

Request for Records Disposition Authority

Records Schedule Number DAA-0557-2016-0001

Schedule Status Approved

Agency or Establishment Federal Motor Carrier Safety Administration

Record Group / Scheduling Group Records of the Federal Motor Carrier Safety Administration

Records Schedule applies to Department-wide

Schedule Subject Commercial Driver's License Drug and Alcohol Clearinghouse Database

Internal agency concurrences will be provided No

Background Information

Governed by mandated by section 32402 of the Moving Ahead for Progress in the 21st Century (MAP-21) Act, the Clearinghouse is a database that will contain information about violations of Federal Motor Carrier Safety Administration (FMCSA) drug and alcohol testing program for commercial driver's license (CDL) holders. The Clearinghouse maintains records of all drug and alcohol program violations in a central repository, and requires employers to query the system for a drug and alcohol violations covered by the FMCSA and U.S. Department of Transportation (DOT) drug and alcohol testing regulations. Employers must search the Clearinghouse for information during pre-employment process for prospective employees, and once a year for current employees, to determine whether anyone has incurred a drug and alcohol violation with a different employer that would prohibit him or her from performing safety-sensitive functions.

Item Count

Number of Total Disposition Items	Number of Permanent Disposition Items	Number of Temporary Disposition Items	Number of Withdrawn Disposition Items
2	0	2	0

GAO Approval

Outline of Records Schedule Items for DAA-0557-2016-0001

Sequence Number	
1	Inputs Disposition Authority Number: DAA-0557-2016-0001-0001
2	Master Data File Disposition Authority Number: DAA-0557-2016-0001-0002

Records Schedule Items

Sequence Number	
1	<p>Inputs</p> <p>Disposition Authority Number DAA-0557-2016-0001-0001</p> <p>Inputs include, but are not limited to the following: Positive controlled substance results. The Federal Drug Testing Custody and Control Form, including approved electronic versions of this form. Negative controlled substances return-to-duty results. The Federal Drug Testing Custody and Control Form, including the electronic version of this form. Alcohol concentration of .04 and above. The U.S. Department of Transportation (DOT) Alcohol Testing Program. Alcohol concentration of .02 and below. The U.S. Department of Transportation (DOT) Alcohol Testing Form. Follow up testing plan for subjects subject to the return-to-duty process. Refusals for controlled substance and alcohol. Actual knowledge statements for controlled substances and alcohol .</p> <p>Final Disposition Temporary</p> <p>Item Status Active</p> <p>Is this item media neutral? Yes</p> <p>Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? No</p> <p>Disposition Instruction</p> <p>Cutoff Instruction Close files after 5 years. Destroy when 7 years old</p> <p>Retention Period Destroy 7 year(s) after Cutoff</p> <p>Additional Information</p> <p>GAO Approval Not Required</p>
2	<p>Master Data File</p> <p>Disposition Authority Number DAA-0557-2016-0001-0002</p> <p>Master Data Files include, but are not limited to the following: System consists of drug and alcohol test results and statements to include electronic and scanned images of key documents provided by employers, medical review officers (MRO), and substance abuse professionals (SAP). Controlled Substances and Alcohol Testing Information - The controlled substances and alcohol tests results, refusals, actual knowledge statements, and follow-up testing plans. This information will contain privacy identifiable information for individuals subject to the DOT drug and alcohol requirements. In addition, all the individuals and entities required inquiring</p>

to, or inputting information will have to register and provide information to validate their rightful access to the Clearinghouse.

Final Disposition Temporary

Item Status Active

Is this item media neutral? Yes

Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? No

Disposition Instruction

Cutoff Instruction Close files after 5 years. destroy when 7 years old

Retention Period Destroy 7 year(s) after Cutoff

Additional Information

GAO Approval Not Required

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 in this schedule are not now needed for the business of the agency or will not be needed after the retention periods specified.

Signatory Information

Date	Action	By	Title	Organization
12/09/2015	Certify	Herman Dogan	Records Management Officer	Federal Motor Carrier Safety Administration - Analysis Division
12/20/2016	Submit for Concurrence	Robyn Dexter	Appraisal Archivist	National Archives and Records Administration - RDTP2: Archives II Processing Section
12/21/2016	Concur	Margaret Hawkins	Director of Records Management Services	National Records Management Program - ACNR Records Management Services
12/21/2016	Concur	Margaret Hawkins	Director of Records Management Services	National Records Management Program - ACNR Records Management Services
12/22/2016	Approve	David Ferriero	Archivist of the United States	Office of the Archivist - Office of the Archivist