

Wayne Avenue, suite 1100, Silver Spring, MD 20910. The standards can be ordered on line at <http://www.aiim.org/>.

ANSI/AIIM MS1-1996, August 8, 1996, Standard Recommended Practice for Alpha-numeric Computer-Output Microforms—Operational Practices for Inspection and Quality Control.

ANSI/AIIM MS5-1992, December 21, 1992, Standard for Information and Image Management—Microfiche.

ANSI/AIIM MS14-1996, August 8, 1996, Standard Recommended Practice—Specifications for 16mm and 35mm Roll Microfilm.

ANSI/AIIM MS19-1993, August 18, 1993, Standard Recommended Practice—Identification of Microforms.

ANSI/AIIM MS23-1998, June 2, 1998, Standard Recommended Practice—Production, Inspection, and Quality Assurance of First-Generation, Silver Microforms of Documents.

ANSI/AIIM MS32-1996, February 16, 1996, Standard Recommended Practice—Microrecording of Engineering Source Documents on 35mm Microfilm.

ANSI/AIIM MS41-1996, July 16, 1996, Dimensions of Unitized Microfilm Carriers and Apertures (Aperture, Camera, Copy and Image Cards).

ANSI/AIIM MS43-1998, June 2, 1998, Standard Recommended Practice—Operational Procedures—Inspection and Quality Control of Duplicate Microforms of Documents and From COM.

ANSI/AIIM MS45-1990, January 22, 1990, Recommended Practice for Inspection of Stored Silver-Gelatin Microforms for Evidence of Deterioration.

ANSI/ISO 3334-1991, ANSI/AIIM MS51-1991, May 10, 1991, Micrographics—ISO Resolution Test Chart No. 2—Description and Use.

#### § 1230.4 Definitions.

The following definitions apply to this part:

*Archival microfilm.* A photographic film that meets the standards described in § 1230.14 and that is suitable for the preservation of permanent records when stored in accordance with § 1230.20(a). Such film must conform to film designated as LE 500 in ANSI/NAPM IT9.1-1996.

*Background density.* The opacity of the area of the microform not containing information.

*Computer-assisted retrieval (CAR) system.* A records storage and retrieval system, normally microfilm-based, that uses a computer for indexing, automatic markings such as blips or

bar codes for identification, and automatic devices for reading those markings and, in some applications, for transporting the film for viewing.

*Computer Output Microfilm (COM).* Microfilm containing data converted and recorded from a computer.

*Facility.* An area used exclusively to make or copy microforms.

*Microfilm.* (1) Raw (unexposed and unprocessed) fine-grain, high resolution photographic film with characteristics that make it suitable for use in micrographics;

(2) The process of recording microimages on film; or

(3) A fine-grain, high resolution photographic film containing microimages.

*Microform.* Any form containing microimages.

*Microimage.* A document such as a page of text or a drawing that is too small to be read without magnification.

*Permanent record.* Permanent record has the meaning specified in § 1220.14 of this chapter.

*Records storage facility.* Records storage facility has the meaning specified in § 1220.14 of this chapter.

*Temporary record.* Temporary record has the meaning specified in § 1220.14 of this chapter.

*Unscheduled record.* Unscheduled record has the meaning specified in § 1220.14 of this chapter.

*Use or work copies.* Duplicates of original film made to be used for reference or for duplication on a recurring or large-scale basis. These are not preservation master copies, which must be stored unused as specified in § 1230.20.

### Subpart B—Program Requirements

#### § 1230.7 What must agencies do to manage microform records?

Federal agencies must manage microform records by taking the following actions:

(a) Assign responsibility for an agencywide program for managing microform records and notify the National Archives and Records Administration (NWM), 8601 Adelphi Rd., College Park, MD 20740-6001 of the name and title of the person assigned the responsibility.

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(b) Manage the microform records as part of other records and information resources management programs of the agency.

(c) Include microform records management objectives, responsibilities, and authorities in pertinent agency directives and disseminate them to appropriate officials.

(d) Address records management issues, including disposition, before approving new microform records systems or enhancements to existing systems.

(e) Train the managers and users of microform records.

(f) Develop records schedules covering microform records and finding aids, secure NARA approval, and apply the disposition instructions.

(g) Schedule computerized indexes associated with microform records, such as in a computer-assisted retrieval (CAR) system, in accordance with part 1234 of this chapter.

(h) Review practices used to create and manage microform records periodically to ensure compliance with NARA standards in this part.

### Subpart C—Microfilming Standards

#### § 1230.10 Do agencies need to request NARA approval for the disposition of all microform and source records?

(a) *Permanent or unscheduled records.* Agencies must schedule both source documents (originals) and microforms. NARA must approve the schedule, Standard Form (SF) 115, Request for Records Disposition Authority, in accordance with part 1228 of this chapter before any records, including source documents, can be destroyed. NARA will not approve the destruction of original records that have intrinsic value, or security classified or otherwise restricted original records that are scheduled as permanent, or original records that are scheduled as permanent and that have other characteristics that would limit the usefulness of microform copies for public reference.

(1) Agencies that comply with the standards in § 1230.14 must include on the SF 115 the following certification: “This certifies that the records de-

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scribed on this form were (or will be) microfilmed in accordance with the standards set forth in 36 CFR part 1230.”

(2) Agencies using microfilming methods, materials, and procedures that do not meet the standards in § 1230.14(a) must include on the SF 115 a description of the system and standards used.

(3) When an agency intends to retain the silver original microforms of permanent records and destroy the original records, the agency must certify in writing on the SF 115 that the microform will be stored in compliance with the standards of § 1230.20 and inspected as required by § 1230.22.

(b) *Temporary records.* Agencies do not need to obtain additional NARA approval when destroying scheduled temporary records that have been microfilmed. The same approved retention period for temporary records is applied to microform copies of these records. The original records can be destroyed once microfilm is verified, unless legal requirements prevent their early destruction.

#### § 1230.12 What are the steps to be followed in filming records?

(a) Ensure that the microforms contain all information shown on the originals and that they can be used for the purposes the original records served.

(b) Arrange, describe, and index the filmed records to permit retrieval of any particular document or component of the records. Title each microform roll or fiche with a titling target or header. For fiche, place the titling information in frame 1 if the information will not fit on the header. At a minimum, titling information must include:

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

(c) Add an identification target showing the date of filming. When necessary to give the film copy legal standing,