DEPARTMENT OF THE NAVY
NAVAL MEDICAL COMMAND
WASHINGTON, D.C. 20372-5120

IN REPLY REFER TO
NAVMEDCOMINST 5600.2
MEDCOM-312
22 Jan 85

NAVMEDCOM INSTRUCTION 5600.2

From: Commander, Naval Medical Command

Subj: MICROFORM PROGRAM AND PROCEDURES

Ref: (a) SECNAVINST 5210.12C (NOTAL)
(b) OPNAVINST 4860.6C
(c) SECNAVINST 5212.5B
(d) SECNAVINST 7000.14B (NOTAL)
(e) BUMEDINST 4235.5H

Encl: (1) Microform systems analysis

1. Purpose. To prescribe minimum requirements for converting Medical Department records to microform consistent with reference (a).

2. Cancellation. BUMEDINST 5600.7.

3. Scope. The provisions of this instruction are applicable to COMNAVMEDCOM and its subordinate activities.

4. Policy

a. Medical Department records shall be maintained in the most cost-effective medium; whether in hard copy or microform. Determination of the most cost-effective medium shall be accomplished by conducting a cost/benefit analysis. When microform is proven to be the most cost-effective medium, original (hard copy) records shall be destroyed as authorized by higher authority after conversion to microform.

b. The archival quality of microforms produced is paramount in microfilming Medical Department records which require long-term retention. Regardless of the filming process and uniqueness of equipment, microform systems shall provide users with the same utility in terms of timeliness, retrievability, accuracy, and legibility of information that would be afforded if the records were in hard copy. The criteria contained in this instruction are specific to ensure that microform system reliability for long-term records is consistent with the requirements prescribed by the National Archives and Records Service (NARS), General Services Administration (GSA) and specifications for military standard microform formats contained in enclosure (1).

c. Microform systems and processes meeting the prerequisites for archival microforms are acceptable for microfilming Medical Department records. In obtaining microfilm equipment, other records having less retention value can be converted to microform using the same equipment components thereby precluding separate specialized equipment, duplicative systems, and related costs. The basic microform system established shall serve the microform needs of the command, achieving efficiency and economies in operations and ensuring quality control and system reliability.

5. Factors

a. Microform systems are complex and require a long-term commitment of resources.

b. Standardization of microform formats and procedures is essential when microform systems are used or shared by more than one activity.

c. Microform is not the most cost-effective medium for maintaining every record category.

d. Study and cost/benefit analysis is critical to determine whether microform is cost-effective. Such studies must conform to the standards prescribed by NARS as set forth in the Code of Federal Regulations. (See attachment A of enclosure (1).)

e. The film process generating microforms is classified by reference (b) as an administrative support service. The process is a subsystem or component, in the total microform system within the scope of this instruction. Establishment of an in house microfilming process (function T820C in reference (b)) is a new start under the Commercial Activity (CA) Program thus requiring completion of a cost study in accordance with reference (b). It is advantageous to have the microfilming process performed by a commercial contractor, or other Navy or Federal Government activity through shared resources, if there is a large, initial volume of records to be filmed.

6. Program Responsibilities at Naval Medical Command, Washington, DC (COMNAVMEDCOM)

a. The Head, Regional Operations Branch, MEDCOM-312, is responsible for coordinating the microform management program as an integral component of the Medical Department records management program. MEDCOM-312 shall provide technical review and obtain approval of microform systems and equipment for COMNAVMEDCOM subordinate activities.

b. Headquarters, Administration Division, MEDCOM-09B, is responsible for review and development, in coordination with MEDCOM-312, of headquarters microform systems in accordance with this instruction.

7. Microform Conversion Criteria

a. Records shall be converted to microform only when the total cost of operating the record system in microform is less than the total cost of operating the record system in hard copy, including consideration of record user costs in both modes. Direct and indirect record system costs shall be addressed.

b. Only quantifiable benefits may be used to justify establishing a microform system: (1) reductions in personnel, manhours, salary, and equipment costs; (2) savings in space requirements (when the freed space can and will be needed and used for an alternate purpose); or (3) a substantiated requirement for records having long-term retention that must be used frequently and often become frayed, torn or faded long before the mandatory retention period is reached.

c. Addressees shall evaluate the volume of records proposed for conversion to microform and the recurrent annual costs for use, maintenance, and storage of these records in hard copy versus microform.

8. Microform Record Categories

a. Approved Record Categories. The following categories of records are approved for study and analysis of microform conversion:

(1) COMNAVMEDCOM

(a) COMNAVMEDCOM primary program records.

(b) Radiation exposure records.

(c) Aerospace and other operational medicine records.

(d) Other categories of records approved by MEDCOM-09B.

(2) COMNAVMEDCOM Activity Records

(a) Inpatient (clinical) and related records (e.g., fetal monitoring strips, electroencephalograms, electrocardiograms, and registers of patients). (See paragraph 7b for exceptions to microform conversion.)

(b) Tumor registries and similar patient care related records that are retained at field activities for 10 or more years (i.e., long-term records).

b. Exceptions

(1) Record Categories. The following categories of records are excepted from microform conversion.

(a) Military health care (medical and dental) treatment records of Navy and Marine Corps members.

(b) Outpatient treatment records of dependents, retired military personnel, and other eligible beneficiaries.

(c) Medical (diagnostic) x rays.

(2) Discussion

(a) Military Health Records and Outpatient Treatment Records. While possible from a technical standpoint, it is not in every instance practical to convert military health records, or the outpatient treatment records of dependents and others, to microform. Military health, and outpatient treatment records are specialized, active records in constant demand for documenting the ongoing delivery of health care, and are continually being updated and supplemented. Further, microfilming of military health records and outpatient treatment records should not be undertaken unilaterally in view of the need to develop and prescribe a standard microform system for concurrent use throughout the Medical Department. Any microfilming of military health (medical and dental) and outpatient treatment records must, therefore, be considered on a Navy-wide basis rather than at the local activity level.

(b) Medical X Rays. Conversion of medical x rays to microform is not considered economically justifiable, in view of their short-term retention period (5 years) and destruction in accordance with reference (c).

c. Other record categories may, upon prior approval by COMNAVMEDCOM, be studied and analyzed for microform conversion cost-effectiveness. Addressees shall submit written requests for approval, including descriptions of the records, the volumes on hand, and supporting data to COMNAVMEDCOM (MEDCOM-312).

9. Action. In converting Medical Department records to microform, commanding officers shall conform with applicable statutes, regulations, and requirements prescribed by higher authority, including reference (a), the Federal Records Act as amended, and the Code of

Federal Regulations. Addressees desiring to study the cost-effectiveness of converting approved categories of records (paragraph 7a) to microform shall comply with the following procedures.

a. Discussion with COMNAVMEDCOM. Addressees are encouraged at any point during study and analysis to contact MEDCOM-312 and discuss actions and steps to be taken to ensure proper accomplishment and documentation of the microform study requirements prescribed by NARS. (See paragraph 9.)

b. NARS Microform Study. Conduct the microform study required by NARS. Procedures are contained in enclosure (1).

c. Submission of Requests. Upon completion of the microform study, addressees shall submit requests for microform systems and for initial review and endorsement to higher authority. (See paragraph 8 of enclosure (1).)

d. Modification. Once approved, a microform system shall not be modified by adding additional record categories, or by procurement of additional equipment components without prior approval by COMNAVMEDCOM. Variations from the basic plan of approved systems which are within reasonable limits, enhance cost-effectiveness, and are conclusively justified will be considered. The following criteria apply.

(1) Additional Record Categories. Activities shall request authorization to convert additional categories of records to microform by submitting the following information to COMNAVMEDCOM (MEDCOM-312).

(a) A description of the record categories (series) proposed for conversion to microform; the volume of these records held in cubic feet and purposes served; the inclusive dates of the records in years; the retention periods authorized by the Navy records disposal schedule as per reference (c); and the increased costs incurred by converting these records to microform. Requests shall be fully justified. If warranted by the volume of records and costs involved, guidelines in reference (d) may be used in preparing an economic analysis to support the proposed conversion.

(b) A completed SF 115, Request for Records Disposition Authority, for the specific categories of records proposed for conversion to microform. (See attachment C of enclosure (1).)

(2) Additional Microform Equipment. Activities shall request authorization to obtain additional investment microform equipment to augment approved systems.

(a) Justification. Minor equipment items (e.g., readers and reader-printers) may be obtained locally. Microform equipment items whose purchase price exceeds $3,000 shall be justified and submitted to COMNAVMEDCOM (MEDCOM-42) for funding consideration in accordance with the procedures and format prescribed by reference (e).

(b) Procurement Sources. Multiple vendors shall be considered. Submit first preference and two alternate equipment selections, where practical, that meet the needs of the command. Attach all vendor cost quotations solicited, together with brochures, and specifications describing the requested equipment.

(3) Discontinuance. Activities shall request authorization from COMNAVMEDCOM (MEDCOM-312) prior to discontinuing the conversion of records to microform. The request shall include the specific reason for discontinuance, the steps that will be taken, the related costs to return to maintenance of hard copy records, and the planned disposition of microform equipment. Discontinuance of a microform system shall not be approved unless special, extenuating circumstances exist due to the potential impact on GSA Federal Records Centers on resumption of the transfer of records in hard copy.

10. Contact Point. The contact point for questions and information concerning the various aspects of microform systems and procedures is the Head, Regional Operations Branch (MEDCOM-312).

11. Forms. Standard Form (SF) 115, NSN 7540-00-634-4064, Request for Medical Records Disposition Authority and SF 135, NSN 7540-00-634-4093, Records Transmittal and Receipt are available from General Services Administration supply depots. DD Form 2005, 0102-LF-002-0051, Privacy Act Statement is available in the Navy supply system and may be requisitioned in accordance with NAVSUP P-2002.

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MICROFORM SYSTEMS ANALYSIS

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1. References

a. Code of Federal Regulations, Title 41, Public Contracts and Property Management, Subpart 101.11.5, Micrographics, 28 February 1978 (attachment A)

b. MIL-STD-399A, Military Standard Microform Formats of 4 December 1976 (attachment B)

c. NAVSUPINST 4570.22, Recovery and utilization of precious metals (NOTAL)

d. OPNAVINST 4860.7A, Navy Commercial Activities (CA) Program

e. NAVPUBINST 5600.44A, Department of the Navy Reprographics Management Program Manual

f. Accreditation Manual for Hospitals, Joint Commission on Accreditation of Hospitals (JCAH), current edition (NOTAL)

g. SECNAVINST 5211.5C, Personal privacy and rights of individuals regarding records pertaining to themselves

2. Definitions. Standard terminology used in microform/microfilm systems in section 101.11.502 of reference (a) of this enclosure.

3. Basic Requirements. Hard copy records may be converted to microform only when microform is the most cost-effective medium based on quantifiable benefits. Reference (a) of this enclosure

sets forth the standards, regulations, and guidelines prescribed by NARS, GSA which must be met in the application of micrographics technology to the creation, use, storage, retrieval, preservation, and disposal of Federal Government records. This instruction implements the requirements of reference (a) of this enclosure and establishes a standard microform system for Medical Department records to ensure: (1) archival quality of microforms; (2) compatibility for interchange of records in microform between activities; and (3) the adequacy and reliability of equipment. Procedural requirements for cost/benefit analysis of proposed conversion of records to microform, including assessment of costs for present operations in hard copy, are provided to identify and validate the most cost effective alternative. In terms of cost, reducing hard copy records to microimages to eliminate bulk does not always result in savings. Additionally, guidance is furnished on the management and operation of standard microform systems approved for installation in COMNAVMEDCOM subordinate activities.

4. System Specifications. The following specifications are prescribed to standardize microform systems in COMNAVMEDCOM subordinate activities, consistent with the requirements for application of micrographics technology set forth in references (a) and (b) of this enclosure.

a. Mandatory Specifications. Without exception, all microform systems proposed for COMNAVMEDCOM command activities, whether the function is performed in-house, through shared utilization of Navy or other Federal Government resources, or by commercial contract, shall meet the technical specifications prescribed by cognizant authorities for archival microfilm and microformatting of Government records that must be kept in excess of 10 years. Deviations from the specifications prescribed for archival records are not authorized; systems failing to meet these specifications shall not be approved.

(1) Silver halide microfilm meeting the standards set forth in sections 101-11.502(a) and 11.506-3(a) of reference (a) of this enclosure for archival quality, and conforming to the quality and safety standards of the American National Standards Institute (ANSI) shall be used in the preparation of microforms of Medical Department records. (ANSI specifications are available from NAVPUBFORMCEN Philadelphia.) In system planning, it is imperative that the film stocks and handling procedures to be used conform in all aspects to the standards set by NARS.

(2) Microfiche format 5 (98 frame, 24:1 reduction ratio) as set forth in reference (b) of this enclosure shall be used as the standard format for converting Medical Department records to microfiche. Reference (b) of this enclosure prescribes standardized

microform formats for use within the Department of Defense. The prescribed formats are designed to achieve uniformity of dimensions, image placement and orientation of microforms, and compatibility of equipment (e.g., cameras and readers).

(a) Microfiche Heading. The heading is an inscription (i.e., title or label) inserted on the top of the microfiche to identify contents. It is eye-legible (i.e., readable without the use of magnification). Headings on standard microfiche shall contain sufficient information to identify and permit rapid retrieval of the microform in the same or less time than required for original records. Identifying data in the heading shall be clearly and uniquely marked in eye-legible characters to include, as a minimum, subject identification, date of the records, security classification, Privacy Act (PA), and Freedom of Information Act (FOIA) markings as applicable. For example, the microfiche heading for an inpatient (clinical) record should contain the following data in sequence: (1) family member prefix code - Social Security Number (SSN); (2) patient's name (last, first, middle); (3) hospital register number; (4) the last date of information within the microfiche (i.e., discharge date); and (5) PA notations. Additionally, the first frame of the microfiche shall contain the identification of the filming activity, the quality control certification prescribed in paragraph 4c and 9b(2), below, and the date of the filming. The microimagery shall also contain the appropriate security classification notice, or Privacy Act Statement, DD Form 2005, as sequenced in the record.

(b) Cross Reference Media. Indexes, registers of patients, or other cross reference (finding) media for records series (groups), if microfiched, shall be placed in the last frames of the microfiche as prescribed by section 101-11.506-3(b) of reference (a) of this enclosure.

b. Microform Equipment. Support equipment for microform systems (including cameras, duplicators, and readers) are available through the GSA Federal Supply Service, and commercially. COMNAVMEDCOM does not endorse a specific product or vendor. The technical specifications for microform equipment must meet the mandatory requirements for archival microfilm (e.g., cameras and film processors) and standard microfiche format set forth in paragraph 4a. Conversion to microform, at a minimum will require installation of an adequate number of microfiche readers, and reader/printers to ensure accessibility of equipment and acceptance of the system by users. Further, the use of a microfiche duplicator, or the provision of this service, must be considered so that sufficient copies of records in microform will be available for in-house use and for the interchange of information

between activities. Equipment requirements will also be a factor in determining system cost/benefits discussed in paragraph 6. General recommendations for microform systems for health care treatment records, are provided as follows:

(1) Microform Cameras. Planetary (flat bed) and step-and-repeat type cameras should be considered for the precision microfilming required for health care treatment records. The simple planetary camera is noted for its quality and fine detail of the microforms produced. However, the labor costs to "strip-up" microfilm into microfiche will almost invariably exceed the cost savings of the simpler camera. The step-and-repeat camera, a specialized version of the planetary camera, is specifically designed for the production of microfiche formats on 105mm film. Titling (i.e., microfiche heading) capability is also available with step-and-repeat cameras, integrated with the unit or by a separate camera, allowing the operator to photograph the title on the microfiche heading (size to size) for eye-legibility. Both planetary and step-and-repeat cameras can be obtained with automatic feed beds for handling two-sided documents. Thus, the requirement for automatic document feed becomes a separate issue to be addressed and weighed considering the volume of records to be filmed and the frequency of two-sided (front and back) filming. If a combination camera film processor is proposed for use, it must first be determined that the film washing capabilities of the unit are thorough enough to meet the archival standards prescribed by reference (a) of this enclosure.

(2) Microform Duplicators. The requirement for duplicate microforms (microcopies) required for graduate medical education, training, and other purposes should be addressed in system planning. The number of microcopies of records converted to microformats must be projected realistically and factored into the system cost/benefit analysis detailed in paragraph 6.

(3) Microform Readers/Printers. Printers shall be capable of viewing and printing the standard microform, format 5 of MIL-STD-399A as prescribed in paragraph 4a(2). In view of the wide range of equipment available, competitive acquisition should be made. Consideration must be given to the needs of the system user in the equipment selection process. The following criteria shall be applied:

(a) The optical quality of images produced by readers and the quality of copy produced by reader/printers shall be: (1) acceptable to users; (2) adequate to the tasks at hand; and (3) not cause undue fatigue when data are studied for long periods.

(b) Equipment reliability and the availability and adequacy of maintenance service shall be thoroughly assessed to ensure, to the maximum extent possible, continuous, trouble free operation of the system for users. The reduction in operating costs afforded by the microform system should not be offset by avoidable, or unnecessarily increased maintenance service costs.

c. Testing and Inspection. Microforms of permanent records, where the original will be disposed of, shall be processed to achieve the quality standards of section 101.11.506.3 of reference (a) of this enclosure. Section 101.11.506.3, subparagraphs (d) and (e), of reference (a) of this enclosure specify mandatory quality control testing and inspection procedures for microforms.

d. Precious Metal Recovery. All activities using or producing silver-bearing microforms or microform printing systems shall obtain and comply with reference (c) of this enclosure regarding precious metal recovery.

5. System Analysis. Section 101-11.505 of reference (a) of this enclosure prescribes a detailed micrographic system analysis, including development of comparative cost data within the framework of reference (d) of this enclosure, to identify the most cost-effective and efficient method for converting records to microform. Activities desiring to microform records must complete this analysis which is subject to final review and approval by NARS, GSA. The system analysis should be scaled to the requirements of the command (i.e., to the size of the system at hand). Sufficient information must be developed on which a management decision can be made considering the probable cost of the action. The following guidance is provided to supplement the requirements in section 101-11.505(b), subparagraphs (1) through (7), of reference (a) of this enclosure.

a. Subparagraph (1) - Examination of Current Operating System. Enter a complete description of each category of records proposed for microform and the specific purposes served (e.g., health care delivery, clinical investigation, and research).

b. Subparagraph (2) - Alternatives to Micrographics. Item (i) is implemented by the Navy records disposal manual, reference (c) of the basic instruction. For item (ii) COMNAVMEDCOM prescribes color-coded, terminal digit-SSN filing using treatment record jackets for all categories of medical and dental records, significantly improving procedures for retrieval and distribution of records in hard copy.

c. Subparagraph (3) - Alternatives to Creating Microform Records. Under item (iv), determine additionally whether reimbursable micrographics services can be obtained from the Navy

Publications and Printing Service Office (NPPSO) serving the command. NPPSO activities and the geographic areas served are in reference (e) of this enclosure. The availability of shared micrographics resources through Navy as well as other Federal Government facilities must be fully explored and documented.

d. Subparagraph (4) - Analysis of Workload and Staffing. Address civilian manpower requirements in terms of full-time equivalent employees, salaries, and fringe benefits needed for performance of the microform function in-house, including the filming process. Exclude military personnel. (See paragraph 6.)

e. Subparagraph (5) - Information Needs of the User. User needs shall be considered paramount to "producer" or "distributor" needs in evaluating the practicality of any specific microform system. In consonance with paragraph 4b(3), requirements for viewing equipment, including reader/printers, must be assessed in terms of actual user needs. Accessibility of equipment is critical to system acceptance by users and mandatory by JCAH standards, reference (f) of this enclosure. Microform reduction ratio, format, and quality control procedures are prescribed by this instruction.

f. Subparagraph (6) - Compatibility of Microforms. Prescribed by this instruction.

g. Subparagraph (7) - Specialized Space Requirements. Availability of space adequate to accommodate the microform system installation (e.g., personnel, equipment, and accessories) must be determined. Costs for environmental control (e.g., temperature and humidity), plumbing, and utilities, as applicable, must be realistically estimated when original microforms will be generated in-house. (See section 101-11.507-1 of attachment A.)

6. Cost/Benefit Analysis

a. OPNAVINST 4860.6C. As stated in paragraph 5, the micrographics system analysis required by NARS must include comparative cost data for the performance of the function in accordance with reference (d) of this enclosure. Since inpatient (clinical) and other categories of Medical Department records are not presently being maintained in microform, conversion to microfilming constitutes a new start (i.e., a newly established commercial activities (CA) function) regardless of dollar value. The requirements of reference (d) of this enclosure may be met through having the microfilming process (i.e., the production of microfiche) performed by the Navy Publications and Printing Service or the Defense Printing Service. If this is not feasible, a CA analysis is required.

b. Base Line Data. Costs of present operations with records in hard copy must be determined as base line data against which subsequent determinations (costs for preparing microforms in-house, through shared resources, or by commercial contract) must be compared. COMNAVMEDCOM approval of all proposed microform systems is contingent upon a showing of actual cost benefit as determined by the CA Program procedures for comparative cost analysis. Guidelines in the following paragraphs summarize and amplify procedural requirements for conducting the analyses.

c. Present Hard Copy Operations. For each category of records proposed for conversion to microform, the present, total annual operating cost for maintaining these records in hard copy must be established as the foundation for the prescribed comparison of costs for microform systems and services. Costs for present operations in hard copy must reflect the following factors:

(1) Volume of Records. The following data is required for COMNAVMEDCOM review and for use in subsequent steps in the CA cost analysis.

(a) The estimated volume in cubic feet (cubic meters) and inclusive dates of records presently maintained in hard copy and planned for conversion to microform. Include a copy of the most recent SF 135, Records Transmittal and Receipt, transferring hard copy records to National Personnel Records Center (NPRC), GSA, St. Louis, MO.

(b) The estimated number of records to be converted to microfiche annually for the initial fiscal year and out-years (FY+3).

(2) Personnel and Functions. State the total number and pay grades of civilian personnel assigned clerical duties, full time and part time, for maintaining and servicing the records proposed for microform. Identify the specific duties performed such as filing and retrieval.

(3) Manhours Expended and Costs. Determine the total annual costs for the performance of the functions identified in paragraph 6c(2). Compute direct labor costs (salaries) and fringe benefits. (See reference (d) of this enclosure.)

(4) Filing Equipment, Space, and Utilities. List those requirements necessary to maintain records in hard copy. Specify the amounts and types of filing equipment in use and acquisition costs. Express space requirements in square feet (square meters). Determine utility costs (e.g., light and heat) for the present year and projections for out-years (FY+3). Alternately, if the hard copy records are maintained in usable office space, compute

storage costs for the records at the rate of $7.66 per year per cubic foot (cubic meter) of records.

(5) Other Factors. Additional guidelines which can be used in identifying and measuring factors in the cost analysis of present hard copy operations are in reference (d) of the basic instruction. These guidelines provide detailed analytical techniques for cost determinations and may be applied, as needed, for the specific requirements of the command.

d. In-house Performance Costs for Proposed Microform Systems. These costs are determined based on the specific guidance in reference (d) of this enclosure. Addressees shall adhere to the following supplemental procedures.

(1) Period Covered. The cost estimate for in-house or other methods of performance shall be prepared for a 4-year period (FY+3).

(2) Microform Equipment. All microform equipment, including readers and reader/printers, that will be required during the first 4 years of operation, or longer when identifiable, shall be included.

(3) Space Savings. Savings for filing space freed for other uses by converting records to microform shall not be claimed unless a specific, alternate use for the space can be shown. Additionally, any minor construction, renovation, or other costs incurred to reconfigure or refurnish the freed space shall be deducted from the estimated savings.

(4) Technical Assistance. Assistance in preparing the in-house cost estimate for microform services may be requested from the NPPSO and NARS regional offices serving the command, and may be augmented by services available from equipment companies on the GSA Federal Supply Schedule relative to system and equipment components.

e. CA Cost Comparison. The cost comparison shall be executed in strict conformance with procedures set forth in reference (d) of this enclosure, after having determined total annual costs for the present operation and maintenance of hard copy records. The CA cost comparison form, as shown in reference (d) of this enclosure, shall be used to document costs/benefit for in-house versus commercial contract or other methods of performance. All entries on the cost comparison form shall be fully documented and supported as prescribed. Audit certification shall be obtained from the Naval Audit Service if the analysis projects the total annual cost of the proposed microform program to be in excess of $100,000.

7. Records Disposal. When the results of the microform system cost/benefit analysis indicate that conversion of records to microform is the most cost effective alternative, addressees shall prepare an SF 115, Request for Records Disposition Authority, as required by section 101-11.506.1 of reference (a) of this enclosure. The SF 115 requests authority from NARS to dispose of the original, hard copy records and certifies that archival standards have been met. A completed sample SF 115 is provided as attachment C.

8. Submission of Requests

a. Documentation. Requests for the approval of proposed microform systems shall be submitted to COMNAVMEDCOM (MEDCOM-312) with the following supporting documentation.

(1) System Analysis Prescribed by NARS, reference (a) of this enclosure, prepared in conjunction with supplementary guidance in paragraph 5.

(2) Detailed Cost Estimates for: (1) present operation and maintenance of hard copy records; and (2) in-house performance of microform. (See paragraph 6.)

(3) CA Cost Comparison with full documentation, including audit certification if applicable, as prescribed by reference (d) of this enclosure.

(4) Standard Form 115 prepared in consonance with reference (a) of this enclosure and paragraph 7.

b. Approval Actions. COMNAVMEDCOM (MEDCOM-312) will review requests for proposed microform systems for adequacy and adherence to prescribed standards, obtain final approval and authorization for the disposal of hard copy records to be converted to microform, and approve the new start for the performance of microfilming services under the CA Program.

9. Microform Systems Operation. Microform systems approved for installation, or the provision of services through shared resources or commercial contract, shall be managed and operated in strict conformance with the standards prescribed in reference (a) of this enclosure, as applicable. The following additional guidelines are provided.

a. Confidentiality of Patients' Records. In obtaining microfilm production service, written procedures shall be established locally for the maintenance and safeguarding of the confidentiality of patients' records in microform. Without exception,

patients' original records and microfiche shall be maintained in accordance with the Privacy Act of 1974 (5 U.S.C. 522a) as implemented by reference (g) of this enclosure, as well as other applicable statutes and regulations governing Federal Government medical records.

b. Disposition of Microforms and Original Records

(1) Microforms. General procedures for the disposition of microforms are in section 101-11.509 of reference (a) of this enclosure. An original (silver halide) microform and one duplicate copy shall be transferred to the NPRC, GSA, St. Louis, MO in lieu of hard copy records. Duplicate microforms (microcopies) may be retained for use by the command as required.

(2) Original Records. In system operations, consideration should be given to converting original records to microform at 3-month intervals and the original records destroyed immediately after verification of microimages for completeness and accuracy. This procedure achieves an orderly, systematic disposal of records, reduces the volume of records maintained in the archives, minimizes requirements for open shelf filing equipment and related space and facilities, and expedites the further handling of patients' records in microform.

[45 FR 5705, Jan. 24, 1980, as amended at 47 FR 34787, Aug. 11, 1982]

§ 101-11.412-3 Requests for authority to establish or relocate records centers.

No agency records center shall be established or relocated from one city to another without the prior written approval of GSA.

(a) *Exclusions.* For purposes of this section, the term "agency records center" excludes:

(1) Records staging areas containing either less than 5,000 square feet of storage space or less than 25,000 cubic feet of records each used by agencies for the temporary storage of materials before their transfer to a records center or other disposition, provided no records are held in these staging areas more than 5 years. The facility standards in § 101-11.412-2 apply to these staging areas.

(2) Records holding areas of either less than 5,000 square feet of floor space or less than 25,000 cubic feet of holdings each used solely for the storage of noncurrent records that are not suitable for transfer to a records center or archives for economic, high security, technical servicing, or other reasons. The facility standards is § 101-11.412-2 apply to these records areas.

(b) *Content of requests.* Requests for authority to establish or relocate an agency records center shall be submitted in writing to the Administrator of General Services. These requests shall specify:

(1) Proposed location of the agency records center,

(2) Space to be occupied in gross square feet,

(3) Nature and quantity of records to be stored,

(4) Total personnel to be employed, and

(5) Justification for the proposed center which shall include a comparison between the annual cost per cubic foot to store the records in the agency records centers and the cost to store the same records in a GSA Federal records center. An analysis of GSA's Federal records center space and equipment cost may be obtained from the Office of Federal Records Centers (NC), General Services Administration, Washington, DC 20408. The justification also should indicate whether the records to be stored in the agency center have high security classification, require specialized processing or high-cost indexing, or are to be used by technical agency personnel stationed at the records center.

(c) *Approval of requests.* Requests for the establishment or relocation of an agency records center will be approved by the Administrator of General Services when greater economy or efficiency can be achieved through its operation than by the use of a Federal records center operated by GSA.

(d) *Annual agency records center report.* Each Federal agency operating one or more agency records centers shall submit to the General Services Administration (NC) a report on Standard Form 137, Agency Records Center Annual Report (see § 101-11.4905), for each center within 30 calendar days after the close of each fiscal year.

(e) This annual report has been cleared in accordance with FPMR 101-11.11 and assigned Interagency Report Control Number 1097-GSA-AN.

[45 FR 5705, Jan. 24, 1980, as amended at 47 FR 34788, Aug. 11, 1982]

Subpart 101-11.5—Micrographics

SOURCE: 44 FR 15716, Mar. 15, 1979, unless otherwise noted.

§ 101-11.500 Scope of subpart.

This subpart provides (a) standards, regulations, and guidelines for using micrographics technology in the creation, use, storage, retrieval, preservation, and disposition of Federal Government records and (b) information concerning micrographics services available from the National Archives and Records Service (NARS). Additional guidance on the use of micrographics is available in NARS records management handbooks.

§ 101-11.501 Authority.

As provided in 44 U.S.C. Chapters 29 and 33, the Administrator of General Services is authorized to (a) establish standards for the photographic and micrographic production and repro-

duction of records by Federal agencies with a view to disposal of the original records; (b) establish uniform standards within the Government for the storage, use, and disposition of processed microfilm records; (c) develop and promote standards to improve the management of records; and (d) establish, maintain, and operate centralized microfilming services for Federal agencies.

§ 101-11.502 Definitions.

For the purpose of this Subpart 101-11.5, the following definitions shall apply:

(a) *Archival microfilm.* Silver halide microfilm meeting the requirements of Federal Standard No. 125D, Film, Photographic and Film, Photographic, Processed (for permanent records use); American National Standards Institute (ANSI) Standard PH1.25-1976 Safety Photographic Film, Specifications for; PH1.28-1976 Photographic Film for Archival Records, Silver Gelatin Type on Cellulose Ester Base, Specifications for; PH1.41-1976 Photographic Film for Archival Records, Silver Gelatin Type on Polyester Base, Specifications for; when tested by ANSI Standard PH4.8-1971, Methylene Blue Method for Measuring Thiosulfate and Silver Densitometric Method for Measuring Residual Chemicals in Films, Plates, and Papers; and stored in accordance with ANSI Standard PH1.43-1976, Storage of Processed Safety Photographic Film, Practices for.

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

(c) *Facility.* An area set aside for equipment and operations required in the production or reproduction of microforms either for internal use or for the use of other organizational elements of the Federal Government.

(d) *Microfilm.* (1) Raw (unexposed and unprocessed) film with characteristics that make it suitable for use in micrographics;

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

(3) A fine-grain, high-resolution photographic film containing an image greatly reduced in size from the original.

(e) *Microform.* A term used for any form containing microimages.

(f) *Micrographics.* The science and technology of document and information microfilming and associated microform systems.

(g) *Microimage.* A unit of information, such as a page of text or a drawing, that has been made too small to be read without magnification.

(h) *Permanent Record.* Any record (see 44 U.S.C. 3301) 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.

(i) *Micrographic System.* A configuration of equipment and procedures for the production, reproduction, maintenance, storage, retrieval, display, or use of microforms. A micrographic system may involve one or more, but not necessarily all, of the functions listed above.

§ 101-11.503 Agency program responsibilities.

Each agency shall:

(a) Issue internal regulations and procedures for the submission, review, and approval or disapproval of proposed micrographic systems and applications;

(b) Issue procedures for evaluating the continued efficiency and effectiveness of micrographic systems and applications;

(c) Review ongoing micrographic systems periodically for conformance to established policies, procedures, and standards;

(d) Develop and maintain a complete and accurate inventory of micrographic production and reproduction equipment within the agency; e.g., cameras, processors, duplicators, COM recorders for the purpose of resource management. The inventory shall, as a minimum, include: Type of equipment, name of manufacturer, model and serial number, date of acquisition, location, and purchase or rental status;

(e) Disseminate all NARS publications containing micrographics standards and guidelines and other current

information concerning the advantages and limitations of micrographic systems to managers and operating officials involved in the development or operation of micrographic systems;

(f) Assign responsibility for the review and approval of all micrographic systems to a specific office or official. The responsible office or official shall establish procedures for the review and approval of ongoing and proposed system and application requests to ensure that they are complete and contain the information shown in § 101-11.505; and

(g) Submit to General Services Administration (NRO), Washington, DC 20408, one copy of agency directives issued in accordance with § 101-11.503 (a), (b), and (f).

§ 101-11.504 NARS responsibilities.

NARS shall:

(a) Disseminate to agencies the standards and criteria necessary for developing, evaluating, and operating micrographic systems. This includes:

(1) Information to acquaint potential users with micrographics technology and its various applications;

(2) Methods and procedures for conducting feasibility studies;

(3) Criteria for estimating cost and guidelines for comparing existing and proposed systems with alternative approaches;

(4) Standards for microforms and formats, and guidelines for selecting appropriate micrographic systems for specific types of applications; and

(5) Standards and guidelines for evaluating the continuing efficiency and effectiveness of micrographic systems;

(b) Analyze Government-wide practices through research projects and inspections to determine areas in which the application of micrographics will improve efficiency and effectiveness in the creation and use of documents and information;

(c) Conduct periodic inspections of agencies' micrographics programs as part of the NARS records management program evaluation prescribed in § 101-11.103, Agency program evaluation;

(d) Coordinate with the Government Printing Office (GPO) on matters involving micropublishing, with the National Bureau of Standards (NBS) on Federal Information Processing Standards concerning micrographics, and with the Automated Data and Telecommunications Service (ADTS), GSA, on procurement and use of COM equipment;

(e) Respond within 60 days to agency requests to the Office of Federal Records Centers (NC) for authorization to dispose of original records after microfilming as prescribed in § 101-11.506-1; and

(f) Provide centralized micrographic services described in § 101-11.510.

§ 101-11.505 Micrographic systems analysis.

(a) A system analysis including a cost/benefit analysis shall be conducted by the agency prior to the decision to establish a micrographic system. The cost/benefit analysis shall include a comparative cost analysis in accordance with Office of Management and Budget (OMB) Circular A-76, if it meets the guidelines described therein.

(b) The system analysis shall contain the following items:

(1) An examination of the current operating system to evaluate the need for the documents or information and the use to which they are put,

(2) A consideration of the alternatives to micrographics including such measures as:

(i) Revising records control schedules to provide for the disposition of paper records by disposal, by transfer of inactive paper records to the Federal records centers, or by offer of permanently valuable paper records to the National Archives and Records Service; and

(ii) Improving current retrieval and distribution procedures using paper records.

(3) A consideration of all feasible alternative methods of creating the microform records, such as:

(i) Purchase, lease, or lease-purchase of equipment.

(ii) Sharing micrographic production equipment already in the agency.

(iii) Using the micrographic facility of another agency.

(iv) Contracting for NARS reimbursable micrographic services.

(v) Contracting with a non-Government commercial services firm.

(vi) Other alternatives identified in the analysis.

(4) An analysis of the workload and staffing requirements to ensure sufficient trained personnel to operate and maintain the micrographic system.

(5) An examination of the information needs of the user when determining reduction ratio, format, quality control procedures, viewing equipment, and user training.

(6) A review to ensure compatibility of microforms used within the agency and those used to transmit information to other agencies and the public.

(7) A determination of the availability and cost of specialized space requirements: i.e., temperature, humidity control, or plumbing.

(c) The chosen alternative shall be the most cost effective and efficient system unless overriding intangible benefits necessitate an alternate decision.

(d) Procurement of COM equipment is subject to the provisions of 41 CFR 101-32 covering utilization and procurement of automatic data processing equipment.

(e) Procurement of equipment for micropublishing is subject to the provisions of the Government Printing and Binding Regulations published by the Joint Committee on Printing, Congress of the U.S.

§ 101-11.506 Standards and guidelines for creation of microform records.

§ 101-11.506-1 Authorization.

(a) Agencies proposing to microfilm records to dispose of the original records shall request authority on Standard Form (SF) 115, Request for Records Disposition Authority, in accordance with § 101-11.406-2. The SF 115 shall provide for the disposition of original records and microforms.

(1) Agencies proposing microfilming methods and procedures meeting the standards in § 101-11.506-3 shall include on the SF 115 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."

(2) Agencies whose proposed microfilming methods and procedures do not meet the standards in § 101-11.506-3 shall include on the SF 115 a description of the system and standards proposed for use.

(b) Agencies proposing to retain and store the silver original microforms of permanent records after disposal of the original records shall include on the SF 115 a statement that storage conditions shall adhere to the standards of §§ 101-11.507 and 101-11.508. Such agencies shall also indicate when the first inspection of microfilm required by § 101-11.507-2 will be conducted.

(c) Agencies proposing to retain the original records in accordance with the approved records disposition schedule should not submit an SF 115. These agencies may apply agency standards and requirements for creation of microforms of the records. The agency shall, however, ensure that the requirements of § 101-11.503 are satisfied.

§ 101-11.506-2 Preparation.

(a) The integrity of the original records authorized for disposal shall 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. Copies shall be complete and contain all record information shown on the originals.

(b) The records shall be arranged, identified, and indexed so that any individual document or component of the records can be located. At a minimum, the records shall include information identifying the agency and organization; the title of the records; the number of identifier for each unit of film; the security classification, if any; and the inclusive dates, names, or other data identifying the records to be included on a unit of film.

§ 101-11.506-3 Microfilming.

(a) The film stock used to make microforms of permanent records for the purpose of disposal of the original

shall conform to Federal Standard No. 125D and be on safety-base permanent record film as specified in ANSI PH1.25-1976, Safety Photographic Film, Specifications for; PH1.28-1976, Photographic Film for Archival Records, Silver Gelatin Type on Cellulose Ester Base, Specifications for; PH1.41-1976, Photographic Film for Archival Records, Silver Gelatin Type on Polyester Base, Specifications for; and tested according to PH1.29-1971, Curl of Photographic Film, Methods for Determining the; and PH1.31-1973, Brittleness of Photographic Film, Method of Determining the. Procedures for testing are covered in Federal Standard No. 170B, Film Photographic, Black and White, Classification and Testing Methods, which cites ANSI standards. To ensure protection for permanent records, agencies using microfilm systems which do not produce silver halide originals meeting the above standards shall submit with the SF 115 required by § 101-11.506-1, a schedule for the production of silver duplicates meeting the standards.

(b) All indexes, registers, or other finding 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 microforms 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.

(c) Systems that produce original permanent records on microfilm with no paper original; e.g., COM, shall be designed so that they produce microfilm which meets the standards of this § 101-11.506-3.

(d) *Microfilm processing.* (1) Microforms of permanent records where the original will be disposed of shall be processed so that the residual thiosulfate ion concentration will not exceed 0.7 microgram per square centimeter in a clear area. Agencies or services that conduct tests for Federal agencies shall meet this requirement by performing the methylene blue test specified in ANSI PH4.8-1978.

(2) If the processing is to be of the reversal type, it shall be full photographic reversal; i.e., develop, bleach, expose, develop, fix, and wash.

(e) *Quality standards.* (1) The method for determining minimum resolution on microforms of source documents shall conform to the Quality Index Method of determining resolution and anticipated losses when duplicating as described in the National Micrographics Association (NMA) Recommended Practice MS104.

(i) For permanent records, a Quality Index of five is required at the third-generation level.

(ii) For nonpermanent records, a Quality Index of five is required at the level of the specific number of generations used in the system.

(iii) Resolution tests shall be performed using the NBS 1010a Microcopy Resolution Test Chart and the patterns will be read following the instructions provided with the chart.

(iv) The character used to determine the height used in the Quality Index formula shall be the smallest character used to display record information.

(2) The background photographic densities on microforms must be appropriate to the type of documents being filmed. Recommended background densities are as follows:

Classification	Description of documents	Background density
Group 1	High-quality printed books, periodicals, and dense typing	1.30-1.50
Group 2	Fine-line originals, letters typed with a worn ribbon, pencil writing with a soft lead, and documents with small printing	1.15-1.40
Group 3	Pencil drawings, faded printing, graph paper with pale, fine colored lines, and very small printing such as footnotes.	1.00-1.20
Group 4	Very weak pencil manuscripts and drawings, and poorly printed, faint documents.	0.90-1.10
Group 5	COM	1.50-2.00

The procedure for density measurement is described in NMA Recommended Practice MS104-1972.

(3) Computer Output Microforms shall meet the NMA Standard MS1-1971, Quality Standards for Computer Output Microfilm.

(f) *Microforms and formats.* (1) The following formats shall be mandatory standards for microforms produced by or for Federal agencies:

(i) The formats described in ANSI Standard MS14-1978, Specifications for 16 and 35mm Microfilms in Roll Form, shall be used for microfilming source documents on 16mm roll film. A reduction ratio of 24:1 shall be used whenever document size permits.

(ii) The formats described in ANSI Standard MS14-1978, Specifications for 16 and 35mm Microfilms in Roll Form, shall be used for microfilming source documents on 35mm roll film. When microfilming on 35mm film for aperture card applications, format 2 prescribed in MIL-STD 399A, Military Standard Microform Formats, shall be mandatory.

(iii) Format 3 prescribed in MIL-STD 399A shall be used for aperture cards.

(iv) For microfilming source documents on microfiche, the formats prescribed in MIL-STD 399A and the standards and specifications referenced therein shall be used where appropriate for the size of documents being filmed.

(v) Mandatory Federal COM format standards are contained in Federal Information Processing Standards (FIPS) Publication Number 54 which is hereby incorporated by reference.

(2) The outside dimensions for microfilm jackets shall be 148.00+0.00 −1.00mmX105.00+0.00−0.75.

(g) *Microfilm duplicating.* The production of more than 250 duplicates from an original microform: i.e., one roll of microfilm 100 feet in length or one microfiche, requires the approval of the Joint Committee on Printing, Congress of the United States, as set forth in the Government Printing and Binding Regulations. Administrative records and accounting reports are exempted from this requirement.

[44 FR 15716, Mar. 15, 1979, as amended at 48 FR 22555, May 19, 1983]

§ 101-11.507 Standards and guidelines for the maintenance of microform records.

§ 101-11.507-1 Storage.

Nonpermanent microform records can be safely maintained under the same conditions as most paper records. The following standards as specified in ANSI PH1.43-1976 are required for storing permanent record microforms:

(a) Microforms stored in roll form shall be wound on cores of reels made of noncorroding materials such as nonferrous metals or inert plastics. Other metals may be used provided that they are coated with a corrosion-resistant finish. Plastics and coated metals that may exude fumes during storage shall not be used. Rubber bands shall not be used for confining film on reels or cores. If paper bands are used, the paper shall meet the specifications of ANSI PH1.53-1978.

(b) Storage containers for microforms shall be made of inert materials such as metal or plastic. Containers made of paper products should be avoided unless the conditions prescribed in ANSI Standard PH1.53-1978 are met. The containers shall be closed to protect the microforms from environmental inpurities and improper humidities.

(c) Storage rooms or vaults for archival microforms shall be fire-resistant and must not be used for other purposes such as storage of other materials, office space, or working areas. The National Fire Protection Association (NFPA) publication NFPA 232, Protection of Records, 1970, provides further guidance. Protection from damage by water shall be accomplished by storing permanent record microforms above reasonably anticipated flood stages.

(d) *Environmental conditions required.* (1) The relative humidity of the storage room or vault shall range from 20 to 40 percent with an optimum of 30 percent. Rapid and wide-range humidity changes will be avoided and shall not exceed a 5 percent change in a 24-hour period.

(2) Temperature shall not exceed 70° F. Rapid and wide-range temperature changes shall be avoided and shall not exceed a 5 percent change in a 24-hour

period. A storage temperature of 35° F. or below should be used for color film.

(3) Solid particles, which may abrade film or react with the image, shall be removed by mechanical filters from air supplied to housings or rooms used for archival storage. The mechanical filters are preferably of dry media type having an arrestance or cleaning efficiency of not less than 85 percent as determined by the stain test described in ASHRAE Standard 52-68(11).

(4) Gaseous impurities such as peroxides, oxidizing agents, sulphur dioxide, hydrogen sulfide, and others which cause deterioration of microforms shall be removed from the air by suitable washers or absorbers. Archival microforms shall not be stored in the same room with nonsilver gelatin films. They also shall not be stored in another room using the same ventilation system because gases given off by the other films may damage or destroy the images on the silver archival films.

§ 101-11.507-2 Inspection.

(a) Master films of permanent record microforms and records microfilmed to dispose of the original record shall be inspected every 2 years during their scheduled life. The inspection shall be made using a 1 percent randomly selected sample in the following categories: 70 percent microforms not previously tested, 20 percent—microforms tested in the last inspection, and 10 percent—control group. The control group shall represent samples of microforms from the oldest microforms filmed through the most current. The results of the inspection shall be reported to General Services Administration (NC), Washington, DC 20408, 30 days after the inspection is completed. Reports shall include (1) the quantity of microform records on hand; i.e., number of rolls and number of microfiche; (2) the quantity of microforms inspected; (3) the condition of the microforms; (4) any defects discovered; and (5) corrective action taken.

(b) The elements of the inspection shall consist of (1) an inspection for aging blemishes following the guidelines in the National Bureau of Standards Handbook 96, Inspection of Processed Photographic Record Films for Aging Blemishes; (2) a rereading of resolution test targets; (3) a remeasurement of density; and (4) a certification of the environmental conditions under which the microforms are stored, as shown in § 101-11.506-1.

(c) An inspection log shall be maintained. Information to be contained in the log shall include (1) a complete description of all records tested (title; number or identifier for each unit of film; and inclusive dates, names, or other data identifying the records on the unit of film); (2) the record group; i.e., newly tested, previously tested; or control group; (3) the date of inspection; (4) the elements of inspection; (5) the defects uncovered; and (6) the corrective action taken. In addition, the log shall contain the results of all archival film tests required by § 101-11.506-3.

(d) An agency having in its custody a master microform that is deteriorating, as shown by the inspection, shall prepare a silver duplicate to replace the deteriorating master.

(e) Agencies are responsible for the inspection of agency microfilm records transferred to Federal Records Centers.

§ 101-11.508 Standards and guidelines for the use of microform records.

(a) The master microform shall not be used for reference purposes. Duplicates shall be used for reference and for further duplication on a recurring basis or for large-scale duplication, as for distribution of records on microform. Agency procedures shall ensure that master microforms remain clean and undamaged during the duplication process.

(b) Agencies retaining the original record in accordance with an approved records disposition schedule may apply agency standards for the use of microform records.

§ 101-11.509 Disposition of microform records.

The disposition of microform records shall be carried out in the same manner prescribed for other types of records in Subpart 101-11.4.

with the following additional requirements:

(a) The silver halide original (or a silver halide duplicate microform record created in accordance with § 101-11.506-3), plus one copy (silver, diazo, or vesicular), for permanent records, of each record microfilmed by an agency, shall be verified for completeness and accuracy. The microforms shall be transferred to an approved agency records center, the National Archives, or to a Federal Records Center, at the time that the records are to be retired in accordance with the approved records control schedule.

(b) The microforms shall be accompanied by 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; and a certification by an agency official that the microforms were produced in the normal course of agency operations and that care has been taken to ensure that the microforms are a complete and accurate copy of the original records.

§ 101-11.510 Centralized micrographic services.

§ 101-11.510-1 Services available.

The following micrographic services of the National Archives and Records Service are available to Federal agencies:

(a) Technical advice and assistance in designing and implementing agency projects and programs to preserve records, reduce volume, provide security copies, make duplicate copies, or improve information retrieval systems;

(b) Information on current uses of micrographics, new micrographic techniques, and developments in the field; and

(c) Reimbursable microfilming services including the preparation, indexing, and filming of records, inspection of film, and labeling of film containers.

§ 101-11.510-2 Requesting services.

(a) Agencies desiring technical assistance from NARS should communicate with General Services Administration (NR), Washington, DC 20408, or the appropriate regional National Archives and Records Service.

(b) Agencies desiring microfilming services should contact General Services Administration (NC), Washington, DC 20408, or the nearest regional Office of the National Archives and Records Service or any of the Federal Archives and Records Centers.

§ 101-11.510-3 Fees for services.

The fees for microfilming services will be announced in GSA bulletins. For microfilming services not listed, contact the office shown in § 101-11.510-2(b).

Subpart 101-11.6—Records Equipment and Supplies

§§ 101-11.601—101-11.602 [Reserved]

§ 101-11.603 Stationery standards.

§ 101-11.603-1 General provisions.

This § 101-11.603 prescribes the standards for the specifications and use of blank and printed papers and mailing envelopes used by executive agencies for official Government correspondence. Standards are also prescribed for the United States Government Memorandum, Messenger Envelope, and Memorandum of Call. The standards are mandatory unless approval for exception is obtained from GSA. Nothing in these standards shall be construed as superseding in any manner the provisions of "Government Paper Specification Standards" issued by the Joint Committee on Printing.

§ 101-11.603-2 Standard specifications.

A Table of Standard Specifications prescribes the color, size, and quality of paper and color of ink for stationery used for Government correspondence, as follows:

TABLE OF STANDARD SPECIFICATIONS

[See footnotes at end of table]

Item	Color		Size	Qualities of paper shall not exceed	
	Paper	Printing		Grade	Substance [1]
STATIONERY					
Letterhead stationery	White	Black or blue	8" x 10½" 8" x 7" 8" x 5¼"	50 percent rag or 25 percent rag	32 40
Continuation sheets	do	None	8" x 10½"	50 percent rag or 25 percent rag	32 40
Manifold (tissue) sheets containing letterhead.	do	Black or blue	8" x 10½"	do	18
Memorandum stationery	White or blue	Black	8" x 10½" 8" x 7" 8" x 5¼"	CW (writing) or 25 percent rag	40 32
Continuation sheets	do	None	8" x 10½"	CW (writing) or 25 percent rag	40 32
Manifold (tissue) sheets not containing letterhead.	White [2]	do	8" x 10½"	do	18
FORMS					
United States Government Memorandum (Optional Form 10).	White	Black	8" x 10½" 8" x 5¼"	CW (writing)	40
Memorandum of call (S.F. 63 (pads)).	([3])	([3])	4" x 5¼"	([3])	([3])
Messenger envelope (S.F. 65)	Brown	Dark brown	9½" x 12" 12" x 16"	Kraft	100

Footnotes:
[1] Substance weight is pounds per 1000 sheets, 17" x 22".
[2] Other colors may be used pursuant to par. 3(d) but quality shall not exceed 25 percent rag—Sub. 18.
[3] At discretion of GPO.

§ 101-11.603-3 Letterhead stationery.

Letterhead stationery is used in formal correspondence where a quality paper identifying the agency is needed. The style and format for letterhead stationery may be selected by the ordering agency provided they meet the standard specifications in § 101-11.603-2 and the printing requirements of the Government Printing and Binding Regulations.

§ 101-11.603-4 Memorandum stationery.

Memorandum stationery is on paper of less expensive quality and easily distinguishable from letterhead stationery. It is to be used, when suitable, for informal intra-agency and interagency communications, including agency-numbered forms and form letters. It is also used for correspondence with State and local government agencies in the administration of cooperative programs, and for other informal correspondence. It will be used where Optional Form 10, United States Government Memorandum (§ 101-11.4912), will not adequately serve agency needs. (See § 101-11.603-11.) Memorandum stationery shall contain the masthead "United States Government Memorandum" at the top left half of the sheet (§ 101-11.4911). Printing of the agency name is optional; when included, the name shall be in the space indicated at the top right. If needed, multiple-address communications and designated fill-in spaces may be arranged and printed on memorandum stationery for transmittal and reference. The form may be designed for multiple-address communications and use in window envelopes.

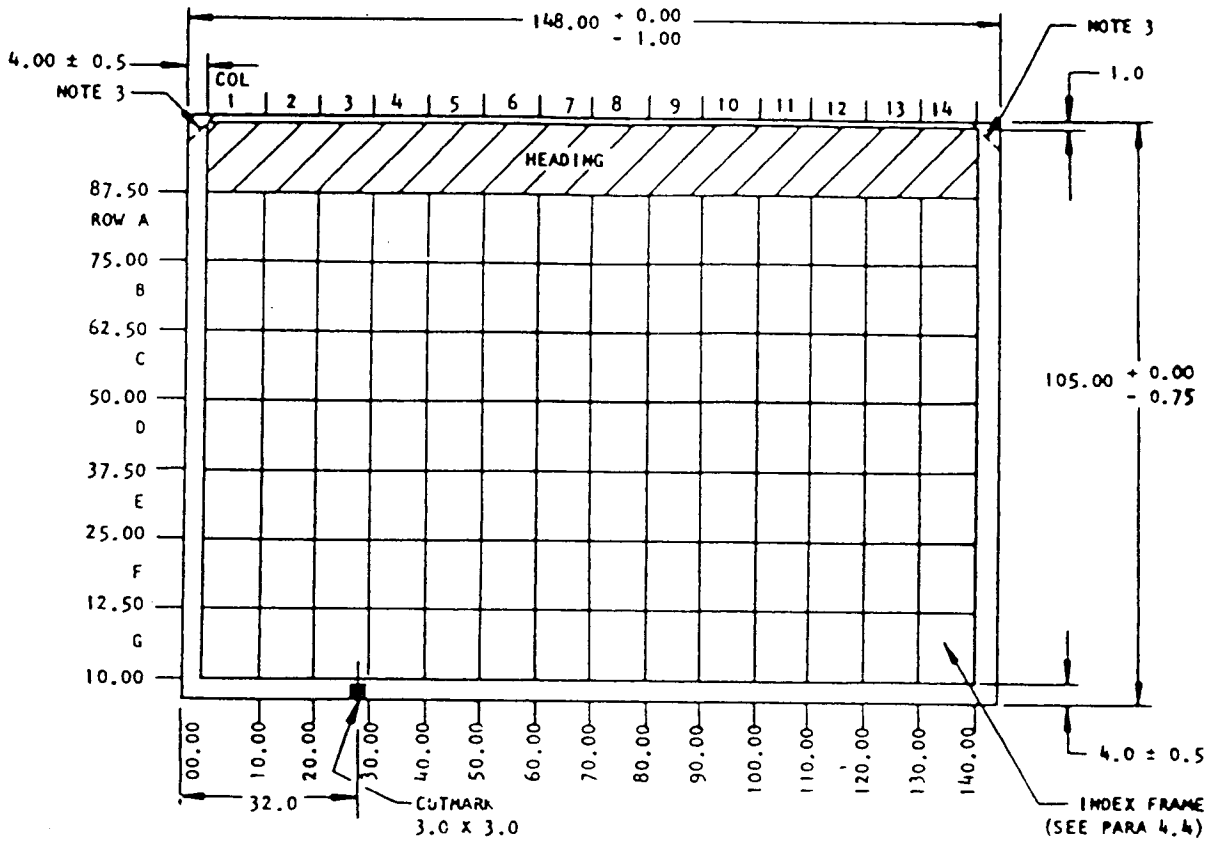
§ 101-11.603-5 Continuation sheets.

Continuation sheets, for use with either letterhead or memorandum stationery, shall bear no printing.

§ 101-11.603-6 Manifold (tissue) sheets.

Manifold sheets, commonly called tissues, are for use in making carbon

MIL-STD-399A
4 December 1976
5.8. Format 5. 98 Frame 24:1 Reduction Microfiche Format



Notes:
1. Grid lines shown are for dimensional representation and are not required to appear on finished microfiche.
2. Additional rows starting with Row A may also be used for heading.
3. Corner cut as specified in procurement specification/contract.
4. Designed for 8 1/2" x 11" format documents.

Dimensions shown are those applying in the plane shown, and are required to assure uniformity in image, size, placement and orientation, and compatibility of processing and user equipment. This format applies for both COM and Non-COM-Generated 98 Frame Microfiche. Specifications for additional dimensions (thickness, etc.), orientation, coding, and other details (except that all requirements shown on Format 5 shall take precedence) are contained in the Industry and Military specifications/standards shown below.

RELATED STANDARDS/SPECIFICATIONS

Industry Standards

ANSI PH5.18-1976, Format and Coding Standards for Computer Output Microfilm, Section 5.3, Format A1

ANSI PH5.9-1975, Microfiche of Documents

Military Specifications/Standards

MIL-M-38748 Microfiche; For Engineering/Technical Data, Reports, Studies and Related Data, Requirements for.

REQUEST FOR RECORDS DISPOSITION AUTHORITY
(See Instructions on reverse)

LEAVE BLANK
JOB NO.
DATE RECEIVED
NOTIFICATION TO AGENCY
In accordance with the provisions of 44 U.S.C. 3303a the disposal request, including amendments, is approved except for items that may be stamped "disposal not approved" or "withdrawn" in column 10
Date — Archivist of the United States

TO: **GENERAL SERVICES ADMINISTRATION, NATIONAL ARCHIVES AND RECORDS SERVICE, WASHINGTON, DC 20408**

1. FROM (AGENCY OR ESTABLISHMENT)
Department of the Navy

2. MAJOR SUBDIVISION
Naval Medical Command

3. MINOR SUBDIVISION
Navy Regional Medical Center, Seaport City, CA

4. NAME OF PERSON WITH WHOM TO CONFER: (leave blank)

5. TEL. EXT.: (leave blank)

6. CERTIFICATE OF AGENCY REPRESENTATIVE

I hereby certify that I am authorized to act for this agency in matters pertaining to the disposal of the agency's records; that the records proposed for disposal in this Request of 1 page(s) are not now needed for the business of this agency or will not be needed after the retention periods specified.

☐ **A** Request for immediate disposal.

☒ **B** Request for disposal after a specified period of time or request for permanent retention.

C. DATE	D. SIGNATURE OF AGENCY REPRESENTATIVE	E. TITLE
(leave blank)	(leave blank)	(leave blank)

7. ITEM NO	8. DESCRIPTION OF ITEM (With Inclusive Dates or Retention Periods)	9. SAMPLE OR JOB NO.	10. ACTION TAKEN
1	Clinical records (inpatients' treatment records) of military personnel and their dependents. (Includes records of retired personnel and their dependents. Excludes records of Veterans Administration beneficiaries, foreign personnel and their dependents, and American Red Cross personnel.) See SECNAVINST 5212.5B, Disposal of Navy and Marine Corps Records, part II, Chapter 6, paragraph 6150(2).	(leave blank)	(leave blank)
2	Industrial health (clinical) record (case) files. (Inpatient (clinical) treatment records only.) See SECNAVINST 5212.5B, Disposal of Navy and Marine Corps Records, part II, chapter 12, paragraph 12792(1). All records created on or after 1 January 1982 shall be converted to microform and the original records destroyed. Retention period: Until ascertained that reproduced copies have been made in accordance with GSA regulations and are adequate substitutes for the paper records. This certifies that the records described on this form shall be microfilmed in accordance with the standards set forth in 41 CFR 101-11.506.	(leave blank)	(leave blank)

115-107

STANDARD FORM 115
Revised April, 1975
Prescribed by General Services Administration
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