

## Request for Records Disposition Authority

Records Schedule Number           DAA-0170-2017-0006  
Schedule Status                    Approved  
  
Agency or Establishment           Drug Enforcement Administration  
Record Group / Scheduling Group   Records of the Drug Enforcement Administration  
Records Schedule applies to       Major Subdivision  
Major Subdivision                 Diversion Control Division  
Schedule Subject                  Diversion  
Internal agency concurrences will be provided   No

Background 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.

### Item Count

Number of Total Disposition Items	Number of Permanent Disposition Items	Number of Temporary Disposition Items	Number of Withdrawn Disposition Items
6	1	5	0

### GAO Approval

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

Sequence Number	
1	Registration Files Disposition Authority Number: DAA-0170-2017-0006-0001
2	Classification, Evaluation, and Scheduling Files Disposition Authority Number: DAA-0170-2017-0006-0002
3	Manufacturing and Quota Files Disposition Authority Number: DAA-0170-2017-0006-0003
4	Import and Export Files Disposition Authority Number: DAA-0170-2017-0006-0004
5	Information Release Files Disposition Authority Number: DAA-0170-2017-0006-0005
6	Significant Information Reports Files Disposition Authority Number: DAA-0170-2017-0006-0006

## Records Schedule Items

Sequence Number					
1	<p><b>Registration Files</b></p> <p>Disposition Authority Number      <b>DAA-0170-2017-0006-0001</b></p> <p>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.</p> <p>Final Disposition                      <b>Temporary</b></p> <p>Item Status                                <b>Active</b></p> <p>Is this item media neutral?            <b>Yes</b></p> <p>Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing?      <b>Yes</b></p> <p>Do any of the records covered by this item exist as structured electronic data?                              <b>Yes</b></p> <table border="1" style="width: 100%; border-collapse: collapse;"> <thead> <tr> <th style="width: 50%;">Manual Citation</th> <th style="width: 50%;">Manual Title</th> </tr> </thead> <tbody> <tr> <td style="text-align: center;"><b>2210</b></td> <td><b>DEA Records Information System (DEARIS) Handbook</b></td> </tr> </tbody> </table> <p>GRS or Superseded Authority Citation      <b>NC1-170-77-001 / 630-09 DAA-0170-2014-0004-0001</b></p> <p><b>Disposition Instruction</b></p> <p>Cutoff Instruction                        <b>Cut off at end of fiscal year in which the last issuance or renewal occurred.</b></p> <p>Retention Period                         <b>Destroy 20 year(s) after cut off</b></p> <p><b>Additional Information</b></p> <p>GAO Approval                              <b>Not Required</b></p>	Manual Citation	Manual Title	<b>2210</b>	<b>DEA Records Information System (DEARIS) Handbook</b>
Manual Citation	Manual Title				
<b>2210</b>	<b>DEA Records Information System (DEARIS) Handbook</b>				
2	<p><b>Classification, Evaluation, and Scheduling Files</b></p> <p>Disposition Authority Number      <b>DAA-0170-2017-0006-0002</b></p>				

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.

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? Yes

Do any of the records covered by this item exist as structured electronic data? Yes

Manual Citation	Manual Title
2220	DEA Records Information System (DEARIS) Handbook

GRS or Superseded Authority Citation NC1-170-77-001 / 630-01  
NC1-170-77-001 / 630-03  
NC1-170-77-001 / 630-10  
N1-170-89-001 / 1220-52

**Disposition Instruction**

Cutoff Instruction Cut off at end of fiscal year in which transaction is complete.

Retention Period Destroy 5 year(s) after cut off

**Additional Information**

GAO Approval Not Required

**Manufacturing and Quota Files**

Disposition Authority Number DAA-0170-2017-0006-0003

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).

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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? Yes  
 Do any of the records covered by this item exist as structured electronic data? Yes

Manual Citation	Manual Title
2230	DEA Records Information System (DEARIS) Handbook

GRS or Superseded Authority Citation NC1-170-77-001 / 630-08/A/2  
 NC1-170-77-001 / 630-08/B  
 N1-170-03-008 / 630-17/B/1  
 N1-170-89-001 / 1220-45  
 N1-170-89-001 / 1220-46  
 N1-170-04-003 / 1220-66/B/1  
 N1-170-04-003 / 1220-66/B/2

**Disposition Instruction**

Cutoff Instruction Cut off at end of fiscal year in which final action was complete.  
 Retention Period Destroy 5 year(s) after cut off

**Additional Information**

GAO Approval Not Required

**Import and Export Files**

Disposition Authority Number DAA-0170-2017-0006-0004

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.

Final Disposition Temporary  
 Item Status Active  
 Is this item media neutral? Yes  
 Do any of the records covered by this item currently exist in

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electronic format(s) other than e-mail and word processing?

Do any of the records covered by this item exist as structured electronic data? **Yes**

Manual Citation	Manual Title
2240	DEA Records Information System (DEARIS) Handbook

GRS or Superseded Authority Citation **N1-170-94-001 / 630-06  
N1-170-03-008 / B/2  
N1-170-06-001 / B/4**

**Disposition Instruction**

Cutoff Instruction **Cut off at end of fiscal year in which permit was approved or denied.**

Retention Period **Destroy 6 year(s) after cut off**

**Additional Information**

GAO Approval **Not Required**

**Information Release Files**

Disposition Authority Number **DAA-0170-2017-0006-0005**

Records created, received, or maintained that outline exchanged information with registrations, non-registrations, 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.

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? **Yes**

Do any of the records covered by this item exist as structured electronic data? **Yes**

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Manual Citation	Manual Title
2250	DEA Records and Information Management System (DEARIS) Handbook

GRS or Superseded Authority Citation      N1-170-94-001 / 630-11

**Disposition Instruction**

Cutoff Instruction      Cut off at end of fiscal year in which transaction occurred.

Retention Period      Destroy 5 year(s) after cut off.

**Additional Information**

GAO Approval      Not Required

**Significant Information Reports Files**

Disposition Authority Number      DAA-0170-2017-0006-0006

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 .

Final Disposition      Permanent

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?      Yes

Do any of the records covered by this item exist as structured electronic data?      Yes

Manual Citation	Manual Title
2260	DEA Records and Information System (DEARIS) Handbook

GRS or Superseded Authority Citation      NC1-170-77-001 / 630-08/a/1

**Disposition Instruction**

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Cutoff Instruction	Cut off upon submission of final report.
Transfer to the National Archives for Accessioning	Transfer to the National Archives in 5 year blocks 20 year(s) after cut off

**Additional Information**

What will be the date span of the initial transfer of records to the National Archives?	<b>Unknown</b> There are items that may have been sent to Archives under an already approved schedule. Currently DEA has Diversion items that date back to 1968 that are captured under this proposed schedule.
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How frequently will your agency transfer these records to the National Archives?	<b>Every 5 Years</b>
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	Estimated Current Volume	Annual Accumulation
Electronic/Digital	9.89 GB	
Paper	7 Cubic feet	0.5 Cubic feet
Microform		
Hardcopy or Analog Special Media		



## 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
09/15/2017	Certify	Janet Gardner	Chief, records Management Unit	Drug Enforcement Administration - Records Management Unit
12/26/2017	Return for Revision	Jeremy Schmidt	Archives Specialist	National Archives and Records Administration - ACRA Appraisal Team 1
05/04/2018	Submit For Certification	Deidra Thornton	Records and Information Management Specialist	Office of Administration - Records Management Unit
05/04/2018	Return to Submitter	Janet Gardner	Chief, records Management Unit	Drug Enforcement Administration - Records Management Unit
05/07/2018	Submit For Certification	Deidra Thornton	Records and Information Management Specialist	Office of Administration - Records Management Unit
05/08/2018	Certify	Janet Gardner	Chief, records Management Unit	Drug Enforcement Administration - Records Management Unit
08/09/2018	Return for Revision	Jeremy Schmidt	Archives Specialist	National Archives and Records Administration - ACRA Appraisal Team 1
10/29/2018	Submit For Certification	Deidra Thornton	Records and Information Management Specialist	Office of Administration - Records Management Unit
10/29/2018	Certify	Janet Gardner	Chief, records Management Unit	Drug Enforcement Administration - Records Management Unit

06/06/2019	Return for Revision	Laura McHale	Appraisal Archivist	National Archives and Records Administration - Records Management Services
07/01/2019	Submit For Certification	Deidra Thornton	Records and Information Management Specialist	Office of Administration - Records Management Unit
07/02/2019	Certify	Janet Gardner	Chief, records Management Unit	Drug Enforcement Administration - Records Management Unit
04/23/2020	Submit for Concurrence	Laura McHale	Appraisal Archivist	National Archives and Records Administration - Records Management Services
05/11/2020	Concur	Margaret Hawkins	Director of Records Management Services	National Records Management Program - ACNR Records Management Services
05/11/2020	Concur	Laurence Brewer	Chief Records Officer	National Records and Archives Administration - National Records and Archives Administration
05/19/2020	Approve	David Ferriero	Archivist of the United States	Office of the Archivist - Office of the Archivist