



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

ORDER
9000.3

Effective Date:
09-19-2007

SUBJ: Aviation Drug And Alcohol Testing Program Inspector And Investigator Credential

- 1. Purpose of this Order.** This order provides guidance for the issuance, use, control, and recovery of Aviation Drug and Alcohol Testing Program Inspector and Investigator Credentials.
- 2. Audience.** All Aviation Drug and Alcohol Testing Program Inspectors and Investigators.
- 3. Where Can I Find This Order.** You can find this order on the MyFAA Employee website: https://employees.faa.gov/tools_resources/orders_notices/.
- 4. What this Order Cancels.** Order 1600.64, Aviation Antidrug Program Inspector's Credential, FAA Form 1600-76, dated June 23, 1992, is cancelled. We updated the relevant information and incorporated it into this order.
- 5. Explanation of Policy Changes.** This order recasts responsibilities and procedures to agree with recent organizational changes. This order also updates the credential text to include current authority to act on behalf of the Administrator.
- 6. Requests for Information.** Requests for information concerning this order or concerning specific procedures, forms, reporting requirements, and control should be addressed to Federal Aviation Administration (FAA), Manager, Drug Abatement Division, 800 Independence Avenue, S.W. Washington, DC 20591.
- 7. Responsibilities.** The following personnel is responsible for the following functions.
 - a.** The Associate Administrator for Aviation Safety (AVS-1), approves all AVS credentials. Any revision to the currently issued Aviation Drug and Alcohol Testing Program Inspector and Investigator Credential must be coordinated between the Administrative Resource Branch (AFS-110) and the Drug Abatement Division, and approved by AVS-1.
 - b.** The Federal Air Surgeon, Office of Aerospace Medicine (AAM-1), monitors the procedures for the issuance and control of the credential as required by FAA Order 1600.25D, FAA Identification Media, Official Credentials, Passports, and Vehicle Identification Media.
 - c.** The Manager, Drug Abatement Division (AAM-800), establishes the criteria for eligibility, issuance, control, and accountability of FAA Form 9120-1 (1-01), Aviation Drug and Alcohol Testing Program Inspector and Investigator Credential. This credential is designed for exclusive use by AAM-800 inspectors and investigators. AAM-800 has coordinated this order with the Assistant Administrator for Security and Hazardous Materials (ASH-1) to ensure credentials comply with FAA credentialing standards.

d. The Manager, Program Administration Branch (AAM-810):

- (1) Completes electronic applications for credentials for inspectors assigned to AAM-810.
- (2) Ensures the credential applicant has completed all training requirements.
- (3) Ensures that procedures are in place for processing, controlling, and safeguarding sensitive forms, and materials supporting the credential program for all of AAM-800.
- (4) Serves as the focal point in AVS for the design of any new Aviation Drug and Alcohol Testing Program Inspector and Investigator Credential and/or Case, including any revision of the current credential or case, and the revision or reissuance of FAA Order 9000.3.
- (5) Assures that procedures are in place for the immediate return of credentials and/or cases when the individual to whom they were issued no longer has a need for them.
- (6) Reissues credentials and/or cases when justified and approved.
- (7) Initiates an investigation when there is evidence of misuse, loss, or theft of a credential and/or case.

e. The Manager, Program Policy Branch (AAM-820):

- (1) Completes electronic applications for credentials for inspectors assigned to AAM-820.
- (2) Ensures the credential applicant has completed all training requirements.
- (3) Ensures that AAM-800 has an accurate list of all personnel within the branch who have been issued a credential and case.
- (4) Reports lost or stolen credentials and/or cases to AAM-800 within 24 hours of notification of loss or theft.
- (5) Provides AAM-800 with a written report of loss or theft on the same day or on the first duty day after the loss.

f. The Manager, Special Investigations and Enforcement Branch (AAM-830):

- (1) Completes electronic applications for credentials for investigators assigned to AAM-830.
- (2) Ensures the credential applicant has completed all training requirements.
- (3) Ensures that AAM-800 has an accurate list of all personnel within the branch who have been issued a credential and case.
- (4) Reports lost or stolen credentials and/or cases to AAM-800 within 24 hours of notification of loss or theft.

(5) Provides AAM-800 with a written report of loss or theft on the same day or on the first duty day after the loss.

g. The Manager, Field Operations:

(1) Ensures Center Managers complete electronic applications for credentials for inspectors and investigators assigned to Centers.

(2) Ensures the credential applicant has completed all training requirements.

(3) Ensures that AAM-800 has an accurate list of all personnel within the branch who have been issued a credential and case.

(4) Reports lost or stolen credentials and/or cases to AAM-800 within 24 hours of notification of loss or theft.

(5) Provides AAM-800 with a written report of loss or theft on the same day or on the first duty day after the loss.

h. Each Center Manager:

(1) Completes electronic applications for inspectors and investigators assigned to his/her respective Center.

(2) Ensures the credential applicant has completed all training requirements.

(3) Ensures that the Manager of Field Operations has an accurate list of all personnel within his/her jurisdiction who have been issued a credential and case.

(4) Reports lost or stolen credentials and/or cases to the Manager of Field Operations within 24 hours of notification of loss or theft.

(5) Provides the Manager of Field Operations with a written report of loss or theft on the same day or on the first duty day after the loss.

i. Each Aviation Drug and Alcohol Testing Program Inspector and/or Investigator:

(1) Ensures that the credential is never separated from the case and is used only to accomplish official business in support of the FAA mission.

(2) Informs his/her immediate supervisors verbally within 24 hours of the loss or theft of a credential and/or case.

(3) Prepares a written report that contains full details of the loss or theft of a credential and submits it to his/her immediate supervisor on the first duty day after the loss.

(4) Affirms in writing to AAM-800, prior to issue of the credential and case, that he/she has read and understands this order.

8. Eligibility Criteria. The following eligibility criteria is provided below:

a. Applications for an inspector or investigator credential within AAM shall be based on operational requirements consistent with the mission of AAM-800.

b. AAM-800 will issue credentials to its personnel whose duties include inspections and investigations of the aviation industry drug and alcohol testing programs, if the personnel have successfully completed: training for FAA Compliance and Enforcement Order 2150.3, as amended; all required New Aviation Drug and Alcohol Testing Program Inspectors/Investigators training; and 40 hours of on-the-job training.

c. The manager must complete the electronic application as the approving official, attesting that the inspector or investigator has met the eligibility criteria for a credential.

9. Use of the Inspector or Investigator Credential. The inspector or investigator will only use the credential in the conduct of official duties that the bearer is authorized to perform in the name of the Administrator pursuant to 49 United States Code (U.S.C.) Section 40113. The inspector or investigator is authorized to use the credential for investigations, inspections, and other duties imposed by law and regulations. The inspector or investigator must not use the credential for any other purpose.

10. Application Procedures. The following application procedure is provided below:

a. The manager will complete the electronic application and forward it to AAM-810 for approval. The manager must use one of the following means of transmission: encrypted email to AAM-810; or save it to a CD and forward it to AAM-810 by registered mail return-receipt requested; or send the CD by a commercial delivery service that provides continuous signature accountability and physical control comparable to that of U.S. registered mail. AAM-810 will submit the completed application to AFS-110 for processing.

b. The manager will coordinate a date and time for the inspector or investigator to report to his/her Local Flight Standards District Office to have a full-face digital photograph taken and to create an electronic signature. The FSDO will electronically forward the encrypted and password-protected picture and signature to AFS-110 via the FAA employee website <http://av-info.avr.faa.gov/F110A>.

c. AFS-110 will complete FAA Form 9120-1 (1-01), Aviation Drug and Alcohol Testing Program Inspector and Investigator Credentials.

11. Issuance of Credentials. The following issuance of credentials is provided below:

a. AAM-810 will issue and control all Aviation Drug and Alcohol Testing Program Inspector and Investigator Credentials and Cases.

b. Once AAM-810 receives the electronic application, they will ensure the documents are correct. AAM-810 will gather credential card stock, work closely with AFS-110 to prepare FAA

Form 9120-1 (1-01), and forward the credential and case to the appropriate manager. AAM-810 will send the credential and case by registered mail return-receipt requested; or by a commercial delivery service that provides continuous signature accountability and physical control comparable to that of U.S. registered mail; or hand-deliver them to the appropriate manager.

c. Each inspector or investigator must sign to acknowledge he/she received the credential and case. He/she must return the signed acknowledgement to AAM-810.

12. Accountability and Control of Credentials. AAM-810 will maintain a record and conduct a periodic inventory of all current and former credentials and cases issued. AAM-810 will also maintain a record of all credentials and cases reported lost, stolen, or mutilated. The records will include the original application and all relevant documents. In order to ensure that accountability and control procedures are effective we have established the following procedures:

a. When an inspector or investigator is terminated or otherwise becomes ineligible to retain the issued credential, within 15 calendar days, the manager must:

- (1) ensure the credential and case are promptly returned to AAM-810;
- (2) provide a memorandum explaining why the credential and case are being returned; and
- (3) submit items (1) and (2) to AAM-800 by hand-delivery; by registered mail return-receipt requested; or by a commercial delivery service that provides continuous signature accountability and physical control comparable to that of U.S. registered mail.

b. When an inspector or investigator transfers to another AAM-800 element outside his/her assigned Center or Branch, the credential and case will not be automatically transferred:

- (1) The manager of the losing organization will contact the manager of the gaining organization and determine if the individual will require a credential in his or her new assignment.
- (2) If the individual requires a credential in the new location, the losing manager will advise AAM-800 of the transfer in writing within 5 days.
- (3) The manager of the gaining element will verify that the inspector or investigator has the credential and case upon arrival. This manager will notify AAM-800 within 5 calendar days of when the employee begins the new position.
- (4) AAM-800 will annotate its records accordingly.

13. Reporting Lost or Stolen Credentials. The process for reporting lost or stolen credentials is provided below:

a. The Aviation Drug and Alcohol Testing Program Inspector and Investigator Credential is Government property. If the credential is lost or stolen, the holder must report the occurrence immediately to his/her manager. The holder must notify his/her manager if the credential is not recovered within 24 hours. The manager will verbally notify AAM-800 the next duty day after the

occurrence and prepare a written detailed explanation concerning the circumstances surrounding the loss or theft and the actions taken to recover the credential. The manager must forward the report to AAM-800 within 48 hours, with an information copy to the Servicing Security Element (AIN-1) and AFS-110, using the "Federal Aviation Administration Detailed Incident Report," which is located in the latest edition of FAA Order 1600.69, FAA Facility Security Management Program.

b. The manager reporting the lost or stolen credential must conduct an administrative inquiry into the incident. The results of the administrative inquiry must include at least the following:

- (1) Basis for the inquiry;
- (2) Actions taken in connection with the inquiry;
- (3) Facts concerning the loss or theft;
- (4) Discussion;
- (5) Conclusions;
- (6) Recommendations;
- (7) Signature and title of the individual conducting the inquiry;
- (8) Attachments; and
- (9) Signature of the manager of the Center or Branch as appropriate.

c. The reporting manager must inform AAM-800 if the credential is subsequently recovered. AAM-800 will adjust its accountability records to reflect the recovery and will inform AIN-1 and AFS-110. AAM-800 will decide whether the recovered credential will be destroyed or reissued to the bearer, as appropriate. Under no circumstances, however, are inspectors or investigators to retain more than one credential and case at a time.

14. Replacing Lost or Stolen Credentials. The process for replacing lost or stolen credentials is provided below:

a. In the case of lost or stolen credentials, AAM-810 will not issue a replacement for at least 30 days to allow sufficient time for possible recovery.

b. If the manager's administrative inquiry results in a finding that the loss or theft was due to negligence on the part of the inspector or investigator concerned, AAM-810 will require a written request from the manager before issuing a replacement credential.

c. An inspector or investigator who loses his/her credential, including loss by theft, as a result of negligence may be subject to administrative action (such as revocation of official duties and responsibilities and/or reassignment) and/or disciplinary action up to and including removal from the Federal service in accordance with the provisions of the Human Resources Policy Manual, Vol.4, Employee Relations Standards of Conduct, E.R.4.1.

15. Replacing Mutilated Credentials. The process for replacing mutilated credentials is provided below:

a. In the case of mutilated credentials and cases, the holders will follow the procedures described in this order for initial issuance of a credential and case. In addition, the following shall apply:

(1) The manager must submit a written request to AAM-800 for a replacement, if there is mutilation or severe damage to the credential or case.

(2) The manager must provide a memorandum to accompany the electronic application for the replacement credential or case. This memorandum must state the reason for the request.

(3) The manager must send the mutilated credential or case with the application. The manager must send them to AAM-800 by hand-delivery; by registered mail return-receipt requested; or by a commercial delivery service that provides continuous signature accountability and physical control comparable to that of U.S. registered mail.

16. Updating of Credentials. Credentials remain valid for the duration of employment. AAM-810 will not reissue credentials merely because of a change in the name or title of the authenticating official(s). Credentials may be updated and reissued when the following occur:

a. The inspector's or investigator's name is legally changed.

b. The inspector or investigator is officially reassigned to a different position that changes the credential holder's title or authority.

c. The credential holder's appearance has significantly changed and identification is questionable.

d. The credential is mutilated or excessively worn.

e. Sufficient time has elapsed to indicate that a lost or stolen credential will not be returned or recovered.

f. The credential is no longer valid due to expiration.

17. Penalties for Misuse of Credentials. The penalties for misuse of credentials is provided below:

a. The careless handling, abuse, misuse, attempt to separate credential from case, or intentional misrepresentation of official credentials may result in administrative action (such as revocation of official duties and responsibilities and/or reassignment) and/or disciplinary action up to and including removal from the Federal service in accordance with the provisions of the Human Resources Policy Manual, Vol.4, Employee Relations Standards of Conduct, E.R.4.1.

(1) Credential holders must never use the credential and/or case for transacting nonofficial or personal business. Penalties may be imposed for the improper use of official identification. Specifically:

(2) 18 U.S.C. § 499 states that, "Whoever falsely makes, forges, counterfeits, alters, or tampers with any naval, military, or official pass or permit, issued by or under the authority of the United States, or with the intent to defraud, uses or possesses any such pass or permit, or personates or falsely represents himself to be or not to be a person to whom such pass or permit has been duly issued, or willfully allows any other person to have or use any such pass or permit, issued for his use alone, shall be fined under this title or imprisoned for not more than 5 years, or both."

(3) 18 U.S.C. § 1028 establishes penalties for fraud and related activity in connection with identification documents.

b. The manager shall verbally communicate any report of actual or alleged misuse of the credential to AAM-800 as quickly as possible but not less than 24 hours from the time of receipt. The following additional actions will be taken:

(1) The manager submitting the report will initiate an official investigation through AAM-800 into the matter.

(2) The manager will complete the investigation within 30 days.

18. Surrender of Credentials. The inspector or investigator must surrender the Aviation Drug and Alcohol Testing Program Inspector and Investigator Credential under any of the following circumstances:

a. Termination of employment.

b. Reassignment to a position that does not meet the eligibility requirements specified for issue of a credential.

c. Extended leave or absence in excess of 30 days.

d. Upon request by an inspector's or investigator's manager.

19. Destruction. AAM-810 will dispose of and/or destroy Aviation Drug and Alcohol Testing Program Inspector and Investigator credentials and cases that become damaged or are surrendered.

20. Distribution. This order is distributed to the Associate Administrator for Aviation Safety; to the division level in the Office of Internal Security; to the branch levels in the Flight Standards Service, Aircraft Certification Service, and the Office of Aviation System Standards; to the branch levels in the regional Flight Standards and Office of Security and Hazardous Materials; to the Regulatory Standards Division of the FAA Academy; limited distribution to all field offices and facilities; and standard distribution to all Drug Abatement Division Centers, Field Offices and Headquarters.

21. Background.

a. FAA drug and alcohol testing regulations are set forth in 14 CFR part 121, appendices I & J. These regulations establish requirements for certain aviation industry operators and related businesses to implement drug and alcohol testing programs of specific categories of employees. Drug and alcohol testing must be done in accordance with DOT regulations contained in 49 CFR part 40, Procedures for Transportation Workplace Drug and Alcohol Testing Programs. The FAA has established a compliance and enforcement program in the AAM-800. AAM is responsible for monitoring the compliance of these programs and for initiating enforcement actions as necessary.

b. FAA Order 1600.25, Identification Media, Official Credentials, Passports, and Vehicle Identification Media, sets the standards for FAA identification media to include credentials. ASH-1 inspects all FAA credentialing processes.

c. AAM-800's responsibilities require on-site inspections, access to persons, documents, facilities, and operations relating to the company's compliance with the drug and alcohol testing regulations. A credential is necessary to identify AAM-800 personnel and to allow access to conduct inspections and investigations.

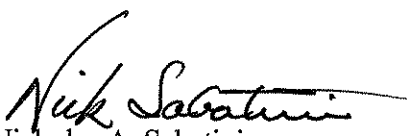
22. Delegation of Authority. The FAA Administrator delegated authority to AVS-1 to issue Aviation Drug and Alcohol Testing Program Inspector and Investigator Credentials. AAM-1 is responsible for, among other things, the design, procurement, final approval for issuance, recovery, and accountability of the Aviation Drug and Alcohol Testing Program Inspector and Investigator Credential, in accordance with the provisions of this order.

23. Forms. The following forms are used to facilitate the issuance of credentials.

a. Application Form. An applicant will use electronic DOT Form 1681 (1-88), Identification Card/Credential Application, to apply for the Aviation Drug and Alcohol Testing Program Inspector and Investigator Credential. Authorized users will obtain the electronic template by accessing the IVIS System Plus 2000 Database. To ensure that all users protect the privacy and integrity of the data, only authorized users will be allowed to access data in the IVIS System Plus 2000 Database. Authorized users must protect all data from disclosure or modification and store credentials in a secured location. Appendix A provides a sample of the electronic application.

b. FAA Form 9120-1 (1-01), Aviation Drug and Alcohol Testing Program Inspector and Investigator Credential, is stocked and controlled by AAM-800. Branch and Center Managers will notify AAM-800 when an inspector or investigator is qualified for a credential. Appendix B provides a sample of the credential form, FAA Form 9120-1 (1-01).

c. Appendix C provides a sample of the credential and case receipt acknowledgement.



Nicholas A. Sabatini

Associate Administrator for Aviation Safety

Appendix A. Identification Card / Credential Application

Identification Card / Credential Application					
Application for ☐ Identification Card or ☐ Credentials					
ID Card Number: (To be completed by Issuer)					
Last Name	First Name	Middle Name	Social Security Number		
DOT Administration/Agency	Org. Sig. (OST only) Line of Business (FAA only)	Date/Place of Birth		☐ M ☐ F Sex (M/F)	
ft. in.	lbs.	Hair Color	Eye Color	Citizenship	
Office Routing Symbol	Office Phone Number(s)	Issuing office use			
Office e-mail address		Office (Street) Address			
----- Contractor Only -----					
Contractor Company		Contract Number & Expiration Date		Contracting Officer Name and Phone Number (printed)	
Reason for Issuance					
☐ New ID Card or Credential ☐ Lost ☐ Damaged ☐ Stolen ☐ Expired ☐ Other (Specify):					
----- Application for Credentials Only -----					
New Credential Request		Type: ☐ Executive ☐ Official ☐ Other		Position title to appear on the credential	
Credential Justification/Remarks					
----- Applicant Signature -----					
☐ Permanent ☐ Contractor ☐ Temporary ☐ Other:		Signature of Applicant		Date of Application	
Employee Type					
----- Information below to be filled out by the Sponsor -----					
Expiration Date of ID Card		Type of Card: ☐ Permanent ☐ Temporary		☐ Other (Specify):	
Sponsor's Name & Phone Number (Typed or Printed)		Routing Symbol	Date	Sponsor's Signature	
----- Identity Verification Information below to be filled out by the Registrar or Trusted Agent (TA) -----					
☐ Applicant's I-S data has been verified		☐ Applicant has submitted required investigation paperwork (if required)		☐ Applicant has been fingerprinted	
☐ Applicant's picture for ID has been taken					
Registrar's/ TA's Name (Typed or Printed)		Routing Symbol	Date	Registrar's/TA's Signature	
----- Information below to be filled out by the Registrar -----					
Individual is authorized to be issued the following ID type: ☐ Permanent ☐ Temporary ☐ Other:					
Individual has a completed and favorably adjudicated ☐ NAC ☐ NACI or higher ☐ FBI Fingerprint Check ☐ Other:					
Registrar's Name (Typed or Printed)		Routing Symbol	Date	Registrar's Signature	
----- Information below to be filled out by the Issuer -----					
☐ DOT F 1681 is correctly completed.		☐ Applicant's information in the ID system is correct.			
Issuer's Name (Typed or Printed)		Routing Symbol	Date	Issuer's Signature	
----- Applicant's Acknowledgement Receipt -----					
Your card contains data that may be used to verify your identity. You must exercise care in handling your card. Do not bend or twist it, expose it to extreme heat or cold. You may keep the card only for as long as you are authorized to enter Federal buildings or have access to Federal information systems. You must return the card when you no longer need it, or upon demand by the government or your employer. You must inform your supervisor, your security representative, and/or the organization that issued your card if it is lost or stolen. You may be asked to wait for a period of time before a replacement card is issued. Please acknowledge receipt of your card and that you accept your responsibilities regarding its use and safeguarding by printing and signing your name below.					
Applicant's Name (Typed or Printed) and signature					Date

DOT F 1681 (Rev. 10/27)

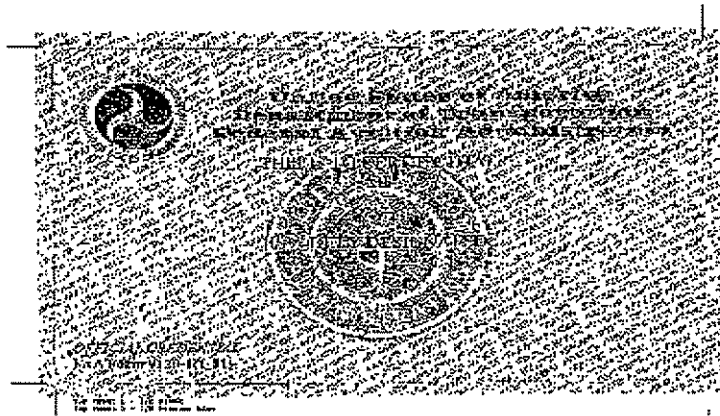
Privacy Act Notice:

The information on this form is requested under authority of Titles 5 and 49, USC; Title 32, CFR; and Title 48 USC 465c. Submission of all data is mandatory in order to receive DOT Identification media. The purpose is to provide a ready concentration of employee personal data to facilitate issuance, accountability, and recovery of required identification/credential card(s) which are issued to employees/contractors. The information provided will be used to issue such identification/credential card(s) as may be required to enable the employee or contractor to properly conduct assigned duties. Failure to provide all or any part of the requested data will result in your inability to be properly identified and, therefore, be unable to properly perform all aspects of your assigned official duties.

09/19/2007

9000.3
Appendix B

Appendix B. Aviation Drug and Alcohol Testing Program Inspector and Investigator Credential



U.S. Department of Transportation
Federal Aviation Administration

800 Independence Ave., S.W.
Washington, D.C. 20591

Official Business
Penalty for Private Use, \$300

POSTMASTER: Return to
ASSOCIATE ADMINISTRATION FOR
AVIATION SAFETY
FEDERAL AVIATION ADMINISTRATION
WASHINGTON, D.C. 20591

IF FORWARDED—Only in any U.S. Mail if in, as authorized by postmark or use of other official mark to
avoid penalties, Title 18, U.S.C. Sec. 893

0001

2010-09-19 10:10:10

2010-09-19 10:10:10
2010-09-19 10:10:10
2010-09-19 10:10:10
2010-09-19 10:10:10

09/19/2007

9000.3
Appendix C

Appendix C. Sample Credential and Case Receipt Acknowledgement



**Federal Aviation
Administration**

Memorandum

Date:

To: Manager, Program Administration Branch, AAM-810

From: Compliance and Enforcement Center Manager

Subject: ACTION: Acknowledgment of Credential and Case

I have received FAA Form 9120-1, Aviation Drug and Alcohol Testing Program Inspector and Investigator Credential and case. I will report immediately to AAM-800 the circumstances if the credential and case becomes lost, stolen, or mutilated. I will surrender the credential and case to the Manager, Drug Abatement Division upon reassignment from the Drug Abatement Division, termination of employment, or the request of management.

Print Inspector or Investigator's Name:

Inspector or Investigator's Signature:

Date: