



U.S. DEPARTMENT OF TRANSPORTATION
FEDERAL AVIATION ADMINISTRATION
National Policy

**ORDER
NUMBER
1800.6B**

Effective Date:
9/26/08

SUBJ: Unsatisfactory Condition Report

- 1. Purpose of this Order.** This Order provides guidance for the administration and use of the Unsatisfactory Condition Report (UCR) report program.
- 2. Audience.** This Order is intended for use by all FAA employees, unless alternative methods are available to track and monitor unsatisfactory conditions.
- 3. Where Can I Find This Order?** This Order is available on the Data Management System at the following URL: https://employees.faa.gov/tools_resources/orders_notices/
- 4. Cancellation.** Order 1800.6A, Unsatisfactory Condition Report dated April 17, 1968, is cancelled.
- 5. Explanation of Changes.** This revision:
 - a. Reflects changes within the UCR.
 - b. Reflects current organizational changes.
 - c. Reflects the change of the UCR reporting process from paper forms to Web Based submission.
 - d. Clarifies reporting requirements.
 - e. Contains procedural changes.
 - f. Assigns UCR program management responsibilities to the Air Traffic Organization (ATO) Office of Safety.
- 6. Objective.** The UCR program provides all agency employees with direct means for advising management of an existing unsatisfactory condition. Although the condition may be an isolated occurrence, the collection and tracking of reports via the Safety Management Information System (SMIS) may assist in the identification of patterns that require a broader corrective action than is apparent from a single occurrence.
- 7. Conditions to be Reported.** A UCR may be filed for situations involving safety or efficiency of procedures, equipment, working environment, operations or services, when any of the following conditions exist:
 - a. Situations that may cause or contribute to accidents, incidents, or present a hazard to personnel and equipment. These conditions may be subject to Occupational Safety and Health Administration

(OSHA) regulations. UCRs submitted for these situations must follow the guidance of Federal Aviation Administration (FAA) Order 3900.19B, Chapter 9., to ensure compliance with requirements prescribed by 29 Code of Federal Regulations (CFR) 1960.28.

b. Systems or system components and software applications that exhibit chronic unsatisfactory maintenance or operational characteristics.

c. Technical publications, aeronautical charts, engineering drawings, or instructions that are incomplete, inaccurate, illegible, or inconsistent, or unavailable.

d. Support equipment (tools, material, etc.) that is inadequate, incomplete, or unavailable, and adversely affects performance of work. (Example: Lack of adequate or reliable test equipment, inadequate tools for installation or removal of equipment, defective parts or appliances caused by inadequate manufacturing techniques or lack of adequate inspection at time of manufacture.)

8. Conditions Not Covered. The UCR shall not be used as a substitute or replacement for any other established report or reporting procedure. The following are examples of conditions that are not covered under the UCR program:

a. Routine maintenance.

b. Grievances, staffing, personal, or personnel problems.

c. Rules or regulations involving housekeeping, administrative systems, practices, procedures, methods, and/or working conditions which can be accomplished through normal action (including, clarifying and correcting misunderstandings or errors).

d. Classified information.

e. Misunderstandings or errors in applying established operational procedures or methods.

f. Routine changes to directives, handbooks, manuals, or other documentation, which can be accomplished through other processes.

g. Equipment requirements validated through the Needs Assessment Program (NAP) tool and funded via a budget line item, Improving FAA Buildings & Equipment/Infrastructure Program (IFBE), Local Project Fund (LPF), or Natural Disaster Emergency Fund.

9. Responsibilities.

a. Each FAA line of business (LOB) shall designate a point(s) of contact (POC) to be the UCR Coordinator within its organizational structure to ensure a central point for review, assignment, and tracking of UCRs via the SMIS. LOBs may select additional UCR coordinators, as they deem appropriate, to coordinate the UCR Program at various levels of their organizational structure. LOBs must notify the ATO Safety Services Program Manager within 3 working days when there is a change in the designation of a UCR Coordinator. Organizations are required to use SMIS for updates, tracking, and closure of UCRs. Upon submittal of any UCR, the responsible organization's manager/supervisor or UCR Coordinator shall respond to the originator within 10 calendar days and must complete the review cycle within 30 calendar days, if applicable.

b. Each FAA organization receiving UCRs shall:

- (1) Maintain a process for monitoring all UCRs that address matters within their specific jurisdiction via SMIS.
- (2) Ensure that unresolved UCRs are elevated to the appropriate support office contact for resolution.
- (3) Review all closed UCRs to ensure that appropriate corrective action needed to resolve the problem was completed.
- (4) Identify trends or patterns of UCRs, when applicable, and provide information to the UCR program manager for resolution.

c. Managers/supervisors within each FAA organization shall:

- (1) Evaluate and coordinate, as necessary, all aspects of the UCR program as it applies to offices within their jurisdiction.
- (2) Designate an individual as their UCR Coordinator if needed.
- (3) Familiarize themselves with the UCR program and the procedures relating to entering and updating UCR reports via SMIS.
- (4) Ensure that all employees are familiar with the UCR program and receive familiarization on the use of the SMIS tool.
- (5) Advise and assist employees in using SMIS to enter UCR information.
- (6) Ensure that each UCR is objectively evaluated and acted upon within the required timeframe.
- (7) The manager/supervisor shall ensure a copy of the submitted UCR record has been provided to the originator.
- (8) Take action to resolve the UCR within 10 calendar days or if UCR cannot be resolved at the local level, elevate the UCR to the next higher level.
- (9) Maintain a UCR correspondence log and supporting documentation, if applicable.
- (10) Be the POC for all communications with the originator regarding updates, status, resolution and/or closure of the UCR.

d. The UCR Coordinator shall:

- (1) Ensure UCR information is complete.
- (2) Ensure the UCR meets the criteria for validation and is assigned for action.
- (3) Enter UCR information into SMIS if a signed paper copy is received from an individual without access to the FAA intranet.
- (4) Track the organization's UCRs.
- (5) Ensure that UCRs are elevated to the appropriate UCR point of contact.
- (6) Review all closed UCRs to ensure that appropriate corrective action has been completed.
- (7) Forward UCRs to the next higher level when control of the problem or ability to resolve the issue does not reside at a specific level.
- (8) Ensure all applicable LOBs are involved during the review process.
- (9) Maintain a UCR correspondence log and supporting documentation.
- (10) Take action to resolve the UCR within 10 calendar days or, if the UCR cannot be resolved at the local level, elevate the UCR to the next higher level.
- (11) Print out a copy of the UCR submission and provide it to the originator, when requested.
- (12) Administratively close all invalid UCRs in SMIS as described in Paragraph 11.a (1).
- (13) Ensure that each UCR is objectively evaluated and acted upon within the required timeframe.

e. FAA employees shall:

- (1) Be alert for situations that may result in hazardous conditions or other conditions that adversely affect work performance or services provided by the FAA. (See paragraph 6 for conditions to be reported.) Even if a problem appears to be local, unique, or small, it should be reported, as there may be similar problems at other locations, sites, or facilities.
- (2) Offer a proposed solution, if possible, when submitting a UCR. However, a UCR should not be unduly delayed or withheld because it lacks a proposed solution.
- (3) Discuss the issue with immediate manager/supervisor. If the issue cannot be resolved, then enter UCR data in SMIS.
- (4) Ensure all data is entered into the UCR Report in SMIS via the FAA intranet.

f. The ATO Office of Safety Organization:

(1) The ATO Office of Safety shall designate a UCR Program Manager to ensure continuity of the Order and to serve as a point of contact for UCR Coordinators.

(2) The ATO Office of Safety UCR Program Manager shall maintain this order and will not make modifications to the UCR Order without proper coordination with all LOBs.

(3) The ATO Office of Safety UCR Program Manager may call for Quarterly, Semiannual or Annual meetings with UCR Coordinators to review changed conditions that affect FAA Order 1800.6B.

(4) The ATO Office of Safety UCR Program Manager is responsible for updating the SMIS Program Manager of any UCR Coordinator designee changes within three (3) working days of being notified by any LOB.

(5) The ATO Office of Safety UCR Program Manager will work with UCR Coordinators to track open UCRs that are overdue.

(6) The ATO Office of Safety UCR Program Manager will provide to the ATO Office of Safety Vice President an annual UCR program status report, when requested. The report shall include, at a minimum, the annual number of UCRs filed within each LOB, the open date, subject, closure date (if closed), and any corrective actions taken for each UCR. The annual report will be provided to the other FAA LOBs as appropriate.

10. Submitting and Processing a UCR.

a. Employees shall use the SMIS to submit each unsatisfactory condition report. Before entering UCR information into SMIS, employees must discuss the issue with their managers/supervisors. Employees who do not have access to the FAA intranet can photocopy the operating administration (OA) Form 1800-1 (from Appendix A), enter the appropriate data and send it to their manager/supervisor. When completing the UCR, write as much as necessary to explain the problem. Define one issue per unsatisfactory report. Provide objective, factual information and refrain from opinion. Include documentation, if appropriate. Review the UCR for clarity and avoid the use of acronyms. The better a problem is defined, the more likely a timely and accurate solution can be identified and implemented. Attach Microsoft Word or picture files that may assist with describing the condition.

b. Supervisors, managers, UCR Coordinators and other appropriate personnel shall use the SMIS to submit, review, and track each unsatisfactory condition report to resolution. They will also enter UCR data into SMIS when their employee gives them a paper photocopy of the OA 1800-1 form (from Appendix A).

11. Action Tracking and Routing Process.

a. Unsatisfactory conditions will be entered into the UCR module through the SMIS. SMIS will notify the manager/supervisor via an e-mail message. The manager/supervisor will have 10 calendar days to access the UCR report in the SMIS, verify/validate that the reported condition exists, and to

respond to the originator. If applicable, the manager/supervisor will have 30 calendar days to correct the condition.

b. SMIS will simultaneously send an e-mail notification to the designated UCR Coordinator(s). If the condition has been validated, and remains open past 60 calendar days, the UCR Coordinator will work with the manager/supervisor responsible for the operation where the unsatisfactory condition exists, and others when necessary to bring closure to the unsatisfactory condition. SMIS will send a reminder notification every 30 calendar days to all identified parties until the condition is resolved. Items found invalid will be closed and the coordinator shall distribute the information to all in the UCR chain.

c. SMIS also sends an e-mail notification to the Headquarters UCR Coordinator(s) if the UCR is not resolved within 90 calendar days. If the condition has been validated, and remains open past 90 calendar days, the Headquarters UCR Coordinator will work with the appropriate UCR Coordinator(s) to bring closure to the unsatisfactory condition. SMIS will send a reminder notification every 30 calendar days to all identified parties until the issue is resolved. The condition will be tracked in SMIS until a resolution has been completed. If not resolved after 90 calendar days, the problem will immediately go on a list to be briefed, at a minimum annually and more frequently as necessary, to the ATO Office of Safety Vice President, the ATO Chief Operating Officer and the FAA Administrator. If not closed within 30 calendar days after being placed on the ATO Office of Safety list, the ATO Office of Safety UCR Program Manager will provide monthly updates to all identified parties until the issue is resolved.

12. Evaluation and Review Procedures.

a. General

(1) The first action the manager/supervisor should take upon receiving a UCR is to carefully review the validity of the UCR. If it meets the criteria outlined in paragraph 7, then the UCR shall continue to follow the routing, evaluation, review and closure processes as outlined within this order. If the conditions described within the UCR do not meet the criteria for a UCR as outlined in Paragraph 7, then the UCR is considered invalid and should be terminated. If invalid, the manager/supervisor shall notify the originator and any identified parties through the SMIS or in writing why the UCR has been declared invalid. Invalid UCRs should be accompanied by appropriate documentation identifying the rationale for this determination.

(2) The UCR process requires a minimum of two levels of review before it can be officially closed: the originator's immediate manager/supervisor and the next level of management. Headquarters and individual Program offices may require additional review levels. The complete UCR review cycle is 30 calendar days beginning with the date that the UCR is entered into SMIS and ending with the report being closed by the appropriate management official in SMIS.

(3) Each level of management, beginning with the immediate manager/supervisor, shall evaluate the UCR and ensure action has been taken, as appropriate, to resolve (within 30 calendar days) or to initiate resolution of the UCR within 10 calendar days following the UCR submission date. The action may include clarification of the condition, supporting documentation, recommendations for resolution, or implementation of a solution.

(4) Supplemental pages may be used to capture additional information, supporting documentation and intermediate evaluations. At the top of each supplemental page, include the UCR number, the name and routing symbol of the evaluator, and the date of the evaluation.

(5) If action to resolve the UCR will require more than 30 calendar days from the submission date, the originator shall be notified via SMIS or in writing by the evaluator reviewing the UCR by the 30 calendar day mark. The notification shall include an explanation for the delay and a projected completion date. A copy of the notification shall be forwarded by the evaluator to the applicable program office through the appropriate facility/office and organizational channels.

(6) Subsequent notification on the status of any UCR that remains open for more than 30 calendar days is required monthly by the office having responsibility for action.

(7) If the manager/supervisor receiving the initial submission of the UCR does not have jurisdiction over the condition involved, the manager/supervisor shall within 3 working days notify their local UCR Coordinator and they will forward the UCR to the office of primary concern. The manager/supervisor is responsible for notifying their local UCR Coordinator with the appropriate office of primary concern.

(8) When transferring a UCR from one office to another for action, notification will be sent to the originator via SMIS or in writing indicating that the review and evaluation will be conducted by another office. The receiving office shall comply with the applicable times and guideline outlined in paragraph 11.

(9) If no action has been taken on a UCR for more than the required 30 calendar days, the SMIS sends a reminder e-mail to the responsible manager/supervisor, UCR Coordinators and UCR Program Office.

(10) A quarterly status report of all open UCRs will be made available on the SMIS website for review.

b. Requirements for closing the UCR. A UCR may be closed provided the following conditions are met:

(1) The condition described in the report has been completely addressed. Not all reported unsatisfactory conditions meet UCR criteria, nor is it feasible to correct certain cited conditions. However, adequate explanations must be given for rendered decisions.

(2) Any action required to resolve the condition has been completed. Closure of UCRs shall not be based on planned actions or actions in progress.

(3) For additional UCRs that address unresolved conditions that have been previously identified at the same location, the UCR Coordinator shall administratively close all subsequent UCRs in SMIS. The closure(s) shall include the document number of the associated open UCR. The appropriate office will keep subsequent originators apprised of the resolution of the initial UCR.

(4) A UCR may be reopened by any level of management above the original closing official if it is determined that any of the above conditions have not been met.

(5) A UCR may be withdrawn at any time by the originator. Withdrawals shall be submitted in writing, signed and dated to the originator's immediate manager/supervisor. The manager/supervisor shall forward the notification via SMIS to the UCR Coordinator with the withdrawal documentation. The UCR Coordinator will notify the Headquarters UCR Coordinator with the withdrawal documentation. The withdrawal completion confirmation will be sent to the originator.

NOTE: Action to resolve unsatisfactory conditions may be terminated anytime if it is determined that the reported condition does not meet the criteria contained in this Order. However, the evaluator must document the basis for their determination and the originator must be notified through appropriate channels.

13. Notification of Closure. Once all the conditions described in 12.b. have been met, the UCR can be officially closed by the UCR Coordinator assigned to the originator's facility. The level of management providing the closure data should forward the appropriate data to the Originator's UCR Coordinator, with attachments, if necessary. Once all the necessary data that supports the closure decision is validated and forwarded, the designated UCR Coordinator should select the appropriate levels of management and originator (if available) from the boxes (boxes contain e-mail addresses) provided in field 20. An e-mail message or copy of the e-mail message will then be sent to the selected individuals announcing the UCR is closed. Included with this e-mail message will be a UCR number that can be entered into the UCR system to view details on the closed UCR.

14. Destruction of UCRs. Closed UCRs will be archived within the SMIS database for a period at least equal to the life of the related system, process, procedure, etc. UCRs submitted in paper format can be destroyed once the UCR has been entered into SMIS.

15. UCR Form. The OA 1800-1 is an electronic form that may be downloaded from the SMIS website or may be obtained from normal supply sources. When ordering Forms, refer to NSN 0052-00-643-2002. The sample UCR Form shown as Appendix A may be photocopied and used.

16. Distribution. This order is distributed to all top levels in all LOBs with a standard distribution to all field offices and facilities including service centers.



Robert A. Sturgell
Acting Administrator

Appendix A. Unsatisfactory Condition Report (UCR) Form - OA 1800-1

Note: This form is for printing and completing by hand. Pass on to the manager/supervisor or UCR point of contact.

FAA Unsatisfactory Condition Report

1. Record Number	2. Submitter Name (<i>First, Middle, Last</i>)	
3. Submitter Email (<i>e.g. xxx@xxx.com</i>)	4. Submitter Region	5. Submitter LOB
6. Facility Type	7. Originator Service Area	8. Originators Service Location
9. Supervisor Name (<i>First, Middle, Last</i>)		10. Supervisor Email (<i>e.g. xxx@xxx.com</i>)
11. Condition Report Field	12. Observation Date (<i>e.g. mm/dd/yyyy</i>)	
13. Office Address		14. Date Submitted (<i>e.g. mm/dd/yyyy</i>)
15. Describe Unsatisfactory Condition		
16. Proposed Solution		