

<b>REQUEST FOR RECORDS DISPOSITION AUTHORITY</b> (See Instructions on reverse)		<b>LEAVE BLANK (NARA use only)</b>	
TO: NATIONAL ARCHIVES and RECORDS ADMINISTRATION (NIR) WASHINGTON, DC 20408		JOB NUMBER 71-170-04-7	DATE RECEIVED 4-8-2004
1. FROM (Agency or establishment) DRUG ENFORCEMENT ADMINISTRATION		NOTIFICATION TO AGENCY	
2. MAJOR SUBDIVISION		In accordance with the provisions of 44 U.S.C. 3303a the disposition request, including amendments, is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10.	
3. MINOR SUBDIVISION OFFICE OF DIVERSION CONTROL			
4. NAME OF PERSON WITH WHOM TO CONFER Mike Mapes	5. TELEPHONE 202-353-9562	DATE 5/13/05	ARCHIVIST OF THE UNITED STATES <i>A. W. Wainwright</i>

**6. 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 on the attached \_\_\_\_\_ page(s) are not now needed for the business of this agency or will not be needed after the retention periods specified; and that written concurrence from the General Accounting Office, under the provisions of Title 8 of the GAO Manual for Guidance of Federal Agencies,

is not required;       is attached; or       has been requested.

DATE 4/1/04	SIGNATURE OF AGENCY REPRESENTATIVE <i>Sandra Liddell</i> Sandra Liddell      202-307-3467	TITLE SARR, Records Officer
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7. ITEM NO.	8. DESCRIPTION OF ITEM AND PROPOSED DISPOSITION	9. GRS OR SUPERSEDED JOB CITATION	10. ACTION TAKEN (NARA USE ONLY)
1	DFN: <u>630-19 1220-67</u> (change at agency request 5/25/05) DEA Diversion Control Electronic Commerce Public Key Infrastructure (PKI) <span style="float: right;">11</span>		

*cc Agency, NR, NUMWA, NWCTC*

**DFN: 1220-67**

**DEA Diversion Control Electronic Commerce Public Key Infrastructure (PKI)**

**Program:** Office of Diversion Control

**Applicability:** Office of Diversion Control (OD)

**Identifying Information:**

The DEA e-Commerce PKI will serve as a Certification Authority, issuing digital certificates to Subscribers and other Certification Authorities, enabling electronic transactions of controlled substances.

**Specific Restrictions:**

Access to the system is restricted to the Office of Diversion Control.

**Vital Record:**

No.

**Specific Legal Requirements:**

E-Government Act  
Federal Bridge Certification Authority (FBCA)  
Government Paperwork Elimination Act (GPEA)  
Paperwork Reduction Act (PRA)

**Disposition Information:**

The content of the system is that it provides digital certificates (electronic files) to authorized recipients based on their submitting applications that are then adjudicated to determine their suitability. Input is received from individuals and prospective Certification Authorities (CAs) requesting new certificates or updates be made to existing certificate information. Requests for certificate revocation may also be received and processed.

**A. System Inputs:**

1. Subscribers' certificate applications and documentation relating to certificate issuance, renewals and revocations for users of the Controlled Substances Ordering System (CSOS).

- 1a. Paper Certificate Applications.

**Temporary.** Destroy after digital image has been created and verified or when no longer needed for business purposes, whichever is later.

- 1b. Digital Image of Paper Certificate Application.

**Temporary.** Delete when 10 years 6 months old.

- 1c. All other subscriber documentation.

**Temporary.** Destroy/delete when 10 years 6 months old.

2. Applications and supporting documentation for subordinate or cross-certified Certification Authority relating to Electronic Prescriptions for Controlled Substance System (EPCS).

**Temporary.** Destroy 20 years 6 months after revocation of the EPCS Certification Authority's digital certificate.

**B. System Data:**

1. This public key infrastructure (PKI) supports CSOS by providing for the secure electronic transmission of business transactions between pharmaceutical distributors, manufacturers, wholesalers and pharmacies. Data is extracted from subscriber certificate applications and related documentation. System data also includes security audit records.

**Temporary.** Delete when 10 years 6 months old.

2. This public key infrastructure (PKI) supports EPCS by providing for the secure electronic transmission of prescriptions for controlled substances between practitioners and pharmacies. Data is extracted from applications for subordinate certification authority and related documentation. System data also includes security audit records.

**Temporary.** Delete when 20 years 6 months old.

### **C. System Outputs:**

1. **Digital Certificates.** Digital certificates are added to the (electronic) repository and archived.

- 1a. **CSOS Certificates:**

**Temporary.** Retain in on-line repository until expired or revoked. Download to agency archive. Delete from agency archive 10 years 6 months after expiration or revocation of CSOS certificates.

- 1b. **EPCS CA Certificates:**

**Temporary.** Retain in on-line repository until expired or revoked. Download to agency archive. Delete from agency archive 20 years 6 months after expiration or revocation of EPCS CA certificates.

2. **Certificate Revocation Lists (CRL).** CSOS CRLs are added to the (electronic) repository and archived.

**Temporary.** Retain in on-line repository until no longer needed for business purposes. Download to agency archive. Delete from agency archive 10 years 6 months after issuance.

3. **Certification Authority Revocation Lists (CARL).** CARLs are added to the (electronic) repository and archived.

**Temporary.** Retain in on-line repository until no longer needed for business purposes. Download to agency archive. Delete from agency archive 20 years 6 months after issuance.

4. **Notifications:**

- 4a. **CSOS:** Notifications are distributed to the Subscribers and Coordinators.

**Temporary.** Delete when 10 years 6 months old.

- 4b. **EPCS:** Notifications are distributed to the EPCS CAs.

**Temporary.** Delete when 20 years 6 months old.

### **D. System Documentation:**

The DEA E-Commerce PKI Operations Manual and the DEA E-Commerce PKI Certificate Policy and Certification Practice Statement documents discuss these processes. Also includes copies of Auditor's Reports of Findings.

**Temporary.** Maintain for life of system or 20 years 6 months, whichever is later.

**E. E-Mail and Word-processing System Copies:**

Electronic copies of records that are created on electronic mail and word processing systems and are used solely to generate a recordkeeping copy of the records covered by the other items in this schedule. Also includes electronic copies of records created on electronic mail and word processing systems that are maintained for updating, revision, or dissemination.

1. Copies that have no further administrative value after the recordkeeping copy is made. Includes copies maintained by individuals in personal files, personal electronic mail directories, or other personal directories on hard disk or network drives, and copies on shared network drives that are used only to produce the recordkeeping copy has been produced.

**Temporary.** Destroy/delete within 180 days after the recordkeeping copy has been produced.

2. Copies used for dissemination, revision, or updating that are maintained in addition to the recordkeeping copy.

**Temporary.** Destroy/delete when dissemination, revision, or updating is completed.