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# MANAGEMENT DIRECTIVE

210.4  
Amended  
Number

## COMMONWEALTH OF PENNSYLVANIA GOVERNOR'S OFFICE

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Subject:

Central Microfilm Management

By Direction Of:



Fritz Bittenbender, Secretary of Administration

Date:

November 18, 2002

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This directive contains policy, responsibilities, and procedures for requesting microfilming, microfilm equipment, and microfilm services. This amendment reflects organizational changes at the Historical and Museum Commission and revised purchasing procedures.

1. **SCOPE.** Applies to all agencies subject to *The Administrative Code of 1929* and to all types of microfilm needs, regardless of the source of funds used to defray costs.

2. **OBJECTIVES.**

- a. To ensure that microfilm is produced and used in the most cost effective and efficient manner, and that its use is promoted wherever it would be advantageous to the Commonwealth.
- b. To ensure that equipment and microforms meet the requirements of a requesting agency.
- c. To ensure that all records are retained in the proper mode for prescribed retention periods.

3. **POLICY.**

a. Section 525 of *The Administrative Code of 1929* requires Executive Board approval to initiate microfilming programs. Filming of additional or revised records in a series already approved does not require Executive Board action.

b. Only those requests for microfilm services, equipment, and systems that are clearly justifiable will be approved.

c. Specifications for microfilm equipment and services, unless obtainable through schedule contracts of the Department of General Services (DGS), are to be written to allow competitive bidding. Exceptions must be justified, in writing, by agency heads and approved by DGS.

d. This directive should be used in conjunction with *Management Directives 210.5, Records Management*, and *210.8, Micrographics Procedures to be Used in Conjunction With Central Microfilm Management*, and other related *Management Directives* and *Information Technology Bulletins*. •

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#### 4. DEFINITIONS.

a. **Conventional microfilming.** A process whereby information in the form of printed or other graphic matter undergoes a reduction through photography and is recorded on film.

b. **Computer output microfilming (COM).** A method of converting data from a computer core or magnetic tape into human readable form and recording it on microfilm.

c. **Microfilm equipment.** Cameras, readers, reader/printers, processors, and peripheral items such as card mounters, jacket stuffers, splicers, and film duplicators necessary to the process of microfilming.

#### 5. RESPONSIBILITIES.

a. **Agency Heads** are to:

(1) Make determination of need for microfilming.

(2) Advise the agency Records Coordinator to evaluate and recommend microfilming systems.

(3) Require periodic evaluation of microfilming programs to ensure that program objectives are being achieved.

(4) Ensure that equipment excess to agency needs is reported to the State Surplus Property Division, DGS.

• b. **Division of Records Administration and Image Services (DRAIS), Pennsylvania Historical and Museum Commission (PHMC),** is to:

(1) Provide consulting services and technical assistance to agencies on microfilming projects and equipment.

(2) Evaluate agency requests to microfilm or to acquire microfilming services or equipment and to approve implementation wherever feasible.

(3) Provide in-house microfilm production on a charge-back basis.

#### 6. PROCEDURES.

• a. Agencies are encouraged to consult with DRAIS when microfilming is being considered or a systems study is contemplated. Determination of need to microfilm is usually based on one or more of the following:

(1) **Space saving.** When the cost of storing records exceeds that of microfilming, a thorough study of records retention periods and comparative costs is necessary.

(2) **Security.** When records vital to the continued operation of an agency can be protected by storing a microfilm copy in a secure location.

• (3) **Preservation.** To preserve records determined by the PHMC to have archival value or scheduled for permanent retention by the agency.

(4) **System or procedural improvement.** To organize, store, retrieve, reproduce, distribute, and display masses of information through the use of microfilm equipment. Comparative studies of microfilm and nonmicrofilm systems, including equipment, space, and personnel costs, should be performed.

**Procedure 1. To be followed when requesting approval from the Executive Board to initiate micro-filming activity.**

**a. Agency.**

(1) When a microfilming application is initially considered, contacts the DRAIS for advice and assistance in a preliminary review of the application. •

(2) For COM, contacts the Document Imaging Services Center (DISC) to schedule production. If DISC is unable to meet requirements, go to Procedure 2. For all other applications, go to paragraph (3). •

(3) If microfilming appears advisable, completes Form STD-65, Microfilm Requirement Analysis.

(4) Prepares specifications for services, equipment, or both to obtain vendor proposals or in-house service.

(5) Prepares Forms STD-56, Records Retention Schedule Addition or Amendment, STD-58, Request for Records Action, and STD-57, Inventory and Analysis (if new series are added to the schedule), to obtain Executive Board approval. •

(6) Sends to DRAIS. •

- STD-56
- STD-57 (if necessary) •
- STD-58
- STD-65

**b. DRAIS.** •

(1) Evaluates Forms STD-56, STD-58, STD-65, and related supporting material.

(2) Reviews requests and sends forms to the Division of Archival and Records Management Services (DARMS). •

**c. DARMS.** Appraises records for archival value and returns forms to DRAIS. •

**d. DRAIS.** •

(1) Sends recommendations to the Executive Board.

(2) Upon approval by the Executive Board, forwards Executive Board resolution to agency for implementation. •

**e. Agency.** Meets with DISC staff to schedule in-house production. If DISC is unable to meet requirements, go to Procedure 2. If microfilming equipment is required, go to Procedure 3. •

**Procedure 2. To be followed when requesting approval to obtain contractual microfilm services.**

**a. Agency.** Obtains approval to contract for microfilm services by submitting detailed technical specifications to DRAIS. All requests to obtain contracted microfilm services and renewals must be reviewed and approved by DRAIS. •

- **b. DRAIS.**
- **(1)** Evaluates request to ensure that technical specifications include reference/adherence to current *Management Directives*, ANSI/AIIM Standards, and applicable *Information Technology Bulletins*.
- **(2)** Returns request to agency.
- **c. Agency.** Upon receipt of approval, continues process in accordance with current purchasing procedures.

**Procedure 3. To be followed when requesting approval to acquire microfilm equipment (including equipment through State Surplus Property).**

- **a. Agency.**
  - (1)** Analyzes needs of requesting unit.
  - (2)** Prepares Form STD-66, Request to Acquire Microfilm Equipment.
  - (3)** Sends Form STD-66 to DRAIS (original and copy 2).
- **b. DRAIS.**
  - (1)** Evaluates Form STD-66 and approves or disapproves.
  - (2)** Returns Form STD-66 to agency.

Requests for microfilming, microfilm equipment, and microfilm services are to be sent to the:

- Division of Records Administration and Image Services
- Pennsylvania Historical and Museum Commission
- 1825 Stanley Drive
- Harrisburg, PA 17103

**This directive replaces, in its entirety, Management Directive 210.4 dated January 4, 1993, which should be recycled.**