

## **CHAPTER 8**

### **MICROGRAPHICS MANAGEMENT**

#### **SECTION 1**

### **MICROGRAPHICS MANAGEMENT PROGRAM**

**1. PURPOSE.**

- A. This chapter establishes the Departmental Micrographics Management Program. It prescribes the policies and procedures, authority, standards and responsibilities for effective micrographics management throughout the Department.

**2. APPLICABILITY.**

- A. This handbook applies to all Departmental offices, Headquarters and Field, requesting conversion of paper records to microform and/or requesting the purchase of micrographics equipment.

**3. OBJECTIVES.**

- A. The objectives of the Department's Micrographics Management Program are to:
1. Provide better and less costly options to current paper systems;
  2. Develop systems to support user needs;
  3. Promote a compatible micrographics system;
  4. Provide standards;
  5. Ensure that all micrographics applications are reviewed and approved within the concept of the Department's micrographics program;
  6. Capitalize on the experience gained from existing systems;
  7. Provide security for vital records; and
  8. Keep abreast of new developments in micrographics technology.

**4. AUTHORITY FOR MICROGRAPHICS MANAGEMENT.**

- A. Legal references and regulations governing Federal Micrographics Management are as follows:

1. 44 U.S.C. Chapters 29 and 33. "The Archivist of the United States is authorized to establish standards for the reproduction of records by photographic and micrographic processes with a view to the disposal of original records; to establish uniform standards within the Government for the creation, storage, use, and disposition of processed microform records; and to establish, maintain, and operate centralized microfilming services for Federal agencies.
2. 44 U.S.C. Chapters 29 and 31, give the Administrator of General Services and the heads of Federal agencies responsibility for the development and implementation of standards and programs for the management of Federal records. Such programs must encompass all types of records (whether paper, microforms, magnetic disks and tapes, or other media) at all levels of organization, Headquarters and Field.
  - a. "Issue internal regulations and procedures for the submission, review and approval or disapproval of proposed micrographics systems and applications;
    1. Issue procedures for evaluating the continued efficiency and effectiveness of micrographics systems and applications;
    2. Review ongoing micrographics systems periodically for conformance to established policies, procedures and standards;
    3. Develop and maintain a complete and accurate inventory of micrographics production and reproduction equipment within the agency, e.g., cameras, processors, duplicators, etc., and
    4. "Assign responsibility for the review and approval of all micrographics systems to a specific office..."

## 5. **RESPONSIBILITIES FOR MICROGRAPHICS MANAGEMENT.**

### A. **Departmentwide Responsibilities.**

1. The Director, Office of Administrative and Management Services (OAMS), Office of Administration, assigns the following responsibilities to the Departmental Records Management Officer (DRMO), Document Division, Records and Directives Branch/AMSDR:
  - a. Planning, directing, and administering Department-wide policies, procedures and standards governing micrographics;
  - b. Preparing Departmental directives to ensure compatibility among micrographics systems and applications within the Department;

- c. Reviewing, analyzing and evaluating all existing and proposed micrographics systems within the Department to ensure feasibility, continuing efficient operations, equipment utilization, and conformity with prescribed standards;
  - d. Reviewing and approving all new micrographics applications and/or systems before implementation, and all equipment and services before acquisition;
  - e. Disseminating industry and Government standards, and/or developing Departmental standards, as appropriate;
  - f. Coordinating the micrographics aspects of records retention and disposition with appropriate administrative and program officials;
  - g. Providing consulting services, training and system studies or contracting services;
  - h. Maintaining the Department-wide perpetual inventory of all micrographics equipment;
  - i. Maintaining liaison with designated officials throughout the Department and external agencies on all matters affecting the Departmental Micrographics Management Program;
  - j. Coordinating micrographics systems proposals involving computer output microfilm with appropriate automated data processing officials; and
  - k. Complying with the cost comparison requirements of OMB Circular A-76, Performance of Commercial Activities, before establishing or approving any staffed, in-house micrographics capability.
2. Headquarters and Field organizations with micrographics responsibilities or equipment are responsible for:
- a. Assigning responsibilities for the coordination and implementation of micrographics applications to a specific office/person within their respective elements and for notifying the Departmental Records Management Officer of those assignments. The assigned person will be called the Micrographics Liaison Officer (MLO) and will have the following responsibilities.
    - 1. Establishing internal procedures for submitting proposed micrographics systems.

2. Identifying potential micrographics applications.
  3. Conducting appropriate studies to determine micrographics systems feasibility and cost effectiveness.
  4. Including in budget requests/forecasts requirements for microform equipment and supplies, and any other support equipment needed.
  5. Reviewing existing micrographics applications to determine cost effectiveness, equipment compatibility and the potential for additional application.
  6. Ensuring compliance with standards established by this handbook.
- b. Submitting each proposed micrographics system study to the Departmental Records Management Officer in OAMS, for review and approval before implementation in accordance with this handbook. The same procedure must be followed for equipment and/or service before acquisition.

## **SECTION 2**

### **LEGAL AND ARCHIVAL STATUS OF**

### **MICROFILMED RECORDS**

#### **1. GENERAL.**

- A. The legal status of microforms is governed by Federal and State statutes. In general, microforms and reproductions made from microforms are admissible evidence in judicial proceedings, provided that:
1. The original microform was made in the regular course of business.
  2. The microform provides an accurate and durable medium for reproducing the original record.
  3. The microform must provide satisfactory identification of the records.
    - a. The identification will be accomplished by use of a "certificate of authenticity" at the end of each roll of microfilm, or at the end of each series of records in unitized microforms.

b. This certificate of authenticity should contain the following information:

1. Organization;
2. Title of the records;
3. Arrangement of the records;
4. Starting and ending points of the records;
5. Disposition of original records; and
6. Location and date of microfilm creation.

4. Disposition of all source documents must be coordinated with and approved by the Departmental Records Management Officer in accordance with current records control schedules and National Archives and Records Administration (NARA) policy.

## 2. **MICROFILM PROHIBITED BY FEDERAL OR STATE STATUTES.**

A. Certain documents may not be photographically copied, except by authorized activities, and such reproduction is generally prohibited by Federal or state statutes, as follows:

1. Automobile registration certificates, automobile titles, and drivers' licenses in certain states.
2. Certificates of citizenship or naturalization (18 U.S.C. Section 1426).
3. Government Transportation Requests (18 U.S.C. Section 509).
4. Immigration or non-immigration visas, permits or other documents (18 U.S.C. Section 1546).
5. Obligations of any foreign government or bank (18 U.S.C. Section 481).
6. Obligations or securities of the United States Government, including: bonds; certificates of indebtedness; national bank currency; Federal Reserve notes; United States notes; Treasury notes; gold or silver certificates; certificates of deposit (18 U.S.C. Section 474).
7. Official badges, identification cards, and other insignia of the design prescribed by the head of any department or agency of the U.S. Government (18 U.S.C. Section 701).
8. Copyrighted material without consent of copyright owners (17 U.S.C.).

## 3. **STATUTES RELATING TO LEGALITY OF MICROFILMED RECORDS.**

- A. These statutes are cited for general background information on legality of microfilm and reference. In case of doubt, consult legal counsel.
  - 1. 44 U.S.C. Section 2116, Legal Status of Reproductions.
  - 2. 44 U.S.C. Section 3312, Admissibility in evidence.
  - 3. 28 U.S.C. Section 1733, Government records and papers.
  - 4. 28 U.S.C. Section 1732, Records made in the regular course of business, photographic copies.
  - 5. Title 28, Federal Rules of Civil Procedures, Rule 44, Proof of Official Record.
  - 6. Title 18, Federal Rules of Criminal Procedures, Rule 27, Proof of Official Record.

#### 4. **ARCHIVAL OF MICROFORM RECORDS.**

##### A. **Legal Responsibilities.**

- 1. A large percentage of all microfilming relates to the records retention requirements of the Department. The disposition of the Department's records is governed by policies and procedures contained in 41 CFR 201 Subtitle E, 36 CFR Chapter XII Parts 1228 and 1230, and Departmental Handbooks 2225.6 and 2228.2. The establishment and revision of all retention requirements for all categories of Departmental records must be coordinated with the Departmental Records Management Officer (DRMO), in the Headquarters Office of Administrative and Management Services. The following additional requirements apply to records in microform:
  - a. Any microform scheduled for retirement shall be verified for completeness and accuracy. The microforms shall be transferred to the National Archives and Records Administration (NARA), or to an appropriate Federal Records Center (FRC), at the time prescribed in the approved records control schedule for the records that the microforms replace. The retired microforms shall consist of:
    - 1. Silver gelatin original or a silver gelatin duplicate microform record of archival quality, and
    - 2. One working copy (silver, diazo or vesicular).
  - b. The microforms shall be accompanied by information identifying the Department; the title of the records; the identifying number on each

unit of film; the security classification, if any; the inclusive dates, names or other data identifying the first and last records included on each unit of film; and a certification that the microforms are produced in the normal course of Departmental operations and that care was taken to ensure that the microforms are a complete and accurate copy of the original records. Recommended guidelines for information identification are contained in ANSI/AIIM MS19, Recommended Practice Identification of Microforms.