

DEPARTMENTAL REGULATION		Number: 3070-001
SUBJECT: Micrographic Management	DATE: April 5, 1984	
	OPI: Information Management Division, Office of Information Resources Management	

1 PURPOSE

This regulation implements Subpart 101-11.5, Micrographics, of the Federal Property Management Regulations and established policies, procedures, responsibilities, and guidelines for the management of micrographics within the Department of Agriculture.

2 SPECIAL INSTRUCTIONS/CANCELLATIONS

Section 7, Chapter 12, of Title 5 of the Administrative Regulations is replaced by this regulation.

3 EXCEPTION

The provisions of this regulation will be advisory and not mandatory with regard to the programs of the National Agricultural Library for preservation of the Library's collections, cooperative preservation projects with other libraries, institutions, agencies, and commercial publishers, the provision of services from the library collections to library users, and for the creation and distribution of catalogs, bibliographies, holdings lists, or finding aides related to library collections.

4 POLICY

It is the policy of the Department of Agriculture to utilize micrographics applications where such use will result in increased effectiveness and cost savings. Each agency and staff office which is using micrographics or has a need for micrographics will establish a micrographics management program in compliance with the provisions of this regulation.

5 OBJECTIVES

The objectives of the USDA micrographics management program are to:

- a Ensure that USDA keeps abreast of and benefits from micrographics technology;
- b Develop more efficient and less costly alternatives to systems of recording, disseminating, storing, and retrieving information which are oriented to the needs of the user. These alternatives should provided for:
 - (1) Reduction in the volume of paper documents;
 - (2) Disposal of paper documents when properly converted to microform;
 - (3) Optimum use and sharing of micrographic resources;
 - (4) Compliance with appropriate production specifications and standards; and
 - (5) Saving personnel time and money by increasing the accessibility of records.
- c Promote compatibility and standardization of micrographic systems.
- d Capitalize on the experience gained form existing equipment and systems; and
- e Improve utilization of existing equipment.

6 REFERENCES

- a Federal Property Management Regulations, Subchapter B, Subpart 101-11.5, Micrographic, provides standards, regulations, and guidelines for using micrographic technology in the creation, use, storage, retrieval, preservation, and disposition of Federal Government records.
- b Agricultural Property Management Regulations, Subchapter H, Subparts 104-43.50 and 104-43.5103 provides instructions for reporting excess personal property.
- c GSA Handbook, Micrographic Systems Analysis, provides step-by-step guidance to the analyst who is conducting a micrographic feasibility study.
- d GSA Self-Inspection Guide, Evaluating Micrographic Management, discusses the essential elements of an agency micrographic management program and of micrographic systems and applications within the agency.

e OMB Circular A-76, "Policies For Acquiring Commercial or Industrial Products and Services Needed by the Government," reaffirms the Government's general policy of relying on the private sector for goods and services.

f DR 3130-1, Technical Approvals.

g Office of Operations memorandum, date January 28, 1982 re: Disposal of Precious Metals-Bearing Materials.

h 41 CFR 101-36 covers the utilization and procurement of automatic data processing equipment.

i Government Printing and Binding Regulations, published by the Joint Committee on Printing, governs the procurement of equipment for micropublishing.

7 FORMS

a AD-9 Application for Approval of Direct Microfilm Project or Equipment

b AD-9A Application for Approval of Computer Output Microfilm Project or Equipment

c AD-876 Camera Operator Certificate of Microform Authenticity

d SF-115 Request for Records Disposition Authority

8 DEFINITIONS

a Aperture Card. A card with a rectangular hole or holes specifically prepared for the mounting or insertion of microfilm.

b Archival Microform. Silver halide microfilm, meeting the requirements of the Federal Property Management Regulations, suitable for the preservation of records having permanent historic value.

c CAR (Computer Assisted Retrieval). Microfilm retrieval from computer-maintained indexes.

d COM (Computer Output Microfilm). Microfilm containing data produced by a recorder from computer-generated signals.

e Frame. The area of a photographic film exposed to light in a camera during one exposure regardless of whether or not this area is filled by the document image.

f Jacket. A transparent plastic carrier with a single or multiple sleeve or pocket made to hold microfilm in flat strips.

- g Master Copy. A copy of microform or, in some cases, the original microform from which further copies can be made.
- h Microfiche. A sheet of microfilm containing multiple microimages in a rigid pattern. It usually contains a title which can be read without magnification.
- i Microfilm
- (1) Raw (unexposed and unprocessed) film with characteristics that make it suitable for use in micrographics; or,
 - (2) The process of recording microimages on film; or,
 - (3) A fine grain, high-resolution photographic film containing an image greatly reduced in size from the original.
- j Microform. Any form containing microimages including roll microfilm, microfiche, aperture cards, and computer output microfilm.
- k Micrographic Equipment. Any device or apparatus used for filming, duplicating, printing, inspecting, processing, recording, or storing microimages.
- l Micrographics. The science and technology of applying photographic processes to record information and documents in miniaturized format, and associated storage and retrieval systems.
- m Micrographics Applications. Utilizing source document microfilming, computer output microfilming, or micropublishing.
- n Micrographics System. A configuration of equipment, supplies, and procedures involved in the creation, maintenances, use, and disposition of microforms.
- o Microimage. A unit of information, such as a page of text or a drawing, too small to be read without magnification.
- p Micropublishing. The issuing of new (not previously published) information in quantities exceeding 250 duplicates of an original microfilm for distribution and as a substitute for conventionally printed material.
- q Permanent Records. Any record that has been determined by the Archivist of the United States to have sufficient historical or other value to warrant its continued preservation by the Government.
- r Production and Reproduction Equipment. Any equipment used to produce or process microforms (e.g., cameras, processors, duplicators, COM recorders, etc.)
- s Property Management Information System (PMIS). One of the management reporting systems of the Central Accounting System which maintains an inventory of Department owned/leased personal property.
- t Reader. A device for viewing microfilm.

u Reader-printer. A device for both viewing microfilm and producing occasional hard copy reproductions from microfilm.

v Roll Film. A length of microfilm on a reel, cassette, or cartridge.

w Vital Records. Records vital to the essential functioning of the Federal Government or the agency for the duration of an emergency, or records essential for the preservation of the legal rights of individuals.

9 RESPONSIBILITIES

a The information Management Division, (IMD) Office of Information Resources Management, has overall responsibility for the Departmental Micrographics Management Program. IMD will:

- (1) Development necessary policies, standards, procedures, and guidelines for acquiring, using, and evaluating micrographic systems and applications.
- (2) Direct, coordinate, or conduct selectives reviews of agency and staff office micrographics programs.
- (3) Provide advice and assistance to agencies and staff offices in establishing and managing their micrographic programs and information systems involving micrographics.

b The Agency Technical Services Division, Office of Information Resources Management, will review requests for micrographics equipment and services which meet or exceed the technical approval threshold specified in DR 3130-1.

c Agencies and staff office which are using micrographics or which have a need for micrographics will:

- (1) Manage, control, and coordinate all agency micrographics activities within their organizations.
- (2) Establish internal agency procedures for the development and review of proposed and existing micrographics systems or changes to these systems. A copy of these procedures are to be sent to IMD. See the reference section of this regulation for some publications which will assist you in this effort.
- (3) Conduct or require appropriate studies to determine the feasibility and cost effectiveness of micrographics applications and systems.
- (4) Review and approve new micrographics system proposals, studies, and requests for equipment or services as well as changes to existing systems, before any procurement action is undertaken. (The reordering of supplies and existing contracts that must be renegotiated each year is exempt from this approval requirement.)

(5) Review existing agency micrographics systems and applications for conformance with applicable micrographics regulations and standards.

(6) Maintain an inventory of agency production and reproduction micrographics equipment unless an inventory is presently being maintained in the Property Management Information System. (See section 12b.)

(7) Ensure that micrographic systems and equipment disposals have proper approval(s) before being disposed of as excess per AGPMR 104-43.50 and 104-43.5101.

d Printing Branch, Publishing Division, Office of Governmental and Public Affairs, will review and approve all requests to the Government Printing Office for micropublishing.

10 MICROGRAPHICS STANDARDS

a Agencies are to comply with standards set forth in FPMR 101-11.5 regarding the creation, processing, storage, and disposal of microforms.

b Freedom of Information Act and Privacy Act Implications.

Conversion of information to microform does not imply any change in requirements to comply with the provisions of the Freedom of Information Act of 1966 or the Privacy Act of 1974.

c Legal Status

(1) Properly authenticated microform and microform reproductions of any books, records, papers or documents of any department or agency of the United States are generally admissible as evidence provided:

(a) The microform was produced in the regular course of business,

(b) The microform was produced an accurate and durable means for reproducing the original documents, and

(c) The microform was prepared in accordance with FPMR 101-11.5.

(2) Questions of Authenticity. An agency which is about to microfilm an original document relevant to an ongoing administrative or judicial hearing is required to obtain legal advice from the Office of the General Counsel prior to microfilming.

(3) Certification. The custodian of an agency's records or the camera operator may be called upon to supply a verbal or written statement that the microforms in question are accurate and complete reproductions of the official records when the paper record in question has been destroyed. Whenever possible, the written certification will be placed at the end of each microform. Figure 1, or a similar form, will be used for the written certifications.

d Microform Production

(1) Record Integrity. The integrity of the original records authorized for disposal will be maintained by ensuring that the original microforms are adequate substitutes for the original records and serve the purpose for which such records were created or maintained. The records will be arranged, identified, and indexed so that any individual document or component of the records can be located. At a minimum, the records to be filmed will include the following information:

- (a) Agency and organization;
- (b) Title of the records;
- (c) Number or identifier for each unit of film;
- (d) Security classification, if any, including applicable Privacy Act warning; and
- (e) Inclusive dates, names, or other identifying data.

(2) Format. Uniformity of microform formats is required in order to enhance the exchange and utilization of information and to provide compatibility of user equipment. Generally, roll film will be 16mm, aperture card film will be 35mm, microfiche, jackets, and COM will be 105mm.

(3) Reduction Ratios. Under normal circumstances, the following reduction ratios should be used. Exceptions should be cleared with the appropriate agency official. Roll film should have a reduction ratio of 24:1 filmed in either the cine mode (with information reading from edge to edge of the film). Microfiche should have a reduction ratio of 24:1 for 98 frame fiche and 48:1 for 270 frame fiche (COM). Federal and military specifications and standards for microfilming engineering drawings and similar documents will be followed when applicable.

(4) Titling. All microfilms should include eye-readable titling information which clearly identifies which documents are included on that microform.

(5) Indexing. All indexes, registers, or other findings aids, if microfilmed, shall be placed in the first frames at the beginning of a roll of film or in the last frames of a microfiche or microfilm jacket. Computer-generated microfilms shall have the indexes following the

data on a roll of film or in the last frames of a microfiche or microfilm jacket. Other index locations may be used only if dictated by special system constraints.

e Microform Requirements

- (1) Archival Quality. For documents requiring permanent retention, only silver halide film is currently accepted by GSA as having sufficient image permanence.
- (2) Storage. Nonpermanent microform records can be safely maintained under the same conditions as most paper records. Standards for storing microforms of permanent records are specified in FPMR 101.507-1.
- (3) Inspection. The master copy of permanent record microforms will be inspected every two years in accordance with the requirements of FPMR 101-11.597-2.
- (4) Use. The master copy microform will not be used for reference purposes. A duplicate copy will be used for reference and for further duplication on a recurring basis.
- (5) Micropublishing. Production of more than 250 copies of an original microform requires procurement through the Printing Branch, Publishing Division, Office of Governmental and Public Affairs.
- (6) Disposition of Original Documents
 - (a) Temporary Records. The existing disposal periods for original temporary records apply to the microfilm copy of those records. After film verification, agencies may destroy the originals.
 - (b) Permanent Records. Agencies proposing to microfilm permanent records and dispose of the original must meet the standard for microfilming permanent records. These standards are specified in FPMR 101.11.506-3. Submit an SF-115 to the National Archives and Records Service. The SF-115 must describe the disposition of both the original records and the microforms. It must also include the following certification: "This certifies that the records described on this form will be microfilmed in accordance with the standards set forth in 41 CFR 101.11-506." Agencies must also specify that storage conditions will comply with FPMR requirements. If you are going to keep the original records, an SF-115 is not required.
 - (c) Unscheduled Records. Agencies proposing to microfilm unscheduled records and dispose of the original must submit an SF-115 to NARS. The SF-115 must be approved by the agency official and the

agency Records Officer before it is forwarded to NARS for approval. Staff office requests require the approval of IMD before they are sent to NARS.

(7) Disposition of Microform Records. Microform records can be disposed of in the same manner as other records with the following exceptions:

(a) Permanent Records. The original microform plus one duplicate of each record must be verified for completeness and accuracy. The microforms will be transferred to an approved agency records center, the Vital Records Center, or to a Federal Records Center at the time that the records are to be retired, in accordance with the requirements of FPMR 101-11.509 and the agency's approved records disposition schedule.

(b) Temporary Records. When microforms of temporary records are ready for disposal, they should be handled in accordance with the USDA Precious Metals Recovery Program so that the silver they contain can be recovered. Agencies are to contact their Precious Metals Coordinator or the Personal Property Management Division, Office of Operations, for information on the program. Microforms of classified, sensitive, personal, or medical records should be shredded or similarly defaced before being submitted for precious metal recovery.

f GAO Auditable Records. Microfilm copies of paper records are acceptable for GAO audit purposes, provided that the film meets generally accepted standards and that it is available to auditors when needed.

11 MICROGRAPHICS SYSTEMS STUDIES

A micrographics system study must be conducted in accordance with the requirements of FPMR 101-11.505 prior to the decision to establish a micrographics system. GSA has issued a handbook entitled Micrographics Systems Analysis which contains detailed instructions on conducting such studies. These studies should involve the Records Officer to assure that all sound records and information management principles have been applied before a decision to microfilm is approved. As with the use of any technology, a decision to microfilm should be based on a careful cost-benefit analysis. This is especially true when the records to be microfilmed will be referred to infrequently.

12 REQUESTS FOR MICROGRAPHIC PROJECTS, EQUIPMENTS, OR SERVICES

a Agencies proposing to initiate a new microfilm project, to significantly broaden the scope of an existing project, or to acquire services or facilities for microfilming are to

submit an AD-9 (figure 2) to a designated agency official for approval when direct filming is involved or an AD-9A (figure 3) when COM is involved. Staff offices proposing similar activities are to contact the IMD, Office of Information Resources Management.

b In addition, requests which meet or exceed the technical approval thresholds established in DR 3130-1 (generally \$100,000) are to be submitted for technical approval to the Agency Technical Services Division, Office of Information Resources Management, as specified in that regulation.

c Procurement of COM equipment is subject to the provisions of 41 CFR 101-36 covering utilization and procurement of automatic data processing equipment.

d Procurement of equipment for micropublishing is subject to the provisions of the Government Printing and Binding Regulations published by the Joint Committee on Printing.

13 MICROGRAPHICS EQUIPMENT INVENTORIES

a Micrographics production and reproduction equipment, inventories will facilitate agency searches for equipment that can be shared and aid in managing and controlling micrographic equipment. The inventory shall include, as a minimum, the following information:

- (1) Type of equipment,
- (2) Name of manufacturer,
- (3) Model and serial number,
- (4) Location, and
- (5) Purchase or rental status.

14 MICROFILMING SERVICES

a Microfilming and processing services are offered by the General Services Administration, the Federal Records Centers, other agencies, and commercial service bureaus. As agencies do their cost benefit studies, they should consider these alternatives to establishing in-house facilities. Before contracting with non-Government commercial services firm, agencies are to comply with the requirements of OMB Circular A-76.

b USDA agencies which can provide microfilming services or which are willing to share the user of their equipment with other USDA agencies should notify IMD. Agencies which require microfilming services can contact IMD to see if in-house services are available

15 ALTERNATIVES TO MICROGRAPHIC

Micrographics cannot solve any problem resulting from bad information management. For example, if filing is difficult to control, it may be due to poor records management, rather than due to the managerial problem of an excessive filing workload. If a space problem exists involving too many files, it may indicate the failure to follow disposition schedules, rather than the need to reduce the storage volume by using microfilm. Problems resulting from poor records management must be solved before considering microfilming as a solution. Microfilming for the sake of microfilming is not cost effective and should be avoided.

FIGURE 1

U.S. DEPARTMENT OF AGRICULTURE

CAMERA OPERATOR'S CERTIFICATE OF MICROFORM AUTHENTICITY

This is to certify that the microphotographers appearing on the film file starting with _____ and ending with _____ are accurate and complete reproductions of records of the _____ as photographed in the regular course of business.

DATE: (Month, day, and year) _____

CAMERA OPERATOR: _____

PLACE: (City and State) _____

PLEASE SEE HARD COPY OR CONTACT OIRM, IMD ON 202-447-8799 FOR THE PAPER COPY OF THE FOLLOWING IMAGE(S):

APPLICATION FOR APPROVAL OF DIRECT MICROFILM PROJECT OR EQUIPMENT.

APPLICATION FOR APPROVAL OF COMPUTER OUTPUT MICROFILM PROJECT OR EQUIPMENT.

