

**U.S. DEPARTMENT OF TRANSPORTATION
PIPELINE AND HAZARDOUS MATERIALS SAFETY ADMINISTRATION (PHMSA)
OFFICE OF PIPELINE SAFETY (OPS)**

**DRUG AND ALCOHOL TESTING MIS DATA COLLECTION REPORTING
INSTRUCTION AND GUIDANCE INFORMATION
FOR ELECTRONIC SUBMITTAL**

Introduction:

This guidance is provided to assist operators and contractors in filling-out the MIS data on-line or electronically through the DAMIS collection web portal. OPS does encourage utilization of its on-line DAMIS electronic reporting option where dialogue screens assist the submitter in capturing applicable operator and contractor profile information and testing data. With electronic filing, the submitter can edit data and elect to receive an e-mailed confirmation receipt and an attached completed MIS report in PDF format.

The **guidance provided** is concise and specific to OPS regulatory expectations and covers MIS reporting essentials. However, it **is subject to change** based on both stakeholder feedback and program improvements. Submitters should check periodically for any guidance updates to this document.

For operators who did not receive a User ID and Password, but would like to file electronically, please address your request to Stanley Kastanas (see **Contact Information for Program and Electronic Filing Questions)**

Reminder: *The submittal date for the calendar year 2010 MIS report is on or before March 15, 2011.*

Contact Information for Program or Electronic Filing Questions:

Operators, and their contractors/subcontractors, who have program questions or need assistance with electronic filing, please contact the following:

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PHMSA/OPS Detailed Guidance for Electronic Submittals:

The ONE DOT Management Information System electronic submission report is composed of four sections:

MIS Section I:	Employer information
MIS Section II:	Covered employees information
MIS Section II:	Drug testing data
MIS Section IV:	Alcohol testing data

***TIP** ~ Please note that OPS-regulated employers do not report any random alcohol test on the MIS form since it is precluded in 49 CFR Part 199.*

Preliminary Determinations:

Determine and Enter the Calendar Year Covered by this Report: *(Skip this determination when planning to file electronically.)* Determine and enter the appropriate calendar year in which the drug and alcohol testing was performed and which should be reported to OPS as required under 49 CFR Part 199. (e.g., For the March 15, 2011 submittal date, the “calendar year” for this submitted MIS report would be 2010).

Determine if Mandated Annual Reporting is Required: OPS offers the following information to help operators prepare for submitting calendar year MIS reports. For clarity, the process steps are presented for single OpID reporting and multiple OpID MIS reporting:

Single OpID MIS Reporting

Step 1: Determine the number of operator employees performing § 199.3 covered functions during calendar year 2010.

Step 2: Obtain the Business Tax Identification Number (BTIN) for each contractor who provided § 199.3 covered functions during the previous calendar year (e.g., For a MIS report submittal on March 15, 2011, the previous calendar year would be 2010) Then determine the number of employees performing § 199.3 covered functions during that calendar year for each contractor. Sum-up the total number of contractor employees.

Step 3: Add the number of operator and contractor employees from Steps 1 and 2. If this number is 50 or less, a MIS report is required only if you receive a “written notice” from OPS requesting this report. Conversely, if the total covered employee number is more than 50, you are mandated to submit annual operator and contractor/subcontractor MIS reports.

Multiple OpID MIS Reporting

Step 1: Determine the number of operator employees performing § 199.3 covered functions during the previous calendar year (e.g., for a MIS report submittal on March 15, 2011, the previous calendar year would be 2010) for each reporting OpID. Sum-up the total number of operator employees.

Step 2: Obtain the BTIN for each contractor who provided § 199.3 covered functions during the previous calendar year to any reporting OpID. Determine the number of employees performing § 199.3 covered functions during the previous calendar year for each contractor. Sum-up the total number of contractor employees.

Step 3: Add the total number of operator and contractor employees from Steps 1 and 2. If this number is 50 or less, a MIS report is required only if you receive a “written notice” from OPS requesting this report. Conversely, if the total covered employee number is more than 50, you are mandated to submit annual operator and contractor/subcontractor MIS reports.

PHMSA Primary Operator Sign-In: OpID Listing and Contractor/Subcontractor Listing

Step 1: To begin Internet or on-line electronic reporting, go to the ONE DOT Drug and Alcohol MIS reporting web site (<http://damis.dot.gov>). After choosing a log-in “security” option, you will be brought into the Sign-In Screen. Enter the User Name and Password that has been provided. For operators, this log-in information should have been sent to you, in a letter, by PHMSA to the OpID address on-file (see Contact Information in the introduction for assistance). For contractors/subcontractors, the User Name and Password is generated in the operator’s “status” screen, but only after the operator has “listed” the contractor in the DAMIS database. (Click the “Reset” at the button if you entered the wrong User Name or Password and would like to start over.) Click the “Log In” button at the bottom of the screen.

Note: The operator logging-in who is either submitting one MIS report for a single or for multiple-OpID owned or operated companies (i.e., having multiple OpIDs related, but not limited, to: subsidiaries, divisions, departments, operating sections, utilities, municipalities, or business units) shall be considered the exclusive “PHMSA Primary Operator” (PPO).

For Operators Signing-in for the First Time

Step 2: If this is **not the operator's first time signing-in**, the sign-in will allow the operator to begin at step 4. Otherwise, an operator who has successfully signed-in for the very "first time," a dialogue screen allows the operator to enter and list other OpIDs that are associated with the operator's MIS report by clicking on "Add Additional Operator IDs." (Follow **steps 5 through 8** to enter this information.) After entering all OpIDs, or if you don't have any OpIDs to list at this time, the operator should click on "Edit Contractors."

Step 3: A dialogue screen appears that allows the operator to enter and list contractor/subcontractors "actually performing, ready to perform, or immediately available to perform" covered functions (i.e., maintenance, operations or emergency-response) in the calendar year covered by this MIS report. Click on "Add Additional Contractors" to begin this effort. (Follow **steps 9 through 12** to enter this information.) After entering contractors/subcontractors, or if you don't have any to list at this time, the operator can skip this screen by clicking on "Status" and go to step 4.

Operator Employer Information Entry and Status Page

Step 4: As the PPO operator, you will see the "PPO status page" appear. (Note: After the first time sign-in and sign-off, this dialogue screen will appear on subsequent sign-ins.) This screen displays both a listing of associated operator OpID's and contractor listings that you have entered, if any. **To begin entering MIS data, click "Enter or Edit Your Data" and follow MIS Section I, II, III, and IV steps, including "Wrap Up."** If you have already entered data and would like to view it, click "View Your Data (Read Only)." You may also download your completed data and view it in Adobe Reader as it would appear on a U.S. DOT Drug and Alcohol Testing MIS Data Collection form by clicking "Download Data in Adobe PDF Format."

The current status of your data will be displayed in the "Status" column. The table below provides status descriptions of a company's MIS data.

Status	Description
No Data Has Been Entered	The company has not begun entering their data.
Data is Incomplete	The company has begun entering their data, but has not finished.
Completed and Signed	The company has finished entering their data and has digitally signed their submission.

Helpful Hints:

- ✓ Clicking any underlined item will allow you to access context-related help
- ✓ After 20 minutes of inactivity, your browser will time out and you will be required to log in again to continue entering your data. All data entered prior to timing out will be saved.

Step 5: Skip this step if you are reporting as a single OpID operator and are a first time sign-in. However, for a first time sign-in PPO who is listing multiple-OpIDs, the PPO enters any associated OpIDs on the “Adding OpIDs Covered under this MIS report” screen. In order to accomplish this multiple OpID listing, begin by entering the OpID number (i.e. only numeric numbers and no leading zeros) in the open field and then click the “submit” button. Skip to step 7.

Note: PPO operators who are submitting one MIS report for multiple owned or operated companies should consider reviewing any PHMSA or DOT covered employee random drug testing selection pool and determining from what OpID company these employees are associated with. These multiple OpID entities could be designated as, but not limited, to: subsidiaries, divisions, departments, operating sections, utilities, municipalities, or business units.

Step 6: Skip this step and proceed to step 9 if you are reporting as a single OpID operator and are not a first time user. However, for the returning PPO who has signed in at least once and is submitting a MIS report that covers multiple-OpIDs, the PPO should select the “Edit Operator IDs” link on the PPO status page to begin the process of adding any additional OpIDs, covered by this year’s MIS report.

Step 7: A successful submittal will bring up the “profile page for the add OpID operator.” Confirm that the added OpID appears next to the first field on the top line. If you entered the wrong associated OpID, you can change it by clicking on the “Change Operator ID” button next to the OpID captured and posted by the DAMIS database. A dialogue box will appear showing the number you put as the “old number.” In the “new number” field, enter the correct OpID number. Then click on the submit button to change to the corrected OpID. This should return you to the profile page for the “add OpID operator” and allow you to enter the appropriate OpID profile information.

Step 8: Next, enter the OpID company name with its mailing street address along with the city and state it is located in. Then enter a contact person’s name, phone number and e-mail address that will represent this company or act as the DER i.e., Designated Employer Representative. Finally, click on the “add this operator” button to submit and capture this information. A dialogue box will then appear with the captured OpID and ability to add more OpIDs and profile information without having to return to the PPO status page. However, clicking on the status button at the bottom of this OpID listing dialog box will return you to the “PPO status page” where the OpID will appear in the area labeled as, “The following Operator ID is covered by this MIS report.”

Step 9: Skip this step and click on “status” (which will return you to the operator’s status page) if the PPO, or its associated OpIDs covered by this MIS report, did not have any contractors/subcontractors “actually performing, ready to perform, or immediately available to perform” covered functions (i.e., maintenance, operations or emergency-response) in the calendar year covered by this MIS report. However, if, as the PPO, you are **providing drug and alcohol testing data for contractors/subcontractors performing covered functions**, then you should enter the contractor/subcontractor’s profile information and Business Tax Identification Number (BTIN) “covered by this year’s MIS report” utilizing the PPO status page. Click on the “Edit Contractors” button, located on the PPO status page, in order to begin the process for listing all applicable contractors/subcontractors.

Step 10: Next, enter the BTIN in the open field and then click the “submit” button on the “Add Contractor” screen and then click the “submit” button.

Step 11: A successful submittal will bring up the “profile page for add this contractor”. Confirm that the added BTIN appears next to the first field on the top line. If you entered the wrong BTIN, you can change it by clicking on the “Change Tax ID” button next to the BTIN number captured and posted by the DAMIS database. A dialogue box will appear showing the number you put as the “old number.” In the “new number” field, enter the correct BTIN number. Then click on the submit button to change to the corrected OpID. This should return you to the profile page for “add this contractor” and allow you to enter contractor/subcontractor profile information.

Step 12: Next, enter the exact “doing business as” company name with its mailing street address along with the city and state it is located in. Then enter a contact person’s name, phone number and e-mail address that will represent this company or act as the DER i.e., Designated Operator Representative. Finally, click on the “add this contractor” button to submit and capture this information. A dialogue box will appear with the captured BTIN and ability to add more contractors/subcontractors, and profile information, without having to return to the PPO status page. However, clicking on the “status” button at the bottom of this contractor/subcontractor listing dialog box, will return you to the “PPO status page” where the contractor BTIN numbers will appear in the area labeled as, “The following contractors performed 49 CFR Part 199.3 “covered functions” for the Operator IDs covered by this MIS report.”

Step 13: On the PPO’s status page, both captured OpIDs and contractor/subcontractor BTINs with their, respective, MIS data status appears. Clicking on the “User Name and Password List” link will generate a document with the listed contractors/subcontractors sign-in information that can be printed. The PPO, contractor, or their designees, can use this document to sign-in and enter each contractors/subcontractors MIS data. (Important: After the contractor/subcontractor’s MIS report appears on the operator’s status page, the operator must select “accept” in order for DAMIS to confirm it as “data of record.”)

MIS Section I. Employer Information

Overview:

Read each item carefully and enter the appropriate data in the fields provided. Ensure that all data is complete and accurate. Please note that most fields are required and must be populated before a section is considered complete. At the bottom of this page you must select the appropriate check box for the type of gas or liquid being transported, gathered, or distributed via pipeline within your agency's jurisdiction. Once you have completed this section, advance to the next section by clicking the *Covered Employees* tab at the top of the page, or the *Covered Employees* button at the bottom of the page.

Note: When a section is complete, a green check mark will appear on the section tab at the top of the page.

Tip: You can navigate to any section at any time by clicking on one of the corresponding tabs at the top of the screen.

****REMINDER****

Help files can be accessed at any time by clicking on any underlined topic.

Employer Information Guidance:

Step SI-1: Returning to the PPO status page, the PPO can begin entering data by clicking on the "Enter or Edit Your Data" link.

Step SI-2: For capturing contractor/subcontractor MIS data, the PPO or its designee, must sign-in using the User ID and Password that DAMIS generated after the PPO listed the contractor/subcontractor in the DAMIS database. After signing-in, the contractors/subcontractors status page will appear. Clicking on the "enter or Edit Your Data" link will begin the MIS data entry process.

The current status of contractor/subcontractor data will be displayed in the Status column. The table below provides status descriptions of a company's MIS data.

Status	Description
No Data Has Been Entered	The company has not begun entering their data.
Data is Incomplete	The company has begun entering their data, but has not finished.
Completed and Signed	The company has finished entering their data and has digitally signed their submission.

Helpful Hints:

- Clicking any underlined item will allow you to access context-related help.
- After 20 minutes of inactivity, your browser will time out and you will be required to log in again to continue entering your data. All data entered prior to timing out will be saved.

Step SI-3: After signing-in to enter either PPO OpID or contractor/subcontractor BTIN MIS data, employer profile information must be entered in the “employer profile data entry screen.”) The information required is as follows:

1. Enter the company’s name (for operators, it is the PPO’s OpID name on file-see notification letter with log-in information). Include, when applicable, your “doing business as” name (for operators, leave blank, put in new business name, or put in the parent or cooperate name); mailing address with street (and any PO Box number), city, state, and zip code; and an e-mail address, if available. (**Note:** Please enter the address should by of the certifying official or preparer for receiving future MIS relevant correspondence.)
2. Enter the printed name and complete telephone number of the company official certifying the accuracy of the report and the date that person certified the report as complete. For operators and contractors, it is the highest company position that actually reviews and accepts the MIS data for submittal. The certifying official and preparer can be the same person, but it must be a direct employee of the reporting company. Consortium/Third Party Administrators (C/TPAs) can only be preparers. In addition, for contactors/subcontractors, an operator’s employee cannot be a certifying official or preparer and, therefore, it must be a contractors/subcontractors employee.
3. If someone other than the certifying official completed the MIS form, enter that person’s name and phone number on the appropriate lines provided.
4. If a Consortium/Third Party Administrator (C/TPA) performs administrative services for your drug and alcohol program operation, enter its name and phone number on the appropriate lines provided.
5. OPS Transportation Type Information: Check any applicable additional fields or lines indicating all the types of transportation (e.g., Gas Transmission, Gas Distribution, etc.) that the PPO or associated operator is engaged in; which the submitted MIS report will cover.

Click on the “covered employees” button to proceed to the next dialogue section.

MIS Section II. Covered Employees

Overview:

Enter the total number of **Operation/Maintenance/Emergency Response** covered employees who worked in safety-sensitive positions and were subject to testing during the previous year. For assistance in determining the number of covered employees that should be entered, click Total Number of Employees in this Category. Once the total number of covered employees has been entered, advance to the next section by clicking the *Drug Testing Data* tab at the top of the page, or the *Drug Testing Data* button at the bottom of the page.

Covered Employee Guidance:

Step SII-1: Enter the **total number of covered employees** (i.e., employees performing DOT regulated safety-sensitive duties, which for PHMSA is “operations, maintenance or emergency-response”) **who work directly for your company (i.e., operators, contractors/subcontractors would report only the covered employees subject to testing under their company’s, respective, drug and alcohol testing program)**. The DAMIS database will calculate or replicate this entry and populate the total number of covered employees. Then click on “drug testing” button to proceed to the next section.

***TIP** ~ To calculate the total number of covered employees, add the total number of covered employees eligible for testing during each random testing selection period for the year and divide that total by the number of random testing periods. (However, no company will need to factor the average number of employees more often than once per month). For instance, a company conducting random testing quarterly needs to add the total of covered employees they had in the random pool when each selection was made; then divide this number by 4 to obtain the yearly average number of covered employees. It is extremely important that you place all eligible employees into these random pools. [As an example, if Company A had 1500 employees in the first quarter random pool, 2250 in the second quarter, 2750 in the third quarter; and 1500 in the fourth quarter; $1500 + 2250 + 2750 + 1500 = 8000$; $8000 / 4 = 2000$; the total number of covered employees for the year would be reported as, “2000”.*

If you conduct random selections more often than once per month (e.g., you randomly select daily, weekly, bi-weekly), you do not need to compute this total number of covered employees rate more than on a once per month basis. Therefore, employers need not compute the covered employees’ rate more than 12 times per year.]

Note: If you have employees, some of whom perform duties under one DOT agency and others of whom perform duties under another DOT agency, enter only the number of those employees performing duties under the DOT agency for which you are submitting the form. **If you have covered employees who perform multi-DOT agency functions (e.g., an employee drives a commercial motor vehicle and performs pipeline maintenance duties for you), count the employee only on the MIS report for the DOT agency regulating more than 50 percent of the employee's safety sensitive function.**

MIS Section III. Drug Testing Data

Overview:

Enter all drug testing data for each test type (Pre-Employment, Random, Post-Accident, Reasonable Cause, Return-to-Duty, and Follow-Up) performed during the previous year for the Operation/Maintenance/Emergency Response employee category.

*Note: Zeros entered in the **Covered Employees** section will automatically fill into the testing fields for that employee category. You must still proceed to each employee category to accept.*

Begin with Column 2 (Column 1 is the sum of columns 2, 3, 9, 10, 11, and 12, and will be totaled automatically). If a test was performed for a testing category, results should be entered in the fields provided. If your company did not perform a particular test, enter zero (0) in the appropriate fields. A value must be entered into each field in order to complete this section.

*Tip: There are three buttons at the bottom of the drug testing data table: **Undo Changes**, **Clear All**, and **Set Blanks to Zero**. Clicking **Undo Changes** will revert all fields to their original values. Clicking **Clear All** will completely clear all fields on the screen, leaving them blank. Clicking **Set Blanks to Zero** will enter a zero (0) in any blank field.*

Reminder: You must enter a value in each field in order to complete this section

If testing results are not entered into a field, a red asterisk will appear next to the test type indicating that the table has not been completed.

Once all of the fields in the drug testing data table have been completed, advance to the next section by clicking the *Alcohol Testing Data* tab at the top of the page, or the *Alcohol Testing Data* button at the bottom of the page.

****REMINDER****

Help files can be accessed at any time by clicking on any underlined topic.

Drug Testing Guidance:

Step SIII-1: This section summarizes the drug testing results for all covered employees (to include applicants). The table in this section requires drug test data by test type and by result. The categories of test types are: Pre-Employment; Random; Post-Accident; Reasonable Suspicion / Reasonable Cause; Return-to-Duty, and Follow-Up.

The categories of type of results are: Total Number of Test Results [excluding cancelled tests and blind specimens]; Verified Negative; Verified Positive; Positive for Marijuana; Positive for Cocaine; Positive for PCP; Positive for Opiates; Positive for Amphetamines; Refusals due to Adulterated, Substituted, “Shy Bladder” with No Medical Explanation, and Other Refusals to Submit to Testing; and Cancelled Results.

***TIP** ~ Do not enter data on blind specimens submitted to laboratories. Be sure to enter all pre-employment testing data regardless of whether an applicant was hired or not. You do not need to separate reasonable suspicion and reasonable cause drug testing data on the MIS form. [Therefore, if you conducted only reasonable suspicion drug testing (i.e., FMCSA and FTA), enter that data; if you conducted only reasonable cause drug testing (i.e., FAA, PHMSA, and USCG); or if you conducted both under FRA drug testing rules, simply enter the data with no differentiation.] Finally, you may leave blank any row or column in which there were no results, or you may enter “0” (zero) instead. Please note that cancelled tests are not included in the “total number of test results” column.*

Section III, Column 1. Total Number of Test Results ~ Nothing is entered in this column by the preparer or certifying official. This column is computed by the DAMIS database based the total number of test results in each testing category during the entire reporting year. DAMIS will count the number of test results as the number of testing events resulting in negative, positive, and refusal results. It will not count cancelled tests and blind specimens in this total.

[Example: A company that conducted fifty pre-employment tests would enter “50” on the Pre-Employment row. If it conducted one hundred random tests, “100” would be entered on the Random row. If that company did no post-accident, reasonable suspicion, reasonable cause, return-to-duty, or follow-up tests, those categories will be left blank or zeros entered.]

Section III, Column 2. Verified Negative Results ~ This column requires a count of the number of tests in each testing category that the Medical Review Officer (MRO) reported as negative. Do not count a negative-dilute result if, subsequently, the employee underwent a second collection; the second test is the test of record.

[Example: If forty-seven of the company's fifty pre-employment tests were reported negative, "47" would be entered in Column 2 on the Pre-Employment row. If ninety of the company's one hundred random test results were reported negative, "90" would be entered in Column 2 on the Random row. Because the company did no other testing, those other categories would be left blank or zeros entered.]

Section III, Column 3. Verified Positive Results ~ For One Or More Drugs ~ This column requires a count of the number of tests in each testing category that the MRO reported as positive for one or more drugs. When the MRO reports a test positive for two drugs, it would count as one positive test.

[Example: If one of the fifty pre-employment tests was positive for two drugs, "1" would be entered in Column 3 on the Pre-Employment row. If four of the company's one hundred random test results were reported positive (three for one drug and one for two drugs), "4" would be entered in Column 3 on the Random row.]

Section III, Columns 4 through 8. Positive (for specific drugs) ~ These columns require entry of the by-drug data for which specimens were reported positive by the MRO.

[Example: The pre-employment positive test reported by the MRO was positive for marijuana, "1" would be entered in Column 4 on the Pre-Employment row. If three of the four positive results for random testing were reported by the MRO to be positive for marijuana, "3" would be entered in Column 4 on the Random row. If one of the four positive results for random testing was reported positive for both PCP and opiates, "1" would be entered in Column 6 on the Random row and "1" would be entered in Column 7 of the Random row.]

TIP ~ Column 1 should equal the sum of Columns 2, 3, 9, 10, 11, and 12. Remember you have not counted specimen results that were ultimately cancelled or were from blind specimens. So, Column 1 = Column 2 + Column 3 + Column 9 + Column 10 + Column 11 + Column 12. Certainly, double check your records to determine if your actual results count is reflective of all negative, positive, and refusal counts.

An MRO may report that a specimen is positive for more than one drug. When that happens, to use the company example above (i.e., one random test was positive for both PCP and opiates), the positive results should be recorded in the appropriate columns – PCP and opiates in this case. There is no expectation for Columns 4 through 8 numbers to add up to the numbers in Column 3 when you report multiple positives.

Section III, Columns 9 through 12. Refusal Results ~ The refusal section is divided into four refusal groups – they are: Adulterated; Substituted; “Shy Bladder” ~ With No Medical Explanation; and Other Refusals To Submit to Testing. The MRO reports two of these refusal types – adulterated and substituted specimen results – because of laboratory test findings.

When an individual does not provide enough urine at the collection site, the MRO conducts or causes to have conducted a medical evaluation to determine if there exists a medical reason for the person’s inability to provide the appropriate amount of urine. If there is no medical reason to support the inability, the MRO reports the result to the employer as a refusal to test: Refusals of this type are reported in the “Shy Bladder” ~ With No Medical Explanation category.

Finally, additional reasons exist for a test to be considered a refusal. Some examples are: the employee fails to report to the collection site as directed by the employer; the employee leaves the collection site without permission; the employee fails to empty his or her pockets at the collection site; the employee refuses to have a required shy bladder evaluation. Again, these are only four examples: there are more.

Section III, Column 9. Adulterated ~ This column requires the count of the number of tests reported by the MRO as refusals because the specimens were adulterated.

[Example: If one of the fifty pre-employment tests was adulterated, “1” would be entered in Column 9 of the Pre-Employment row.]

Section III, Column 10. Substituted ~ This column requires the count of the number of tests reported by the MRO as refusals because the specimens were substituted.

[Example: If one of the 100 random tests was substituted, “1” would be entered in Column 10 of the Random row.]

Section III, Column 11. “Shy Bladder” ~ With No Medical Explanation ~ This column requires the count of the number of tests reported by the MRO as being a refusal because there was no legitimate medical reason for an insufficient amount of urine.

[Example: If one of the 100 random tests was a refusal because of shy bladder, “1” would be entered in Column 11 of the Random row.]

Section III, Column 12. Other Refusals To Submit To Testing ~ This column requires the count of refusals other than those already entered in Columns 9 through 11.

[Example: If the company entered “100” as the number of random specimens collected, however, it had five employees who refused to be tested without submitting specimens: two did not show up at the collection site as directed; one refused to empty his pockets at the collection site; and two left the collection site rather than submit to a required directly observed collection. Because of these five refusal events, “5” would be entered in Column 11 of the Random row.]

TIP ~ Even though some testing events result in a refusal in which no urine was collected and sent to the laboratory, a “refusal” is still a final test result. Therefore, your overall numbers for test results (in Column 1) will equal the total number of negative tests (Column 2); positives (Column 3); and refusals (Columns 9, 10, 11, and 12). Do not worry that no urine was processed at the laboratory for some refusals; all refusals are counted as a testing event for MIS purposes and for establishing random rates.

Section III, Column 13. Cancelled Tests ~ This column requires a count of the number of tests in each testing category that the MRO reported as cancelled. You must not count any cancelled tests in Column 1 or in any other column. For instance, you must not count a positive result (in Column 3) if it had ultimately been cancelled for any reason (e.g., specimen was initially reported positive, but the split failed to reconfirm).

[Example: If a pre-employment test was reported cancelled, “1” would be entered in Column 13 on the Pre-Employment row. If three of the company’s random test results were reported cancelled, “3” would be entered in Column 13 on the Random row.]

TOTAL Line. Columns 1 through 13 ~ On this line, DAMIS will compute and post the totals based on the numbers in each column. Consequently, the preparer should not attempt to enter any information in the total lines.

Step SIII-2: Set Blanks to Zero: It is very important to click on the “set to zero” button for DAMIS to fill in the blanks with zeros and use this information in its computations. This will move the process to the next section

****REMINDER****

Help files can be accessed at any time by clicking on any underlined topic.

MIS Section IV. Alcohol Testing Data

Overview:

The **Alcohol Testing Data** section is similar to the **Drug Testing Data** section. The same directions apply for entering data on each of the six test types.

***Reminder:** Zeros entered in the **Covered Employees** section will automatically fill into the testing fields for that employee category. You must still proceed to each employee category to accept.*

***Reminder:** You must enter a value in each field in order to complete this section*
After completing every field in the alcohol testing section, advance to the next section by clicking the *Wrap Up* tab at the top of the page, or the *Wrap Up* button at the bottom of the page.

****REMINDER****

Help files can be accessed at any time by clicking on any underlined topic.

Alcohol Testing Guidance:

Step SIV-1: This section summarizes the alcohol testing conducted for all covered employees (to include applicants). The table in this section requires alcohol test data by test type and by result. The categories of test types are: Pre-Employment; Random; Post-Accident; Reasonable Suspicion / Reasonable Cause; Return-to-Duty, and Follow-Up.

The categories of results are: Number of Screening Test Results; Screening Tests with Results Below 0.02; Screening Tests with Results 0.02 Or Greater; Number of Confirmation Test Results; Confirmation Tests with Results 0.02 through 0.039; Confirmation Tests with Results 0.04 Or Greater; Refusals due to “Shy Lung” with No Medical Explanation, and Other Refusals to Submit to Testing; and Cancelled Results.

***TIP** ~ Be sure to enter all pre-employment testing data regardless of whether an applicant was hired or not. Of course, for most employers, pre-employment alcohol testing is optional, so you may not have conducted this type of testing. You do not need to separate “reasonable suspicion” and “reasonable cause” alcohol testing data on the MIS form. [Therefore, if you conducted only reasonable suspicion alcohol testing (i.e., PHMSA), enter that data; or if you conducted both reasonable suspicion and reasonable cause alcohol testing, simply enter the data with no differentiation.] PHMSA does not authorize “random” testing for alcohol. Finally, you may leave blank any row or column in which there were no results, or you may enter “0” (zero) instead. Please note that USCG-regulated employers do not report alcohol test results on the MIS form: Do not fill-out Section IV if you are a USCG-regulated employer.*

Section IV, Column 1. Total Number of Screening Test Results ~ This column requires a count of the total number of screening test results in each testing category during the entire reporting year. Count the number of screening tests as the number of screening test events with final screening results of below 0.02, of 0.02 through 0.039, of 0.04 or greater, and all refusals. Do not count cancelled tests in this total.

[Example: A company that conducted twenty pre-employment tests would enter “20” on the Pre-Employment row. If it conducted fifty random tests, “50” would be entered. If that company did no post-accident, reasonable suspicion, reasonable cause, return-to-duty, or follow-up tests, those categories will be left blank or zeros entered.]

Section IV, Column 2. Screening Tests With Results Below 0.02 ~ This column requires a count of the number of tests in each testing category that the BAT or STT reported as being below 0.02 on the screening test.

[Example: If seventeen of the company’s twenty pre-employment screening tests were reported as being below 0.02, “17” would be entered in Column 2 on the Pre-Employment row. If forty-four of the company’s fifty random screening test results were reported as being below 0.02, “44” would be entered in Column 2 on the Random row. Because the company did no other testing, those other categories would be left blank or zeros entered.]

Section IV, Column 3. Screening Tests With Results 0.02 Or Greater ~ This column requires a count of the number of screening tests in each testing category that BAT or STT reported as being 0.02 or greater on the screening test.

[Example: If one of the twenty pre-employment tests was reported as being 0.02 or greater, “1” would be entered in Column 3 on the Pre-Employment row. If four of the company’s fifty random test results were reported as being 0.02 or greater, “4” would be entered in Column 3 on the Random row.]

Section IV, Column 4. Number of Confirmation Test Results ~ This column requires entry of the number of confirmation tests that were conducted by a BAT as a result of the screening tests that were found to be 0.02 or greater. In effect, all screening tests of 0.02 or greater should have resulted in confirmation tests. Ideally the number of tests in Column 3 and Column 4 should be the same. However, we know that this required confirmation test sometimes does not occur. In any case, the number of confirmation tests that were actually performed should be entered in Column 4.

[Example: If the one pre-employment screening test reported as 0.02 or greater had a subsequent confirmation test performed by a BAT, “1” would be entered in Column 4 on the Pre-Employment row. If three of the four random screening tests that were found to be 0.02 or greater had a subsequent confirmation test performed by a BAT, “3” would be entered in Column 4 on the Random row.]

Section IV, Column 5. Confirmation Tests With Results 0.02 Through 0.039 ~ This column requires entry of the number of confirmation tests that were conducted by a BAT that led to results that were 0.02 through 0.039.

[Example: If the one pre-employment confirmation test yielded a result of 0.042, Column 5 of the Pre-Employment row would be left blank or zeros entered. If two of the random confirmation tests yielded results of 0.03 and 0.032, “2” would be entered in Column 5 of the Random row.]

Section IV, Column 6. Confirmation Tests With Results 0.04 Or Greater ~ This column requires entry of the number of confirmation tests that were conducted by a BAT that led to results that were 0.04 or greater.

[Example: Because the one pre-employment confirmation test yielded a result of 0.042, “1” would be entered in Column 6 of the Pre-Employment row. If one of the random confirmation tests yielded a result of 0.04, “1” would be entered in Column 6 of the Random row.]

TIP ~ *Column 1 should equal the sum of Columns 2, 3, 7, and 8. The number of screening tests results should reflect the number of screening tests you have no matter the result (below 0.02 or at or above 0.02, plus refusals to test), unless of course, the tests were ultimately cancelled. So, Column 1 = Column 2 + Column 3 + Column 7 + Column 8. Certainly, double check your records to determine if your actual screening results count is reflective of all these counts.*

There is no need to record MIS confirmation tests results below 0.02: That is why we have no column for it on the form. [If the random test that screened 0.02 went to a confirmation test, and that confirmation test yielded a result below 0.02, there is no place for that confirmed result to be entered.] We assume that if a confirmation test was completed but not listed in either Column 5 or Column 6, the result was below 0.02. In addition, if the confirmation test ended up being cancelled, it should not have been included in Columns 1, 3, or 4 in the first place.

Section IV, Columns 7 and 8. Refusal Results ~ The refusal section is divided into two refusal groups – they are: Shy Lung ~ With No Medical Explanation; and Other Refusals To Submit to Testing. When an individual does not provide enough breath at the test site, the company requires the employee to have a medical evaluation to determine if there exists a medical reason for the person’s inability to provide the appropriate amount of breath. If there is no medical reason to support the inability as reported by the examining physician, the employer calls the result a refusal to test: Refusals of this type are reported in the “Shy Lung ~ With No Medical Explanation” category.

Finally, additional reasons exist for a test to be considered a refusal. Some examples are: the employee fails to report to the test site as directed by the employer; the employee leaves the test site without permission; the employee fails to sign the certification at Step 2 of the ATF; the employee refuses to have a required shy lung evaluation. Again, these are only four examples; there are more.

Section IV, Column 7. “Shy Lung” ~ With No Medical Explanation ~ This column requires the count of the number of tests in which there is no medical reason to support the employee’s inability to provide an adequate breath as reported by the examining physician; subsequently, the employer called the result a refusal to test.

[Example: If one of the 50 random tests was a refusal because of shy lung, “1” would be entered in Column 7 of the Random row.]

Section IV, Column 8. Other Refusals To Submit To Testing ~ This column requires the count of refusals other than those already entered in Columns 7.

[Example: The company entered “50” as the number of random specimens collected, however it had one employee who did not show up at the testing site as directed. Because of this one refusal event, “1” would be entered in Column 8 of the Random row.]

TIP ~ *Even though some testing events result in a refusal in which no breath (or saliva) was tested, there is an expectation that your overall numbers for screening tests (in Column 1) will equal the total number of screening tests with results below 0.02 (Column 2); screening tests with results 0.02 or greater (Column 3); and refusals (Columns 7 and 8). Do not worry that no breath (or saliva) was tested for some refusals; all refusals are counted as a screening test event for MIS purposes and for establishing random rates.*

Section IV, Column 9. Cancelled Tests ~ This column requires a count of the number of tests in each testing category that the BAT or STT reported as cancelled. Do not count any cancelled tests in Column 1 or in any other column other than Column 9. For instance, you must not count a 0.04 screening result or confirmation result in any column, other than Column 9, if the test was ultimately cancelled for some reason (e.g., a required air blank was not performed).

[Example: If a pre-employment test was reported cancelled, “1” would be entered in Column 9 on the Pre-Employment row. If three of the company’s random test results were reported cancelled, “3” would be entered in Column 13 on the Random row.]

TOTAL Line. Columns 1 through 13 ~ On this line, DAMIS will compute and post the totals based on the numbers in each column. Consequently, the preparer should not attempt to enter any information in the total lines.

Step SIV-2: Set Blanks to Zero: It is very important to click on the “set to zero” button for DAMIS to fill in the blanks with zeros and use this information in its computations. This will move the process to the next section

Wrap Up

Upon entering the “Wrap Up” section, several validation checks will be run against the data you have entered. If any section is incomplete, the following warning message will be displayed:

“You have not finished entering your data. Please click the following button(s) to return to any incomplete section(s). “

Important PPO Validation Notice: It is important to note that only the contractor/subcontractor MIS data must be validated (i.e., “accepted or approved”) by the PPO in the operator status page. Otherwise, it will appear as incomplete data until the PPO performs this step through the PPO status page. The PPO utilizes the “change status” column to select and authorize the validation for each row of listed contractor/subcontractor.

The software will flag any obvious data errors with a red error message. Similarly, any data items that have possible problems will be flagged with a warning message. A button to the right of each error or warning message will link directly back to the section in which the data was entered.

ERRORS: Any data errors must be corrected before you can electronically sign your data.

WARNINGS: Please review all questionable data that triggers a warning message. Correct the data if it was entered incorrectly. If the data entered is correct, you do not need to change it.

When each section has been completed and all errors and warnings have been addressed, you must electronically sign your submission by clicking the *Electronically Sign* button at the bottom of the page. The date and time you signed your submission will appear.

Note: *Check the Email Confirmation box if you would like to receive an email confirming your data has been submitted. Make sure you have entered an e-mail address.*

You have now completed your submission. You may download your completed data and view it in Adobe Reader as it would appear on a U.S. DOT Drug and Alcohol Testing MIS Data Collection form by clicking Download Data in Adobe PDF Format. You can log out by clicking the orange Logout button at the top right hand corner of the screen.

Note: You may sign back in at any time. This gives you the opportunity to view or edit your submission, and to download it in Adobe PDF format. If you choose to edit your data, you must return to the Wrap Up section and sign your submission again.