-300-02. The most current UFC standard as referenced here is used upon initiation of the development or revision effort. Changes to criteria documents may retain older versions of the UFC standard.

4.7 Criteria availability. The ESEP signed a memorandum of agreement (MOA) with the National Institute of Building Sciences (NIBS) to assist in the development and distribution of criteria documents. This agreement is available on the WBDG website at the following link https://www.wbdg.org/FFC/DOD/wbdg_moa.pdf. All UFC, FC, and UFGS are available on the WBDG website at <https://www.wbdg.org/ffc/dod>.

5 DETAILED REQUIREMENTS

5.1 Management procedures for UFC and FC.

5.1.1 Purpose. UFC and FC are developed by individual DWGs or FWGs and approved by the ESEP. UFC and FC contain technical requirements, technical guidance, introduce new and innovative technology, or provide mandatory requirements to implement laws, regulations, executive orders, and policies prescribed by higher authority documents. UFC and FC also define performance and quality requirements for facilities to support their mission throughout their lifecycle. UFC and FC provide the most current operationally effective, cost-efficient, and safe criteria at the time of publication.

5.1.2 Issuance. UFC and FC are issued under the authority of the ESEP and are effective upon issuance. UFC and FC shall be reviewed periodically, revised or changed, and made available as part of the Departments' responsibility to provide criteria for military facilities. UFC 1-300-01 addresses revisions and changes to UFC and FC documents. UFC 1-200-01, DoD Building Code (General Building Requirements), addresses how changes and revisions are addressed for ongoing facility projects. UFC are effective upon issuance for ongoing projects as follows:

- a. Design-bid-build projects that have not proceeded beyond 35 percent design completion.
- b. Design-build projects that have not proceeded beyond date of RFP issuance. When an RFP is issued in multiple phases or steps use the date of the last phase of the RFP issuance.
- c. Projects that have a delay, either planned or unintentional, of more than 18 months between design completion and the solicitation of offers for construction must be re-evaluated to determine if any design revision is necessary due to changes in criteria (including codes and standards) or site infrastructure (such as water supply for fire department vehicle access). NOTE: The evaluation must also include retroactive requirements included in new editions of the criteria.

5.1.3 Approval. When a UFC or FC is created, revised, or changed, it shall be scheduled and coordinated electronically among the participating organizations identified in paragraph 3.23. A

description of each type of issuance is provided in Table I. It is the responsibility of the PA and the DWG or FWG to produce UFC or FC within the funds provided, meet established schedules, obtain consensus agreement of the participants, and produce technically adequate documents. For disagreements that cannot be resolved within the DWG or FWG, the matter is submitted for resolution to the CP first and to the ESEP only when necessary. UFC may specify Service-unique requirements if necessary. The DWG or FWG, while not mandatory, should consider sending drafts for review and comment to industry associations or technical and professional societies if they provide a representative cross-section of criteria audience users. Once a new, revised, or changed UFC or FC document is developed and appropriately coordinated, the PA forwards the document via the CMS electronic signature approval process. (Under Project Review Sessions, select New Session, create “CP/ESEP Approval Session,” and select QC/DWG Coordination Form.) Changes only require DWG or FWG approvals while newly created documents and revisions are routed to the DWG or FWG, CP, and ESEP for approval. The review session for newly created documents and revisions electronically initiates the QC/DWG coordination form and tracks necessary sequential approvals of the DWG or FWG, CP, and ESEP members. Upon approval, the PA forwards an electronic document file to the appropriate criteria manager for distribution of the UFC as indicated in paragraph 4.7.

Type of Issuance	UFC or UFGS Description
CLERICAL	<ul style="list-style-type: none"> • Nontechnical • Administrative • No change to technical aspects • Example: Fix typos or format
CHANGE	<ul style="list-style-type: none"> • Less than 40% of pages are changed (40% cumulative including previous changes) • Limited number of technical issues • Example: Approved CCR technical changes
REVISION	<ul style="list-style-type: none"> • 40% or more of pages have new info or cumulative changes • Complete review and refresh
NEW	<ul style="list-style-type: none"> • New document • Information not duplicated in existing documents

TABLE II. UFC or UFGS issuance actions.

5.1.4 Designation of UFC. Where criteria are unified among the participating organizations on a particular subject or where criteria have been combined into a single document, those criteria are identified by the file name only (such as UFC 1-300-01) when approved by all participating organizations in accordance with paragraph 5.1.3.

5.1.5 Designation of UFC on the same subjects. Criteria on the same subjects that are not yet combined have an alpha designation after the UFC file name: “N” for Navy, “A” for Army, and “F” for Air Force (such as UFC 1-300-05A) or a combination thereof for two Services. These alpha designators facilitate management of criteria within the participating organizations and provide identification within the WBDG and the Internet. The alpha designator does not mean the documents are not UFC.

5.1.6 Designation of FC. Criteria specific to a Service's functional requirement and to a single Service requirement are identified as FC and have an alpha designation after the FC file name: "N" for Navy, "A" for Army, and "F" for Air Force (such as FC 4-420-07F) or combination thereof for two Services. These alpha designators facilitate management of criteria within the participating organizations and provide identification within the WBDG and the Internet.

5.1.7 Draft UFC or FC review. After drafting a new, revised, or changed UFC or FC, the PA's technical representative provides an electronic version of the draft document (35 percent review, pre-final) to the technical proponents and technical representatives of all participating organizations for review and comment. Likewise, provide electronically the final review and coordination for back-check of prior comment resolution and associated edits made to the final document. CMS must be utilized to facilitate the review effort through posting of documents for review, commenting, and comment resolution. At the discretion of the DWG, FWG, or PA, additional project submittal reviews (outline/concept review or interim reviews) can be included as part of the overall review effort. A complete list of all UFC and FC with the associated PA is available on the UFCs tab in CMS.

5.1.8 Draft UFC or FC comment period. The technical representative and technical proponent from each participating organization shall coordinate their review and provide a single set of comments in CMS within four weeks of receipt of the draft UFC.

5.1.9 Final UFC or FC submittal. The PA's technical representative adjudicates all comments and incorporates as appropriate into the UFC or FC. Any questions or disagreements are discussed directly with the technical proponent who forwarded the comment and resolved. Upon completion of the final document, the technical representative forwards the document to the PA's document manager for final processing. (In a case where the technical proponent is delegated to another Service, the document manager—DWG or FWG—for the delegated Service will review and prepare the document for publication.) At the same time, a courtesy copy of the UFC or FC shall be forwarded to each reviewer who provided comments. No new comments will be accepted at this time unless there is new information introduced in the final submittal that is incorrect. When they are satisfied that their comments have been adjudicated, the DWG or FWG members of the participating organizations must provide their concurrence to the PA's technical proponent during the "CP/ESEP Approval Session" (electronic signature approval process) in CMS.

5.1.10 Concurrence by regulatory or functional authorities. Some documents require coordination and concurrence by regulatory or functional authorities having unique cognizance and authority of specific facility types and associated requirements such as medical facilities or specific technical requirements such as chemical-biological protection. Coordination and concurrence by regulatory or functional authorities is shown on the QC/DWG coordination form during the CMS electronic signature approval process. Furthermore, UFC 1-300-01 provides requirements for identifying such authorities.

5.1.11 ESEP approval. UFC or FC documents newly created or undergoing a revision require CP concurrence and ESEP approval. The process shall be initiated after the final submittal process identified in paragraph 5.1.9 using the project review "CP/ESEP Approval Session" in CMS. Comments provided during the CP or ESEP approval session must be adjudicated in CMS and necessary document changes made prior to final ESEP approvals.

5.1.12 Publication. The DWG or FWG member of the technical proponent provides the ESEP-approved document to their document manager for coordination with NIBS and publication on the WBDG. (In a case where the technical proponent is delegated to another Service different from the document PA, the PA will be notified of the publication.)

5.1.13 Records maintenance. Each participating organization—USACE, NAVFAC, and AFCEC—is responsible for maintaining records of current and superseded UFC, including revisions and changes, for each UFC or FC where they are the PA. CMS and the WBDG active, inactive, and archived status listing are maintained to reflect the document status. It is the responsibility of the PA to ensure they are correctly posted.

- a. Active: Document is the current active document providing criteria requirements.
- b. Inactive: Document is no longer being maintained as current. Criteria requirements can be considered for use but must be validated to determine applicable requirements.
- c. Archived: Document has been superseded by a new UFC or FC.

5.1.14 UFC and FC validation. Use current electronic criteria from the WBDG website (<https://www.wbdg.org/ffc/dod/unified-facilities-criteria-ufc>) to ensure the latest criteria are being used. Source documents (Microsoft® Word files) of the current documents posted on the WBDG will be posted in CMS for future revisions and changes. Source files will use the template formats required by UFC 1-300-01 to facilitate future revisions and changes.

5.1.15 Feedback. User comments and recommended changes to UFC or FC, with rationale for the changes, shall be sent electronically using the CCR link next to the electronic version of the document located at the WBDG website at <https://www.wbdg.org/ffc/dod/unified-facilities-criteria-ufc>. CCRs are not appropriate when they pertain to a specific project solicitation, RFP, or after a project award. Questions or interpretations pertaining to these documents or situation will be referred to the contracting officer.

5.2 Waivers and exemptions.

5.2.1 Definitions. Definitions of a waiver and exemption are provided in paragraphs 3.32 and 3.19, respectively. A waiver provides authority to deviate from a UFC or FC requirement for a specific period of time and an exemption provides authority to deviate from a UFC or FC requirement indefinitely.

5.2.2 Approval process. Each Service or defense agency can request a waiver or exemption from requirements set forth in individual UFC or FC for facility projects operated by that Service or agency. However, all requests shall be communicated to the technical proponents from each Service for collaboration and consistency. This central coordination facilitates improvements in the UFC or FC by ensuring all requests are considered in future document updates. The Service may grant waivers or exemptions for those facilities or projects they have cognizance over. See Appendix A for more detailed requirements associated with Services, Defense Agencies, Defense Activities, tenant organizations, and other special situations. The signature authority for the Service in publishing the document (ESEP representative) is the approval authority that waives or provides exemptions from the requirements in that document. In some instances, further approvals may be required by other authorities as may be defined in the UFC or FC. Each Service maintains its own internal process for reviewing and endorsing waivers and exemptions prior to final approval authority adjudication. This process typically involves key stakeholders, including regulatory or functional authorities, germane to the requirement in question. Appendix A provides the waiver and exemption process.

5.3 Concurrence by regulatory or functional authorities. If the document has been coordinated and has concurrence from regulatory or functional authorities then all waivers and exemptions must be coordinated with the authority for concurrence/non-concurrence prior to final waiver

or exemption approvals as addressed in 5.2.2. The waiver or exemption signature authority and the regulatory or functional authority must agree to waive or exempt from the requirements in that document. The waiver and exemption signature authority reserves the authority to disapprove waivers or exemptions having regulatory or functional concurrence when taking into account all other aspects of various requirements (for example, the exemption request represents too great a risk to life, safety, and health).

5.4 Management procedures for Unified Facilities Guide Specifications (UFGS).

5.4.1 Purpose. The UFGS are developed and maintained by the individual DWGs and approved by the DWG or FWG members of the participating organizations. The UFGS system provides official construction guide specifications defining performance and quality to support their mission throughout the facility lifecycle.

5.4.2 Issuance. UFGS are issued under the authority of the ESEP delegated to the DWG or FWG and are effective upon publication. UFC 1-300-02 addresses revisions and changes to UFGS documents.

5.4.3 Approval. When a UFGS is created, revised, or changed, it is scheduled and coordinated electronically among the participating organizations identified in paragraph 3.22. A description of each type of issuance is provided in Table I. It is the responsibility of the PA and the DWG or FWG to produce UFGS within the funds provided, meet established schedules, obtain agreement of the participants, and produce technically adequate documents. For disagreements that cannot be resolved within the DWG or FWG, the matter shall be submitted for resolution to the CP first and to the ESEP only when necessary. The DWG or FWG, while not mandatory, should consider sending drafts for review and comment to industry associations or technical and professional societies if they provide a representative cross-section of criteria audience users. Once a new, revised, or changed UFGS is developed and appropriately coordinated, the PA forwards the document via the CMS electronic signature approval process. (Under Project Review Sessions, select New Session, create "DWG Approval Session," and select QC/DWG Coordination Form.) Changes, revisions, and new UFGS only require DWG or FWG approvals. The review session for newly created documents and revisions electronically initiates the QC/DWG coordination form and tracks necessary sequential approvals of the DWG or FWG members. Upon approval, the PA forwards an electronic document file to their DWG or FWG member. The DWG or FWG forwards the electronic document and description of change or revision to the database manager for publication in the next release of the UFGS database with distribution indicated in 4.7.

5.4.4 Designation of UFGS. New and revised UFGS shall be prepared in accordance with UFC 1-300-02 using SpecsIntact. Construction Specification Institute (CSI) MasterFormat® provides section numbers in a 14-character designation format of five paired digit numbers: "NN NN NN.NN NN," where N's are numbers. CSI has named, numbered, or otherwise reserved numbering to the 4th level.

5.4.5 Designation of UFGS on the same subjects. There may be more than one guide specification on the same subject until those specifications are converted into unified UFGS. The fifth-level designator is used to denote UFGS on the same subjects that are not currently unified: "10" for Army, "20" for Navy, "30" for Air Force, and "40" for NASA (such as 31 41 16.11 10). These fifth-level designators facilitate management of specifications within the participating organizations and provide identification within WBDG, the Internet, and the SpecsIntact system. The fifth-level designator does not mean the documents are not UFGS. The goal is to unify all UFGS.

5.4.6 Designation of other UFGS. Where only one participating organization has a guide specification on a particular subject or where specifications have been combined into a single document,

those specifications are identified by only the third- or fourth-level section file name (such as 31 41 16 or 31 41 16.11) when approved by all participating organizations in accordance with 5.4.3.

5.4.7 Preparing activity (PA) assignments. Each UFGS is assigned a PA in accordance with agreements within the DWG or FWG and as approved by the CP. The PA is identified in the banner (header within the UFGS section/PDF file containing administrative information) of each UFGS.

5.4.8 UFGS master databases. Each participating organization shall maintain a separate master database of the UFGS sections for which it is responsible. Database managers from each participating organization provide updated and new UFGS to the system database manager for periodic updates of the UFGS system.

5.4.9 UFGS system master. A single UFGS system master shall be maintained by the system database manager. The UFGS system master is derived from the separate UFGS databases of each participating organization. The system database manager incorporates changes provided by the database managers of the participating organizations, performs overall release processing, prepares overall indexes, and performs other functions associated with maintenance of the UFGS system master. The system database manager provides the UFGS database for publication.

5.4.10 UFGS master index. The UFGS master, with links to the actual documents, is maintained at the following website location: <https://www.wbdg.org/ffc/dod/unified-facilities-guide-specifications-ufgs>. The database manager develops the UFGS master and links it to the compressed section (.SEC) files and to the Adobe® Acrobat (.PDF) files residing on the UFGS master server.

5.4.11 Draft UFGS review. After drafting a new, revised, or changed UFGS, the PA's technical representative provides an electronic version of the draft document (35 percent review and pre-final) to the technical proponents and technical representatives of all participating organizations for review and comment. Likewise, provide electronically the final review for back-check of prior comments resolution and associated edits made to the final document. The PA's technical representative shall adjudicate comments from the previous submittal, discuss with the reviewer any disagreements or questions on the comments, and incorporate the comment as appropriate into the draft UFGS. CMS must be utilized to facilitate the review effort by posting documents for review, commenting, and comment resolution. At the discretion of the DWG, FWG, or PA, additional project submittal reviews (outline/concept review and interim review) can be included as part of the overall review effort. A complete list of the UFGS with the associated PA is available on the UFGS home page.

5.4.12 Draft UFGS comment period. The technical representative and technical proponent from each of the other participating organizations shall coordinate their review and provide comments in CMS within four weeks of receipt of the draft UFGS.

5.4.13 Final UFGS submittal. The PA's technical proponent adjudicates all comments and incorporates as appropriate into the UFGS. No new comments will be accepted at this time unless there is new information introduced in the final submittal that is incorrect. Any questions or disagreements shall be discussed directly with the technical proponent who forwarded the comment and resolved. For disagreements that cannot be resolved within the DWG or FWG or between DWGs and FWGs having a vested interest in the UFGS, the matter is submitted to the CP for resolution. Upon adjudication of final comments and completion of the final document, the technical representative, through the DWG or FWG member, forwards the final document to the PA's database manager for final format review. (In a case where the PA authority is delegated to another Service, the document manager for the delegated Service will review and prepare the document for publication.) The technical representative then uploads the UFGS in CMS for electronic approval by the DWG or FWG members.

5.4.14 DWG or FWG approval. The approval process is initiated after the final submittal process using the project review session functionality “DWG Approval Session” in CMS. No new comments should be provided at this time. When they are satisfied that their comments have been adjudicated, the DWG or FWG members of the participating organizations must provide their concurrence to the PA’s technical proponent during the “DWG Approval Session” (electronic signature approval process) in CMS.

5.4.15 Publication. The DWG or FWG member of the PA provides the DWG- or FWG-approved document to their document manager for publication and distribution on the WBDG. Documents belonging to another PA must be sent through their DWG or FWG member to their database manager to update their part of the UFGS Master Database for publication. Only specifications approved through this process are placed in the UFGS system master or in the PA databases.

5.4.16 Reporting. The UFGS system database manager shall post a report of new, changed, or deleted specifications on the UFGS home page when the database is updated.

5.4.17 Revisions and changes. Revisions and changes to a UFGS shall be coordinated with all participating organizations in accordance with paragraph 4.4.3, with the following exceptions: a) If the changes consist only of updated references, b) SpecsIntact format changes, or c) non-technical text changes. All other changes are coordinated with counterparts in the other participating organizations. The technical proponents have the right to request adjustments to any UFGS.

5.4.18 Automated updating of reference publications. A system has been established to automatically update reference publications cited in UFGS using the SpecsIntact software. Under the process, all reference publications cited in the UFGS database have uniform designators and the latest issue of all publications referenced in UFGS is maintained in a Unified Master Reference List (UMRL). The updated UMRL is used by the SpecsIntact software to perform reference updating of the complete UFGS master on a periodic basis. The same process is applied to new and revised UFGS sections as the sections are processed for entry into the UFGS master. Only one version of a reference is valid in the UFGS database at a time. If a DWG or FWG determines that a version other than the most current must be used, the DWG or FWG must coordinate with the UMRL database manager, who shall maintain the version manually. In this case, the DWG or FWG is responsible for notifying the UMRL database manager when the reference can be updated to the most recent.

5.5 Criteria change requests (CCR). User comments and recommended changes to UFGS, with rationale for the changes, are sent electronically using the CCR link next to the electronic version of the document located at the WBDG website (<https://www.wbdg.org/ffc/dod>).

5.5.1 CCR resolution. It is the responsibility of the technical proponent to review the comments and recommended revisions and changes, determine if it merits research and incorporation, and estimate the effort required to incorporate the change.

5.5.2 Level of effort and funding. If the technical proponent determines that the changes to the UFC, FC, or UFGS are extensive (extended effort to resolve) as the result of the CCR, a project shall be requested for the following fiscal year. If the project is approved, the changes shall be incorporated at that time. If the technical proponent determines that the changes are minor, the work can be accomplished using the organization’s criteria general maintenance funds.

5.5.3 Response to reviewers. The technical proponent responds electronically to reviewers’ comments with information about proposed actions as soon as possible.

6 NOTES

6.1 Intended use. Standards covered by this standard are intended for use in acquisition to establish requirements for military facilities and other engineering, architectural, or technical criteria.

6.2 Subject term (key word) listing.

Construction
Design
Facility

6.3 Change notations. Change notations have not been marked in this standard due to the significant amount of revisions from the earlier version. Users of the document are cautioned to evaluate the requirements of the entire document as extensive revisions have occurred throughout.

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UFC AND FC WAIVER AND EXEMPTION PROCESS

A.1 SCOPE

A.1.1 Scope. This appendix prescribes the process for requesting waivers and exemptions to individual requirements in UFC and FC. This appendix is a mandatory part of the standard. The information contained herein is intended for compliance.

A.1.1.1 Definitions of a waiver and exemption are provided in paragraph 3.32 and 3.19, respectively. A waiver provides authority to deviate from a UFC or FC requirement for a specific period of time and an exemption provides authority to deviate from a UFC or FC requirement indefinitely.

A.1.1.2 Waivers and exemptions should be avoided if possible. A criteria- or code-compliant engineering solution for the facility should be the objective versus a waiver or exemption request. UFC and FC requirements are intended to address code-compliant facility requirements; life, health and safety requirements; property loss prevention; lowest lifecycle cost and facility operational requirements. For issues dealing with life, health, and safety, cost is not a valid reason to grant a waiver or exemption. Waiving or exempting requirements typically results in increased risk to safety or property loss, increased operational risk or poor ROI. Criteria in UFC or FC listed as “may” or “should” indicates the criteria is not mandatory, thus not requiring a waiver or exemption. Likewise, “exceptions” are special situations where a different alternative is permitted, as identified in the UFC or FC, for a given situation and do not require a waiver or exemption.

A.2 APPLICABLE DOCUMENTS

A.2.1 General. The documents listed in this section are specified in this appendix. This section does not include documents cited in other sections of this standard or recommended for additional information or as examples. While every effort has been made to ensure the completeness of this list, document users are cautioned that they must meet all specified requirements of documents cited in this appendix, whether or not they are listed.

A.2.2 Government documents.

A.2.2.1 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 cited in the solicitation or contract.

DEPARTMENT OF DEFENSE STANDARDS

UFC 1-200-01 -	DoD Building Code (General Requirements)
UFC 3-260-01 -	Airfield and Heliport Planning and Design
UFC 4-720-01 -	Lodging Facilities
FC 4-721-10N -	Navy and Marine Corps Unaccompanied Housing

(Copies of these documents are available online at <https://www.wbdg.org/ffc/dod/unified-facilities-criteria-ufc>.)

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A.2.2.2 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 of these documents are those cited in the solicitation or contract.

DoD

Architectural Barriers Act (ABA) Standards

(A copy of this document is available online at <http://www.access-board.gov/attachments/article/1029/ABASTandards.pdf>)

ARMY

DA PAM 385-64 - Ammunition and Explosives Safety Standards

(A copy of this document is available online at https://armypubs.army.mil/epubs/DR_pubs/DR_a/pdf/web/p385_63.pdf)

NAVY

OPNAVINST 8020.14A - Department of the Navy Explosives Safety Management Policy Manual

(A copy of this document is available online at <https://www.secnav.navy.mil/doni/Directives/08000%20Ordnance%20Material%20Management%20and%20Support/08-00%20General%20Ordnance%20Material%20Support/8020.14A%20W%20CH-1.PDF>.)

AIR FORCE

AFI 32-1032 - Planning and Programming Appropriated Fund Maintenance, Repair, and Construction Projects
AFMAN 91-201 - Explosives Safety Standards

(Copies of these documents are available online at <https://www.e-publishing.af.mil/Product-Index/>.)

A.2.3 Order of precedence. Unless otherwise noted herein or in the contract, in the event of a conflict between the text of this document and the references cited herein, the text of this document takes precedence. Nothing in this document, however, supersedes applicable laws and regulations unless a specific exemption has been obtained.

A.3 PROCEDURE

A.3.1 Military Department project sponsors. Military Departments can request a waiver or exemption from requirements in individual UFC or FC for facilities through their respective approval authority for the document (the ESEP member). When a Military Department is sponsoring a project as a tenant on an installation of another Military Department, the project sponsor must coordinate the request with the installation.

- a. Army: Authority resides with the U.S. Army Corps of Engineers, Chief of Engineering and Construction, HQUSACE

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- b. Navy/Marine Corps: Authority resides with the Naval Facilities Engineering Command Headquarters, Chief Engineer
- c. Air Force: Authority resides with Deputy Director of Civil Engineers, Deputy Chief of Staff for Logistics, Engineering and Force Protection, Headquarters U.S. Air Force

A.3.2 Defense-wide organization project.

A.3.2.1 Defense agency or activity as tenant organization. Request a waiver or exemption from requirements set forth in individual UFC or FC for projects as the facility sponsor as a tenant organization through the Military Department with jurisdiction of the installation. See paragraph A.3.1 for Military Department authorities.

A.3.2.2 Defense agency or activity on installation permitted by a Military Department. Request a waiver or exemption from requirements set forth in individual UFC or FC for projects as the facility sponsor through the Military Department granting the installation permit. See paragraph A.3.1 for Military Department authorities.

A.3.2.3 Pentagon reservation. Request a waiver or exemption from requirements set forth in individual UFC or FC for projects through Washington Headquarters Services, Director to the Deputy Assistant Secretary of Defense (Facilities Management), Office of the Assistant Secretary of Defense (Sustainment) for further adjudication by the ESEP members.

A.3.3 Special situations.

A.3.4 Concurrence by regulatory or functional authorities. If the document has been coordinated and has concurrence from regulatory or functional authorities, then all waivers and exemptions must be coordinated with the authority for concurrence/non-concurrence prior to final waiver or exemption approvals. The waiver and exemption signature authority of the UFC or FC reserves the authority to disapprove waivers or exemptions having regulatory or functional concurrence when taking into account all other aspects of various requirements (for example, the exemption request represents too great a risk to life, safety, and health).

A.3.4.1 Overseas locations. In overseas locations, the host nation may have ultimate responsibility for certain aspects of criteria. Likewise, Status of Forces Agreements (SOFA), Host Nation Funded Construction Agreements (HNFA), and in some instances Bilateral Infrastructure Agreements (BIA) may govern requirements. For example, the host nation may be responsible for perimeter security for DoD activities located there and DoD authorities are not able to implement certain requirements set forth in UFC or FC. In overseas locations, the project sponsor must consult with the designated country construction agent to ensure appropriate application of criteria and if additional measures may be warranted.

A.3.4.2 Army standard designs. The Army has issued facility standard designs that are UFC- and FC-compliant as part of the army facility standards and installation design standards. Approval authority to deviate from these standard designs resides with the Army Facility Standardization Committee, chaired by the Assistant Chief of Staff for Installation Management. Deviation (waiver and exemption) requests dealing with standard designs must follow the processes defined at the following website: <https://mrsi.erd.c.dren.mil/waiverprocess/>. Waivers and exemptions to the standard designs also requesting to waive or exempt UFC or FC criteria must also be approved by U.S. Army Corps of Engineers, Chief of Engineering and Construction, HQUSACE.

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A.3.4.3 Air Force standard designs. The Air Force issued facility standard designs that are UFC- and FC-compliant as part of the Air Force standard design program. Approval authority for non-conformance with an applicable standard design is the Director, Facility Engineering Directorate, Air Force Civil Engineer Center (AFCEC/CF). Air Force installations establish architectural criteria specific to their installations with an installation facility standards (IFS) document, which is derived from Air Force corporate facility standards. Approval authority for deviation from the applicable IFS is the signatory authority at the installation. Waivers and exemptions to the standard designs and requests to waive or exempt UFC or FC criteria must also be approved by the Deputy Director of Civil Engineers, Deputy Chief of Staff for Logistics, Engineering and Force Protection, Headquarters U.S. Air Force.

A.3.4.4 Explosives safety. Requests for waivers or exemptions related to explosives safety must follow process requirements: Army DA PAM 385-64, Navy OPNAVINST 8020.14A, and Air Force AFMAN 91-201.

A.3.4.5 Airfield criteria. Requests for waivers or exemptions to airfield criteria affecting facility planning, design, construction, and maintenance efforts shall follow the process as addressed herein and in accordance with the process set forth in UFC 3-260-01. UFC 3-260-01 details additional waiver and exemption operational and safety authorities that require concurrence or approvals necessary to process waivers and exemptions associated with planning, design, construction, and maintenance efforts.

A.3.4.6 Accessibility. Requests for waivers or exemptions for facility requirements pertaining to access for people with disabilities shall follow UFC 1-200-01 and the requirements as addressed in its reference documents to the Department of Defense Deputy Secretary of Defense Memorandum Subject: Access for People with Disabilities and Architectural Barriers Act (ABA) Standards.

A.3.4.7 Lodging facilities. Requests for waivers or exemptions to lodging facilities shall follow UFC 4-720-01 requirements pertaining to coordination and approvals from the Service functional proponents for lodging.

A.3.4.8 Navy and Marine Corps Unaccompanied Housing. Requests for waivers or exemptions to Navy and Marine Corps Unaccompanied Housing shall follow FC 4-721-10N requirements pertaining to coordination and approvals from Assistant Secretary of the Navy, Energy, Installations and Environment (ASN EI&E), Commander Naval Installations Command (CNIC) and Marine Corps Installations Command Headquarters as appropriate.

A.3.5 Coordination.

A.3.5.1 Waivers and exemptions. Requests for waivers and exemptions related to planning, design, and construction (restoration and modernization) of facilities must be well coordinated between the facility user (operator) and the designated design and construction agent (installation public works department, base civil engineer, or regional/district engineering office) to include planning requirements. Due to the complexity of facility criteria requirements and coordination with user requirements, addressing the waiver or exemption requirements often necessitates a joint effort between the facility user and the design and construction agent.

A.3.6 Submission. Requests for waivers and exemptions of UFC and FC mandatory requirements shall be submitted as set forth below with documentation as defined in paragraph A.3.7 and its subparagraphs. They are reviewed and endorsed by each echelon within the chain of command. If an endorser does not recommend approval of the request, it is indicated in the routing to the approval authority.

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A.3.6.1 Army. Requests for waivers or exemptions must be submitted via email by the assigned USACE project manager through the executing district Chief of Engineering (or equivalent) to the Chief of the Engineering & Construction Division (E&C) at HQUSACE. At his or her discretion, the request is forwarded to the appropriate HQ technical proponent for input. Once a decision is made, a copy shall be sent by E&C to the project manager who submitted the request. .

A.3.6.2 Navy and Marine Corps. Requests for waivers and exemptions must be submitted via the chain of command to NAVFAC Headquarters, Chief Engineer (CHENG). The NAVFAC Engineering Criteria and Programs Office, acting under the authority of CHENG, coordinates with key stakeholders (such as HQUSMC, CNIC, CFFC, and CNO) and other regulatory or functional authorities, and provides criteria interpretation and recommendations for approval/disapproval to CHENG. Requests failing to obtain NAVFAC endorsements recommending approval are returned to the requesting activity with copies to the chain of command along with explanation of disapproval. NAVFAC Headquarters' CHENG provides final approval for all waivers and exemptions.

a. Navy: Submit request in coordination with the installation Public Works Office and NAVFAC Echelon IV Facilities Engineering Command, Chief Engineer. Submissions shall be routed via the respective NAVFAC Echelon III Command (NAVFAC ATLANTIC or NAVFAC PACIFIC), Chief Engineer to NAVFAC Headquarters, CHENG.

b. Marine Corps: Submit request in coordination with the installation Public Works Office. Submissions shall be routed via the respective regional Marine Corps Installations Command (MCI) to MCI Headquarters. MCI Headquarters provides concurrence or non-concurrence and forwards to NAVFAC Headquarters, CHENG for final approval.

A.3.6.3 Air Force. Requests for waivers and exemption from UFC and FC requirements will be considered by submitting the request to AFCEC/CFT as defined in AFI 32-1032. After a technical review and recommendation, the request will be forwarded to HAF DCS for Logistics, Engineering and Force Protection for final decision.

A.3.7 Documentation.

A.3.7.1 Description. The waiver and exemption request must include the reference to the specific criteria that is being waived or exempted along with a complete description of the problem, associated risks, compensatory measures or alternative procedures, as appropriate. They shall be reviewed and endorsed via cover letter by each echelon within the chain of command.

A.3.7.2 Valid time period. Approved waiver requests are normally valid for a period of 12 months but can be longer at the discretion of the approval authority. Extensions of approved waivers (normally for 12 months) must be requested via the chain of command and approved by the approval authority. Refer to previous correspondence approving initial and prior extensions, as appropriate, for waiver extensions.

A.3.7.3 Waiver and exemption documentation. Documentation for waivers and exemptions of UFC and FC mandatory requirements shall be submitted as an enclosure to an endorsement cover letter(s) as set forth below. All information requested below must be provided for waivers, waiver extensions, and exemption requests. Provide an endorsement cover letter with appropriate routing and enclosure addressing all elements of A.3.7.3.b. Note non-applicable elements as "N/A." Multiple waiver or exemption requests pertaining to the same project or facility may be submitted under one cover letter with a single or multiple enclosures as necessary to identify the issues.

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a. The initiating command shall assign a waiver or exemption number as defined below to provide a unique identification of any given waiver or exemption with respect to the activity involved and the calendar year of the request. Any request for extension of a previously approved waiver uses the same number assigned to the original waiver approval. Each waiver or exemption shall be identified as follows:

(1) The first six characters represent the unit identification code (UIC) of the activity initiating the request. The characters consist of the Service designator (first character), parent unit designator (next three characters), and descriptive designator (last two characters), followed by a dash. For Air Force requests, the parent unit designator and descriptive designator will be replaced with the Civil Engineer Squadron (CES) organizational designation (6 digits).

(2) The next digit is either "W" for waiver or "E" for exemption.

(3) The next two characters represent the serial number of the request, beginning annually on 1 January with 01. Waiver and exemption numbers run sequentially together, such as W19-01 followed by E19-02 then E19-03 or W19-04 and so on. The sequential number is based on the originating activities' requests made throughout the year. No central source of the sequential numbers is kept and they are not provided centrally by the Service. This allows activities in the reviewing chain of command to exercise their discretion to change an exemption request to a waiver request and vice versa without having to re-coordinate the number with the requesting activity. Original numbers assigned waivers and exemptions are used when requesting waiver extensions or exemption revisions.

(4) The last two digits identify the calendar year of the request.

Example: **N01234-W19-01**

Service designators:

D = DoD, defense agency, or other DoD entity

F = Air Force

M = Marine Corps

N = Navy

W = Army

Parent unit designator and descriptive designator = **01234**

(Air Force CES organizational designation = **123CES**)

W = Waiver ("E" for exemption)

19 = 2019 (calendar year initial waiver/exemption requested)

01 = First waiver (or exemption) request of calendar year

b. The following format is prescribed for waiver and exemption requests, as applicable. A Microsoft Word® template is available at <https://www.wbdg.org/ffc/dod/federal-military-specifications-standards/mil-std-3007> under the Related Materials link.

(1) Waiver or exemption request number.

(2) Statement of waiver/exemption requirement and references to chapter, section, and paragraph in the UFC or FC that cannot be met. (Ensure that type of request is clearly identified as either a waiver "Temporary" or exemption "Permanent.")

(3) Justification/specific description of condition(s) that caused the need for the request and reason(s) why the applicable criteria of the UFC or FC cannot be met. (Provide a rationale for the request, including specific impacts upon operations, mission requirements, safety, and/or environment.)

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(4) Description of the physical location of affected facilities or areas. (Identify structures individually by building number or name.)

(5) Identify risks and associated interim/permanent mitigating measures or alternatives in effect or planned.

a) Operational or technical measures or alternatives considered. (Provide a record of all alternatives considered, their consequences, necessary mitigative efforts, and evidence of coordination.)

b) Operational mitigations and alternatives concurrence and endorsements (operational element chain of command).

c) Planned mitigation prior to the expiration of the waiver to eliminate the waiver need. (If exemption, indicate "N/A.")

(6) Identify and describe the impact on mission criticality and any problems that interfere with safety or operating requirements if the request is not approved.

(7) Identify the costs associated with complying with the criteria requirements and eliminating the need for a waiver or exemption. (Identify resources, including estimated cost/lifecycle/cost benefit, to eliminate or mitigate risk associated with the waiver or exemption request.)

(8) Identify the actions associated with complying with the criteria requirements and eliminating the need for a waiver or exemption. Identify actions initiated or planned (local capability or other) to eliminate or mitigate risk associated with the request and estimated time to complete.

(9) Provide point(s) of contact to include name, rank/grade, DSN and commercial phone numbers, and e-mail addresses of key points of contact requesting the waiver or exemption.

(10) Enclosures (provide drawings, photos, sketches, reports, etc., as necessary to support written documentation. Enclosures [PDF] should be attached [compiled] with written documentation):

A.3.7.4 Waiver and exemption records. The approving authority for each Service shall maintain a complete record of all waiver and exemption requests and their disposition (approved or disapproved). A list of waivers and/or exemptions to be requested and those approved for a specific project be included in the project documentation prepared by the public works office, project manager, planning official or design agent. Waivers must be reviewed annually to further adjudicate the temporary nature of their need and to determine the need for extensions or remedies.

CONCLUDING MATERIAL

Custodians:

Navy - YD
Army – CE
Air Force - 50

Preparing activity:

Navy - YD
(Project FACR-2016-001)

NOTE: The activities listed above were interested in this document as of the date of this document. Since organization and responsibilities can change, you should verify the currency of the information above using the ASSIST Online database at <https://assist.dla.mil/>.