REQUEST FOR RECORDS DISPOSITION AUTHORITY

(See Instructions on reverse)

TO NATIONAL ARCHIVES and RECORDS ADMINISTRATION (NIR)
WASHINGTON, DC 20408

1 FROM (Agency or establishment)
Federal Aviation Administration

2 MAJOR SUBDIVISION
Human Resources

3 MINOR SUBDIVISION
Employee Relations

4 NAME OF PERSON WITH WHOM TO CONFER: Frank Pirhalla

5 TELEPHONE: (202)267-9651

LEAVE BLANK (NARA use only)

JOB NUMBER: N1-237-02-1

DATE RECEIVED: 3-29-2002

NOTIFICATION TO AGENCY

In accordance with the provisions of 44 U S C 3303a the disposition request, including amendments, is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10

DATE: 05/28/03 ARCHIVIST OF THE UNITED STATES: WITHDRAWN

6 AGENCY CERTIFICATION

I hereby certify that I am authorized to act for this agency in matters pertaining to the disposition of its records and that the records proposed for disposal on the attached 2 page(s) are not now needed for the business of this agency or will not be needed after the retention periods specified; and that written concurrence from the General Accounting Office, under the provisions of Title 8 of the GAO Manual for Guidance of Federal Agencies,

☒ is not required; ☐ is attached; or ☐ has been requested.

DATE	SIGNATURE OF AGENCY REPRESENTATIVE	TITLE
3/14/02	Katherine R. Thomas	267-8929 FAA Records Officer

7 ITEM NO	8 DESCRIPTION OF ITEM AND PROPOSED DISPOSITION	9 GRS OR SUPERSEDED JOB CITATION	10 ACTION TAKEN (NARA USE ONLY)
	(1) Substance Abuse Tracking System ---- See Attached ---- Withdrawn - System does not exist JH		

cc: NR, NWMW, Agency

115-109 NSN 7540-00-634-4064 PREVIOUS EDITION NOT USABLE

STANDARD FORM 115 (REV 3-91) Prescribed by NARA 36 CFR 1228

Substance Abuse Tracking System (SATS)

Program: Office of Human Resources

Applicability: Agency-wide

Identifying Information:

Description: The Substance Abuse Tracking System (SATS) assists the Department of Transportation (DOT) and the Federal Aviation Administration (FAA) in ensuring than any employee who has previously violated DOT/FAA drug and alcohol policies meet specific program requirements before returning to safety-sensitive, or national security-sensitive work in DOT. This system is necessary to: (1) ensure the safety of the flying public; (2) assist employees in their struggle against substance abuse problems; (3) ensure fair and equitable treatment for all DOT/FAA employees; and (4) maintain the integrity of the DOT/FAA drug and alcohol-free workplace program.

The system contains information on FAA employees who have (1) refused, adulterated, or substituted specimens during the drug and alcohol testing process; (2) entered, or were eligible to enter into an FAA Employee Assistance Program (EAP) approved substance abuse *Treatment/Rehabilitation Plan*; and (3) employees who have violated DOT and FAA policies on substance abuse/misuse.

Specific Restrictions: Highly-sensitive personal information relating to individual employees. Hard copy records are stored in secure, locked file cabinets. Automated records are stored in a secured, computerized system that restricts access through User Identification (user ID's), passwords, and a need to know basis.

Vital Record: No.

Specific Legal Requirements: *DOT Order 3910 1C, Omnibus Transportation Employee Testing Act of 1991 Pub L No 102-143, Title V, 105 Stat 952 (1991), and Section 503 of the supplemental appropriations Act, 1987, Pub L No 100-71 Title V, 101 Stat 468 (1987) (codified at 5 U S C & 7301 note) and Executive Order 12564 – A Drug-Free Federal Workplace*

Disposition Information:

a. Input/source records. Individual case files including FAA Employee Assistance Program (EAP) Approved Treatment Rehabilitation Plans, One Opportunity for Substance Abuse Rehabilitation Agreements, termination or removal letters, and copy of DOT Breath Alcohol Testing Form and drug test results report.

   TEMPORARY. Destroy/delete 50 years after date of substance violation.

b. Master files. Categories of records in the system: name, gender, date of birth, social security number, job title, duty location, status of employment, report of investigation, FAA Employee Assistance Program (EAP) approved substance abuse *Treatment/Rehabilitation Plan, One Opportunity for Substance Abuse Rehabilitation Agreement*, verified drug and/or confirmed alcohol positive test result(s), records of compliance or non-compliance with the *Treatment/Rehabilitation Plan*, follow-up testing, and records of other drug and alcohol program violations.

TEMPORARY. Destroy/delete data 50 years after date of substance violation.

c Outputs: None.

TEMPORARY. Destroy when no longer needed for agency business.

d. System documentation. Code books, record layouts, user manuals, data dictionaries, et cetera.

TEMPORARY. Destroy when the system becomes obsolete, superseded, or no longer needed for agency business.