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TITLE 60 OVERSIGHT COMMITTEE ON PUBLIC RECORDS

Proposed Rule LSA Document #02-261

DIGEST

Amends 60 IAC 2 concerning microfilming standards. Adds 60 IAC 2-2-3.1 concerning the preparation of documents for microfilming. Adds 60 IAC 2-2-5.1 concerning notice and certification of destruction of records. Repeals 60 IAC 2-1-2, 60 IAC 2-1-3, 60 IAC 2-2-6, and 60 IAC 2-2-7. Effective 30 days after filing with the secretary of state.

60 IAC 2-1-1	60 IAC 2-2-3.1
60 IAC 2-1-2	60 IAC 2-2-4
60 IAC 2-1-3	60 IAC 2-2-5
60 IAC 2-2-1	60 IAC 2-2-5.1
60 IAC 2-2-2	60 IAC 2-2-6
60 IAC 2-2-3	60 IAC 2-2-7

SECTION 1. 60 IAC 2-1-1, AS READOPTED AT 25 IR 1268, SECTION 1, IS AMENDED TO READ AS FOLLOWS:

60 IAC 2-1-1 Purpose

Authority: IC 5-15-5.1-8; IC 5-15-5.1-20

Affected: IC 5-15-5.1-1; IC 5-15-5.1-5

Sec. 1. (a) The purpose of these ~~microfilm~~ **microfilming** standards is to create minimum legal, legibility, permanency standards for source document microfilm ~~with a retention period of more than fifteen (15) years;~~ generated by agencies subject to IC 5-15-5.1-1. ~~These microfilming standards are consistent with the microfilming standard approved by the Indiana state supreme court as Administrative Rule 6.~~

(b) ~~This article does not apply to computer-output microforms nor does it apply to records filmed for administrative purposes with a retention schedule of fifteen (15) years or less. (Oversight Committee on Public Records; 60 IAC 2-1-1; filed Feb 23, 1987, 11:30 a.m.: 10 IR 1358; filed Dec 19, 1988, 4:45 p.m.: 12 IR 1086; readopted filed Dec 2, 2001, 12:20 p.m.: 25 IR 1268)~~

SECTION 2. 60 IAC 2-2-1, AS READOPTED AT 25 IR 1268, SECTION 1, IS AMENDED TO READ AS FOLLOWS:

60 IAC 2-2-1 Application of standards

Authority: IC 5-15-5.1-5; IC 5-15-5.1-20

Affected: IC 5-15-5.1-19

Sec. 1. All agencies, as defined by IC 5-15-5.1, shall meet the standards set forth under this article regarding the use of microfilm for the preservation of any record generated by that agency. Only those records or record series ~~which that~~ have been approved by the oversight committee on public records under IC 5-15-5.1-19 ~~implementing IC 5-15-5.1-12;~~ shall be eligible for microfilming. *(Oversight Committee on Public Records; 60 IAC 2-2-1; filed Feb 23, 1987, 11:30 a.m.: 10 IR 1359; filed Dec 19, 1988, 4:45 p.m.: 12 IR 1088; readopted filed Dec 2, 2001, 12:20 p.m.: 25 IR 1268)*

SECTION 3. 60 IAC 2-2-2, AS READOPTED AT 25 IR 1268, SECTION 1, IS AMENDED TO READ AS FOLLOWS:

60 IAC 2-2-2 Definitions

Authority: IC 5-15-5.1-5; IC 5-15-5.1-8; IC 5-15-5.1-20

Affected: IC 5-15-5.1-1; IC 5-15-5.1-18

Sec. 2. The following definitions in this section shall apply throughout this article:

~~(a)~~ (1) "AIIM" means Association for Information and Image Management.

~~(b)~~ (2) "ANSI" means American National Standards Institute.

(3) "Critical records" has the meaning set forth at IC 5-15-5.1-1.

(4) "ISO" means International Organization for Standardization.

(5) "LE" means life expectancy.

~~(c)~~ "MS" means microfilming standards.

~~(d)~~ (6) "Microfilm", when used as a noun, means a photographic film containing an image greatly reduced in size from the original, and when used as a verb, means the recording of microphotographs on film.

~~(e)~~ (7) "Microform" is a generic term for any form, usually film, which contains microimages.

~~(f)~~ "NMS" means National Micrographics Standards.

~~(g)~~ "PH" means photographic standards.

~~(h)~~ "Target" means any document or chart containing identification information, coding, or test charts. A target is an aid to technical or bibliographical control which is photographed on the film proceeding or following the document.

~~(i)~~ "Standard" means a uniformly accepted set of compliances to a predefined norm.

~~(j)~~ "Specifications" means a set of requirements to be satisfied; and whenever appropriate, the procedure which proves that the requirements given are satisfied.

~~(k)~~ "Records series" means a group of related documents, either as to form or content, which are arranged under a single filing system, or kept together as a unit because they:

(1) consist of the same form;

(2) relate to the same subject;

(3) result in the same activity; and

(4) have certain physical characteristics (tapes, discs, microforms).

(8) "MS" means microfilming standards.

(9) "Oversight committee" means the oversight committee on public records under IC 5-15-5.1-18.

(10) "PIMA" means Photographic & Imaging Manufacturers Association, Inc.

~~(b)~~ (11) "Record retention schedules" means a series of documents governing, on a continuing basis, the retention and disposition of recurring record series of an agency, court, or organization.

(12) "Record series" means a group of related documents, either as to form or content, which are arranged under a single filing system, or kept together as a unit because they:

(A) consist of the same form;

(B) relate to the same subject;

(C) result in the same activity; and

(D) have certain physical characteristics (tapes, discs, microforms).

~~(m)~~ (13) "Reproduction" means the process of making an exact copy from an existing document.

(14) "Standard" means a uniformly accepted set of compliances to a predefined norm.

(Oversight Committee on Public Records; 60 IAC 2-2-2; filed Feb 23, 1987, 11:30 a.m.: 10 IR 1359; filed Dec 19, 1988, 4:45 p.m.: 12 IR 1088; readopted filed Dec 2, 2001, 12:20 p.m.: 25 IR 1268)

SECTION 4. 60 IAC 2-2-3, AS READOPTED AT 25 IR 1268, SECTION 1, IS AMENDED TO READ AS FOLLOWS:

60 IAC 2-2-3 Documentation

Authority: IC 5-15-5.1-5; IC 5-15-5.1-8; IC 5-15-5.1-20

Affected: IC 5-15-5.1

Sec. 3. A formal written documentation file shall be created and retained for the life of the microfilm based upon an approved retention schedule documenting the following:

- (1) The authority to microfilm specifically enumerated records.
- (2) The arrangement of originals to be microfilmed.
- (3) Any weeding policy of documents to determine what papers from the file will be placed on microfilm.
- (4) Any contracts with agents of record custodians, in-house or vendor, who will perform the actual microfilming.
- (5) The reproduction process employed to assure accuracy.
- (6) Verification of the microfilm for completeness and legibility **according to the following standards as approved by the oversight committee in record retention schedules:**

(A) **Level A, frame-by-frame verification of microfilm containing the following records:**

- (i) **Critical records.**
- (ii) **Records that document the continuing protection of public and private rights.**
- (iii) **Records that are significant to the functions of government.**

(B) **Level B, proof of verification by performing a cross-check of microfilm of the following records with original records by order or arrangement:**

- (i) **Records that are not critical records.**
- (ii) **Records that document the performance of agency functions.**

(C) **Level C, verification by comparing a significant sample of documents to microfilm for all other records not covered under Levels A and B. If any errors are detected, verification shall be made under Level B.**

(7) The justification for the microfilming of the originals, ~~i.e.,~~ **that is**, space reduction, security, and the written process for the destruction of originals as authorized by an approved retention schedule.

(8) The identity of persons who supervised the microfilming procedures who are capable of giving evidence of these procedures.

(9) The retention schedule for the documentation matching the length of time of the microform.

(10) Certification of compliance with this section to the director, Indiana commission on public records.

(Oversight Committee on Public Records; 60 IAC 2-2-3; filed Feb 23, 1987, 11:30 a.m.: 10 IR 1359; filed Dec 19, 1988, 4:45 p.m.: 12 IR 1089; readopted filed Dec 2, 2001, 12:20 p.m.: 25 IR 1268)

SECTION 5. 60 IAC 2-2-3.1 IS ADDED TO READ AS FOLLOWS:

60 IAC 2-2-3.1 Preparation of documents for microfilming

Authority: IC 5-15-5.1

Affected: IC 5-15-5.1

Sec. 3.1. Agencies shall prepare documents for microfilming as follows:

- (1) Organization of documents.**
- (2) Preparation of an index to be submitted with the documents.**
- (3) Removal of staples, paper clips, or other fasteners.**

(Oversight Committee on Public Records; 60 IAC 2-2-3.1)

SECTION 6. 60 IAC 2-2-4, AS READOPTED AT 25 IR 1268, SECTION 1, IS AMENDED TO READ AS FOLLOWS:

60 IAC 2-2-4 Legibility

Authority: IC 5-15-5.1-1; IC 5-15-5.1-5; IC 5-15-5.1-8; IC 5-15-5.1-20

Affected: IC 5-15-5.1

Sec. 4. (a) Resolution in a microfilm system for documents shall be tested for resolution capability, upon installation, by use of a camera test chart ~~such as the "Rotary Camera Test Chart", ANSI/AHM MS112-1983 and ANSI/AHM MS113-1983; "The Planetary Camera Test Chart", AHM MS303-1980;~~ **provided in ANSI/AIIM MS23-1998.** Micrographics systems used for agency records must meet the following standards:

- (1) A micrographic system for documents must produce a quality index level of not less than 5.0 for first-generation

microfilm as measured according to ~~ANSI/NMA MS23-1983~~; **ANSI/AIIM MS23-1998**. In applying this ANSI standard, a lowercase letter “e” height of one and four-tenths (1.4) millimeters or less must be used.

(2) All pattern groups on the camera test chart must be read. The smallest line pattern, which corresponds to the highest number, in which both horizontal and vertical lines are clearly discernible is the resolving power of that pattern group.

(3) The film used in reading the camera test chart must be processed to the density standard in subsection (b).

(b) Density in microfilm systems used for agency records must meet the following standards:

(1) Background density in first-generation negative microfilm of documents must be maintained as nearly as practical in the range of 0.92 to 1.20. No density over 1.25 or under 0.87 is allowed.

(2) If a density in first-generation negative microfilm of documents occurs in the ranges 0.87 to 0.91 or 1.21 to 1.25, the records custodian shall determine by visual inspection that all such images satisfactorily reproduce all required record information.

(3) The density of microfilm in a clear area (base plus fog density or Dmin) must not be greater than 0.10.

(c) Reduction ratio in microfilm systems for agency records must meet the following standards:

(1) For microfilming of documents, a ratio of 25:1 or 24:1 or less is required.

(2) A reduction ratio for microfilm of documents of greater than 25:1 may be used only if the micrographic system can maintain the required quality index at the higher reduction.

(d) “Standard Recommended Practice—Production, Inspection, and Quality Assurance of First Generation, Silver Microforms of Documents”, ANSI/AIIM MS23-1998 is hereby incorporated by reference. Copies of this publication may be obtained by writing to AIIM, 1100 Wayne Avenue, Suite 1100, Silver Spring, Maryland 20910. (Oversight Committee on Public Records; 60 IAC 2-2-4; filed Feb 23, 1987, 11:30 a.m.: 10 IR 1360; errata, 10 IR 1884; filed Dec 19, 1988, 4:45 p.m.: 12 IR 1089; readopted filed Dec 2, 2001, 12:20 p.m.: 25 IR 1268)

SECTION 7. 60 IAC 2-2-5, AS READOPTED AT 25 IR 1268, SECTION 1, IS AMENDED TO READ AS FOLLOWS:

60 IAC 2-2-5 Permanency

Authority: IC 5-15-5.1-5; IC 5-15-5.1-8; IC 5-15-5.1-20

Affected: IC 5-15-5.1

Sec. 5. For records requiring permanent retention, based on an approved retention schedule, the following shall apply:

(1) Raw stock microfilm shall **meet the requirements of ANSI/AIIM MS23-1998 and be of a safety-based permanent record film meeting specification of American National Standards Institute PH1.25-1984: capable of an LE 500-year rating, be polyester based, and include an anti-halation dye system to prevent light scattering and fogging.**

(2) The camera-generated master negative microfilm shall be silver-halide, silver-gelatin, meeting the permanency requirements of ~~American National Standards Institute PH1.28-1984 and PH1.41-1984~~; **ISO 18917.**

(3) Camera-generated negatives must be processed according to ISO 18917.

~~(3) (4)~~ **(4)** Residual thiosulfate on the film must be measured using the methylene blue test and meet ~~American National Standards Institute PH4.8-1985~~; **ANSI/AIIM MS23-1998.**

~~(4) (5)~~ **(5)** The master microfilm record meeting the above criteria shall be stored at a site other than the producing agency’s structure, in a fire-proof vault, ~~meeting American National Standards Institute PH1.43-1985~~; **in accordance with ANSI/PIMA IT9.11-1998.**

~~(5) (6)~~ **(6)** In addition to the master microfilm record, which is a security copy, the agency may provide working copies of the microfilm. These may be on silver, diazo, vesicular, dry silver, or transparent electro-photograph film, on a safety base of cellulose ester or polyester material.

(7) “Photography—Determination of residual thiosulfate and other related chemicals in processed photographic materials—Methods using iodine-amylose, methylene blue and silver sulfide”, ISO 18917 (First edition 1999-0601) is hereby incorporated by reference. Copies of this publication may be obtained by writing to ISO, Case postale 56, 1211 Geneva 20, Switzerland.

(8) “Standard Recommended Practice—Production, Inspection, and Quality Assurance of First Generation, Silver

Microforms of Documents”, ANSI/AIIM MS23-1998 is hereby incorporated by reference. Copies of this publication may be obtained by writing to AIIM, 1100 Wayne Avenue, Suite 1100, Silver Spring, Maryland 20910.

(9) “Processed Safety Photographic Films—Storage”, ANSI/PIMA IT9.11-1998 is hereby incorporated by reference. Copies of this publication may be obtained by writing to ANSI, 11 West 42nd Street, New York, New York 10036.

(Oversight Committee on Public Records; 60 IAC 2-2-5; filed Feb 23, 1987, 11:30 a.m.: 10 IR 1360; filed Dec 19, 1988, 4:45 p.m.: 12 IR 1090; readopted filed Dec 2, 2001, 12:20 p.m.: 25 IR 1268)

SECTION 8. 60 IAC 2-2-5.1 IS ADDED TO READ AS FOLLOWS:

60 IAC 2-2-5.1 Notice and certification of destruction

Authority: IC 5-15-5.1-5; IC 5-15-5.1-8; IC 5-15-5.1-20

Affected: IC 5-15-5.1

Sec. 5.1. (a) Records that have been microfilmed in accordance with this rule may be destroyed or otherwise disposed of only after:

- (1) the agency files a destruction notice with the oversight committee certifying that the records have been microfilmed in accordance with this rule; and**
- (2) the oversight committee issues a written authorization for the destruction of such records.**

(b) The oversight committee shall provide a form for this purpose. *(Oversight Committee on Public Records; 60 IAC 2-2-5.1)*

SECTION 9. THE FOLLOWING ARE REPEALED: 60 IAC 2-1-2; 60 IAC 2-1-3; 60 IAC 2-2-6; 60 IAC 2-2-7.

Notice of Public Hearing

Under IC 4-22-2-24, notice is hereby given that on January 23, 2003 at 10:00 a.m., at the Indiana Government Center-South, 402 West Washington Street, Indiana Arts Commission Conference Room, Room W072-076, Indianapolis, Indiana the Oversight Committee on Public Records will hold a public hearing on proposed amendments concerning microfilming standards, new provisions concerning the preparation of documents for microfilming and providing for notice and certification of destruction of records, and repeals 60 IAC 2-1-2, 60 IAC 2-1-3, 60 IAC 2-2-6, and 60 IAC 2-2-7. Copies of these rules are now on file at the Indiana Government Center-South, 402 West Washington Street, Room W472 and Legislative Services Agency, One North Capitol, Suite 325, Indianapolis, Indiana and are open for public inspection.

Anne Mullin O'Connor
Member
Oversight Committee on Public Records