

<b>REQUEST FOR RECORDS DISPOSITION AUTHORITY</b>		JOB NUMBER <i>N1-412-07-39</i>	
To: NATIONAL ARCHIVES and RECORDS ADMINISTRATION (NIR) WASHINGTON, DC 20408		DATE RECEIVED <i>11/11/07</i>	
1. FROM (Agency or establishment) <b>U.S. Environmental Protection Agency</b>		<b>NOTIFICATION TO AGENCY</b>  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 Adisposition not approved or Awithdrawn in column 10.	
2. MAJOR SUBDIVISION <b>Pesticides</b>			
3. MINOR SUBDIVISION <b>Headquarters</b>			
4. NAME OF PERSON WITH WHOM TO CONFER <b>John B. Ellis</b>	5. TELEPHONE <b>202-566-1643</b>	DATE <i>11/16/07</i>	ARCHIVIST OF THE UNITED STATES <i>Alba W...</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 3 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,  <input checked="" type="checkbox"/> is not required; <input type="checkbox"/> is attached; or <input type="checkbox"/> has been requested.			
DATE <i>1-8-07</i>	SIGNATURE OF AGENCY REPRESENTATIVE <i>John B. Ellis</i>		TITLE Agency Records Officer
7. Item No.	8. DESCRIPTION OF ITEM AND PROPOSED DISPOSITION	9. GRS OR SUPERSEDED JOB CITATION	10. ACTION TAKEN (NARA USE ONLY)

EPA 315 Pesticides Registration Documents

N1-412-95-2/2

*AD 8/29/07 copies sent to Agency*

115-109

PREVIOUS EDITION NOT USABLE

STANDARD FORM SF 115 (REV. 3-91)  
Prescribed by NARA 36 CFR 1228

# EPA Records Schedule 315

**Status:** Final, 02/29/2008

**Title:** Pesticides Registration Documents

**Program:** Pesticides

**Applicability:** Headquarters

**Function:** 108-025-06-01 - Ensure Safe Use of Pesticides

## **NARA Disposal Authority:**

This schedule authorizes the disposition of the record copy in any media (media neutral), excluding any records already in electronic form. Records designated for permanent retention must be transferred to the National Archives in accordance with NARA standards at the time of transfer.

- N1-412-07-39

## **Description:**

Records support the pesticide product registration process. Files contain trade secrets and are restricted from public use.

Registration jackets include the application for new registration of a pesticide, confidential statement of formula, enforcement action, product label, label change recommendations, chemical reviews, reports and materials supporting label citations, enforcement case reviews, cancellation notices, certified mail receipts, products, formulas, and related registration records.

Experimental use product jackets (EUPs) include the application for experimental use, product label, application data, EPA briefing paper (covering formulation, crop and rate of application, product characteristics, toxicity evaluation and recommendations), and acceptance or rejection letter.

Pesticide tolerance petition jackets include correspondence between EPA and pesticide manufacturers regarding petitions for tolerance, and may include product labels and updates, applications for temporary permits, chemical analysis reports, rejection notices, pesticide petition resumes, Federal Register notices, interoffice memos, inert ingredient tolerance/tolerance exemption petitions and other related documents.

24c applications by state include the applicant's name and address, product name, issue date, expiration date, toxicity, pesticide form, pesticide type(s), chemical active ingredients, and percent concentration of each ingredient, and sites and pests.

**Disposition Instructions:**

**Item a: Registration jackets**

- **Disposable**
- Close inactive records when product canceled or withdrawn.
- Destroy 15 years after file closure.

**Item b: Experimental use product jackets (EUPs)**

- **Disposable**
- Close inactive records when experimental use is completed or rejected.
- Destroy 15 years after file closure.

**Item c(1)(a): Established tolerances - Pesticide tolerance petition jackets - Nonelectronic**

- **Permanent**
- Close inactive records when tolerance is established.
- Transfer to the National Archives 13 years after file closure.

**Item c(1)(b): Established tolerances - Pesticide tolerance petition jackets - Electronic**

- **Permanent**
- Close inactive records when tolerance is established.
- Transfer to the National Archives 5 years after file closure, with any related documentation and external finding aids, as specified in 36 CFR 1228.270 or standards applicable at the time.

**Item c(1)(c): Established tolerances - Pesticide tolerance petition jackets - Electronic copy of records transferred to the National Archives**

- **Disposable**
- Close file upon transfer to the National Archives.
- Delete after electronic record copy is successfully transferred to the National Archives.

**Item c(2): Established limited or temporary tolerances - Pesticide tolerance petition jackets**

- **Disposable**
- Close inactive records when tolerance is expired.
- Destroy 8 years after file closure.

**Item c(3): Inactive tolerances - Pesticide tolerance petition jackets**

- **Disposable**
- Close inactive records when product is withdrawn or declared inactive.
- Destroy 8 years after file closure.

**Item d: 24c application by state**

- **Disposable**
- Close inactive records when product is canceled or withdrawn.
- Destroy 15 years after file closure.

**Guidance:**

Records containing sensitive information must be shredded or otherwise definitively destroyed to protect confidentiality.

Jackets are checked out only to Agency employees with FIFRA CBI clearance and special bar code. Jackets are tracked in the JACKETS system and maintained in the OPP Information Services Center File Room.

Specific legal citations include:

- Federal Insecticide, Fungicide, and Rodenticide Act, as amended, Sec. 3, 5, 24c
- Federal Food, Drug, and Cosmetic Act, Sec. 406, 408
- 40 CFR Parts 152, 162, 172, 180.7

**Reasons for Disposition:**

The disposition instructions have been rewritten as media neutral to allow for maintaining the record copy in EPA's electronic recordkeeping system. The retention is unchanged.

The following changes were made in the 02/29/2008 version:

- Divided item c(1) into three subitems, c(1)(a)-c(1)(c).
- Revised the titles of disposition items c(1)(a)-c(1)(c).
- Revised the disposition instruction for item c(1)(c).

Item e for electronic copies created with word processing and electronic mail applications deleted 08/18/2006 pursuant to NARA Bulletin 2006-04.

**Custodians:**

Office of Prevention, Pesticides, and Toxic Substances, Information Services Branch

- **Contact:** Evelyn Alston
- **Telephone:** 703-305-5058

**Related Schedules:**

**Previous NARA Disposal Authority:**

NC1-412-76-9/14 and 16, NC1-412-82-14, NC1-412-85-24/4 and 6a, N1-412-95-2/2

**Entry:** 08/17/1992

**EPA Approval:** 01/08/2007

**NARA Approval:** 08/16/2007

U.S. EPA RECORDS SCHEDULE

2) SERIES TITLE: Pesticides Registration Documents

PROGRAM: Pesticides

EPA SERIES NO: 315

AGENCY FILE CODE: PEST 315

NARA SCHEDULE NO. N1-412-95-2/2

(Use this number to retire records to the FRC)

APPLICABILITY: Headquarters

DRAFT

IDENTIFYING INFORMATION:

DESCRIPTION: Records support the pesticide product registration process. Files contain trade secrets and are restricted from public use. There are five types of records:

- 43250
- a. Registration Jackets - Records support pesticide product registration and may include the application for new registration of a pesticide, confidential statement of formula, enforcement action, product label, label change recommendations, chemical reviews, reports and materials supporting label citations, enforcement case reviews, cancellation notices, certified mail receipts, products, formulas, and related registration records.
  - b. Experimental Use Product Jackets (EUPs) - Records support the request for an application to ship a product for experimental use. Contains application for experimental use, product label, application data, EPA briefing paper (covering formulation, crop and rate of application, product characteristics, toxicity evaluation and recommendations), and acceptance or rejection letter.
  - c. Pesticide Tolerance Petition Jackets - Records include correspondence between EPA and pesticide manufacturers regarding petitions for tolerance, and may include product labels and updates, applications for temporary permits, chemical analysis reports, rejection notices, pesticide petition resumes, Federal Register notices, interoffice memos, and other related documents. Includes inert ingredient tolerance/tolerance exemption petitions. Records are divided into the following subseries:
    - (1) Established Tolerances
    - (2) Established Limited or Temporary Tolerances
    - (3) Inactive Tolerances
  - d. 24c Application by State - Records support State registration of a pesticide to meet a specific local need. For each registration, records include applicant's name and address, product name, issue date, expiration date, toxicity, pesticide form, pesticide type(s), chemical active ingredients, and percent concentration of each ingredient, and sites and

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pests.

e. Electronic versions of EPA records created by the electronic mail and word processing applications.

ARRANGEMENT: Arranged numerically by registration number.

TYPE OF RECORDS:

Case files

SPECIFIC RESTRICTIONS:

Confidential Business Information

MEDIUM:

Paper, electronic

VITAL RECORD:

Yes

**DRAFT**

FUNCTIONS SUPPORTED:

Product registration

SPECIFIC LEGAL REQUIREMENTS:

Federal Insecticide, Fungicide, and Rodenticide Act, as amended, Sections 3, 5, 24c

Federal Food, Drug and Cosmetic Act, Sections 406, 408

40 CFR 152, 162, 172, 180.7

DISPOSITION INFORMATION:

FINAL DISPOSITION:

a and b. Disposable

TRANSFER TO FRC PERMITTED:

Yes

c(1). Permanent

Yes

(2-3), d. Disposable

Yes

e. Disposable

No

FILE BREAK INSTRUCTIONS:

a. Break file when product cancelled or withdrawn.

b. Break file when experimental use is completed or rejected.

c(1). Break file when tolerance is established.

(2). Break file when tolerance is expired.

(3). Break file when product is withdrawn or declared inactive.

d. Break file when product is cancelled or withdrawn.

e. Break file when registration action is completed.

DISPOSITION INSTRUCTIONS:

a and b. Retire to FRC after file break. Destroy 15 years after file break.

c(1). Keep in office 3 years, then retire to FRC for an additional 10 years. Transfer to the National Archives when 13 years old.

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(2). Keep in office 3 years, then retire to FRC for an additional 5 years. Destroy when 8 years old.

(3). Keep in office 3 years, then retire to FRC for an additional 5 years. Destroy when 8 years old.

d. Retire to FRC after file break. Destroy 15 years after file break.

e. Delete when record copy is generated ~~or when no longer needed for reference or updating~~: Retention of this series is not to exceed the retention of the record copies covered under items a-d.

**DRAFT**

APPLICATION GUIDANCE:

**REASONS FOR DISPOSITION:** This item combines a number of related items from NC1-412-76-9 and NC1-412-85-24. Item a was previously scheduled as NC1-412-82-14, item b as NC1-412-76-9/16 and item d as NC1-412-85-24/4. Dispositions for these items were previously approved by the National Archives. Item 5 (previously approved as disposable) of NC1-412-85-24 and 6a (previously approved as permanent as NC1-412-76-9/14) have been combined into item c of this series. Records in this series document the decisions the Agency makes regarding establishment of pesticide tolerances and contain important long-term decision-support information.

**AGENCY-WIDE GUIDANCE:** As required by 36 CFR 1228.58, records with special restrictions such as confidential business information (CBI) or those exempted from disclosure by statute such as the Privacy Act must be shredded or otherwise definitively destroyed with witnessed disposal for records destroyed by contractors.

**PROGRAM OFFICE GUIDANCE/DESCRIPTIVE INFORMATION:** Jackets are checked out only to Agency employees with FIFRA CBI clearance and special bar code. Jackets are tracked in the JACKETS system and maintained in the OPP Information Services Center File Room, CM2, Rm. 234.

CUSTODIAL INFORMATION:

**CONTROLLING UNIT:**

Name: IRSD

Location: CM2

Inclusive Dates: 1950s to present

Volume on Hand (Feet):  
approx. 35,000 jackets  
1370 cubic feet

Annual Accumulation:  
(feet or inches)  
approx. 1000 jackets  
approx. 100 cubic feet

**CONTACT POINT:**

Name: Evelyn Alston

Mail Code: 7502C

Telephone: 703-305-5058

Office: ISB

Room: 234

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CONTROL INFORMATION:

RELATED ITEMS:

PREVIOUSLY APPROVED BY

NARA SCHEDULE NOS: NC1-412-76-9/14 and 16, NC1-412-82-14, NC1-412-85-24/4 and 6a

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Approval Date EPA	Approval Date NARA	Entry Date	Last Modified
4/28/95		8/17/92	10/16/98

DRAFT

This schedule is in draft. It may be used to retire records, but may not be used to destroy records. If you have any questions, please contact the Records Help Desk.

# EPA Records Schedule 315

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**Program:** Pesticides

**Applicability:** Headquarters

**Function:** 108-025-06-01 - Ensure Safe Use of Pesticides

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24c applications by state include the applicant's name and address, product name, issue date, expiration date, toxicity, pesticide form, pesticide type(s), chemical active ingredients, and percent concentration of each ingredient, and sites and pests.

## Disposition Instructions:

**Item a:** Registration jackets

- **Disposable**
- Close inactive records when product canceled or withdrawn.

*superseded by  
2/29/08 version*

- Destroy 15 years after file closure.

**Item b: Experimental use product jackets (EUPs)**

- **Disposable**
- Close inactive records when experimental use is completed or rejected.
- Destroy 15 years after file closure.

**Item c(1): Established tolerances - Pesticide tolerance petition jackets**

- **Permanent**
- Close inactive records when tolerance is established.
- Transfer nonelectronic records to the National Archives 13 years after file closure.
- Transfer electronic records to the National Archives 5 years after file closure, with any related documentation and external finding aids, as specified in 36 CFR 1228.270 or standards applicable at the time. Delete EPA reference copy 13 years after file closure.

**Item c(2): Established limited or temporary tolerances - Pesticide tolerance petition jackets**

- **Disposable**
- Close inactive records when tolerance is expired.
- Destroy 8 years after file closure.

**Item c(3): Inactive tolerances - Pesticide tolerance petition jackets**

- **Disposable**
- Close inactive records when product is withdrawn or declared inactive.
- Destroy 8 years after file closure.

**Item d: 24c application by state**

- **Disposable**
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**Guidance:**

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**Entry:** 08/17/1992

**EPA Approval:** 01/08/2007

**NARA Approval:** Pending