

RECORDS MANAGEMENT POLICY #3.0 - Rev. Nov. 2013

MICROGRAPHICS GUIDELINES

POLICY STATEMENT:

Microfilm for Court Records, if properly tested and stored, is an excellent way for Courts and Court Agencies to maintain their records and information in a quality setting for generations to come. Microfilm, if these guidelines are followed will maintain the integrity of the information for legal purposes as prescribed in 22 NYCRR 104.1.

Operational Guidelines:

- A. All microfilming programs must meet these guidelines and new programs will be initiated only after all records eligible for disposition pursuant to 22 NYCRR 104.1 have been destroyed and records inventories are completed. The Office of Records Management staff will review specifications, bids and performance of contractual agreements for compliance with technical standards and guidelines. An outline for program review and specification drafting is attached. (APPENDIX #1)
- B. In order to insure that the original microforms are legal substitutes for original records and will serve the purpose for which such records were created, one complete copy of all documents in a file will be filmed. Files should be purged of all duplicate and unnecessary correspondence before filming.
- C. Program Operation:
 1. Different program conditions will determine which records are to be microfilmed first. It is recommended that Court and Court Agencies contact the Office of Records Management for planning. Current records should be filmed first; all other filming should work backwards from that point unless the program is being initiated to preserve records in poor physical condition.
 2. The records should be arranged, identified and indexed so that any individual document or component of a record may be located with reasonable ease. Dated, succinct documentation regarding the indexing system must be located near the access copy of the film or fiche; and understood by all the staff working with the microform.
 3. All film must be inspected upon receipt. Within one month after the film is accepted, *Records Disposition Forms* should be submitted to the *Office of Records Management* and the original records destroyed upon approval.

Technical Guidelines:

- A. Target information for roll microfilm (excluding Computer Aided Microfilm [COM]) Images at the beginning and end of each roll of film each time a new or partial roll of film is loaded into the camera must include:**
- 1. Agency or court identification**
 - 2. Contractor identification (if applicable).**
 - 3. Record Series Title and Record Series Number.**
 - 4. Year of Records Filmed.**
 - 5. Microfilm Roll Number.**
 - 6. Certificate of Authenticity (Sample attached)**
 - 7. Density Target.**
 - 8. Resolution Target.**
 - 9. Residual Thiosulfate Test Certificate**
 - 10. Security Classification, if any, and the inclusive dates, names and other data identifying the record.**

NOTE: Technical Targets MUST NOT BE SPLICED.

Other systems, (e.g., Compute Output Microfilm), producing original permanent records on microfilm with no paper original should, as nearly as possible, meet the above requirements.

- B. Physical media should meet applicable national and international standards. Copies of the cited standards are available from the Office of Records Management.**
- 1. FILM STOCK (a sheet of film coated with a light transparent plastic). The film stock used to make copies of permanent records must conform to both of the (ISO) International Standards Organization (formerly American National Standards Institute [ANSI]) guidelines:**
 - a. ANSI PH1.25-1984 R198 (Standard for Photography [film] Safety Photographic Film).**

b. ANSI/SO IT9.1 (Standard for Image Media [film] Silver Gelatin type - Specifications for Stability).

2. RESOLUTION (the sharpness of an image measured by discernable lines per millimeter).

NOTE: The lower the reduction, the higher the resolution.

a. Rotary Camera (a camera that photographs while documents and film are being moved by a transport mechanism): Using the *AIIM* (Association For Information and Image Management) X112 (plastic) X113 (paper), Rotary Camera Test Target, the minimum acceptable resolution is the 4.0 pattern on the test chart.

NOTE: Rotary Cameras are not recommended for the microfilming of public and fragile records. They have a record of jamming and tearing documents and not holding resolution.

b. Planetary Camera (a camera that photographs documents in a stationary position): Using the *AIIM MS 303-1981*, Planetary Camera Test Target, the minimum acceptable resolution is the 5.0 pattern from corner to center to corner on the test chart.

b1. A book cradle must be used for bound books that cannot be disbound and have deep gutters.

NOTE: To determine appropriate resolution requirements, all microfilm testing reports must indicate type of camera used for filming.

3. DENSITY (the opacity of background; provides assurance the whole document is filmed). The background density values on negative appearing first generation camera microfilm must fall into one of the following groups:

a. Group I - High-quality, high contrast printed books, periodicals and black typing. Density of 1.3 to 1.50.

b. Group II - Fine line originals, black opaque pencil writing and documents with small, high contrast printing. Density of 1.15 to 1.40.

c. Group III - Pencil and ink drawing, faded printing and very small printing such as the footnotes at the bottom of a printed page. Density of 1.0 to 1.20.

- d. **Group IV - Low-contrast manuscript and drawings, graph paper with pale fine-colored lines, letters typed or printed with a worn ribbon and poorly printed, faint documents. Density of .75 to 1.15 (Most court documents and old files fall into this group).**
 - e. **Group V - Although not general practice, some poor contrast documents may require a background density of 0.70 to 0.85 or lower.**
 - f. **Background on positive appearing first generation microfilm (from negative appearing documents, e.g., blueprints and photostats). Density of 0.25 to 0.60.**
 - g. **Background on negative appearing Computer Output Microfilm (COM). Density of 1.50 to 2.00.**
 - h. **The base + fog density of unexposed, processed clear-base film must not exceed 0.10.**
- 4. PROCESSING Archival processing yields a correct chemical balance so the life of the film may be considered permanent. Film must be tested before documents are destroyed. Testing must be performed by a qualified third party and must conform to requirements of the Office of Records Management. (APPENDIX #2)**
- a. **The residual thiosulfate (fixer) concentration in the processed film must not exceed 0.014 grams per square meter in a clear area of film.**
 - (1) **The Methylene Blue Test specified in *ANSI PH4.8-1985* is used to verify film quality. The test should be performed within 14 days of processing (preferably 7 days).**
 - b. **Film to make micrographic copies of permanent records should be processed per *ANSI PH4.8, section IV, Microfilm processing*. (Standard for photography [chemicals]).**
 - c. **The reduction ratio effects the image quality on a reader screen and the quality of copies. Microfilm reduction ratios should not exceed 32x except for high volume, duplex microfilming of checks, parking tickets, universal traffic tickets, etc., which may utilize 40x. Vital records should be filmed at the lowest possible reduction ratio. (No less than 8x).**

- d. **Computer Output Microfilm (COM) should be filmed at maximum 42x reduction ratio.**

5. MICROFORM STORAGE AND DUPLICATION

- a. **Silver halide original film must be stored in a temperature/humidity controlled environment.**
- b. **Storage facilities, storage containers, microfilm reel and spools should met the following ISO/ANSI Standards:**
 - (1) **ANSI IT9.2 - Photographic Processed Films, Plates and Paper-Filing Enclosures and Storage Containers.**
This standard is superceded by ISO 18902:2013.
 - (2) **ANSI IT9.11-1991 - Photography (film) Processed Safety Film-Storage.**
This standard is superceded by ISO 18911:2000.
 - (3) **ANSI PH1.33-1986 - Photography (film) - 16mm 100 ft., 16mm 200 ft., 35mm 100 ft. and 70mm 100 ft. spools for Recording Instruments, Microfilm and Still Picture Camera Dimensions.**
- c. **Microforms stored in roll form should be wound on cores or reels made of non-corroding materials such as non-ferrous metals or inert plastics. Do not use plastics and coated metals that may exude fumes during storage. Rubber bands should not be used for confining film, reels or cores.**
- d. **Microform storage containers should be closed and made of chemically inert materials such as metal, plastic or acid free paper.**
- e. **Storage rooms or vaults for archival microforms should be fire resistant and must be used for *film* storage only. Permanent record microforms should be stored above reasonably anticipated flood stages.**
- f. **The relative humidity of the storage vault or room should be less than 40 percent and temperature less than 70 degrees F. Temperature and humidity variations should not be more than plus or minus 5 percent in a twenty four hour period. Dehumidifiers containing desiccants should not be used.**

Mechanical filters with non-combustible casings should be added to the air supply.

- g. The original film should not be cut, modified in any way or made available for reference. All reference use should be from the duplicate copies, which may be diazo, vesicular or silver halide.**

Note: Film cut into jackets must be duplicate film, not the original.

- h. A sample of master films of permanent record microforms and records microfilmed for disposal of the original record should be inspected every two years and inspection reports forwarded to the Office of Records Management. The inspection sample should be a randomly selected one percent of the total inventory. If 10,000 film rolls exist, inspect 100. Further divide the sample into 70 percent microforms not previously tested (70 in the example), 20 percent microforms tested in the last inspection (20 in the example) and 10 percent as a control group (10 in the example). The control group should include a selection of the oldest microforms filmed through the most current. Reports should include, (1) the quantity of microform records on hand; e.g., number of rolls; (2) the quantity of microforms inspected; (3) the results of the inspection; (4) corrective action taken.**

APPENDIX #1

SAMPLE PROGRAM SPECIFICATION AND REVIEW OUTLINE

SCOPE:	Purpose of program; years to be filmed, estimated time frame for completion.
FILE NAME:	Records series title, including years, with local file heading and series number from 22 NYCRR 104.1; e.g., Misdemeanor case files, 1070-75, Bronx Criminal Court, JRN80010.
AGENCY/DEPARTMENT/ CONTACT PERSON:	
FILE ORIENTATION:	A physical description of the file including arrangement/retrieval method, document size and colors.
FORMAT:	e.g., Roll film, microfiche, jackets, CAR, etc.
FILM SIZE:	e.g., 16mm, 35mm, 105mm.
STYLE/MODE:	e.g., Cine, comic, duplex, duo, etc.
APPLICABLE CAMERA TYPE:	Planetary, Rotary, or Step and Repeat.
FILM REQUIREMENTS:	<ol style="list-style-type: none">a. Reduction ratio2. Background density3. Base + Fog4. Resolution5. Camera film/Mil thickness6. Technical targets
SYSTEM DESIGN:	Description of the process of going from paper to film.
PROCESSING FINISHED LEVEL:	Archival (permanent value) or commercial.

APPENDIX #1 (continued)

**INDEXING/RETRIEVAL
METHOD FOR FILM:**

- a. Sequential numbers
- b. Document mark (blip)
- c. Photo optical code
- d. Bar code
- e. Headers or other information on film

DUPLICATE FILE TYPE:

Diazo, vesicular or silver gelatin

PACKING METHOD FOR:

- a. Camera film - archival
- b. Commercial film
- c. Duplicate film
- d. Fiche/jackets
- e. Packaging markings: Roll #, program name, agency/department, index #s, dates

QUALITY CONTROL STEPS:

CERTIFICATE OF AUTHENTICITY: (See Attached)

APPENDIX #1 - ATTACHMENT

**NEW YORK STATE
UNIFIED COURT SYSTEM**

SAMPLE CERTIFICATE OF AUTHENTICITY

AGENCY _____ **RECORDS SERIES** _____
DEPARTMENT _____ **ITEM NUMBER** _____
PERIOD _____

This is to certify that the microphotographs appearing on this **FILM FILE** are accurate and complete reproductions of the subject file microfilmed in the regular course of operations for the photographing according to established routine departmental policy and procedures.

DECLARATION AND INTENT

I, _____, employed by _____ do hereby declare that the records microfilmed herein are actually records of the _____ created during its normal course of business, and that, it is the express intent and purpose of this Department to destroy or otherwise dispose of the original records microphotographed herein, and that, the destruction of the records microphotographed on this **FILM FILE** is only to be accomplished after inspection of the microfilm to assure completeness of coverage, and that, it is the policy of this Department to microfilm and dispose of original records in accordance with 22NYCRR Part 104 or as part of the planned organizational operating procedures.

Preparation Clerk _____ **Date** _____
Camera Operator _____ **Date** _____
Microfilm Supervisor _____ **Date** _____

APPENDIX #2
SAMPLE MICROFILM INSPECTION REPORT

USER: (Name of Court)
FILES: (Record Series Title(s))
FILMED BY: (Name of Microfilm Company)
INSPECTED BY: (Name of Inspection Company and Individual with Telephone Number)
INSPECTION DATE: (Date of Inspection)

Rolls received: (Enter roll numbers, e.g. 1-16) = (16) **Inspected 25% = (4)**
Number of Rolls Failed = (0) **Number of Rolls Passed = (4)**

<u>Roll #</u> (Enter roll number, size of film and reduction ratio)	<u>Film Date</u> (Enter date microfilmed) <u>MB Cert</u> (Enter date of Methylene Blue Certificate)	<u>Density</u>	<u>Resolution</u>	<u>Remarks</u> (Enter PASSED or FAILED and any additional remarks)
		Base+Fog () Beginning () Ending ()	<u>Beginning:</u> Center () Lower Right Corner () Lower Left Corner () Upper Right Corner () Upper Left Corner () <u>Ending:</u> Center () Lower Right Corner () Lower Left Corner () Upper Right Corner () Upper Left Corner ()	
SAMPLE:				
<u>Roll #</u> 1 16mm 32x	<u>Film Date</u> 10/15/04 <u>MB Cert</u> 10/04/04	<u>Density</u> B+F .03 Beg. 1.09 End 1.16	<u>Resolution</u> Beg C 5.0 LR 4.5 LL 4.5 UL 4.5 UR 4.0 End C 5.0 LR 5.0 LL 4.5 UL 4.5 UR 4.5	<u>Remarks</u> PASSED
<u>Roll #</u> 2 16mm 32x	<u>Film Date</u> 10/14/04 <u>MB Cert</u> 10/04/04	<u>Density</u> B+F .03 Beg. 1.02 End 1.08	<u>Resolution</u> Beg C 5.0 LR 4.5 LL 4.5 UL 4.5 UR 5.0 End C 5.0 LR 4.5 LL 4.0 UL 4.5 UR 4.5	<u>Remarks</u> PASSED
<u>Roll #</u> 5 16mm 32x	<u>Film Date</u> 10/08/04 <u>MB Cert</u> 09/27/04	<u>Density</u> B+F .03 Beg. 0.93 End 1.05	<u>Resolution</u> Beg C 4.5 LR 4.0 LL 4.5 UL 4.5 UR 4.5 End C 5.0 LR 4.5 LL 4.5 UL 4.5 UR 4.5	<u>Remarks</u> PASSED
<u>Roll #</u> 11 16mm 32x	<u>Film Date</u> 10/05/04 <u>MB Cert</u> 09/27/04	<u>Density</u> B+F .03 Beg. 1.06 End 1.13	<u>Resolution</u> Beg C 5.0 LR 4.5 LL 4.5 UL 5.0 UR 5.0 End C 5.0 LR 4.5 LL 4.5 UL 4.5 UR 5.0	<u>Remarks</u> PASSED

NOTE: ITEMS IN "()" ARE TO BE COMPLETED BY VENDOR CONDUCTING TEST ON MICROFILM.