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The National Archives and Records Administration is pleased to submit a written statement in support of its oral testimony at the National Film Preservation Board Hearings on February 26, 1993. NARA fully supports the work of the National Film Preservation Board, and welcomes this opportunity to describe our efforts to preserve the nation's documentary heritage, to share our experience with film preservation, and outline our needs for the future.

An independent agency of the U.S. Government, NARA has primary responsibility for safeguarding federal records and other documentary materials and making them available to the public. As early as 1934, when the National Archives was established, Congress authorized our agency to collect motion pictures and sound recordings "pertaining to or illustrative of the history of the United States." Implicit in this mandate was a recognition and appreciation of the documentary value of motion pictures and sound recordings for the study of American history.

Subsequently federal laws beginning with the Federal Records Disposition Act of 1939, expressly identified government motion pictures as records that must be treated in accordance with the policies and regulations governing the management of all federal records. Appended to this report are excerpts from the current Code of Federal Regulations which describe some of the guidelines and standards that the National Archives issues to Federal agencies for the management and transfer of permanently valuable audiovisual records, including motion pictures.

In addition to federal records, the National Archives has always been authorized to accept motion pictures from private sources that are appropriate for preservation by the government as evidence of its organization, functions, policies, decisions, procedures, and transactions. The Gift Collection of the National Archives has been immeasurably enhanced by the generous donations of patriotic individuals and organizations.

Holdings:

The motion picture holdings of the National Archives are documentary and record in character. They consist of edited and unedited record footage, newsreels, instructional films, research and development films, documentaries, and other genres dating from the early films of Thomas Edison to the present era. The permanent holdings contain a moving image record of the American experience for the last one hundred years. In this brief statement we will mention only a few outstanding examples:

- Footage documenting the construction of the Panama Canal.
- Over one million feet of silent 35mm film produced by the Army Signal Corps showing U.S. participation in World War I.
- Films from the New Deal agencies that document the poverty and despair of the Great Depression and President Roosevelt's programs for improving the lives of the American people.
- Thousands upon thousands of reels that show virtually every aspect of World War II, such as invasion of the Normandy beaches, the Allied liberation of the Nazi concentration camps, and the

proceedings of the International Military Tribunal at Nuremberg. --And finally, extensive motion picture documentation of our international relations as fostered by the overseas information program of the U.S. Information Agency, and of the triumphs and tragedies of our military operations during the war in Vietnam.

In addition to these momentous events the films in the National Archives document old processes, industries, and crafts. Films in the Ford Motor Company Collection show changes in the American landscape, the expansion of highways, the growth of towns, cities and suburbs.

Newsreels deserve a special mention because they form the foundation of the National Archives Gift Collection, serving as a systematic source of visual news until 1967 when News of the Day and Universal Newsreel ceased production.

Each of the Presidential Libraries that are part of the National Archives has significant holdings of motion picture film that document the lives and administrations of the various presidents from the 1920s to the present.

These films in their aggregate constitute a rich and unique record of our national heritage. We are proud to note that the Board has already selected two outstanding government documentaries for the National Film Registry. They are "The River," produced in 1937 by

the Farm Security Administration; and "The Battle of San Pietro," produced in 1944 by the War Department.

The responsibility for the preservation of motion pictures in the National Archives is divided between the Motion Picture, Sound, and Video Branch of the Nontextual Archives Division which has custody of the films; and the Preservation Policy and Services Division, which determines overall preservation policies and operates the motion picture laboratory.

Presidential Libraries, administered within the NARA system, have their own film collections with significant footage of each administration since Herbert Hoover. Prior to Johnson news agencies donated most of the footage to the libraries. During the Johnson administration cameramen from the Naval Photographic Center began creating a filmed record of presidential activities. They did not switch to video cassettes until the first Reagan term. About 14 million feet of film are in the Presidential Libraries.

The permanent holdings consist of over 400,000 reels of film, including a large transfer of film from the Department of Defense that will be completed this year. Since NARA does not hold nitrate film, all the reels consist of safety and polyester film.

About 1/3 are reference prints and 2/3 consist of originals, negatives, and masters needed for preservation and reproduction. All together, there is approximately 150 million feet of unique running

footage. The formats are about 60% 35mm and 40% 16mm with some reels of 8mm and 70mm. At least 15% is color film although that percentage is rapidly increasing with the acquisition of large accessions from the Department of Defense.

Preservation Priorities:

Film holdings in the National Archives exhibit problems that are common to all collections of archival films such as brittleness, shrinkage, damage from use, vinegar syndrome, and color fading, conditions already familiar to the Board from other testimony. Our preservation priorities are based on overall needs of the holdings, as well as on the condition of specific films, levels of use, and relative value. There is also an effort to expend resources in ways that are most cost-effective.

Providing archival storage conditions is our first priority. Each reel is stored on a core and inserted in a plastic or metal can, though our goal is to place all reels in unsealed polyethylene bags inserted inside a plastic archival storage container.

At the present time all reference copies are stored in the National Archives building at approximately 68 degrees Fahrenheit, 50% RH. Originals, masters, and negatives are kept separately in the Pickett Street Annex in Alexandria, Virginia.

Black-and-white film and unprocessed accessions are stored at 65-70 degrees Fahrenheit with a relative humidity that ranges between 40-

60%. However, one cold storage vault has been set aside for black-and-white preprint at 50 degrees, 30%. Two other vaults are designated for color film storage at 40 degrees, 30%. The Kennedy Library stores its color film at 0 degrees, 30%.

We are pleased to report that in early 1994 the motion picture holdings will be moved into Archives II, a state-of-the art facility now nearing completion in College Park, Maryland. The cold vaults for color film will operate at 25 degrees and 30% RH and the black-and-white preprint vault at 65 degrees, 30% RH. An air filtration system will keep particulates and pollutants within archival tolerances.

After providing archival storage conditions, our next priority is to inspect and repair each reel of newly accessioned film. The inspection process includes among other steps, attaching leader and trailer, repairing of broken sprocket holes and weak splices, and examining for deterioration and other damage. Due to the large quantity of films received from the U.S. Information Agency and the Department of Defense, inspection work has been accomplished as funds permit by contractors on National Archives premises, thus reducing the backlog and eliminating the need to ship large quantities of originals outside our control. Following an initial inspection subsequent preservation steps are determined. Re-inspection takes place on a sampling basis.

Our other film preservation priorities may be described under the heading of laboratory reproduction priorities:

- (1) Early acetate films such as diacetate and other low acetyl films which undergo chemical and dimensional change as they age.
- (2) Any deteriorating film, usually due to "vinegar syndrome," a chemical process, accelerated by warm temperatures and moisture, which destroy the film base.
- (3) Color films whose dyes are made from organic materials are subject to fading. Color originals are copied to modern film stocks with improved color dye stability.
- (4) Magnetic film sound tracks. Inherently unstable, these are copied to optical film sound.
- (5) Films lacking reference copies. Reference copies are generally made on video cassettes. Only reference copies are permitted for research use and never originals or unique copies.
- (6) Protection copies, such as intermediate dupe negatives or master positives, internegatives or interpositives, which are used for duplication to make copies for a fee.

In sum, the preservation priorities aim at a careful examination of each reel and duplication to the extent necessary to produce an original, an intermediate, and a print or video reference copy. Our strategy requires three sets of each title or subject, at the minimum: the original for preservation to be held as long as

possible; an intermediate for preservation and periodic duplication; and a reference copy. Federal agencies are required to set these copies aside for permanently valuable films transferred to the National Archives. There are numerous instances, however, where the requisite copies are not available. For instance, unedited footage typically is accessioned only as an original and print, with no intermediate. In the worst cases only used projection prints are transferred as record copies, all other copies having disappeared. Completing the record set for preservation then becomes the responsibility of the National Archives.

Some urgency compounds this preservation need because of significant research demand for access and reproduction. First, in the last few years individual research visits to the Motion Picture, Sound, and Video Research Room have averaged more than 5,000 annually. Virtually all researchers saw reference prints or videocassettes of films. Many researchers have also used the Presidential library film collections. Second, there is also a significant demand for reproduction that is unique to the National Archives because of the large concentration of media production personnel among the researchers. A combination of nonfiction films, extensive catalog cards, the public domain status of government footage, and low fees attracts researchers from all over the world who wish to obtain copies of archival films for new



productions. Well known examples are "The World at War," "Eyes on the Prize," "The Kennedys", and the recent documentary shown on PBS "The Liberators." Almost every documentary shown in PBS's series "The American Experience" contains footage from the National Archives.

Progress to date:

Over the years, the National Archives has made substantial progress in motion picture preservation.

First, the motion picture lab has the equipment and personnel to perform most services for NARA's preservation of its motion picture footage. Equipment consists of various 35mm and 16mm printers for both black and white and color. All B&W film is processed in-house. Our equipment is attuned to handle NARA's unique film records which are in fragile, aged or shrunken condition. Annual footage printed is in the range of 1.5 to 2.0 million feet.

Second, In the early 1980's the National Archives completed the conversion of all its nitrate film holdings to safety film, including all remaining government record film of permanent value. Except for the Library of Congress's special program, we believe there are no more significant holdings of nitrate motion picture film within the federal establishment.

Third, in 1984 the National Archives constructed three large

cold storage vaults for color film materials capable of containing a total of as many as 21,000 cubic feet or 126,000 cans of 35mm film. This initiative occurred after the debate in the early 1980's among scientists, film archivists, filmmakers, and Eastman Kodak about the fading of color films. The Kennedy Library installed its color vault in 1979, one of the first of its kind in the world.

Fourth, the National Archives has over the past decade promoted the adoption of polyethylene terephthalate (PET or polyester) based motion picture film due to the desirable characteristics of PET as a substrate. The change has been slow due, primarily, to the limited market existing for polyester-based motion picture film and, consequently, to the reluctance of the industry to adopt a petrochemical-based material as opposed to the cellulose based materials in current use. Nonetheless, recent discussions about "vinegar syndrome" have underscored the limitation of cellulose acetate films and has renewed interest in polyester.

Our Universal Newsreel Collection was duplicated on B&W polyester film in 1979 and 1980 in our lab to prevent further deterioration and shrinkage. During fiscal year 1993 the National Archives Motion Picture Preservation laboratories are completing their conversion to B&W polyester-based film. Color footage of World War II operations in Europe and in the Pacific shot on original Kodachrome has

been copied to SO211, a low fade emulsion on polyester base developed by Eastman Kodak, with improved cyan dye stability.

Fifth, in 1985 the National Archives implemented its first "government-owned, contractor-operated," film inspection contract. For the next five years more than 60 million feet of new accessions was inspected and repaired. After a hiatus of three years we are about to begin another series of contracts to tackle the current inspection backlog.

Sixth, the National Archives collaborated with the Library of Congress in the mid-1980s to develop plastic containers for motion picture film in light of research at the time which indicated that existing metal, fiberboard, and other containers were inappropriate. More recent research carried out by the Manchester Polytechnic has shown that metal containers can promote vinegar syndrome. The plastic container has now been accepted as a standard throughout the archival community though some improvements in mechanical features continue to be made.

Seventh, through out much of the 1970s and up to the present time the National Archives has transferred more than 8,000 hours of 16mm and 35mm film to video cassettes for access purposes. These tapes are now available on a self-service basis in our research room. The Presidential libraries also have a copying program.

This has benefited preservation by enabling us to retire vintage

prints and by making relatively inexpensive study copies of films that otherwise might not have been available for research for lack of a reference copy. The savings in dollars compared to making projection prints can be measured in millions. The value of improvement in research access is incalculable.

The general preservation program for motion pictures is guided by the following principles:

- Maintain an accurate inventory.
- Provide archival storage conditions.
- Separate copies in storage.
- Inspect each newly accessioned reel and make necessary repairs to restore it to its original condition.
- Preserve the original film as long as possible and make film copies in the original gauge.
- Acquire or make at least two copies of every film so that there are an original, intermediate, and reference copy of each film.

The laboratory analyzes original film to determine subsequent required exposures on new film stock, cleans original films, exposes the appropriate new stock to the image information on the original film, chemically processes the new film stock and inspects the new film elements to ensure adequate fidelity.

All film copies are fully timed or properly exposed scene by scene. The motion picture lab applies a high level of quality assurance

relating to residual hypo level, developer agitation, and chemical mix in order to maintain optimum quality and consistency in the final preservation copies. Each new copy receives a careful inspection to ensure that it meets archival standards for timing, focus, frame-line stability and other criteria widely accepted by the industry.

Future Prospects:

Archives has achieved a great deal over the years identifying, safeguarding and preserving the permanently valuable records of the United States Government, together with newsreels and many other valuable films donated by individuals and organizations. We realize, however, that much work lies ahead, and that we may not have the resources to protect all the nation's documentary heritage from the ravages of time, from the deterioration that threatens film bases and black-and-white and color images. The National Archives makes the best use of resources made available for our program. But there is no assurance that funds will be available beyond FY93 to reduce the backlog of uninspected film. Therefore we will lack even the most fundamental knowledge about the film's condition and will be unable to take the steps needed to prolong its useful life.

Of the 400,000 or more film containers in our vaults only 20% or less are made to archival specifications. Depending on the mix of 16mm and 35mm, it will cost nearly \$1,500,000 to purchase new

plastic containers.

Laboratory reproduction of films will be the largest need well into the next century. All future film-to-film copying should utilize polyester film for permanence. The cellulose triacetate masters and dupe negatives that have been made over the years will have to be monitored carefully and worked into copying priorities.

All original color film should be copied to modern low fade stock. The National Archives has preserved color originals of combat operations conducted during World War II. Nonetheless, millions of feet of color original reversal and color negatives were shot during the war in Vietnam, all of which must be copied to modern stocks.

Thousands of reels of film which lack reference prints should be transferred to video cassettes for research access, yet we can barely devote one staff person to this activity.

Additional staff will be needed to monitor the holdings and to keep up with the pace of reproduction as the film ages, if it is going to be rescued before deterioration makes it no longer reproducible.

Current staff development assumes on-the-job training. In view of the decline of the non-theatrical film industry, it will become increasingly difficult to have skilled technicians to work with old films. There is no guarantee that the commercial facilities

will exist to service our needs as industry moves away from photochemistry to electronic imaging and HDTV. A shortage of black-and-white laboratories already exists. Yet to carry out its responsibilities the National Archives must be prepared to operate its own laboratory and train its staff as best it can. This underscores the need to keep abreast of issues in film preservation as they are discussed in organizations like the Society of Motion Picture and television Engineers and the International Federation of Film Archives. Staff should remain informed and determine policies in accordance with recognized archival practices and standards. Travel support is needed.

This statement has provided an overview of the motion picture preservation program at the National Archives. Although substantial progress has been made, we cannot take the longevity of our holdings for granted. Active steps are needed. What role new technologies will play in film preservation is not exactly clear. This is an area we hope the Board will address in its report.

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(3) Describe the current business for which the records are required;

(4) Estimate the length of time the records will be needed by the agency for current business (if no date is provided by the agency, approved certification requests will be effective for a maximum of five years);

(5) Explain why the current needs of the agency cannot be met by the services NARA provides for records deposited with the National Archives of the United States; and.

(6) If the records are being retained to enable the agency to provide routine public reference, cite the statute authorizing this agency activity.

(d) NARA will not accept an agency certification that a specific body of records over 30 years old, regardless of physical form or characteristics, is being used for the "conduct of the regular current business," if that agency is retaining such records primarily to:

(1) Provide to persons outside the agency access which can be provided by NARA; or

(2) Function as an agency archives, unless specifically authorized by statute or NARA.

[57 FR 22433, May 28, 1992]

§ 1228.154 Audiovisual records.

Audiovisual records appraised as permanent should be transferred to the National Archives as soon as they become inactive or whenever the agency cannot provide proper care and handling of the materials (see part 1232 of this chapter) to guarantee their preservation. Additionally, the following policies shall govern the transfer of audiovisual records to the National Archives:

(a) *Motion pictures.* The following copies are necessary for the preservation, duplication, and reference service of motion pictures transferred to the National Archives of the United States. Agencies shall transfer all specified copies, if they exist.

(1) Agency-sponsored motion picture films for distribution (informational films):

(i) Original negative or color original plus separate optical sound track; and

(ii) Intermediate master positive or duplicate negative plus optical sound track; and

(iii) Sound projection print.

(2) Agency motion picture films made for internal use (program films):

(i) Original negative or color original plus sound, and

(ii) Projection print.

(3) Agency acquired motion picture films: Two projection prints.

(4) Unedited outtakes and trims (the discards of film productions) may be considered for deposit in the National Archives if they are properly arranged, labeled, and described and show unstaged, unrehearsed events of historical interest or historically significant phenomena. The following elements should be included:

(i) Original negative or color original; and

(ii) Work print.

(b) *Still pictures.* The following elements are necessary for the preservation, duplication and reference service of each pictorial image transferred to the National Archives of the United States. Agencies shall transfer all specified copies, if they exist.

(1) For black and white photographs, an original negative and a captioned print. If the original negative is unstable safety, acetate, nitrate, or glass, a duplicate negative is also needed.

(2) For color photographs, the original color transparency or color negative, a captioned print, and an internegative if one exists.

(3) For slide sets, the original and a reference set, and the related audio recording and script if one exists.

(4) For other pictorial records such as posters, original artwork, and filmstrips, the original and a reference print.

(c) *Sound recordings.* The following types of audio documents are necessary for the preservation, duplication, and reference service of sound recordings transferred to the National Archives of the United States. Agencies shall transfer all specified copies, if they exist.

(1) For conventional, mass-produced, or multiple-copy disc recordings, the master tape, the matrix or stamper of each sound recording, and a disc pressing of each recording.

(2) For magnetic sound recordings usually on audio tape (reel-to-reel, ca-



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sette, or cartridge), the original tape or the earliest generation of the recording available and a "dubbing" if one has been made.

(d) *Video recordings.* The original or the earliest generation of the video recording is necessary for the preservation, duplication, and reference service of this medium. A kinescope of the recording may be substituted.

(e) *Finding aids and production documentation.* The following records shall be transferred to the National Archives with the audiovisual records to which they pertain:

(1) Existing finding aids such as data sheets, shot lists, continuities, review sheets, catalogs, indexes, list of captions, and other documentation, whether in paper, electronic, or other form, that are necessary or helpful for the proper identification, retrieval, and use of the audiovisual records; and

(2) Production case files or similar files that include copies of production contracts, scripts, transcripts, and appropriate documentation bearing on the origin, acquisition, release, and ownership of the production.

[42 FR 57315, Nov. 2, 1977. Redesignated at 50 FR 15723, Apr. 19, 1985, and 55 FR 27433, July 2, 1990, as amended at 57 FR 22433, May 28, 1992]

## § 1228.186 Cartographic and architectural records.

The following classes of cartographic and architectural records appraised as permanent should be transferred to the National Archives as soon as they become inactive or whenever the agency cannot provide the proper care and handling of the materials to guarantee their preservation.

(a) *Maps and charts.* (1) Manuscript maps; printed and processed maps on which manuscript changes, additions, or annotations have been made for record purposes or which bear manuscript signatures to indicate official approval; and single printed or processed maps that have been attached to or interfiled with other documents of a record character or in any way made an integral part of a record.

(2) Master sets of printed or processed maps in the custody of the agency by which they were issued. Such master sets should be kept segre-

gated from the stock of maps held for distribution and from maps received from other agencies. A master set should include one copy of each edition of a printed or processed map issued.

(3) Computer-related and computer-plotted maps that cannot be reproduced by the National Archives because of destruction of the magnetic tapes or other stored data or because of the unavailability of ADP equipment.

(4) Index maps, card indexes, lists, catalogs, or other finding aids that may be helpful in using the maps transferred.

(5) Records related to preparing, compiling, editing, or printing maps, such as manuscript field notebooks of surveys, triangulation and other geodetic computations, and project folders containing specifications to be followed and appraisals of source materials to be used.

(b) *Aerial photography and remote sensing imagery.* (1) Vertical and oblique negative aerial film, conventional aircraft.

(2) Annotated copy negatives, inter-negatives, rectified negatives, and glass plate negatives from vertical and oblique aerial film, conventional aircraft.

(3) Annotated prints from aerial film, conventional aircraft.

(4) Infrared, ultraviolet, multispectral (multiband), video, imagery radar, and related tapes, converted to a film base.

(5) Indexes and other finding aids in the form of photo mosaics, flight line indexes, coded grids, and coordinate grids.

(c) *Architectural and related engineering drawings.* (1) Design drawings, preliminary and presentation drawings, and models which document the evolution of the design of a building or structure.

(2) Master sets of drawings which document the condition of a building or structure in terms of its initial construction and subsequent alterations. This category includes final working drawings, "as-built" drawings, shop drawings, and repair and alteration drawings.

(3) Drawings of repetitive or standard details of one or more building structures.

(4) "Measured" drawings of buildings and original or photographic drawings reviewed for approval.

(5) Related finding aids and procedures to be followed.

[42 FR 57315, Nov. 2, 1977. Redesignated at 50 FR 15723, Apr. 19, 1985, and 55 FR 27433, July 2, 1990, as amended at 57 FR 22433, May 28, 1992]

## § 1228.188 Electronic records.

(a) *Magnetic tape.* (1) Coherent magnetic tape is a fragile and highly susceptible to the general error by improper care and handling. To ensure that permanently stored information stored on magnetic tape is preserved, Federal agencies shall schedule files for disposition as possible after the tapes are transferred. When NARA has determined that a file is worthy of preservation, the agency should transfer the file to the National Archives as soon as possible. The file cannot provide proper care and handling of the tapes (see part 1234 of this chapter) to guarantee the preservation of the information therein.

(2) Agencies shall transfer electronic records to the National Archives either on open reel magnetic tape or on tape cartridges. Open reel magnetic tape shall be on one-half inch track tape reels recorded at 80 or 6250 bpi. Tape cartridges shall be on track 3480-class cartridges recorded at 37,871 bpi. The data shall be recorded in ASCII or EBCDIC with all electronic control characters removed. The data (except record length markers for variable length records) shall be designated by a datum, field, block or file, blocked higher than 32,760 bytes per track. The open reel magnetic tapes shall be on tape cartridges on which the data recorded shall be new or re-recorded tapes (see part 1234 of this chapter) which have been passed over a cleaner before writing and shall be rewound under controlled tension.

(b) *Other magnetic media.* Where an electronic file that has been determined to be worthy of preservation by NARA is

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(c) A summary of any defects discovered; and

(d) A summary of corrective action taken.

(e) An agency having in its custody a master microform that is deteriorated as shown by the inspection, shall create a silver duplicate in accordance with § 1230.14 to replace the deteriorating master. The duplicate film shall be subject to the 2-year inspection requirement before transfer to a Federal Record Center or to the National Archives.

Inspection should be performed in an environmentally controlled area that avoids pollutant gases and particulates, temperatures in excess of 20 °C (68 °F) or relative humidities in excess of 55%.

**Temporary records.** Inspection by the procedures described in § 1222(a) is recommended but not required.

#### 24 Use of microform records

The master microform shall not be used for reference purposes. Duplicates shall be used for reference and other duplication on a recurring basis or for large-scale duplication, as follows: for distribution of records on microform. Agency procedures shall ensure that master microforms remain clear and undamaged during the duplication process. Agencies retaining the original microform in accordance with an approved disposition schedule may use agency standards for the use of microform records.

#### Disposition of microform records

The disposition of microform records shall be carried out in the manner prescribed for other records in part 1228 of this chapter with the following additional requirements:

(1) The silver gelatin original (or a silver duplicate negative microform) shall be created in accordance with § 1230.14 plus one microform copy of each permanent or unscheduled microform microfilmed by an agency. The original shall be transferred to an approved records center, the National

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Archives, or to a Federal records center, at the time that the records are to be retired in accordance with the approved records disposition schedule. Non-silver copies must be packaged separately and stored separately from silver originals.

(b) The microforms shall be accompanied by:

(1) Information identifying the agency and organization; the title of the records; the number or identifier for each unit of film; the security classification, if any; the inclusive dates, names, or other data identifying the records to be included on a unit of film;

(2) Any finding aids relevant to the microform that are not contained in the microform; and

(3) The inspection log forms and inspection reports required by § 1230.22(a) (5) and (6).

(c) The information required in this paragraph (b) shall be attached to the SF 135 when records are being transferred to a Federal records center and to the SF 258 when records are being transferred to the legal custody of the National Archives.

#### Subpart D—Centralized Micrographic Services

##### § 1230.50 Services available.

NARA provides reimbursable microfilming services at many of its Federal records centers, including the preparation, indexing, and filming of records, inspection of film, and labeling of film containers. Agencies desiring microfilming services should contact the Office of Federal Records Centers, National Archives (NC), Washington, DC 20408, or the director of the Federal records center serving the agency's records (see § 1228.150 of this chapter).

(50 FR 26935, June 28, 1985. Redesignated at 55 FR 27435, July 2, 1990)

##### § 1230.52 Fees for services.

The fees for microfilming services will be announced in NARA bulletins. For microfilming services not listed, contact the office shown in § 1230.50.

(50 FR 26935, June 28, 1985. Redesignated at 55 FR 27435, July 2, 1990)

## PART 1232—AUDIOVISUAL RECORDS MANAGEMENT

### Sec.

1232.1 Scope of part.

1232.2 Objectives.

1232.4 Agency program responsibilities.

1232.6 Centralized audiovisual services.

**AUTHORITY:** 44 U.S.C. 2904 and 3101.

**SOURCE:** 50 FR 26938, June 28, 1985, unless otherwise noted.

### § 1232.1 Scope of part.

This part prescribes policies and procedures for managing audiovisual records to ensure adequate and proper documentation and appropriate disposition of audiovisual records.

### § 1232.2 Objectives.

The objectives of audiovisual records management are to achieve the effective creation, maintenance, use, and disposition of audiovisual and related records to be created and maintained; establishing standards for maintenance and disposition of audiovisual and related records; establishing standards for the physical security and preservation of audiovisual records; and reviewing audiovisual recordkeeping practices on a continuing basis to improve procedures.

### § 1232.4 Agency program responsibilities.

(a) Each Federal agency, in providing for effective controls over the creation of records, shall establish an appropriate program for the management of audiovisual records which program shall be governed by the following guidelines:

(1) Prescribe the types of records to be created and maintained so that audiovisual operations and their products are properly documented (guidelines describing the appropriate types of records are in § 1228.184 of this chapter).

(2) For contractor-produced audiovisual records, establish contract specifications which will protect the Government's legal title and control over all such audiovisual media and related documentation.

(3) Keep inventories indicating the location of all generations of audiovisual records, whether in agency stor-

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age, a Federal records center, or in a commercial facility such as a laboratory or library distribution center.

(4) Schedule disposition of all audiovisual records as soon as practicable after creation, following the instruction in GRS 21, Audiovisual Records, or a specific agency records schedule approved by the Archivist of the United States. The scheduling of permanent records must take into account the different record elements identified in §1228.184, and must always include related finding aids.

(5) Review agency audiovisual recordkeeping practices for possible improvement.

(b) Each Federal agency, in establishing a program for proper storage, maintenance, and use of audiovisual records, shall implement the following standards in its practices:

(1) *Nitrate film.* Remove nitrocellulose-base motion pictures, still pictures, and aerial film from records storage areas and place them in vaults meeting the standards prescribed in NFPA 40-1982, Standard for the Storage and Handling of Cellulose Nitrate Motion Picture Film, which is incorporated by reference. Because of their age and inherent instability, immediately offer nitrate films to NARA so that they may be reviewed for disposal or copied and destroyed, as appropriate. NFPA 40-1982 is available from the National Fire Protection Association, Batterymarch Park, Quincy, MA 02269. This standard is also available for inspection at the Office of the Federal Register, Room 8301, 1100 L Street NW., Washington, DC. This incorporation by reference was approved by the Director of the Federal Register in accordance with 5 U.S.C. 552(a) and 1 CFR part 51. These materials are incorporated by reference as they exist on the date of approval and a notice of any change in these materials will be published in the FEDERAL REGISTER.

(2) *Unstable safety film.* Identify permanent or unscheduled audiovisual records composed of diacetate or other early forms of acetate film that are starting to deteriorate and offer them to NARA so that they can be copied. Although not hazardous like nitrate

film, acetate film will deteriorate over time.

(3) *Storage conditions.* (i) Provide audiovisual records storage facilities secure from unauthorized access and make them safe from fire, water, flood, chemical or gas damage, and from other harmful conditions. See NFPA 232-1986, Standard for the Protection of Records issued by the National Fire Protection Association, which is incorporated by reference. The standard is available from the National Fire Protection Association, Batterymarch Park, Quincy, MA 02269. This standard is also available for inspection at the Office of the Federal Register, Room 8301, 1100 L Street NW., Washington, DC. This incorporation by reference was approved by the Director of the Federal Register in accordance with 5 U.S.C. 552(a) and 1 CFR part 51. These materials are incorporated by reference as they exist on the date of approval and a notice of any change in these materials will be published in the FEDERAL REGISTER.

(ii) Maintain good ambient storage conditions for audiovisual records. Generally, the temperature should not exceed 70 degrees F and relative humidity should be maintained in the range of 40-60%. Avoid fluctuating temperatures and humidities. Cooler temperatures and lower relative humidities are recommended for the storage of color films, and, for that reason, NARA will make a limited amount of temporary space available for the cold storage of Federal civilian agencies' color originals, negatives, and masters, provided the records are scheduled as permanent and are inactive.

(iii) For the storage of permanent or unscheduled records, utilize audiovisual storage containers or enclosures made of noncorroding metal, inert plastics, paper products and other safe materials recommended and specified in ANSI standards: PH1.43-1985, For Photography (Film)—Processed Safety Film—Storage; PH1.48-1982, For Photography (Film and Slides)—Black-and-White Photographic Paper Prints—Practice for Storage; and ANSI/ASC PH1.53-1984, For Photography (Processing)—Processed Films,

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Plates, and Papers—Filing Enclosures and Containers for Storage. These standards, which are incorporated by reference, are available from ANSI, Inc., 1430 Broadway, New York, NY 10018. These standards are also available for inspection at the Office of the Federal Register, Room 8401, 1100 L Street NW., Washington, DC. This incorporation by reference was approved by the Director of the FEDERAL REGISTER in accordance with 5 U.S.C. 552(a) and 1 CFR part 51. These materials are incorporated by reference as they exist on the date of approval and a notice of any change in these materials will be published in the FEDERAL REGISTER.

(iv) Maintain originals and use copies (e.g., negatives and prints) separately, whenever practicable.

(4) *Maintenance and operations.* (i) Because of their extreme vulnerability to damage, handle audiovisual records in accordance with commonly accepted industry practices. For further information, consult ANSI, Inc., 1430 Broadway, New York, NY 10018 and the Society of Motion Picture and Television Engineers, Inc., 862 Scarsdale Avenue, Scarsdale, NY 10583. Use only personnel trained to perform their audiovisual duties and responsibilities.

(ii) Maintain continuous custody of permanent or unscheduled audiovisual records. Make loans of such records outside of the agency only if a record copy is maintained in the agency's custody at all times.

(iii) Take all steps necessary to prevent accidental or deliberate alteration or erasure of audiovisual records.

(iv) Do not erase information recorded on permanent or unscheduled magnetic sound or video media.

(v) If different versions of audiovisual productions (e.g., short and long versions or foreign-language versions) are prepared, keep an unaltered copy of each version for record purposes.

(vi) Maintain the association between audiovisual records and the finding aids for them, such as captions and published and unpublished catalogs.

(5) *Formats.* (i) When ordering photographic materials for permanent or unscheduled records, ensure that still picture negatives and motion picture

preprints (negatives, masters, etc.) are composed of cellulose triacetate or polyester bases and are processed in accordance with industry standards as specified in ANSI/ASC PH1 28-1984. For Photography (Film)—Archival Records, Silver-Gelatin Type, on Cellulose Ester Base, or ANSI/ASC PH1.41-1984. For Photography (Film)—Archival Records, Silver-Gelatin Type, on Polyester Base, which are incorporated by reference. It is particularly important to limit residual sodium thiosulphate on newly processed photographic film, black and white or color, to the range of .002 to .004 grams per meter. Request laboratories to process film in accordance with this standard. Excessive hypo will shorten the longevity of film and accelerate color fading. If using reversal type processing, request full photographic reversal; i.e., develop, bleach, expose, develop, fix, and wash. The standards cited in this paragraph are available from ANSI, Inc., 1430 Broadway, New York, NY 10018. These standards are also available for inspection at the Office of the Federal Register, Room 8301, 1100 L Street NW., Washington, DC. This incorporation by reference was approved by the Director of the Federal Register in accordance with 5 U.S.C. 552(a) and 1 CFR part 51. These materials are incorporated by reference as they exist on the date of approval and a notice of any change in these materials will be published in the FEDERAL REGISTER.

(ii) Do not use motion pictures in a final "A & B" format (two precisely matched reels designed to be printed together) for the reproduction of excerpts or stock footage.

(iii) Use only industrial or professional format video tapes (e.g., 1-inch, ¾-inch) for record copies of permanent or unscheduled recordings. Limit the use of consumer formats (e.g., VHS, Beta) to distribution or reference copies or to subjects scheduled for disposal.

(iv) Record permanent or unscheduled audio recordings on ¼-inch open-reel tapes at 3¾ or 7½ inches per second, full track, using professional unrecorded polyester splice-free tape stock. Audio cassettes are not suffi-

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ciently durable to be used for permanent records.

(c) The disposition of audiovisual records shall be carried out in the same manner as that prescribed for other types of records in part 1228 of this chapter. For further instructions on the disposition of audiovisual records see § 1228.184 of this chapter, Audiovisual Records.

[52 FR 948, Jan. 9, 1987]

## § 1232.6 Centralized audiovisual services.

(a) *National Audiovisual Center.* The National Audiovisual Center (NAC) serves as a central information source to the general public and Federal agencies concerning the availability of audiovisual products produced by or for the Government. NAC rents and sells Federal audiovisual productions to the public and Federal agencies. NAC compiles and publishes Government-wide catalogs and uses other information dissemination techniques to inform the public about audiovisual products available for sale and rent. NAC develops criteria, establishes appropriate terminology, and recommends Government-wide practices for the cataloging and indexing of audiovisual productions, and maintains a data bank containing information on Federal audiovisual productions.

(b) *Agency requirements.* Agencies must check commercial and Government sources before authorizing audiovisual productions or procurements.

(1) *Subject search.* Prior to authorizing any type of audiovisual production, all agencies will attempt to determine if existing productions are available to satisfy their needs. Agencies should use the resources of NAC to determine what Federal productions exist by requesting subject searches. Standard Form 282, Mandatory Title Check, may be used for this purpose. Agencies should also review commercial media collections, either through catalogs or computer-based resources. If there are no existing or commercial productions available, the agency may produce, within existing budget limitations, additional productions to support program responsibilities.

(2) *Federal Audiovisual Production Report (SF 202).* (i) Standard Form

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202, Federal Audiovisual Production Report, shall be prepared for all productions by each agency when production is authorized, except as noted in OMB Circular A-114. Interagency report control number 0151-NAR-XX has been assigned to this report in accordance with 41 CFR part 201-45. Prior to production, pre-production sections of the report, with information about materials planned or in process shall be completed and sent to NAC. Upon completion of an audiovisual production, the post-production sections of the SF 202 shall be completed and forwarded to NAC. This information will become part of the Center's data base. Information from the data base will be provided to other Federal agencies and the public.

(ii) The Department of Defense will compile its own production data using DOD Form 1955, DOD Audiovisual Production Report. Information about these productions will be made available to NAC through the Defense Audiovisual Information System (DAVIS).

(3) *Annual Audiovisual Report.* Agencies shall file Standard Form 203, Annual Audiovisual Report, detailing all audiovisual activity each fiscal year. The report is due December 31 each year for the previous fiscal year, and shall be forwarded to the National Audiovisual Center, National Archives and Records Administration, 8700 Edgeworth Drive, Capitol Heights, MD 20743-3701. All audiovisual productions, including productions excluded from other reporting requirements of OMB Circular A-114, shall be reported on the SF 203. Interagency report control number 0152-NAR-AN has been assigned to this report in accordance with 41 CFR part 201-45. The report is used to acquire data on Federal audiovisual activities, including overhead for in-house expenses. This information, when compiled, will be made available, upon request, to all agencies and to the public. Copies of SF 203 may be obtained from NAC. Agencies shall ensure, through management control and cost accounting systems, the accuracy and consistency of audiovisual production budget data provided to OMB and the SF 203 data furnished to NAC.

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(4) *Evaluation.* Agency managers should perform appropriate evaluation of audiovisual productions and evaluation in audiovisual management control systems to ensure go objectives of the production met.

(i) Each agency shall develop an evaluation program to assess the cost and effectiveness of its audiovisual productions.

(ii) The complexity and cost of evaluations should be commensurate with the cost and program impact of the audiovisual production being evaluated. Evaluation methods may range from a simple tally sheet to a more complex survey with interviews and focus groups.

(5) *Liaison.* Each agency shall designate the name, mailing address, and telephone number of the office or person assigned responsibility for management oversight of the agency's audiovisual activities to the Office of Management and Procurement Policy (OPMP) and an information copy to NAC (mailing address: National Audiovisual Center, National Archives and Records Administration, 8700 Edgeworth Drive, Capitol Heights, MD 20743-3701). Designated offices shall serve as the main point of contact for OPMP and NAC in all matters relating to Governmentwide audiovisual policies.

(6) *Stock footage.* Agencies, including the Department of Defense, shall offer to the Special Archives Division (NNS), NARA, motion picture takes, trims, and other surplus motion picture footage (with estimated footage value) accumulated in the production of audiovisual products. Footage will be made available to Federal agencies and the public through services provided by the Special Archives Division (mailing address: National Archives (NNS), 8601 Adelphi Road, Washington, DC 20408).

## PART 1234—ELECTRONIC RECORDS MANAGEMENT

## Subpart A—General

Sec.  
1234.1 Scope of part.  
1234.2 Definitions.

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§ 1234.2

(4) Evaluation. Agency management should perform appropriate evaluation of audiovisual productions and include evaluation in audiovisual management control systems to ensure goals and objectives of the productions were met.

(i) Each agency shall develop an evaluation program to assess the value and effectiveness of its audiovisual productions.

(ii) The complexity and cost of evaluations should be commensurate to the cost and program impact of the audiovisual production being evaluated. Evaluation methods may range from a simple tally sheet to record sample responses to a more complex survey with interviews and testing forms

(5) Liaison. Each agency shall forward the name, mailing address, and telephone number of the office which is assigned responsibility for management oversight of the agency's audiovisual activities to the Office of Federal Procurement Policy (OFPP), with an information copy to NAC (mailing address: National Audiovisual Center, National Archives and Records Administration, 8700 Edgeworth Drive, Capitol Heights, MD 20743-3701). These designated offices shall serve as the main point of contact for OFPP and NAC in all matters relating to Governmentwide audiovisual policies.

(6) Stock footage. Agencies, except the Department of Defense, shall offer to the Special Archives Division (NNS), NARA, motion picture outtakes, trims, and other unedited motion picture footage (with stock footage value) accumulated in the production of audiovisual products. The footage will be made available to other Federal agencies and the public through services provided by the Special Archives Division (mailing address: National Archives (NNS), Washington, DC 20408).

PART 1234—ELECTRONIC RECORDS MANAGEMENT

Subpart A—General

- Sec. 1234.1 Scope of part. 1234.2 Definitions.

- Sec. Subpart B—Program Requirements 1234.10 Agency responsibilities. Subpart C—Standards for the Creation, Use, Preservation, and Disposition of Electronic Records 1234.20 Creation and use of data files. 1234.22 Creation and use of text documents. 1234.24 Judicial use of electronic records. 1234.26 Security of electronic records. 1234.28 Selection and maintenance of electronic records storage media. 1234.30 Retention of electronic records. 1234.32 Destruction of electronic records.

AUTHORITY: 44 U.S.C. 2904, 3101, 3102, and 3105. SOURCE: 55 FR 19218, May 8, 1990, unless otherwise noted.

Subpart A—General

§ 1234.1 Scope of part.

This part establishes the basic requirements related to the creation, maintenance, use, and disposition of electronic records. Electronic records include numeric, graphic, and text information, which may be recorded on any medium capable of being read by a computer and which satisfies the definition of a record. This includes, but is not limited to, magnetic media, such as tapes and disks; and optical disks. Unless otherwise noted, these requirements apply to all electronic records systems, whether on microcomputers, minicomputers, or mainframe computers, regardless of storage media, in network or stand-alone configurations. Guidance on electronic records management and related issues may be obtained from the National Archives and Records Administration, Agency Services Division (NIA), Washington, DC 20408 and the General Service Administration, Office of Innovative Office Systems (KO), Washington, DC 20405.

§ 1234.2 Definitions.

Basic records management terms are defined in 36 CFR 1220.14. As used in part 1234—

Data base means a set of data, consisting of at least one data file, that is sufficient for a given purpose.