

National Archives and Records Administration  
REQUEST FOR DISPOSITION AUTHORITY

Records Schedule Number: DAA-0170-2017-0006

Status: APPROVED  
Date Approved: 05/19/2020  
Last Modified: 04/03/2025

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General Information

Agency or Establishment	Drug Enforcement Administration
Record/Scheduling Group	0170 - Records of the Drug Enforcement Administration
Records Schedule Applies To	Agency Subdivision
Major Subdivision	Diversion Control Division
Schedule Subject	Diversion
Additional Schedule Information	These files relate to the coordination to prevent, detect and investigate the diversion of pharmaceutical controlled substances and listed chemicals from legitimate channels while ensuring an adequate and uninterrupted supply of pharmaceutical controlled substances and listed chemicals to meet legitimate medical, commercial and scientific needs.
Is There a Classified Version of This Schedule?	No
Is consultation and coordination with Tribal Governments required?	Predate requirement

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## Item Count

Total number of disposition items: 6

Number of Temporary disposition items: 5

Number of Permanent disposition items: 1

Number of Items with Disposition Not Approved: 0

Number of Inactive disposition items: 0

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Outline of Records Schedule Items for DAA-0170-2017-0006

<b>Item #</b>	<b>Title</b>	<b>Disposition</b>
0001	Registration Files	Temporary
0002	Classification, Evaluation, and Scheduling Files	Temporary
0003	Manufacturing and Quota Files	Temporary
0004	Import and Export Files	Temporary
0005	Information Release Files	Temporary
0006	Significant Information Reports Files	Permanent

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**Records Schedule Items**

<b>DAA-0170-2017-0006-0001</b>		<b>STATUS: Active</b>
<b>ITEM GENERAL INFORMATION</b>		
Item Title	Registration Files	
Item Description	Records relating to receipt of registration fees from applicants for registration, reregistration of controlled substances, refunds to applicants, and digital certificates for registrants. May include, but not limited to: new and renewal applications, modifications of registration, disposal registrations, validations, fee schedules, state licensing requirements, and communications with registrants and the public concerning registration matters.	
Is this item media neutral?	Yes	
Is this item a Big Bucket?		
<b>MANUAL CITATION</b>		
Agency Code	2210	
Manual Title	DEA Records Information System (DEARIS) Handbook	
<b>SUPERSEDED AGENCY DISPOSITION AUTHORITIES AND GRS DEVIATIONS</b>		
Does this item supersede existing disposition authorities?	Yes	
	Superseded Items	
Superseded Item	Item Superseded in Part?	Explanation
DAA-0170-2014-0004-0001	No	
NC1-170-77-001 / 630-09	No	
Is this item a deviation from the GRS?	No	
<b>DISPOSITION INSTRUCTION</b>		
Final Disposition	Temporary	
Cutoff Instructions	Other: Cut off at end of fiscal year in which the last issuance or renewal occurred.	
Retention Period	Destroy 20 year(s) after cut off	
<b>ADDITIONAL INFORMATION</b>		
Are any of the records covered by this item national security classified?		
GAO Approval Required	No	

<b>DAA-0170-2017-0006-0002</b>	<b>STATUS: Active</b>
<b>ITEM GENERAL INFORMATION</b>	

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Item Title	Classification, Evaluation, and Scheduling Files	
Item Description	Records that pertain to research, studies, reviews, and chemical composition of drugs for the purpose of controlling and scheduling. May include, but not limited to: pharmaceutical patent information, chemical analysis, FDA, NIH, and NIDA recommendations, legal communications, research and development documentation, trial studies, and other drug scheduling related materials.	
Is this item media neutral?	Yes	
Is this item a Big Bucket?		
<b>MANUAL CITATION</b>		
Agency Code	2220	
Manual Title	DEA Records Information System (DEARIS) Handbook	
<b>SUPERSEDED AGENCY DISPOSITION AUTHORITIES AND GRS DEVIATIONS</b>		
Does this item supersede existing disposition authorities?	Yes	
	Superseded Items	
Superseded Item	Item Superseded in Part?	Explanation
N1-170-89-001 / 1220-52	No	
NC1-170-77-001 / 630-01	No	
NC1-170-77-001 / 630-03	No	
NC1-170-77-001 / 630-10	No	
Is this item a deviation from the GRS?	No	
<b>DISPOSITION INSTRUCTION</b>		
Final Disposition	Temporary	
Cutoff Instructions	Other: Cut off at end of fiscal year in which transaction is complete.	
Retention Period	Destroy 5 year(s) after cut off	
<b>ADDITIONAL INFORMATION</b>		
Are any of the records covered by this item national security classified?		
GAO Approval Required	No	

DAA-0170-2017-0006-0003	<b>STATUS: Active</b>
<b>ITEM GENERAL INFORMATION</b>	
Item Title	Manufacturing and Quota Files

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Item Description	Records that reflect the movement of drugs and chemicals used as manufacturing components. May include, but not limited to: statistical reports of production, use, consumption, import, export, seizure, and theft of precursor chemicals and controlled substances from manufacturing and shipping companies; DEA Form 189, 250, and 488; Aggregate Production Quotas (APQ) for Schedule I and II controlled substances; and Annual Assessment of Needs (AAN) for Combat Methamphetamine Epidemic Act (CMEA).	
Is this item media neutral?	Yes	
Is this item a Big Bucket?		
<b>MANUAL CITATION</b>		
Agency Code	2230	
Manual Title	DEA Records Information System (DEARIS) Handbook	
<b>SUPERSEDED AGENCY DISPOSITION AUTHORITIES AND GRS DEVIATIONS</b>		
Does this item supersede existing disposition authorities?	Yes	
	Superseded Items	
Superseded Item	Item Superseded in Part?	Explanation
N1-170-03-008 / 630-17/B/1	No	
N1-170-04-003 / 1220-66/B/1	No	
N1-170-04-003 / 1220-66/B/2	No	
N1-170-89-001 / 1220-45	No	
N1-170-89-001 / 1220-46	No	
NC1-170-77-001 / 630-08/A/2	No	
NC1-170-77-001 / 630-08/B	No	
Is this item a deviation from the GRS?	No	
<b>DISPOSITION INSTRUCTION</b>		
Final Disposition	Temporary	
Cutoff Instructions	Other: Cut off at end of fiscal year in which final action was complete.	
Retention Period	Destroy 5 year(s) after cut off	
<b>ADDITIONAL INFORMATION</b>		
Are any of the records covered by this item national security classified?		
GAO Approval Required	No	

<b>DAA-0170-2017-0006-0004</b>	<b>STATUS: Active</b>
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<b>ITEM GENERAL INFORMATION</b>	
Item Title	Import and Export Files
Item Description	Records related to the import or export of controlled substances, to include applications and declarations. May include, but not limited to: declarations and applications for permits, DEA Forms 161, 236, and 357.
Is this item media neutral?	Yes
Is this item a Big Bucket?	
<b>MANUAL CITATION</b>	
Agency Code	2240
Manual Title	DEA Records Information System (DEARIS) Handbook
<b>SUPERSEDED AGENCY DISPOSITION AUTHORITIES AND GRS DEVIATIONS</b>	
Does this item supersede existing disposition authorities?	Yes
	Superseded Items
Superseded Item	Item Superseded    Explanation in Part?
N1-170-03-008 / B/2	No
N1-170-06-001 / B/4	No
N1-170-94-001 / 630-06	No
Is this item a deviation from the GRS?	No
<b>DISPOSITION INSTRUCTION</b>	
Final Disposition	Temporary
Cutoff Instructions	Other: Cut off at end of fiscal year in which permit was approved or denied.
Retention Period	Destroy 6 year(s) after cut off
<b>ADDITIONAL INFORMATION</b>	
Are any of the records covered by this item national security classified?	
GAO Approval Required	No

<b>DAA-0170-2017-0006-0005</b>	<b>STATUS: Active</b>
<b>ITEM GENERAL INFORMATION</b>	
Item Title	Information Release Files

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Item Description	Records created, received, or maintained that outline exchanged information with registrants, non-registrants, law enforcement organizations, businesses, and foreign countries concerning the manufacture, movement, and control of regulated substances meeting the requirements of the Controlled Substance Act. May include, but not limited to: letters of no objection, medical mission waivers, import/export of controlled substances and listed chemicals, transshipments of regulated substances, raw INCB import/export data, religious exemptions (Hoasca Tea, etc. ), mail orders, and encapsulating and tabulating machine orders.	
Is this item media neutral?	Yes	
Is this item a Big Bucket?		
<b>MANUAL CITATION</b>		
Agency Code	2250	
Manual Title	DEA Records and Information Management System (DEARIS) Handbook	
<b>SUPERSEDED AGENCY DISPOSITION AUTHORITIES AND GRS DEVIATIONS</b>		
Does this item supersede existing disposition authorities?	Yes	
	Superseded Items	
Superseded Item	Item Superseded in Part?	Explanation
N1-170-94-001 / 630-11	No	
Is this item a deviation from the GRS?	No	
<b>DISPOSITION INSTRUCTION</b>		
Final Disposition	Temporary	
Cutoff Instructions	Other: Cut off at end of fiscal year in which transaction occurred.	
Retention Period	Destroy 5 year(s) after cut off.	
<b>ADDITIONAL INFORMATION</b>		
Are any of the records covered by this item national security classified?		
GAO Approval Required	No	

DAA-0170-2017-0006-0006	STATUS: Active
<b>ITEM GENERAL INFORMATION</b>	
Item Title	Significant Information Reports Files

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Item Description	Records created, received, or maintained that summarize quotas of controlled substances for procurement, manufacture, stockpiling, and medical/scientific use, as required by international treaties or conventions. May include, but is not limited to: reports furnished to the United Nations on behalf of the United States, reports provided to Congress, and reports generated for FDASIA .	
Is this item media neutral?	Yes	
Is this item a Big Bucket?		
<b>MANUAL CITATION</b>		
Agency Code	2260	
Manual Title	DEA Records and Information System (DEARIS) Handbook	
<b>SUPERSEDED AGENCY DISPOSITION AUTHORITIES AND GRS DEVIATIONS</b>		
Does this item supersede existing disposition authorities?	Yes	
	Superseded Items	
Superseded Item	Item Superseded in Part?	Explanation
NC1-170-77-001 / 630-08/a/1	No	
Is this item a deviation from the GRS?	No	
<b>DISPOSITION INSTRUCTION</b>		
Final Disposition	Permanent	
Cutoff Instructions	Other: Cut off upon submission of final report.	
Are there multiple instructions for this item?	No	
Transfer Instruction	Transfer to the National Archives 5 year blocks 20 year(s) after cut off	
<b>ADDITIONAL INFORMATION</b>		
Frequency of transfer	5	
Are any of the records covered by this item subject to a FOIA exemption?		

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Signatory Information

Action	User	Date
Approve	David Ferriero	05/19/2020