

Request for Records Disposition Authority

Records Schedule Number **DAA-0557-2019-0004**

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 **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) or commercial learner's permit (CLP) holders. The Clearinghouse maintains records of all drug and alcohol program violations in a central repository, and requires employers to query the database for drug and alcohol violations covered by the FMCSA and U.S. Department of Transportation (DOT) drug and alcohol testing regulations. Employers must query the Clearinghouse for information during the pre-employment process for prospective employees, and once a year for current employees, to determine whether a driver has incurred a drug or 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Number of Total Disposition Items	Number of Permanent Disposition Items	Number of Temporary Disposition Items	Number of Withdrawn Disposition Items
3	0	3	0

GAO Approval

Outline of Records Schedule Items for DAA-0557-2019-0004

Sequence Number	
1	Inputs Disposition Authority Number: DAA-0557-2019-0004-0001
2	Inputs if driver fails to successfully complete the return-to-duty process under Title 49, Code of Federal Regulations Disposition Authority Number: DAA-0557-2019-0004-0002
3	Master Data File Disposition Authority Number: DAA-0557-2019-0004-0003

Records Schedule Items

Sequence Number		
1	<p>Inputs</p> <p>Disposition Authority Number DAA-0557-2019-0004-0001</p> <p>Inputs include, but are not limited to the following: information about drivers, employers, medical review officers, substance abuse professionals, and consortium/third-party administrators; confirmed positive USDOT drug and alcohol test results and supporting documentation such as the Federal Drug Testing Custody and Control form and the USDOT Alcohol Testing form; refusal to test or actual knowledge information and supporting documentation; and information related to return-to-duty process activities and test results.</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>	
	Manual Citation	Manual Title
	49 U.S. Code 31306a(6)(C)	
	<p>GRS or Superseded Authority Citation DAA-0557-2016-0001-0001</p>	
	<p>Disposition Instruction</p> <p>Cutoff Instruction Remove record from the Clearinghouse 5 years after the return-to-duty process has been successfully completed and transfer to a separate location for archiving and auditing for 6 years; then destroy.</p> <p>Retention Period Close files after 5 years after the successful completion of the return-to-duty process. Retain records in a separate location for archiving and auditing for 6 years; then destroy records.</p>	
	<p>Additional Information</p> <p>GAO Approval Not Required</p>	
2	<p>Inputs if driver fails to successfully complete the return-to-duty process under Title 49, Code of Federal Regulations</p>	

Disposition Authority Number DAA-0557-2019-0004-0002

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

Manual Citation	Manual Title
49 U.S. Code 31306a(g)(6)(B)	National Clearinghouse for Controlled Substance and Alcohol Test Results of Commercial Motor Vehicle Operators

GRS or Superseded Authority Citation DAA-0557-2016-0001-0001

Disposition Instruction

Cutoff Instruction If the driver fails to successfully complete the return-to-duty process, then the record remains in the Clearinghouse until the requirement is met or for 70 years.

Retention Period Destroy 70 years after cutoff or when 6 years after the record has been transferred to a separate location for archiving and auditing purposes occurs, whichever is sooner.

Additional Information

GAO Approval Not Required

Master Data File

Disposition Authority Number DAA-0557-2019-0004-0003

Master Data Files include, but are not limited to the following: information about drivers, employers, medical review officers, substance abuse professionals, and consortium/third-party administrators; confirmed positive USDOT drug and alcohol test results and supporting documentation such as the Federal Drug Testing Custody and Control form and the USDOT Alcohol Testing form; refusal to test or actual knowledge information and supporting documentation; and information related to return-to-duty process activities and test results. These records will contain personally identifiable information about individuals subject to USDOT drug and alcohol program requirements. All individuals or entities previously mentioned

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will be required to register and create an account in the Clearinghouse before being able to enter, query, or view information contained in 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

GRS or Superseded Authority Citation DAA-0557-2016-0001-0002

Disposition Instruction

Cutoff Instruction Remove record from the Clearinghouse 5 years after the return-to-duty process has been successfully completed.

Retention Period Transfer to a separate location for archiving and auditing for 6 years; then destroy.

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
01/31/2019	Certify	Roxane Oliver	Management Analyst	Office of Analysis, Research and Technology (MC-RR) - Analysis Division (MC-RRA)
07/03/2019	Submit for Concurrence	Steven Rhodes	Senior Appraisal Archivist	National Archives and Records Administration - Records Management Services
07/19/2019	Concur	Margaret Hawkins	Director of Records Management Services	National Records Management Program - ACNR Records Management Services
07/22/2019	Concur	Laurence Brewer	Chief Records Officer	National Records and Archives Administration - National Records and Archives Administration
07/23/2019	Approve	David Ferriero	Archivist of the United States	Office of the Archivist - Office of the Archivist