



# Alcohol & Drug Use: Roadmap to Certification

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## Disclosure Information

- Financial: Prior consulting for JetBlue (2013)
- No off-label med use and/or investigational

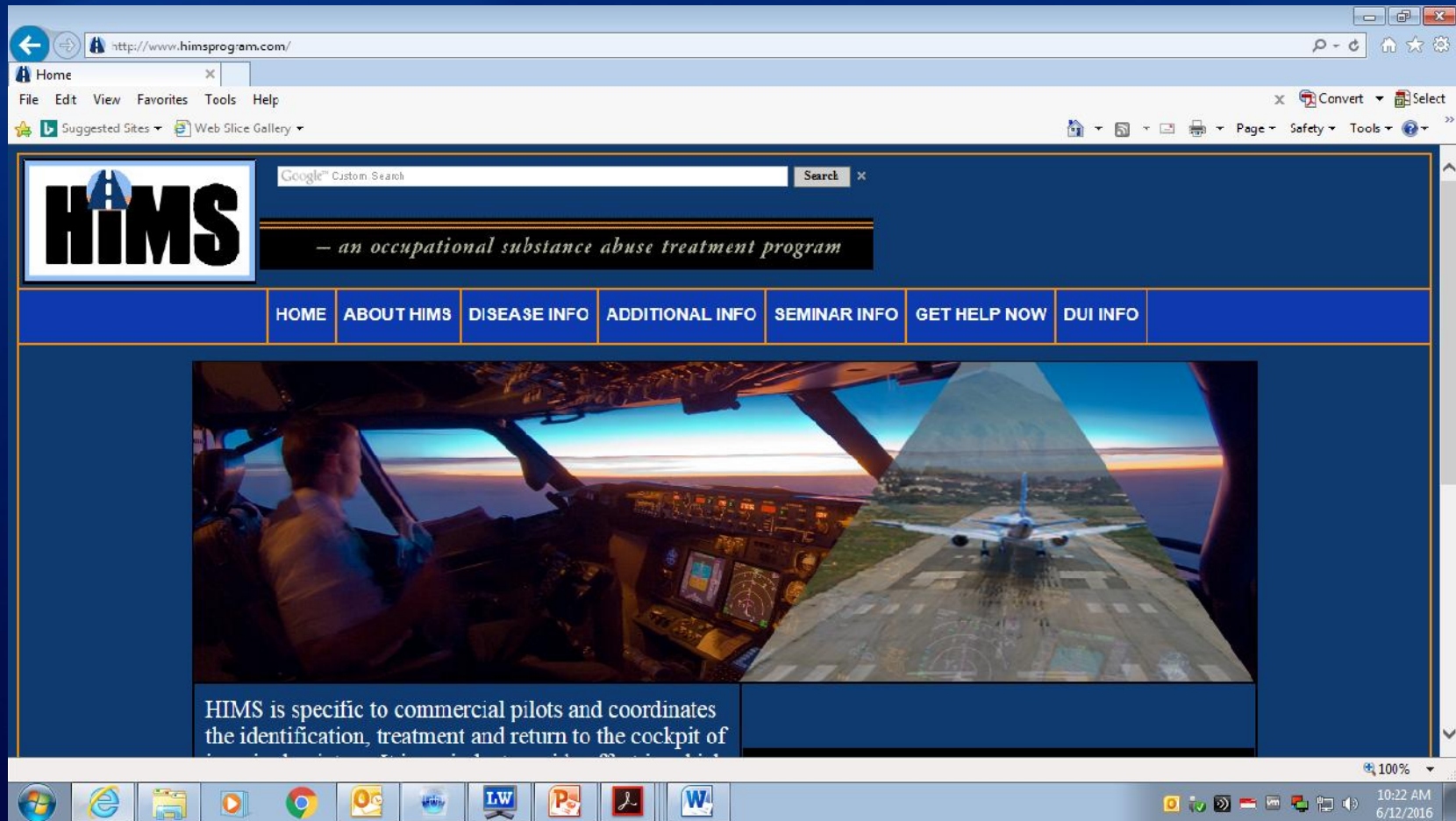
# Objectives

- Review FAA definitions regarding addiction
- Differentiate the deferral criteria
- Understand the HIMS addiction protocol specifications

# Agenda

- Introduction – where did it all start?
- Definitions.. And more!
- Deferral criteria
- Getting your airman there...
- Conclusion

# Human Intervention Motivation Study (HIMS)



Himsprogram.com



Occupational  
Alcohol Addiction  
Treatment  
Program (1970s)



Drugs of Abuse



4 SSRIs (2010)



HIMS today (2016)



Alcohol / Drug Monitoring



SSRI Protocol

# What is disqualifying?

- Specifically disqualifying **All Classes:**  
**14 CFR 67.107(a)(b), 67.207(a)(b),  
and 67.307(a)(b)**
  - Substance dependence (a)
  - Substance abuse (b)

## FAA: “SUBSTANCE” includes...

- Alcohol, PCP, sedatives and hypnotics, anxiolytics, marijuana, cocaine, opioids, amphetamines, hallucinogens, and other psychoactive drugs or chemicals



# FAA Def'n of Substance Abuse

- Physically hazardous to situation
- (+) drug test
- Etoh 0.04
- Refusal to submit to DoT Etoh/drug test
- Misuse that the Federal Air Surgeon finds...

## FAA: Definition of Misuse

- Makes person unable to safely perform duties OR exercise airman certificate privileges
- May be reasonably be expected (for duration of med cert) to make person unable to...
- Based on case hx and medical judgment

# Old DSM IV Substance Abuse Criteria

- Failure to fulfill major role obligations at work, school, or home
- Situations in which it is physically hazardous
- Related legal problems
- Persistent or recurrent social or interpersonal problems

# FAA: Substance Dependence

- A condition in which a person is dependent on a substance, other than tobacco or ordinary xanthine-containing (e.g., caffeine) beverages, as evidenced by....
- (1 or more of the following)

## FAA: Substance Dependence (cont.)

- Increased tolerance
- Withdrawal symptoms
- Impaired control of use
- Damage to physical health
- Impairment of social / personal / occupational functioning

# Deferral Criteria

- Obtain a detailed history to 18n or 18o
- The Examiner **MUST** defer issuance of a certificate if there is doubt concerning an applicant's substance use
- ANY history of alcohol / substance dependence defer
- If in doubt, DEFER!

# What are “Motor Vehicle Actions”???

Arrest, Conviction and/or Administrative Action History - Letter (v) of this subheading asks if you have ever been: (1) arrested and/or convicted (which may include paying a fine, or forfeiting bond or collateral) of an offense involving driving while intoxicated by, while impaired by, or while under the influence of alcohol or a drug; or (2) arrested, convicted and/or subject to an administrative action by a state or other jurisdiction for an offense for which your license was denied, suspended, cancelled, or revoked or which resulted in attendance at an educational or rehabilitation program. Individual traffic arrests and/or convictions are not required to be reported if they did not involve: alcohol or a drug; suspension, revocation, cancellation, or denial of driving privileges; or attendance at an educational or rehabilitation program. If “yes” is checked, a description of the arrest(s), and/or conviction(s), and/or administrative action(s) must be given in the EXPLANATIONS box. The description must include: (1) the alcohol or drug offense for which you were arrested and/or convicted or the type of administrative action involved (e.g., attendance at an alcohol treatment program in lieu of conviction; license denial, suspension, cancellation, or revocation for refusal to be tested; educational safe driving program for multiple speeding arrests and/or convictions, etc.); (2) the name of the state or other jurisdiction involved; and (3) the date of the arrest(s), and/or convictions, and/or administrative action(s). The FAA may check state motor vehicle driving licensing records to verify your responses. Letter (w) of this subheading asks if you have ever had any other (nontraffic) convictions (e.g., assault, battery, public intoxication, robbery, etc.). If so, name the charge for which you were convicted and the date of conviction in the EXPLANATIONS box. See **NOTE** below.

## 19. VISITS TO HEALTH PROFESSIONAL WITHIN LAST 3 YEARS

List all visits in the last 3 years to a physician, physician assistant,

# FAA: Motor Vehicle Actions

- DWI / DUI / OWI
- Arrest / conviction / admin action
- Affecting driving privileges
- Involved alcohol or drugs
- Attendance at rehab / educ program
- Any licence actions including test refusal
- Educational safe driving program for multiple speeding convictions



# What to do, when to issue, when to defer??

- Obtain detailed history of use & all Etoh-related incidents
- Obtain court/ arrest records past **5 years**
  - Includes military records
  - Forward to AMCD
- Document Block 60
- Advise the airman on reporting req't

# Reporting of Motor Vehicle Actions

- 8500 history does *not* alleviate airman's reporting req't of
- FAA requires reporting within 60 days of occurrence
- Airman must report it to:

SECURITY AND INVESTIGATIONS DIVISION  
AMC-700  
P.O. BOX 25810  
OKLAHOMA CITY, OK 73125-0810

- AKA the (Civil Aviation) Security Division

## “Must defer” specific criteria

- Inability to review court / arrest records within 14 days of exam
- BAC 0.15
- Blood alcohol test refusal
- Motor vehicle actions w/in following:
  - One in past 2 years, + any other ever
  - Two within past 10 years
  - Three in lifetime
- If in doubt.... DEFER!

## AME may issue IF...

- (no doubt exists of alcoholism)
- (no hx of abuse or dependence)
- NONE of specific deferral criteria met
- Most recent incident 5 years ago
  - Your hx / exam / record review does not indicate possible abuse/dependence
- Most recent incident > 5 years ago
  - Your hx / exam does not indicate a possible abuse / dependence

# HIMS Protocol Specifications

- FAA will require additional documentation:
  - Personal statement
  - State driving record x 10 years
  - Court records / arrest reports
- HIMS Evaluation
  - Psychiatric evaluation
    - Addiction psychiatrist OR HIMS-trained
  - Neuropsychological evaluation
    - HIMS-trained Neuropsychologist

SUMMARY –  
FAA  
CERTIFICATION  
AID  
DRUG / ETOH  
RE-CERT

- HIMS AME
- Lab testing
- Psychiatry History Report
- Aftercare
- Chief Pilot
- Peer Pilot
- Additional providers



[www.himsprogram.com](http://www.himsprogram.com)

**FAA CERTIFICATION AID – Drug and Alcohol Monitoring Recertification**

(Updated 5/25/2016)

ician/provider who may be unfamiliar with FAA medical certification requirements. It lists the ABSOLUTE MINIMUM  
ould strongly consider taking a **copy to each evaluator so they understand what specific information is needed**  
a **delay** in the processing of your medical certification until that information is submitted. Additional information su  
within the last 90 days) for FAA purposes.



## HIMS AME Checklist - Drug and Alcohol Monitoring Recertification

(Updated 5/25/16)

Airman Name \_\_\_\_\_

PI# \_\_\_\_\_

**Instructions to the HIMS AME:**

- Address the following items based on your in-office exam and documentation review;
- **Submit this Checklist** (it must be signed and dated by the HIMS AME); **AND**
- **Include supporting documentation reviewed to complete this checklist** (including your HIMS AME report) **within 14 days to:**

Federal Aviation Administration  
Aerospace Medical Certification Division AAM-300  
PO Box 26080, Oklahoma City, OK 73125-9914

I reviewed the airman's HIMS Authorization Letter dated: \_\_\_\_\_  
(date of Authorization letter)

**1. HIMS AME FACE-TO-FACE, IN OFFICE EVALUATION: Required EVERY 6 months for ALL CLASSES**

Any concerns that the airman is not successfully engaged in a continued abstinence-based recovery program or is not working a good program based on your clinical interview/evaluation and review of reports? .....

- Interval evaluations (every 3 months or as required by Authorization Letter) were unfavorable?.....
- Any evidence or concern the airman has not remained abstinent? .....
- Any positive drug or alcohol tests since last HIMS evaluation? .....
- Any evidence of noncompliance or concern the airman is not working a good recovery program? ....
- Any NEW condition(s) that would require Special Issuance? (Do not include any new CACI qualified condition) .....

No	Yes

**2. TREATING PSYCHIATRIST REPORT or HIMS PSYCHIATRIST REPORT: Required EVERY 12 months for ALL CLASSES unless a different time interval is specifically stated in the Authorization Letter**

- Report(s) is/are favorable (no anticipated or interim treatment changes).....
- The psychiatrist recommends no additional treatment or monitoring.....

Yes	No

**Items 3 - 5: The AME should review. Do not submit these items (3-5) to the FAA unless concerns are noted.**

3. **AFTERCARE COUNSELOR REPORTS:** For 1<sup>st</sup> and 2<sup>nd</sup> class: Required every 3 months; 3<sup>rd</sup> class: Per Authorization Letter

- Show continued participation and abstinence-based sobriety? .....

N/A	Yes	No

4. **CHIEF PILOT REPORT(S):** Required monthly for commercial pilots holding first- or second-class certificates (N/A for third-class):

- Report(s) is/are favorable? .....

N/A	Yes	No

5. **PEER PILOT REPORTS:** Required monthly for commercial pilots holding first- or second-class certificates (N/A for third-class):

- Report(s) is/are favorable with continued total abstinence? .....

N/A	Yes	No

6. **ADDITIONAL REPORTS.** Required **ONLY** when specified by the Authorization letter

- HIMS related (AA attendance, therapy reports, etc.) are favorable and meet authorization requirements.....
- Reports required for other **non-HIMS** conditions all meet Authorization requirements.....

N/A	Yes	No

7. I have no other concerns about this airman and recommend re-certification for Special Issuance. ....

Yes	No

\_\_\_\_\_   
 HIMS AME Signature

\_\_\_\_\_   
 Date of Evaluation

If ALL items fall into the clear column, the AME may issue with the time limitation specified in the Authorization letter.

**If ANY SINGLE ITEM falls into the SHADED COLUMN, the AME MUST DEFER or contact the FAA for guidance AND EXPLAIN in the HIMS evaluation report.**



# Alcohol & Drug Use: Roadmap to Certification

- Definitions, rules & regulations!
  - What is addiction and how does the FAA define it?
  - Abuse / dependence specifically DQ'ing
  - Defining a motor vehicle action
  - Strict criteria to issue (if possible) & defer
- If in doubt, defer!!
- Understanding HIMS pathway
  - Preparing your airman for it



# Questions & Discussion