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Washington, DC  
February 1991



*National Archives  
and Records Administration*

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**A NARA EVALUATION**

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THE MANAGEMENT OF  
AUDIOVISUAL RECORDS  
IN THE AGENCY FOR  
INTERNATIONAL  
DEVELOPMENT

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# EXECUTIVE SUMMARY

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This evaluation was done under the authority granted to NARA by 44 U.S.C. 2904(c)(7) "to conduct inspections or surveys of the records and the records management programs and practices within and between Federal agencies." For this evaluation, audiovisual records were defined as still and motion pictures, video and sound recordings, and posters. The evaluation focused on how these records are created, maintained, preserved, and transferred to the National Archives. It also involved the identification of specific series of audiovisual records, either recommended for immediate transfer or for transfer at a future date.

Since a 1981 records management evaluation by NARA, the Agency for International Development (AID) has considerably improved its records management program. It now has approved records schedules for headquarters and overseas missions and has a full staff of nine records management analysts. Thus, many of the elements are now in place for effective management of audiovisual records, but a number of significant problems remain. Although most of the audiovisual records are now scheduled, AID has not applied either the cutoff or transfer instructions to any of its files stored in-house. Other than the schedule, there are no agency-wide directives concerning the management of audiovisual records, and many of the provisions of 36 CFR 1232, NARA's regulations in this area, are not in use throughout the Agency.

There are three primary offices that deal with audiovisual records: the Bureau of External Affairs (XA); the Training Division, Development Resources Center (PM/TD/PCT); and the Center for Development Information and Evaluation, Development Information Division (PPC/CDIE/DI). This report includes a number of recommendations for each of these offices to ensure the long-term protection and preservation of audiovisual records for use by AID and their eventual transfer to NARA as a record of AID activities.

NARA's recommendations include:

- The development of appropriate finding aids and inventories;
- The application of the schedule to all audiovisual records in agency custody;
- The review of audiovisual records, particularly still and motion pictures, for transfer to NARA of those that are no longer needed for current agency business; and
- The issuance of appropriate agency-wide guidelines for the management of audiovisual records, and improved maintenance according to NARA regulations.

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# INTRODUCTION

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## BACKGROUND AND PURPOSE

The National Archives and Records Administration (NARA) recently completed an evaluation of the management of permanent audiovisual records in five Federal agencies. In addition to the Agency for International Development (AID), the agencies evaluated were the U.S. Army Corps of Engineers, the National Aeronautics and Space Administration (NASA), the National Park Service (NPS), and the Peace Corps. These agencies were selected because of the depth and importance of their audiovisual holdings and because they represent a range of Federal programs that generate and use audiovisual records.

This evaluation was done under the authority granted to NARA by 44 U.S.C. 2904(c)(7) "to conduct inspections or surveys of the records and the records management programs and practices within and between Federal agencies." The primary focus of this evaluation was on permanent or potentially permanent records series.

For this evaluation, audiovisual records were defined as still and motion pictures, video and sound recordings, and posters. The evaluation focused on how these records are created, maintained, preserved, and transferred to the National Archives. It also involved the identification of specific series of audiovisual records, either to be reviewed for immediate transfer or to be tracked by NARA for transfer at a future date.

Audiovisual records are crucial in documenting agency activities, and their use is becoming more widespread. At the same time they are fragile, and often require special care. NARA has recently published regulations for the management and disposition of these records. This evaluation report provides recommendations to AID on improving the management, protection, and transfer to the National Archives of its audiovisual records. In conjunction with this and other individual agency reports, NARA is issuing a general report, with recommendations, on the management of permanent audiovisual records in the Federal Government.

This evaluation also has been a means for NARA to assess the effectiveness of its regulations, to look at major trends and issues in relation to audiovisual records, and to determine what additional guidance and services NARA may usefully provide to agencies in this area.

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## AGENCY PROGRAM REQUIREMENTS

According to 44 U.S.C. 3101 and 3102, Federal agencies are required to make and preserve adequate and proper documentation and to establish and maintain an active and continuing records management program. As part

of these responsibilities, agencies are required to cooperate with NARA in order to “promote the maintenance and security of records deemed appropriate for preservation [44 U.S.C. 3102(2)].”

Agency responsibilities for adequate documentation and records management must be carried out according to NARA regulations in 36 CFR, Chapter XII, Subchapter B—Records Management. Part 1232 of this subchapter specifically addresses audiovisual records management, and Part 1228.184 contains the requirements for transferring audiovisual records to the National Archives.

After 30 years, the Archivist of the United States is authorized by 44 U.S.C. 2107 to direct and effect the transfer to NARA of permanent records, unless the agency head certifies in writing to the Archivist that the records are needed to conduct the regular current business of the agency.

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## **FORMAT**

This report is divided into three parts: Agency Overview, Audiovisual Records Management, and Summary of Recommendations.

In addition, this report has four appendixes. The first lists series of audiovisual records that should be offered for immediate transfer to the National Archives. The second appendix reproduces the NARA regulations governing audiovisual records, and the third is the questionnaire used as a guide during the evaluation process. The last appendix details agency followup procedures to the recommendations in this evaluation report, as specified in 36 CFR 1220.50.

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# I. AGENCY OVERVIEW

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## MISSION AND ORGANIZATION

The Agency for International Development (AID) carries out economic assistance programs in developing countries based on the Foreign Assistance Act of 1961, as amended, and, in cooperation with the Departments of State and Agriculture, the provisions of the Agricultural Trade Development and Assistance Act of 1954, as amended. The Agency also conducts humanitarian relief activities in conjunction with other nations and private, charitable organizations. AID has economic assistance operations in more than 60 countries.

The NARA evaluation team visited the following headquarters offices: Bureau of External Affairs; Bureau of Personnel and Financial Management, Training Division, Development Resources Center; and the Bureau for Program and Policy Coordination, Center for Development Information and Evaluation, Development Information Division.

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## RECORDS MANAGEMENT BACKGROUND

The records management program in AID was evaluated by the National Archives in 1981. NARA found the AID program to be deficient in a number of areas, the most serious being the failure to provide effective controls for the management of records and the lack of a current, comprehensive records control schedule. To remedy these deficiencies, NARA made several recommendations to AID: revise and enforce the provisions of AID Handbook 21, Part III, Chapter 1, covering the Management of Current and Retired Records; revise the chapters of AID Handbook 21, Part III on Files Maintenance, Records Disposition, and Emergency Relocation Vital Records Programs to reflect current regulations and agency procedures; and develop a functional comprehensive records disposition schedule.

At the time of the report, AID had already taken steps to improve its programs, and significant progress has been made since that time. Since 1986, comprehensive records disposition schedules for records of its headquarters (AID/W) and overseas missions (USAID) have been approved by NARA. A revised version of AID Handbook 21, Part III was issued in October 1987. Records management is currently fully staffed with nine management analysts, one of whom is responsible for audiovisual records management.

In terms of audiovisual records, the 1981 evaluation exposed two critical maintenance problems for motion pictures: uncoordinated and uncontrolled distribution and the lack of control over original material. In addition, permanent videotapes of the defunct overseas mission interview program had been partially erased, and the staff had not determined which of the material was blank and which contained the original production.

NARA had previously accessioned the audio portion of the first 272 issues of this program. Finally, there were a number of problems with the maintenance of photographic records.

NARA made three recommendations in this area. First, that the Agency inventory original motion picture material stored in contractor facilities and centralize control over distribution of films. Second, that it review its videotapes and separate blank material from permanent records. Third, that it improve the maintenance of still photograph files by using file breaks, separating acquired photographs from Agency-produced photographs, and providing better captions.

By June of 1985 the first two of these recommendations had been completed. In terms of the third, a former member of the records management staff had prepared a draft of maintenance guidelines, as well as a glossary for audiovisual records. NARA's Office of Records Administration reviewed the draft and returned it to AID with comments commending the thoroughness of the draft and suggesting some revisions. Unfortunately, the employee who created the draft has been reassigned, and the draft has not been revised and issued.

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## **TRANSFERS TO THE NATIONAL ARCHIVES**

In 1985, AID offered NARA 388 cubic feet of 16mm motion picture film prints, dated 1937 through 1974, formerly held in AID's Film Loan Library. NARA selected approximately 240 titles for permanent retention, and the films were transferred in 1988. The films were primarily used distribution prints and a smattering of preprint material. The films highlight U.S. assistance to India, Libya, Ecuador, Indochina, Sudan, Ethiopia, Paraguay, Thailand, Indonesia, and Afghanistan and include topics such as education, agriculture and medicine. The films also illustrate U.S. military assistance programs and cooperation in the North Atlantic Treaty Organization and the Southeast Asia Treaty Organization. Several other accessions of motion picture film stored at the Washington National Records Center are scheduled for transfer to NARA in the next several years.

NARA's Motion Picture, Sound, and Video Branch has approximately 5 cubic feet of audiotape records, 1952-70, containing speeches, interviews, and press conferences of AID Administrators; proceedings of AID policy committees; and recordings of AID-sponsored conferences, field interviews, programs, activities, and ceremonial occasions. In addition, the Branch has the 272 master audiotape recordings mentioned above.

The Still Picture Branch of the National Archives has approximately 31,000 photographs taken by AID and its predecessor agencies to document its economic recovery programs in Western Europe under the Marshall Plan for the period 1948 to 1967.

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## II. AUDIOVISUAL RECORDS MANAGEMENT

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### GENERAL

Despite the considerable improvement in its records management program since the 1981 evaluation, the management of audiovisual records in AID has some significant problems. Other than the provisions in the schedule, there are neither Agency-wide directives nor guidelines relating to the management of audiovisual records. The records management staff was unaware of the provision of 36 CFR 1232, NARA's regulations on audiovisual records management, which are consequently not in use in the Agency. The staff, which conducts training in records management and schedule implementation, has only recently begun to concentrate on the management of the audiovisual program in AID.

When the AID records schedules were prepared by a contractor, the Agency made a deliberate effort, at NARA's recommendation, to make the audiovisual portions sufficiently specific to Agency programs to allow the staff to implement the schedules easily. Items are differentiated by medium such as videotapes, motion pictures, still photography, and film strips. Within each category, the schedule describes subjects appropriate for permanent retention (those relating to the overall program in a country or region; those with controversial subjects such as birth control or counter insurgency training; those showing the impact of AID programs on foreign societies) and subjects considered disposable (management training or "how-to" films not specific to the mission of AID). The schedules list record elements for audiovisual records and provide cutoff and transfer dates on a calendar year basis (e.g., cut off annually; transfer when 10 years old). So far, however, AID has not attempted to apply either the cutoff dates or the transfer instructions to any of the files stored in-house. The schedule for Overseas Missions does not include audiovisual records. Missions are supposed to be forwarding all audiovisual records of permanent value to AID/W and apply General Records Schedule 21 to all other records, but they have no specific guidance in this process.

Posters are not scheduled for disposition in the records schedule. They are generated and maintained by the individual project offices, such as the Security Office. The Printing Office in AID has the only extant collection of AID posters, although it is probably not complete.

There are two major collections of audiovisual records within AID. These collections are located in the Bureau of External Affairs (XA) and in the Development Resources Center, Training Division (PM/TD/PCT). A special

project for tracking videotapes is being developed in the Center for Development Information and Evaluation, Development Information Division (PPC/CDIE/DI).

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## **BUREAU OF EXTERNAL AFFAIRS (XA)**

The mission of the Bureau of External Affairs is to tell the AID story to the public. The office supplies individual copies of videotapes to the public through libraries, loans copies to schools and organizations, researches tapes for the public, and allows the general public to view both finished productions and raw footage in-house. Members of the public wishing to use AID-produced footage in other film productions must fill out forms explaining their need for the footage and its planned use.

XA maintains collections of videotapes (both dubbings and masters), off-air recordings, stock footage, unedited film, black and white still photographs (prints and negatives), and color slides. AID no longer produces motion picture film.

### **Videotapes**

The Director of Publications (XA/P) is both Chairperson and Executive Director of the Communications Review Board (CRB) which gives approval for all video projects in AID. Through the CRB, the Director is aware of most Agency productions. Copies of edited masters for approved productions may be deposited with XA; however, XA does not automatically receive either the edited master or a dubbing. The master may reside with either the contractor or with the office producing the videotape. Videotapes are held by multiple contractors. The contract language specifies that records produced by the contractor belong to AID. Overseas missions seek permission from the CRB for any filming projects and send copies of the finished production to XA. Annual accumulation from the missions has been about 10-12 videotapes per year.

AID projects may be filmed by outside sources such as state universities or contractors not hired by AID. The Agency may acquire prints of those productions which may then be subject to copyright laws. Mission staff members make personal videos but often of a quality not adequate for Agency use.

Off-air recordings are videotape copies of television programs on which AID officials appear. The recordings are available from three sources: direct taping from television by XA on Beta or VHS format; requests to the State Department Special Projects Office; or purchase from the networks through the AID Press Office. XA compiles portions of off-air broadcasts on 3/4-inch tape for storage.

## **Finding Aids**

All videotapes are arranged numerically. Finished productions and stock footage are described on background sheets arranged numerically in a notebook. The description includes subject, length, format, color/black-and-white, and a brief synopsis. The list is not computerized. Each production usually has a shoot list tucked into the tape container.

Off-air productions are described in a notebook arranged both numerically and alphabetically by the name of the television station on which the show aired.

## **Videotape and Film Storage and Distribution**

Raw videotape footage sits totally disorganized in a basement storage room. There is a serious processing backlog of approximately 500 videotapes (1" x 1650'). XA planned to have a contractor come in from January to March to sort and identify the raw footage. The work has been delayed while the office tries to find space for the contractor to work and to store the videotapes as they are processed. As soon as suitable space is located, the project will begin.

Approximately 250-260 tapes of finished productions are stored on site in four metal closets in the same room as the videotape equipment. Temperature and humidity controls are those prevailing in the office environment.

There are 16 titles, in both film and video format, on deposit at the National Audiovisual Center (NAC). None of AID's current audiovisual program staff was aware that the films and videotapes are in circulation. No one at AID is reviewing the titles for currency, withdrawing outdated material, and depositing new titles. The films at NAC date from the late 1970's through 1981 and are not duplicated in the titles accessioned by NARA or the titles available in AID's Development Resources Center.

## **Still Photography**

AID employs one professional photographer at AID/W who has been on the staff since the Agency was created. In the past, the Agency has employed photographers to document projects at the overseas missions. Now, most photography in the field is done by AID staff incidental to other assignments. The XA staff members are not professional photographers, nor are they ever sent out to the field specifically to take pictures. Mission staff are given short (2-hour) courses on the use of photography to document projects. XA has planned a photography briefing for Mission Directors.

A number of staff members in the Office of Foreign Disaster Assistance (OFDA) have personal collections of photographs from which the Agency occasionally borrows. Professional photographers offer their services on contract, and occasionally AID "buys" a day of shooting from them. In such cases, AID owns the photographs, and there is no problem with copyright. Missions will sometimes contract for photographic documentation of a project. The contractor will deposit the photographs with the mission. Some mission staff are talented photographers and will donate copies of their

photographs to the mission. In 1988, AID/W loaned nine cameras to missions, but it is too early to gauge the success of the program. AID/W has not been keeping close track of photographs in the missions.

The photographic collection at AID/W has never been cut off. Many of the photographs are considered to be of continuing use because they do not portray individual AID employees and because customs, modes of dress, and methods of doing things change very slowly in developing countries.

Photographs that document successful programs are also considered to be of continuing use. For example, because Korea is now a developed nation, photographs of the AID presence point to the success of the Agency's programs. In other cases, programs have been terminated for political reasons, such as those in Iran and Afghanistan, so the Agency wants to keep the photographs for reference in case the programs reopen.

The AID photographic collection has significant reference use both inside and outside the Agency, world-wide. Reference use is approximately 60-percent Agency, 40-percent public. Internally the photographs are used in brochures, publications, and reports to Congress. Externally, they are used by the press and in textbooks. AID does not loan its black-and-white negatives but provides reference prints at no cost. Duplicate color slides are provided at cost for reference. Occasionally both duplicate and original slides are loaned to reliable users. AID recognizes the difficulties of loaning original slides and does so only when there are time constraints preventing duplication of the slides. The AID staff is concerned about inadequate finding aids, given the number of reference requests and the nature of the requests, which are often by subject or project rather than country.

The still photographs collection consists of approximately 2,000 negatives, 1,000 prints, and 1,000 contact sheets, arranged alphabetically by country. Negatives and prints are filed together in folders in filing cabinets with no separation of historically significant from routine subjects. In the past, negatives were stored with a contractor, but all are now stored in-house according to the AID photographer. The photographs are not in acid-free jackets, and temperature and humidity controls are those prevailing in the office space.

A collection of approximately 1,000 color slides is arranged by country and filed in ring binders, not in inert plastic sleeves. Some of the sleeves appear to be adhering to the slides.

### **Finding Aids**

The 1981 NARA inspection team noted that the Press and Publications Division in the Office of Public Affairs exercised good control over still photographic negatives maintained in its contractor's laboratory. While there were difficulties with the maintenance of the office files, a basic inventory of original record elements was maintained by numerically

keying the prints to negatives held by the contractor. This control has been lost with the return of the negatives to office storage. According to the Director of Publications, there are no indexes to the photography, and retrieval relies on the alphabetical country arrangement and staff memory. The Agency realizes it needs better cataloging and indexing to prevent excessive dependence on individual memories, but funds and staff resources have not been available.

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## **NARA RECOMMENDATIONS FOR XA**

- Recommendation A-1** Inventory and organize accumulated videotape and motion picture raw footage, improve its storage conditions, and create a tracking system for future accumulations.
- Recommendation A-2** Implement those portions of the records schedule that apply to audiovisual records to eliminate the backlog of uncontrolled records. Permanent and temporary records should be identified according to the guidelines in the schedule, and appropriate cutoffs and transfers should be applied to the records. If any schedule descriptions or instructions are difficult to implement, the schedules should be modified so that they can easily be applied to specific bodies of records.
- Recommendation A-3** Create finding aids for still photography and identify and separate the collection into historically valuable and routine categories. NARA suggests developing an electronic data base that allows retrieval by subject, project, or country.
- Recommendation A-4** Assess the photography collection to determine what portions have the least reference use, and transfer these to the National Archives. NARA can handle all external reference, thus freeing both time and space for AID to devote to the records in current use within the Agency.
- Recommendation A-5** Take immediate steps to place all photographic records in acid-free or inert plastic containers. NARA can provide information about obtaining archival quality storage materials. AID needs to work toward bringing its storage of these records into full compliance with NARA regulations.
- Recommendation A-6** Develop a mechanism for missions to report regularly on the accumulation of still photography and to transfer either to AID/W or to the National Archives the historically significant portions of mission photography. Specific written guidelines for adequate photographic documentation and for captioning need to be developed. The schedule for overseas missions should be amended to include audiovisual records.

**Recommendation A-7** Amend the draft guidelines for the maintenance of audiovisual records, as recommended by NARA in 1985, and issue them throughout the Agency.

**Recommendation A-8** Films and videotapes deposited at the National Audiovisual Center should be reviewed on a regular basis and withdrawn when they are out of date. The appropriate record elements should be transferred to NARA or disposed of according to schedule instructions for films and videotapes that are no longer current.

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## **TRAINING DIVISION, DEVELOPMENT RESOURCES CENTER (PFM/PM/TD)**

The Development Resources Center provides support materials for the programs of the Training Division. The Center's collection of books, pamphlets, periodicals, and audiovisual materials complements and supplements AID's in-house training courses. The Center also maintains a collection of background material on AID-assisted countries, including slide or videotape presentations on over 200 posts. The videotape library covers topics such as family life in the Foreign Service, cross-cultural adaptation, behavior in crisis, reentry to the United States, and terrorism.

**Videotape and Film** Approximately 95 percent of the Center's videotape and film holdings are purchased from commercial sources because contracting for original productions is too expensive. A majority of the holdings are related to management skills improvement. The Center also tapes from television. Subjects of original productions include how to conduct a Foreign Service evaluation and how to improve personnel skills. XA holds duplicates of most of the 5 percent of the original productions. The Center's holdings of 16mm film comprise approximately 750 rolls of film, most of which are commercially produced. The Center participates in an interlibrary loan program with the Foreign Service Institute.

**Slides** Self-study courses of orientation for overseas personnel may include slide/tape programs for specific countries. The courses are constantly updated to provide the most current information about each location, for example by revising scripts and replacing slides. Regular cutoff and transfer dates would be difficult to implement. None of these programs is being retired for transfer to NARA even though training aids are scheduled for permanent retention in the AID/W schedule (item 17660).

**Finding Aids** The Center has an excellent comprehensive catalog of its audiovisual materials, accessible alphabetically by subject and title. The catalog is produced and maintained in a word processing program on a WANG disk

and is also available in hard copy in the library. The librarian is working with CDIE to develop an Agency-wide videotape index modeled on the Center's audiovisual catalog.

**Film Storage**

Videotapes and 16mm film are stored on shelving in a room with office environment climate control.

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**NARA RECOMMENDATIONS FOR PFM/PM/TD**

**Recommendation B-1** Cross-reference and verify film and videotape holdings with XA. Titles relating to Agency programs not duplicated among XA's holdings should be transferred to the National Archives when withdrawn from circulation or after a specified number of years in accordance with the records schedule.

**Recommendation B-2** Modify the schedule and transfer to the National Archives a sample or snapshot of slide/tape training materials on a regular basis (e.g. annually for a sample; every 5 years for a snapshot).

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**CENTER FOR DEVELOPMENT INFORMATION AND EVALUATION,  
DEVELOPMENT INFORMATION DIVISION (PPC/CDIE/DI)**

In March 1988, AID/W issued a notice of intent to develop a videotape inventory within the Development Information Division of the Center for Development Information and Evaluation, Bureau for Program and Policy Coordination (PPC/CDIE/DI). CDIE will maintain the inventory but will not collect videotapes. The inventory will use an electronic data base to identify and locate all videotape collections throughout the Agency and will represent a centralized tracking system for finished videotape productions. Its primary use will be as a reference tool within the Agency. However, it will have the potential to be used as a records management tool as well.

All AID bureaus and offices are to assist DI by submitting lists of all videotape resources. DI is working closely with the Training Division librarian on this project. DI plans to include only prints and finished videotape productions in the inventory. When titles are retired from use, they will be dropped from the data base. The cataloging software will be MICRO DIS, a version of MINISIS, developed by a Canadian company for use in cataloging publications. The system is used in universities throughout the United States and in less developed countries by the World Bank and will be used in all AID Missions. The data base is being developed by the contractor who runs AID's Development Information System for CDIE and who will work with an AID employee hired for the project. Data entry will be done on contract. DI planned to have the data base in place by the end of 1989.

When the data base is developed, PPC/CDIE will issue a second notice that has the force of a directive, providing reporting instructions and requiring a response from all bureaus and offices. DI will request regular updates, probably quarterly, from each office.

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## **NARA RECOMMENDATIONS FOR PPC/CDIE/DI**

- Recommendation C-1** Expand the electronic data base to include preprint and production elements. The Records Management Staff should have access to the data base to track the records and ensure the timely transfer to NARA of historically valuable records.
- Recommendation C-2** Add a field to the data base to note transfer to NARA of films taken out of circulation. Such an addition will facilitate reference within the Agency and provide a convenient list of AID audiovisual records transferred to the National Archives. It will also allow AID to produce easily a finding aid for the National Archives covering transferred records.

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# III. SUMMARY OF RECOMMENDATIONS

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## BUREAU OF EXTERNAL AFFAIRS (XA)

- Recommendation A-1** Inventory and organize accumulated video and motion picture raw footage, improve its storage conditions, and create a tracking system for future accumulations.
- Recommendation A-2** Implement those portions of the records schedule that apply to audiovisual records to eliminate the backlog of uncontrolled records. Permanent and temporary records should be identified according to the guidelines in the schedule, and appropriate cutoffs and transfers should be applied to the records. If any schedule descriptions or instructions are difficult to implement, the schedules should be modified so that they can easily be applied to specific bodies of records.
- Recommendation A-3** Create finding aids for still photography, and identify and separate the collection into historically valuable and routine categories. NARA suggests developing an electronic data base that allows retrieval by subject, project, or country.
- Recommendation A-4** Assess the photography collection to determine what portions have the least reference use, and transfer these to the National Archives. NARA can handle all external reference, thus freeing both time and space for AID to devote to the records in current use within the Agency.
- Recommendation A-5** Take immediate steps to place all photographic records in acid-free or inert plastic containers. NARA can provide information about obtaining archival quality storage materials. AID needs to work toward bringing its storage of these records into full compliance with NARA regulations.
- Recommendation A-6** Develop a mechanism for Missions to report regularly on the accumulation of still photography and to transfer either to AID/W or to the National Archives the historically significant portions of Mission photography. Specific written guidelines for adequate photographic documentation and for captioning need to be developed. The schedule for overseas missions should be amended to include audiovisual records.
- Recommendation A-7** Amend the draft guidelines for the maintenance of audiovisual records, as recommended by NARA in 1985, and issue them throughout the Agency.

**Recommendation A-8** Film and videotapes deposited at the National Audiovisual Center should be reviewed on a regular basis and withdrawn when they are out of date. The appropriate record elements should be transferred to NARA or disposed of according to schedule instructions for films and videotapes that are no longer current.

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**TRAINING DIVISION, DEVELOPMENT RESOURCES CENTER  
(PM/TD/PCT)**

**Recommendation B-1** Cross-reference and verify film and videotape holdings with XA. Titles relating to Agency programs not duplicated among XA's holdings should be transferred to the National Archives when withdrawn from circulation or after a specified number of years in accordance with the records schedule.

**Recommendation B-2** Modify the schedule and transfer to the National Archives a sample or snapshot of slide or videotape training materials on a regular basis (e.g. annually for a sample; every 5 years for a snapshot).

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**CENTER FOR DEVELOPMENT INFORMATION AND EVALUATION,  
DEVELOPMENT INFORMATION DIVISION (PPC/CDIE/DI)**

**Recommendation C-1** Expand the electronic data base to include preprint and production elements. The Records Management Staff should have access to the data base to track the records and ensure the timely transfer to NARA of historically valuable records.

**Recommendation C-2** Add a field to the data base to note transfer to NARA of films taken out of circulation. Such an addition will facilitate reference within the Agency and provide a convenient list of AID audiovisual records transferred to the National Archives. It will also allow AID to produce easily a finding aid for the National Archives covering transferred records.

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**GENERAL**

**Recommendation D-1** Put NARA on the distribution list for two copies of every poster AID produces. NARA will determine which of these posters are appropriate for inclusion in its collection and will also review the collection in the Printing Office to determine if any of these posters should be transferred.

**Recommendation D-2** Offer to NARA the series, or appropriate segments of series, listed in Appendix A of this report.

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# APPENDIX A: RECORDS TO BE TRANSFERRED

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The following series, or appropriate segments of these series, should be transferred by AID to the National Archives as soon as possible.

<b>AID Posters</b> <i>Date span of series: 1967 to 1989</i>		<b>RG 286</b>
Agency for International Development Bureau for Management	Unscheduled records.  Volume: Count: ca. 40 posters	
<b>Series Arrangement:</b>  <b>General intellectual form (genre):</b> Graphic Arts  <b>General physical form (medium):</b> Paper		
<b>Series Description:</b> <b>Subjects include:</b> Black History Month; Asiatic-Pacific Heritage Week; Hispanic Heritage Week; Red Cross Blood Drives; the AID Annual Awards Ceremony; recruiting posters, one of which dates from 1967 and deals with AID minority recruiting efforts; and, the Combined Federal Campaign, for which AID received an award in 1989 for the best agency motivational poster.  <b>Finding aids:</b> The printing unit maintains a project log book for category of project, viz., photography/slides, general graphics, etc. Posters and silk screens are found under general graphics.		
<b>Location:</b> AID Headquarters <b>Address:</b> Washington, DC		

<b>Training Division Film Catalog</b> <i>Date span of series: 1977 to 1989</i>		<b>RG 286</b>
Agency for International Development Bureau for Personnel and Financial Management	Unscheduled records.  Volume: 3 inches ca. Count:	
<b>Series Arrangement:</b>  <b>General intellectual form (genre):</b> Textual Records (General Files)  <b>General physical form (medium):</b> Paper		
<b>Series Description:</b> This is an excellent comprehensive catalog of audiovisual materials, accessible by subject and alphabetical title list. The catalog is produced and maintained in a word processing program on a WANG disk and is also available in hard copy.		
<b>Location:</b> AID Headquarters <b>Address:</b> Washington, DC		

<b>Training Division Slide/Tape Programs</b> <i>Date span of series: 1977 to 1987</i>		<b>RG 286</b>
Agency for International Development Bureau for Personnel and Financial Management	SF115 No.: N1-286-86-1/17660 NARS-5 citation: AID/17660	
		Volume: Count:
<p><b>Series Arrangement:</b> By subject or alphabetically by title.</p> <p><b>General intellectual form (genre):</b> Audiovisual Materials</p> <p><b>General physical form (medium):</b> Photograph/Slides</p>		
<p><b>Series Description:</b> These self-study courses of orientation for overseas personnel include slide/tape programs for specific countries. The courses are constantly updated to provide the most current information about each location.</p> <p><b>Finding aids:</b> The Training Division, Development Resources Center has an excellent comprehensive catalog of its audiovisual materials, accessible by subject and alphabetical title lists. The catalog is produced and maintained in a word processing program on a WANG disk and is also available in hard copy in the library.</p>		
<p><b>Location:</b> AID Headquarters <b>Address:</b> Washington, DC</p>		

<b>Training Division Motion Pictures</b> <i>Date span of series: 1977 to 1987</i>		<b>RG 286</b>
Agency for International Development Bureau of Personnel and Financial Management	SF115 No.: N1-286-86-1/17660 NARS-5 citation: AID/17660	
		Volume: 68 cu. ft. Count: 750 rolls of 16mm film
<p><b>Series Arrangement:</b> By subject, or alphabetical by title.</p> <p><b>General intellectual form (genre):</b> Audiovisual Materials</p> <p><b>General physical form (medium):</b> Motion Picture Film</p>		
<p><b>Series Description:</b> Films primarily relating to Management Skills Improvement, approximately 95% of which are purchased. Some do relate to agency programs.</p> <p><b>Finding aids:</b> A comprehensive catalog of audiovisual materials, accessible by subject and alphabetical title list, is maintained on a WANG disk and in hard copy.</p>		
<p><b>Location:</b> AID Headquarters <b>Address:</b> Washington, DC</p>		

<b>Training Division Video Tape (Masters/Prints) File</b> <i>Date span of series: 1977 to 1985</i>		<b>RG 286</b>
Agency for International Development Bureau of Personnel and Financial Management	SF115 No.: N1-286-86-1/17600 NARS-5 citation: AID/17600  Volume: 20 cu. ft. Count:	
<p><b>Series Arrangement:</b> By subject, or alphabetically by title.</p> <p><b>General intellectual form (genre):</b> Audiovisual Materials</p> <p><b>General physical form (medium):</b> Video Recordings</p>		
<p><b>Series Description:</b>  Approximately 95% of these video tapes are purchased. Included here is background material on AID-assisted countries dealing with over 200 posts. Video tapes deal with such topics as family life in the Foreign Service, cross-cultural adaptation, behavior in crisis, re-entry to the U.S., and terrorism.</p> <p><b>Finding aids:</b>  A comprehensive catalog, accessible by subject and alphabetical title, is maintained on a WANG disk and in hard copy.</p>		
Location: AID Headquarters Address: Washington, DC		

<b>AID/w Black and White Photographic Print File</b> <i>Date span of series: 1961 to 1985</i>		<b>RG 286</b>
Agency for International Development Bureau of External Affairs	SF115 No.: N1-286-86-1/03240 NARS-5 citation: AID/03240  Volume: .4 cu. ft. Count: ca. 800 prints	
<p><b>Series Arrangement:</b> Alphabetical, by country.</p> <p><b>General intellectual form (genre):</b> Audiovisual Materials</p> <p><b>General physical form (medium):</b> Photograph/Slides</p>		
<p><b>Series Description:</b>  These are the prints of the black and white negatives (separate entry) and are filed together with the negatives. Many of the photographs are considered timeless because customs, mode of dress, and techniques and methods of doing things change very slowly in developing countries.</p>		
Location: AID Headquarters Address: Washington, DC		

<b>AID/w Black and White Negatives File</b> <i>Date span of series: 1961 to 1985</i>		<b>RG 286</b>
Agency for International Development Bureau of External Affairs	SF115 No.: N1-286-86-1/03240 NARS-5 citation: AID/03240	Volume: 8 cu. ft. Count: 2 five-drawer file cabinets
<p><b>Series Arrangement:</b> Alphabetical, by country.</p> <p><b>General intellectual form (genre):</b> Audiovisual Materials</p> <p><b>General physical form (medium):</b> Photograph/Slides</p>		
<p><b>Series Description:</b>  This series consists of negatives filed in folders arranged by name of country with no separation of historically significant from routine subject matter. The contents relate to AID's mission in a country or region or to controversial topics such as birth control or counterinsurgency training.</p> <p><b>Finding aids:</b>  There are no indexes to the photography.</p>		
<p><b>Location:</b> AID Headquarters  <b>Address:</b> Washington, DC</p>		

<b>AID Color Slides</b> <i>Date span of series: 1961 to 1985</i>		<b>RG 286</b>
Agency for International Development Bureau of External Affairs	SF115 No.: N1-286-86-1/03280 NARS-5 citation: AID/03280	Volume: .25 cu. ft. Count: 1,000 slides
<p><b>Series Arrangement:</b> Alphabetical, by country.</p> <p><b>General intellectual form (genre):</b> Audiovisual Materials</p> <p><b>General physical form (medium):</b> Photograph/Slides</p>		
<p><b>Series Description:</b>  These 35mm color slides parallel the still photography described above. They illustrate overseas AID programs by country or region. Most slides are annotated with the country name on the cardboard mounting.</p>		
<p><b>Location:</b> AID Headquarters  <b>Address:</b> Washington, DC</p>		

<b>AID Video Tape (Masters) File</b> <i>Date span of series: 1977 to 1985</i>		<b>RG 286</b>
Agency for International Development Bureau of External Affairs	SF115 No.: N1-286-86-1/03150 NARS-S citation: AID/03150  Volume: 26 cu. ft. Count: 250 to 260 tapes	
<b>Series Arrangement:</b>  General intellectual form (genre): Audiovisual Materials  General physical form (medium): Video Recordings		
<b>Series Description:</b> This series includes both off-air broadcasts of television programs on which AID officials appear, and mission-related video tapes. The latter may be produced by overseas missions, by contractors, or outside sources such as state universities.  <b>Finding aids:</b> Finished productions and stock footage are described on background sheets arranged numerically in a notebook. The description includes subject, length, format, color/black and white, and a brief synopsis.		
Location: AID Headquarters Address: Washington, DC		

<b>AID/w Black-and-White Contact Sheets for Still Photography</b> <i>Date span of series: 1961- to 1985</i>		<b>RG 286</b>
Agency for International Development Bureau of External Affairs	SF115 No.: N1-286-86-1/03250 NARS-S citation: AID/03250  Volume: 0.5 cu. ft. Count: 30 binders, 1,000 sheets	
<b>Series Arrangement:</b> Alphabetical, by country  General intellectual form (genre): Audiovisual Materials  General physical form (medium): Photograph/Sides		
<b>Series Description:</b> These contact sheets deal with AID mission-related activities overseas. The subject matter depicted can relate to a country or region or to topics such as birth control or police training. Both historical and routine matters are included.		
Location: AID Headquarters Address: Washington, DC		

<b>AID Video Tape in the National Audiovisual Center</b> <i>Date span of series: 1977?</i> <b>to 1981?</b>		<b>RG</b> <b>286</b>
Agency for International Development Bureau of External Affairs	SF115 No.: N1-286-86-1/03150 NARS-5 citation: AID/03150  Volume: 1 cu. ft. Count:	
<b>Series Arrangement:</b>  <b>General intellectual form (genre):</b> Audiovisual Materials  <b>General physical form (medium):</b> Video Recordings		
<b>Series Description:</b> These video tapes are not duplicated either in the agency or in the holdings of the National Archives. Representative titles include "If One Today, Two Tomorrow," and "Tse-tse: The Fly That Would Be King."  <b>Finding aids:</b> The National Audiovisual Center has a printout of the titles.		
<b>Location:</b> National Audiovisual Center <b>Address:</b> Edgewood, MD		

<b>AID Motion Pictures in the National Audiovisual Center</b> <i>Date span of series:</i> <b>1977? to 1981</b>		<b>RG</b> <b>286</b>
Agency for International Development Bureau of External Affairs.	SF115 No.: N1-286-86-1/03180 NARS-5 citation: AID/03180  Volume: 2 cu. ft. ca. Count: 37 films, including dupes	
<b>Series Arrangement:</b>  <b>General intellectual form (genre):</b> Audiovisual Materials  <b>General physical form (medium):</b> Motion Picture Film		
<b>Series Description:</b> These motion pictures are not duplicated wither in the agency or in the holdings of the National Archives. Representative film titles include "Bangladesh: A Land of Too Many People and Too Little Food," and "Radio Mathematics in Nicaragua."  <b>Finding aids:</b> The National Audiovisual Center has a printout of the titles.		
<b>Location:</b> National Audiovisual Center <b>Address:</b> Edgewood, MD		

<b>Electronic Video Tracking System</b> <i>Date span of series: 1989 to 1997</i>		<b>RG 286</b>
Agency for International Development Bureau of Program and Policy Coordination	Unscheduled records.  Volume: Count:	
<b>Series Arrangement:</b>  General intellectual form (genre): Input/Output; Finding Aids  General physical form (medium): Electronic Records		
<b>Series Description:</b> The Development Information Division (DI) within the Bureau of Personnel and Financial Management was directed in March 1988 to become a clearinghouse for AID video tape resources. All AID Bureaus and Offices are to assist DI by submitting lists of all video tape resources. DI will not collect tapes but will design a database to produce a list of videotapes existing throughout the agency. It plans to include only the print elements or finished video productions in the inventory. The cataloging software will be MICRO DIS, a version of MINISIS, developed by a Canadian company for use in cataloging publications.		
Location: AID Headquarters Address: Washington, DC		

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# APPENDIX B: AUDIOVISUAL REGULATIONS

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## 36 C.F.R. 1228.184: AUDIOVISUAL RECORDS

The following policies shall govern the transfer of audiovisual records to the National Archives:

### Motion Pictures

(a) *Motion pictures*. The following copies shall be considered necessary for the preservation, duplication, and reference service of motion pictures:

(1) Agency-sponsored motion picture films for distribution (informational films):

- (i) Original negative or color original plus separate optical sound track; and
- (ii) Intermediate master positive or duplicate negative plus optical sound track; and
- (iii) Sound projection print.

(2) Agency motion picture films made for internal use (program films):

- (i) Original negative or color original plus sound, and
- (ii) Projection print.

(3) Agency acquired motion picture films: Two projection prints.

(4) Unedited outtakes and trims (the discards of film productions) may be considered for deposit in the National Archives if they are properly arranged, labeled, and described and show unstaged, unrehearsed events of historical interest or historically significant phenomena. The following elements should be included:

- (i) Original negative or color original; and
- (ii) Work print.

### Still Pictures

(b) *Still pictures*. The following elements are necessary for the preservation, duplication, and reference service of each pictorial image:

(1) For black and white photographs, an original negative and a captioned print. If the original negative is nitrate or glass, a duplicate negative is also needed.

(2) For color photographs, the original color transparency or color negative, a captioned print, and an internegative if one exists.

(3) For slide sets, the original and a reference set, and the related audio recording and script if one exists.

(4) For other pictorial records such as posters, original artwork, and filmstrips, the original and a reference print.

### **Sound Recordings**

(c) *Sound recordings.* The following types of audio documents are necessary for the preservation, duplication, and reference service of sound recordings:

(1) For conventional, mass-produced, or multiple-copy disc recordings, the master tape, the matrix or stamper of each sound recording, and a disc pressing of each recording.

(2) For magnetic sound recordings usually on audio tape (reel-to-reel, cassette, or cartridge), the original tape or the earliest generation of the recording available and a "dubbing" if one has been made.

### **Video Recordings**

(d) *Video recordings.* The original or the earliest generation of the video recording is necessary for the preservation, duplication, and reference service of this medium. A kinescope of the recording may be substituted.

### **Finding Aids & Documentation**

(e) *Finding aids and production documentation.* The following records shall be transferred to the National Archives with the audiovisual records to which they pertain:

(1) Existing finding aids such as data sheets, shot lists, continuities, review sheets, catalogs, indexes, lists of captions, and other textual documentation that are necessary or helpful for the proper identification, retrieval, and use of the audiovisual records; and

(2) Production case files or similar files that include copies of production contracts, scripts, transcripts, and appropriate documentation bearing on the origin, acquisition, release, and ownership of the production.

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## **36 C.F.R. 1232–AUDIOVISUAL RECORDS MANAGEMENT**

**1232.1: Scope of Part** This part prescribes policies and procedures for managing audiovisual records to ensure adequate and proper documentation and appropriate disposition of audiovisual records.

**1232.2: Objectives** The objectives of audiovisual records management are to achieve the effective creation, maintenance, use, and disposition of audiovisual and related records to be created and maintained; establishing standards for maintenance and disposition of audiovisual and related records; establishing standards for the physical security and preservation of audiovisual records; and reviewing audiovisual recordkeeping practices on a continuing basis to improve procedures.

**1232.4: Agency  
Program  
Responsibilities**

(a) Each Federal agency, in providing for effective controls over the creation of records, shall establish an appropriate program for the management of audiovisual records which program shall be governed by the following guidelines:

(1) Prescribe the types of records to be created and maintained so that audiovisual operations and their products are properly documented (guidelines describing the appropriate types of records are in §1228.184 of this chapter).

(2) For contractor-produced audiovisual records, establish contract specifications which will protect the Government's legal title and control over all such audiovisual media and related documentation.

(3) Keep inventories indicating the location of all generations of audiovisual records, whether in agency storage, a Federal records center, or in a commercial facility such as a laboratory or library distribution center.

(4) Schedule disposition of all audiovisual records as soon as practicable after creation, following the instruction in GRS 21, Audiovisual Records, or a specific agency records schedule approved by the Archivist of the United States. The scheduling of permanent records must take into account the different record elements identified in §1228.184, and must always include related finding aids.

(5) Review agency audiovisual recordkeeping practices for possible improvement.

(b) Each Federal agency, in establishing a program for proper storage, maintenance, and use of audiovisual records, shall implement the following standards in its practices:

**(1) Nitrate film.** Remove nitrocellulose-base motion pictures, still pictures, and aerial film from records storage areas and place them in vaults meeting the standards prescribed in NFPA 40-1982, Standard for the Storage and Handling of Cellulose Nitrate Motion Picture Film, which is incorporated by reference. Because of their age and inherent instability, immediately offer nitrate films to NARA so that they may be reviewed for disposal or copied and destroyed, as appropriate. NFPA 40-1982 is available from the National Fire Protection Association, Batterymarch Park, Quincy, MA 02269. This standard is also available for inspection at the Office of the Federal Register, Room 8301, 1100 L Street NW, Washington, DC. This incorporation by reference was approved by the Director of the Federal Register in accordance with 5 U.S.C. 552(a) and 1 CFR Part 51. These materials are incorporated by reference as they exist on the date of approval and a notice of any change in these materials will be published in the FEDERAL REGISTER.

**(2) Unstable safety film.** Identify permanent or unscheduled audiovisual records composed of diacetate or other early forms of acetate film that are starting to deteriorate and offer them to NARA so that they can be copied. Although not hazardous like nitrate film, acetate film will deteriorate over time.

**(3) Storage conditions.** (i) Provide audiovisual records storage facilities secure from unauthorized access and make them safe from fire, water, flood, chemical or gas damage, and from other harmful conditions. See NFPA 232-1986, Standard for the Protection of Records issued by the National Fire Protection Association, which is incorporated by reference. The standard is available from the National Fire Protection Association, Batterymarch Park, Quincy, MA 02269. This standard is also available for inspection at the Office of the Federal Register, Room 8301, 1100 L Street NW, Washington, DC. This incorporation by reference was approved by the Director of the Federal Register in accordance with 5 U.S.C. 552(a) and 1 CFR Part 51. These materials are incorporated by reference as they exist on the date of approval and a notice of any change in these materials will be published in the FEDERAL REGISTER.

(ii) Maintain good ambient storage conditions for audiovisual records. Generally, the temperature should not exceed 70 degrees F and relative humidity should be maintained in the range of 40-60%. Avoid fluctuating temperatures and humidities. Cooler temperatures and lower relative humidities are recommended for the storage of color films, and, for that reason, NARA will make a limited amount of temporary space available for the cold storage of Federal civilian agencies' color originals, negatives, and masters, provided the records are scheduled as permanent and are inactive.

(iii) For the storage of permanent or unscheduled records, utilize audiovisual storage containers or enclosures made of noncorroding metal, inert plastics, paper products and other safe materials recommended and

specified in ANSI standards: PH1.43–1985, For Photography (Film)–Processed Safety Film–Storage; PH1.48–1982, For Photography (Film and Slides)–Black-and-White Photographic Paper Prints–Practice for Storage; and ANSI/ASC PH1.53–1984, For Photography (Processing)–Processed Films, Plates, and Papers–Filing Enclosures and Containers for Storage. These standards, which are incorporated by reference, are available from ANSI, Inc., 1430 Broadway, New York, NY 10018. These standards are also available for inspection at the Office of the Federal Register, Room 8401, 1100 L Street NW, Washington, DC. This incorporation by reference was approved by the Director of the FEDERAL REGISTER in accordance with 5 U.S.C. 552(a) and 1 CFR Part 51. These materials are incorporated by reference as they exist on the date of approval and a notice of any change in these materials will be published in the FEDERAL REGISTER.

(iv) Maintain originals and use copies (e.g., negatives and prints) separately, whenever practicable.

(4) *Maintenance and operations.* (i) Because of their extreme vulnerability to damage, handle audiovisual records in accordance with commonly accepted industry practices. For further information, consult ANSI, Inc., 1430 Broadway, New York, NY 10018 and the Society of Motion Picture and Television Engineers, Inc., 862 Scarsdale Avenue, Scarsdale, NY 10583. Use only personnel trained to perform their audiovisual duties and responsibilities.

(ii) Maintain continuous custody of permanent or unscheduled audiovisual records. Make loans of such records outside of the agency only if a record copy is maintained in the agency's custody at all times.

(iii) Take all steps necessary to prevent accidental or deliberate alteration or erasure of audiovisual records.

(iv) Do not erase information recorded on permanent or unscheduled magnetic sound or video media.

(v) If different versions of audiovisual productions (e.g., short and long versions or foreign-language versions) are prepared, keep an unaltered copy of each version for record purposes.

(vi) Maintain the association between audiovisual records and the finding aids for them, such as captions and published and unpublished catalogs.

(5) *Formats.* (i) When ordering photographic materials for permanent or unscheduled records, ensure that still picture negatives and motion picture preprints (negatives, masters, etc.) are composed of cellulose triacetate or polyester bases and are processed in accordance with industry standards as specified in ANSI/ASC PH1.28–1984, For Photography (Film)–Archival Records, Silver-Gelatin Type, on Cellulose Ester Base, or ANSI/ASC

PH1.41-1984, For Photography (Film)—Archival Records, Silver-Gelatin Type, on Polyester Base, which are incorporated by reference. It is particularly important to limit residual sodium thiosulphate on newly processed photographic film, black and white or color, to the range of .002 to .004 grams per meter. Request laboratories to process film in accordance with this standard. Excessive hypo will shorten the longevity of film and accelerate color fading. If using reversal type processing, request full photographic reversal; i.e., develop, bleach, expose, develop, fix, and wash. The standards cited in this paragraph are available from ANSI, Inc., 1430 Broadway, New York, NY 10018. These standards are also available for inspection at the Office of the Federal Register, Room 8301, 1100 L Street NW, Washington, DC. This incorporation by reference was approved by the Director of the Federal Register in accordance with 5 U.S.C. 552(a) and 1 CFR Part 51. These materials are incorporated by reference as they exist on the date of approval and a notice of any change in these materials will be published in the FEDERAL REGISTER.

(ii) Do not use motion pictures in a final "A & B" format (two precisely matched reels designed to be printed together) for the reproduction of excerpts or stock footage.

(iii) Use only industrial or professional format video tapes (e.g., 1-inch, 3/4-inch) for record copies of permanent or unscheduled recordings. Limit the use of consumer formats (e.g., VHS, Beta) to distribution or reference copies or to subjects scheduled for disposal.

(iv) Record permanent or unscheduled audio recordings on 1/4-inch open-reel tapes at 3 3/4 or 7 1/2 inches per second, full track, using professional unrecorded polyester splice-free tape stock. Audio cassettes are not sufficiently durable to be used for permanent records.

(c) The disposition of audiovisual records shall be carried out in the same manner as that prescribed for other types of records in Part 1228 of this chapter. For further instructions on the disposition of audiovisual records see §1228.184 of this chapter, Audiovisual Records.

#### **1232.6: Centralized Audiovisual Services**

(a) *National Audiovisual Center.* The National Audiovisual Center (NAC) serves as a central information source to the general public and Federal agencies concerning the availability of audiovisual products produced by or for the Government. NAC rents and sells Federal audiovisual productions to the public and Federal agencies. NAC compiles and publishes Government-wide catalogs and uses other information dissemination techniques to inform the public about audiovisual products available for sale and rent. NAC develops criteria, establishes appropriate terminology, and recommends Government-wide practices for the cataloging and indexing of audiovisual productions, and maintains a data bank containing information on Federal audiovisual productions.

**(b) Agency requirements.** Agencies must check commercial and Government sources before authorizing audiovisual productions or procurements.

**(1) Subject search.** Prior to authorizing any type of audiovisual production, all agencies will attempt to determine if existing productions are available to satisfy their needs. Agencies should use the resources of NAC to determine what Federal productions exist by requesting subject searches. Standard Form 282, Mandatory Title Check, may be used for this purpose. Agencies should also review commercial media collections, either through catalogs or computer-based resources. If there are no existing or commercial productions available, the agency may produce, within existing budget limitations, additional productions to support program responsibilities.

**(2) Federal Audiovisual Production Report (SF 202).** (i) Standard Form 202, Federal Audiovisual Production Report, shall be prepared for all productions by each agency when production is authorized, except as noted in OMB Circular A-114. Interagency report control number 0151-NAR-XX has been assigned to this report in accordance with 41 CFR Part 201-45. Prior to production, pre-production sections of the report, with information about materials planned or in process shall be completed and sent to NAC. Upon completion of an audiovisual production, the post-production sections of the SF 202 shall be completed and forwarded to NAC. This information will become part of the Center's data base. Information from the data base will be provided to other Federal agencies and the public.

(ii) The Department of Defense will compile its own production data using DOD Form 1955, DOD Audiovisual Production Report. Information about these productions will be made available to NAC through the Defense Audiovisual Information System (DAVIS).

**(3) Annual Audiovisual Report.** Agencies shall file Standard Form 203, Annual Audiovisual Report, detailing all audiovisual activity each fiscal year. The report is due December 31 each year for the previous fiscal year, and shall be forwarded to the National Audiovisual Center, National Archives and Records Administration, 8700 Edgeworth Drive, Capitol Heights, MD 20743-3701). All audiovisual productions, including productions excluded from other reporting requirements of OMB Circular A-114, shall be reported on the SF 203. Interagency report control number 0152-NAR-AN has been assigned to this report in accordance with 41 CFR Part 201-45. The report is used to acquire data on Federal audiovisual activities, including overhead for in-house expenses. This information, when compiled, will be made available, upon request, to all agencies and to the public. Copies of SF 203 may be obtained from NAC. Agencies shall ensure, through management control and cost accounting systems, the accuracy and consistency of audiovisual production budget data provided to OMB and the SF 203 data furnished to NAC.

**(4) *Evaluation.*** Agency management should perform appropriate evaluation of audiovisual productions and include evaluation in audiovisual management control systems to ensure goals and objectives of the productions were met.

**(i)** Each agency shall develop an evaluation program to assess the value and effectiveness of its audiovisual productions.

**(ii)** The complexity and cost of evaluations should be commensurate to the cost and program impact of the audiovisual production being evaluated. Evaluation methods may range from a simple tally sheet to record sample responses to a more complex survey with interviews and testing forms.

**(5) *Liaison.*** Each agency shall forward the name, mailing address, and telephone number of the office which is assigned responsibility for management oversight of the agency's audiovisual activities to the Office of Federal Procurement Policy (OFPP), with an information copy to NAC (mailing address: National Audiovisual Center, National Archives and Records Administration, 8700 Edgeworth Drive, Capitol Heights, MD 20743-3701). These designated offices shall serve as the main point of contact for OFPP and NAC in all matters relating to Governmentwide audiovisual policies.

**(6) *Stock footage.*** Agencies, except the Department of Defense, shall offer to the Special Archives Division (NNS), NARA, motion picture out-takes, trims, and other unedited motion picture footage (with stock footage value) accumulated in the production of audiovisual products. The footage will be made available to other Federal agencies and the public through services provided by the Special Archives Division (mailing address: National Archives (NNS), Washington, DC 20408).

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# APPENDIX C: EVALUATION GUIDELINES

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The following guidelines were used to elicit information about the audiovisual records management program in AID.

## **Internal Guidance**

Are there any agency directives, orders, etc. relating to the creation and management of audiovisual records? (Please get copies of any such material which is generated by this agency or office, including copies of contracts which involve the creation or the storage and maintenance of audiovisual materials.)

- Do they prescribe the types of records to be created and maintained so that audiovisual operations and their products are properly documented?
- For contractor produced audiovisual records, do they establish contract specifications which will protect the Government's legal title and control overall such audiovisual media and related documentation?
- Are audiovisual records scheduled? Does the scheduling of permanent audiovisual records take into account the different record elements and include related finding aids?

## **External Guidance**

What guidance provided by outside agencies, i.e. NARA and OMB, is used by the agency or office in managing its audiovisual records?

## **Creation & Management**

Describe how audiovisual records are actually created and managed in the agency or office.

- In general, who creates audiovisual records? What kinds are created? Which of these are permanent? How are they used in the agency?
- Have there been any changes over time in the types of records created? For example, have videos replaced motion pictures?
- How are internal and external directives and guidance implemented? Is there any program to evaluate this implementation and to review agency audiovisual recordkeeping practices for possible improvement?

- **Where are permanent audiovisual records actually maintained? Who is responsible for them? Does the agency have centralized audiovisual facilities? Are audiovisual records ever sent to Federal Record Centers? sent to agency storage facilities? maintained by contractors?**
- **Do storage conditions for permanent audiovisual records meet the standards prescribed by NARA in 36 CFR 1232.4 (3)?**
- **Do the formats used for permanent or unscheduled audiovisual records meet the standards prescribed by NARA in 36 CFR 1232.4 (5)?**
- **Are any new technologies, such as video disks, being used to provide storage and reference for audiovisual records? If so, please describe.**
- **Does the agency or office have custody of any nitrate film? Are any permanent or unscheduled audiovisual records composed of diacetate or other early forms of safety acetate film that are starting to deteriorate?**
- **Is the association maintained between permanent audiovisual records and the finding aids for them, such as captions and published and unpublished catalogs?**
- **Are safeguards in place to prevent the accidental or deliberate erasure or alteration of permanent or unscheduled audiovisual records?**
- **If different versions of permanent or unscheduled audiovisual records are prepared, is an unaltered copy of each version kept for record purposes?**
- **Is there an inventory of audiovisual holdings? If so, who does it, who maintains it, and is it kept current? Does it indicate the location of all generations of audiovisual records, whether in agency storage, a Federal records center, or in a commercial facility such as a laboratory or library distribution center?**
- **Are permanent audiovisual records transferred to the National Archives as scheduled? If not, why not?**

- Are permanent audiovisual records which are transferred to the National Archives transferred in accordance with the policies prescribed in 36 CFR 1228.184? Are permanent records in the custody of the agency maintained so that these policies can be implemented at the time of transfer?
- How are file breaks or cut-offs generally managed for permanent audiovisual records?
- Are permanent or unscheduled audiovisual records ever loaned outside the agency? If so, is a record copy maintained in the agency's custody at all times?
- -Are staff who work with audiovisual records appropriately trained to perform their duties? Is any training provided by the agency or office in the management of audiovisual records? Are staff sent outside the agency for any training?
- What is the role of the records officer in the management of audiovisual records? Is the management and disposition of audiovisual records handled as part of the agency's general records management and disposition program or does it function separately? How autonomous are regional or field offices in the management of audiovisual records?

## **Concerns**

What problems or concerns do agency personnel have about the management of permanent audiovisual records in their agency or office? What suggestions do they have for how NARA can help them to better manage these records and facilitate their transfer to the National Archives?

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# APPENDIX D: EVALUATION REVIEW AND FOLLOW-UP

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## AUTHORITIES

44 U.S.C., Chapter 29  
36 CFR Chapter XII, Subchapter B  
Subpart C, Agency Program Evaluations

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## FOLLOW-UP STEPS

### Action Plan

AID will submit to the Archivist of the United States an action plan implementing the recommendations of the evaluation report no later than 90 days after the date of transmittal of the final report to the head of the agency.

- The action plan will include specific actions that the agency plans to take in response to each recommendation and the proposed month and year for completing each planned action. If AID does not plan to implement a specific recommendation, the reason for not acting will be documented in the action plan.

### Progress Reports

AID will submit a progress report on the implementation of the action plan to the Office of Records Administration (NI) every 6 months until the action plan is completed.

### NARA Review

NARA will analyze the adequacy of the AID action plan; provide comments to AID on the plan within 60 calendar days; assist AID in implementing recommendations; and inform AID when progress reports are no longer needed.