



U.S. DEPARTMENT OF TRANSPORTATION

FEDERAL AVIATION ADMINISTRATION

National Policy

**ORDER
9000.3C**

Effective date:

05/02/22

SUBJ: Aviation Drug and Alcohol Testing Program Credential

- 1. Purpose of This Order.** This order provides guidance for the issuance, use, control, and recovery of Federal Aviation Administration (FAA) Aviation Drug and Alcohol Testing Program Credentials for supervisor, inspector, or investigator.
 - 2. Audience.** Drug Abatement Division (AAM-800) personnel and Flight Standards 110A Program Office staff.
 - 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.** This order cancels FAA Order 9000.3B, Aviation Drug and Alcohol Testing Program Inspector and Investigator Credential dated June 23, 2021.
 - 5. Explanation of Changes.**
 - a.** This Order was revised to reflect the Order's new name (Aviation Drug and Alcohol Testing Program Credential).
 - b.** This Order was revised to clarify that supervisors are not required to complete AAM-800's On-The-Job Training Program to be eligible for a credential. The training requirement only applies to inspectors and investigators.
 - c.** This Order was revised to allow for distribution of the credential and case directly to the credential holder using Federal Express or other means.
 - d.** This Order was revised to allow a credential holder to return a credential and case directly to the issuing office using Federal Express or other means when the credential and/or case is surrendered or damaged.
 - 6. Requests for Information.** Requests for information concerning this order or concerning specific procedures, forms, reporting requirements, and controls should be addressed to FAA, Aviation Safety's Office of Aerospace Medicine, Drug Abatement Division Director via email to drugabatment@faa.gov.
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7. Background.

a. The FAA's drug and alcohol testing regulations are set forth in Title 14 Code of Federal Regulations (14 CFR) part 120, Drug and Alcohol Testing Program. 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 Department of Transportation (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 AAM-800 to monitor these programs and for initiating enforcement or non-enforcement actions as necessary.

b. AAM-800's responsibilities require oversight and surveillance by conducting on-site or virtual inspections or investigations, access to persons, documents, facilities, and operations relating to the employer's compliance with the drug and alcohol testing regulations. A credential is necessary to identify AAM-800 personnel (including a supervisor, inspector or investigator) and to allow access to conduct inspections and investigations.

c. FAA Order 1600.25, FAA Official Credentials, sets the standards and procedures for procurement, control, issuance, and recovery of the FAA official credentials. The Associate Administrator for Security and Hazardous Materials Safety (ASH- 1) inspects all FAA credentialing processes.

8. Responsibilities. The following personnel are responsible for the described functions:

a. The Associate Administrator for Aviation Safety (AVS-1) approves the Aviation Drug and Alcohol Testing Program Credential.

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 the current version of FAA Order 1600.25, FAA Official Credentials.

c. The Director, Drug Abatement Division (AAM-800), establishes the criteria for eligibility, issuance, control, and accountability of Aviation Drug and Alcohol Testing Program Credential, FAA Form 9120-1 (1-01). This credential is designed for exclusive use by AAM-800 personnel, including supervisors, inspectors, and investigators. AAM-800 has coordinated this order with the ASH-1 to ensure credentials comply with FAA credentialing standards.

d. The Manager, Program Administration Branch (AAM-810) is responsible for the management, issuance and control of AAM-800's credential program and must:

(1) Maintain an accurate list of all AAM-800 personnel who are issued a credential and case, conduct an annual inventory of all current credentials and cases issued to AAM-800 personnel, and monitor expiration of credentials to advise the branch or center manager 45 days before the credentials are scheduled to expire.

(2) Receive and maintain a record of reports of lost, stolen, damaged, or recovered credentials and/or cases and report these incidents to ASH, in accordance with Order 1600.25, paragraph 18.

(3) Prior issuing the credential and case, AAM-810 will verify the credential holder's mailing address and receipt of the credential holder's acknowledgement that he/she has read and understands this order.

(4) Coordinate the date and time for AAM-800 personnel to report to 110A Program Office or a field office to have a full-face digital photograph taken and to create an electronic signature.

(5) Gather credential card stock, work with 110A Program Office to prepare FAA Form 9120-1 (1-01), and forward the credential and case to the credential holder in accordance with the requirements of this order.

(6) Provide mailing materials to the credential holder to return a surrendered or damaged credential and/or case.

(7) Dispose and/or destroy Aviation Drug and Alcohol Testing Program Credentials and cases that are returned due to surrender or damage.

e. 110A Program Office must prepare FAA Form 9120-1 (1-01) and forward the credential to AAM-810 for distribution to the credential holder in accordance with the requirements of this order.

f. The Drug Abatement Division Director, Compliance and Enforcement Center Managers (AAM-840, AAM-850, and AAM-860), and Special Investigations Branch Manager (AAM-830) must:

(1) Complete the memorandum and DOT Identification Card/Credential Application, DOT F 1681, for credential holders assigned to them.

(2) Ensure the credential applicant has successfully completed AAM-800's New Inspector/Investigator Training Program and FAA Compliance and Enforcement Order 2150.3 training, and AAM-800's On-The-Job Training Program for inspectors and investigators. Verification of training must be provided in the request for credentials (refer to Appendix C). NOTE: The training requirement does not apply for credential reissuance.

(3) Ensure that AAM-810 has an accurate list of all personnel who have been issued a credential and case.

(4) Report lost or stolen credentials and/or cases to AAM-810 and ASH (in accordance with 1600.25, paragraph 18) within 24 hours of notification of loss or theft. A written report must be sent to AAM-810 by the next workday.

g. Each Aviation Drug and Alcohol Testing Program credential holder must:

(1) Provide AAM-810 with a mailing address to send the credential and case, and the Acknowledgement of Credential and Case Memorandum, using the template included in Appendix E of this order, that he/she has read and understands this order.

(2) Ensure that the credential is never separated from the case and used only to accomplish official business in support of the FAA's aviation safety mission.

(3) Inform his/her immediate manager within 24 hours of the loss or theft of a credential and/or case and provide a written statement that contains full details of the loss or theft in accordance with Section 13 of this Order.

9. Eligibility Criteria. The following eligibility criteria apply:

a. Operational requirements consistent with the mission of AAM-800 provide the basis for applications for a credential within AAM.

b. AAM-800 will issue credentials to its personnel whose duties include oversight, inspections and investigations of the aviation industry drug and alcohol testing programs.

c. AAM-800 personnel must successfully complete AAM-800's New Inspector/Investigator Training Program and FAA Compliance and Enforcement Order 2150.3 Training, and inspectors and investigators must complete AAM-800's On- The-Job Training Program.

10. Use of the AAM-800 Credential. All AAM-800 personnel issued a credential under this order must use the credential to conduct 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 credential holder is authorized to use for oversight and surveillance activities, including investigations, inspections, and other duties imposed by law and regulations. All credential holders must not use the credential for any other purpose.

11. Application Procedures. The following application procedures apply:

a. The Division Director or manager must complete a Request for Credential Memorandum, using the template in Appendix C of this order, to confirm the credential applicant has met the eligibility criteria for a credential as determined in Section 8 of this order.

b. The applicant must provide AAM-810 with a mailing address to send the credential and case prior to reporting for his/her credential appointment.

c. AAM-810 must coordinate a date and time for the credential applicant to report to 110A Program Office to have a full-face digital photograph taken and to create an electronic signature and prepare the Credential Issuance Appointment Memorandum using the template in Appendix D of this order.

d. The applicant must complete the Identification Card/Credential Application, DOT F 1681, (included in Appendix A of this order) and will submit the completed application to 110A Program Office or a field office for processing.

e. 110A Program Office must complete FAA Form 9120-1 (1-01), Aviation Drug and Alcohol Testing Program Credentials.

12. Issuance of Credentials. AAM-810 will issue credentials as follows:

a. Once 110A Program Office receives the Identification Card/Credential Application, DOT F 1681, the AAM-810 designee must gather a credential card stock (similar to the example included in Appendix B of this order), work with 110A Program Office to prepare FAA Form 9120-1 (1-

01), and forward the credential and case to the credential holder at the address provided. AAM-810 must send the credential and case by Federal Express, unless other commercial delivery is determined by AAM-810 that ensures continuous signature accountability and physical control of delivery to the credential holder.

b. Each credential holder must provide AAM-810 with a signed Acknowledgement of Credential and Case Memorandum (Appendix E) to acknowledge he/she received the credential and case, understands this order and agrees to follow it.

13. Accountability and Control of Credentials. AAM-810 must maintain a record and conduct an annual inventory of all current credentials and cases issued, and any reported lost, stolen, or mutilated. The records must include all relevant documents. When a credential holder is terminated or otherwise becomes ineligible to retain the issued credential, AAM-810 must provide the credential holder with mailing materials to return the credential and case to AAM-810 at 800 Independence Avenue, SW., Washington, DC 20591.

14. Reporting Lost or Stolen Credentials. The process for reporting lost or stolen credentials applies as follows:

a. The Aviation Drug and Alcohol Testing Program Credential and case are considered Government property. If the credential is lost or stolen, the credential holder must report the incident immediately to his/her manager within 24 hours. The manager must notify AAM-810 and submit a Facility Incident Report to ASH online at <https://incidentreporting.faa.gov/> within 24 hours of the incident. Information about submitting a Facility Incident Report is available in FAA Order 1600.69 (as amended), FAA Facility Security Management Program, and in the Web Based Incident Reporting System User Guide available on the Drug Abatement Division's SharePoint Site.

b. The reporting manager must inform AAM-810 if the credential holder subsequently recovers the credential. AAM-810 must adjust its accountability records to reflect the recovery and inform Office of Infrastructure Protection (AXF) and 110A Program Office. AAM-810 must decide whether the credential will be destroyed or reissued to the bearer. Under no circumstances may anyone in AAM-800 retain more than one credential and case at a time.

15. Replacing Lost or Stolen Credentials. The process for replacing lost or stolen credentials applies as follows:

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

b. If AAM-810 suspects that the loss or theft was due to negligence on the part of the inspector or investigator concerned, AAM-810 must notify the Division Director and credential holder's manager in accordance with Order 1600.25, paragraph 19. AAM-810 must obtain a written request from the credential holder's manager before issuing a replacement credential.

16. Replacing Mutilated Credentials. In the case of a mutilated credential and case, the credential holder must follow the procedures described in this order for initial issuance of a credential and case. In addition, the following will apply:

a. The manager must submit a written request for replacement to AAM-810 using the Request for Credential Memorandum template in Appendix C of this order.

b. AAM-810 must provide the credential holder with mailing materials to return the credential and case to AAM-810 at 800 Independence Avenue, SW., Washington, DC 20591.

17. Updating of Credentials. Credentials remain valid until their printed expiration date. Although AAM-810 will not reissue credentials when the name or title of the authenticating official(s) changes, credentials may be updated and reissued under the following circumstances:

a. The credential holder's legal name changes.

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

c. The credential holder's appearance significantly changes to question the holder's identification.

d. Mutilated or excessively worn credentials.

e. The credential is lost or stolen.

f. The credential is expired.

18. Penalties for Misuse of Credentials. The penalties for misuse of credentials apply as follows:

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 disciplinary action up to and including removal from Federal Service in accordance with the provisions of the HRPM, Volume 4, Employee Relations, Standards of Conduct, ER-4.1.

(1) Credential holders must never use the credential and/or case for transacting nonofficial or personal business. The FAA may impose penalties for the improper use of official identification in accordance with:

- 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."
- 18 U.S.C. § 1028 establishes penalties for fraud and related activity in connection with identification documents.

b. The credential holder's manager must notify the Division Director and AAM-810 in writing or verbally any report of actual or alleged misuse of the credential as soon as possible, but no later than 24 hours from the time of the incident. The following additional actions will be taken:

- (1) The credential holder's manager must conduct an investigation into the incident.
- (2) The credential holder's manager must provide a written report to the Division Director and AAM-810 within 30 days.
- (3) The Division Director may refer the matter to ASH for investigation, in accordance with Order 1600.25, paragraph 19.

19. Surrender of Credentials. The credential holder must surrender his/her credential and case 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. If on extended leave or absence in excess of 45 calendar days; however, exceptions of longer absences may be granted by the Division Director on a case-by-case basis. The credential holder's manager will decide whether to destroy or reissue the credential.
- d. Upon request by his/her manager.

20. Destruction. AAM-810 must destroy any credentials and cases that become damaged or are surrendered, and will complete the Acknowledgement of Credential Destruction Witness Statement included in Appendix F of this order.

21. Distribution. The order will be distributed to the Associate Administrator for Aviation Safety; 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 Safety; 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 Branches, Centers, and Field Offices.

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

- a. **Application Form.** A credential applicant must use form DOT F 1681, Identification Card/Credential Application, to apply for the Aviation Drug and Alcohol Testing Program Credential. A sample is included in Appendix A of this order.

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BAKER
Date: 2022.05.02 10:23:42
-04'00'

For Christopher J Rocheleau
Acting Associate Administrator for Aviation Safety, AVS-1

Appendix A. Identification Card/Credential Application

Applicant Data					
Application for <input type="checkbox"/> Identification Card or <input type="checkbox"/> Credentials				ID Card Number: (To be completed by Issuer)	
Last Name	First Name	Middle Name	Social Security Number		
DOT Administration/Agency	Org. Seg. (OST only) Line of Business (FAA only)	Date/Place of Birth		<input type="checkbox"/> M <input type="checkbox"/> F Sex (M/F)	
ft. Height	in. Weight	lbs. Hair Color	Eye Color	Citizenship	
Office Routing Symbol	Office Phone Number(s)	Issuing office use			
Office e-mail address			Office (Street) Address		
----- Contractors Only -----					
Contractor Company		Contract Number & Expiration Date	Contracting Officer Name and Phone Number (printed)		
----- Reason for Issuance -----					
<input type="checkbox"/> New ID Card or Credential <input type="checkbox"/> Lost <input type="checkbox"/> Damaged <input type="checkbox"/> Stolen <input type="checkbox"/> Expired <input type="checkbox"/> Other (Specify):					
----- Application for Credentials Only -----					
New Credential Request Type: <input type="checkbox"/> Executive <input type="checkbox"/> Official <input type="checkbox"/> Other			Position title to appear on the credential		
Credential Justification/Remarks					
----- Applicant Signature -----					
Employee Type <input type="checkbox"/> Permanent <input type="checkbox"/> Contractor <input type="checkbox"/> Temporary			Signature of Applicant		Date of Application
<input type="checkbox"/> Other:					
----- Information below to be filled out by the Sponsor -----					
Expiration Date of ID Card	Type of Card: <input type="checkbox"/> Permanent <input type="checkbox"/> Other (Specify):		<input type="checkbox"/> Temporary		
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) -----					
<input type="checkbox"/> Applicant's identity documents have been examined		<input type="checkbox"/> Applicant has submitted all investigation paperwork (if required)		<input type="checkbox"/> Applicant has been fingerprinted	
<input type="checkbox"/> 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 <input type="checkbox"/> Permanent <input type="checkbox"/> Temporary <input type="checkbox"/> Other:					
Individual has a completed and favorably adjudicated <input type="checkbox"/> NAC <input type="checkbox"/> NACI or higher <input type="checkbox"/> FBI Fingerprint Check <input type="checkbox"/> Other:					
Registrar's Name (Typed or Printed)		Routing Symbol	Date	Registrar's Signature	
----- Information below to be filled out by the Issuer -----					
<input type="checkbox"/> DOT F 1681 is correctly completed.			<input type="checkbox"/> 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 signing your name below.					
Applicant's Signature				Date	

DOT F 1681 (test - 12/01/05)

Privacy Act Notice:

The information on this form is requested under authority of Titles 5 and 49, USC; Title 32, CFR; and Title 40 USC 486c. 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.

Appendix B. Card Stock Sample



Hand feed sheets individually into printer.



Appendix D. Credential Issuance Appointment Memorandum Template



FAA

Aviation Safety

Memorandum

Date:

To: (Supervisor/Inspector/Investigator’s Name, Title and Routing Symbol)

CC: (NAME), Program Administration Branch Manager, AAM-810

From: (Manager’s Name, Title and Routing Symbol)

Subject: ACTION: Credential Issuance Appointment

Our Drug Abatement Division Director approved you for issuance of your Aviation Drug and Alcohol Testing Program Credential. To issue your credential, you must provide personal information, submit to a full-face digital photograph, and create a digital signature. Please provide your mailing address to the AAM-810 Manager for issuance of your credential and case. Please report to the Flight Standards District Office location listed below at the scheduled time and date. Please bring this memorandum and the attached document with you to your appointment. If you have any questions or concerns about the credentialing process, please let me know.

Attachment

The local FSDO is located at: _____

Your appointment is scheduled for: _____

The point of contact will be: _____

Phone: _____

Appendix E. Acknowledgement of Credential and Case Memorandum Template



FAA

Aviation Safety

Memorandum

Date:

To: (NAME), Drug Abatement Division Director, AAM-800

CC: (NAME), Program Administration Branch Manager, AAM-810

From: (Credential Holder’s Name, Title and Routing Symbol)

Subject: Acknowledgment of Credential and Case

I acknowledge receipt of my FAA Form 9120-1, Aviation Drug and Alcohol Testing Program Credential and case.

I agree to immediately report any incident of my credential and/or case being lost, stolen, or mutilated to my manager.

I agree to surrender my credential and case to AAM-810 upon reassignment to a position that no longer requires a credential, termination of employment, or at the request of management.

I acknowledge that I have read and understand FAA’s Aviation Drug and Alcohol Testing Program Credential, Order 9000.3C (as amended), and I agree to comply with the requirements of the Order.

Print Name

Signature

Date

Appendix F. Acknowledgement of Credential Destruction Witness Statement Template



FAA

Aviation Safety

Credential Destruction Witness Statement

In accordance with Section 19 of the Aviation Drug and Alcohol Testing Program Credential Order 9000.3C (as amended), the credential and case for the following individual(s) has been destroyed:

Name

Credential Number

Program Administration

Date

Witness

Date