

National Archives and Records Administration

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Archives 1400, Chapter 7. Reference Service

NOTES:

- References to "NN" and other NARA units are outdated in this document. For a current list of correspondence codes, see Appendix B of NARA 101.

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PART 1. INTRODUCTION

1. General.

The National Archives and Records Administration (NARA) provides reference services on accessioned records for all persons requesting such services. Reference services include providing information about the records, making the records available for use in research rooms, furnishing reproductions of records, lending records to other Government agencies, and providing information from specifically identified records upon request. These services are subject to the limitations and procedures set forth in this chapter and to restrictions imposed on the use of some records or on access to information (see ch. 6) in some records.

2. Regulations and restrictions.

- a. **Code of Federal Regulations.** Regulations for the public use of records in NARA are published in 36 CFR Parts 1250-1260.
- b. **Guide to the National Archives of the United States.** The nature and extent of all restrictions on the use of NARA holdings are outlined in the most recent Guide, as supplemented in the Code of Federal Regulations and explained in ch. 6. A copy of the most recent Guide must be available for use by researchers in all Office of the National Archives (NN) research rooms.

3. Reference priorities.

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All reference service requests must receive prompt attention. When necessary, give first priority to requests made to establish or protect the rights of the Government or of individuals.

4. Reference limitations.

a. Substantive research.

- i. NN employees do not perform substantive research for researchers. Service is normally confined to providing information about NARA holdings and reproducing documents from among them.
- ii. Providing information from the records is an exceptional form of service that is done only when records are specifically identified and the information requested is of a simple factual nature easily obtained on the basis of limited research.
- iii. Extensive searching of records will be done when the results will be of future benefit to NARA for reference or other purposes and when the information provided will be made available to persons other than the immediate researcher. Such searches result in the description of a substantial body of records or records relating to a subject of broad public interest.

b. Time. Reference unit heads may impose a limit on the amount of time an employee may spend in response to a reference inquiry. In planning work schedules, NN employees shall be guided by the general guidelines in subpars. (1) and (2).

- i. All reference correspondence, including congressional correspondence, Freedom of Information Act(FOIA) correspondence, general correspondence, and reproduction requests, must be answered within 10 workdays of receipt.
- ii. If a request cannot be answered within 10 workdays, notify the requester by letter or by a postcard acknowledgment on NA Form 14024, Acknowledgment and Followup (see app. 7A), as to when a reply may be expected.

c. Condition of records. Units heads may temporarily delay access to records if the records are too fragile to be safely handled. To permit future access, Washington, DC, area and regional archives unit heads immediately contact the Document Conservation Branch (NNPD) to determine whether arrangements can be made for laboratory conservation

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treatment. The unit head also shall notify the researcher of the conservation treatment schedule.

d. Referral to library and printed archives materials.

- i. Refer persons seeking information best found in library materials to the NARA Library or other appropriate libraries, and give bibliographic suggestions when this can be done without special research.
- ii. In the Washington, DC, area, refer researchers to the Center for Legislative Archives (NNL) when information on a research topic can be furnished from printed archives rather than textual records.

- e. Records that have been reproduced.** Refer researchers requesting access to records that have been reproduced in letterpress or microform publications to the reproductions. Original records are serviced only if (1) legible reproductions cannot be provided or the physical document itself is the object of the study and (2) access to the original records does not endanger the records to be examined.

5. Discussion of researcher's work.

- a. NN employees may discuss the progress of research in a particular field with researchers. NN employees, however, may not inform researchers of specific projects being conducted by other users, discuss specific details of another researcher's work, disclose users' names, or identify records used by another researcher without written permission from the other researcher. Permission to discuss a researcher's work with other researchers may be obtained on NA Form 14003, Researcher Application (see app. 7B).
- b. Restrictions described in subpar. a do not apply to official Government researchers from the same agency.

6. Appraisal, authentication, and market value of manuscripts.

NN employees do not give estimates of the market value of manuscripts, the authenticity of documents, or the genuineness of signatures on documents. In response to requests, information

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may be provided about NARA holdings, including documents bearing presumably genuine signatures. When manuscripts are presented by inquirers, NARA employees may express opinions as to the probable authenticity of such manuscripts and the genuineness of signatures, provided they make it clear that their opinions are personal and not official. NN employees shall not attempt to estimate market value.

7 thru 12. Reserved.

PART 2. INFORMATION SERVICE

13. General.

Information services, either written or oral, consist of providing information from or about accessioned records and about NARA policy and procedures. Requests received in the normal course of reference service are not considered FOIA requests. This policy does not affect the degree to which access will be provided to records subject to the FOIA. See ch. 6, part 3, for special FOIA procedures. See ch. 9 for regional procedures.

14. Researcher orientation.

Before a researcher uses records for the first time, a Reference Services Branch (NNRS) or appropriate research unit archivist provides an orientation interview. The archivist describes records pertinent to the researcher's project, outlines procedures for using records, suggests research approaches, arranges interviews with other NARA employees, and orders the necessary records from the stacks. Courtesy toward researchers is an important aspect of the initial interview and of all contacts with researchers.

15. Washington, DC, area reference unit responsibilities.

Each reference unit must have on duty at least one staff member capable of answering unit-wide inquiries from walk-in and telephone requesters during all duty hours, Monday through Friday--including lunch hours and break periods.

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- a. If a branch chief cannot consistently schedule a NARA employee in each official branch office because of lunch scheduling or approved duty hours, the branch chief must notify the Assistant Archivist for the Office of the National Archives (NN), through NNRS and the Textual Reference Division (NNR), in writing. The memo shall specify the branch location where a trained NARA employee is available.
- b. Each research unit pulls records for the research rooms during the hours specified in subpars. 34b(1)(b) and 35a and 35b.

16. Delivery of records to researchers.

Priority service is given to researchers present, whether or not the researcher notified the reference unit in advance of coming. If a delay of more than 1 hour is encountered in delivering records to the research room, the researcher is notified of the problem(s) encountered in locating the records and is given an indication of when the records will be delivered.

17. Routing written inquiries.

In the Washington, DC, area, the General Reference Branch (NNRG) is responsible for the referral of written inquiries not addressed to a particular unit. Inquiries to regional archives shall be routed through the Regional Archives System (NNA).

18. Control of written inquiries.

Each reference unit must maintain sufficient control over all written inquiries to ensure that they are answered within the deadlines established in subpar. 4b. NA Form 2009, Mail Log (see app. 7C), or an equivalent substitute, is used to control written reference requests.

19. Control of telephone inquiries.

Each unit head controls telephone requests in the same manner as written requests. Inquiries are answered within the deadlines established in subpar. 4b and may be answered

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either by letter or telephone, whichever is more appropriate. In cases when the information does not require a detailed or prolonged search, replies by telephone may be more convenient and efficient.

20. Opportunity to examine records.

NARA employees normally advise researchers, either in writing or over the phone, that unrestricted records will be made available for examination and copying in a NARA research room or that most records can be duplicated and sent to the researcher (see subpars. 4c thru 4e).

- a. The advice to visit a research room need not be given if the number of documents is five or fewer letter- or legal-size pages and can be easily duplicated and sent to the researcher.
- b. The advice to visit a research room shall not be given to researchers wishing to use machine-readable records. Currently, machine-readable records cannot be accessed in NARA facilities due to technical limitations. Textual documentation for machine-readable records, however, may be viewed in the research rooms.

21. Written inquiries involving more than one unit.

a. Multiple replies.

- i. Written general inquiries involving multiple NARA units are normally answered separately by each unit.
- ii. Such inquiries are routed to the unit most concerned. That unit prepares its reply and then refers copies of its reply and the incoming letter to other units for separate replies. The unit most concerned states in its letter to the researcher that copies of the inquiry have been referred to other units for separate replies. The unit making referrals is not responsible for ensuring that replies are mailed by units to which the letter was referred.

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- b. **Single replies.** In some cases NN may decide that a single letter reply is necessary. NN assigns one unit responsibility for compiling information from several units into a single letter.
- c. **Congressional inquiries involving more than one unit.** See par. 26.

22. Referrals to other Government agencies.

Inquiries that can best be answered by some other agency are referred to the appropriate agency for reply. Referrals are made using NA Form 14015, Referral Slip (see app. 7D). The person referring the inquiry signs the slip. The inquirer is notified of the referral by a brief letter or by an acknowledgment on NA Form 14024 (see app. 7A).

23. Form replies.

Forms, form letters, and standard form paragraphs developed by NN units are used whenever possible to answer routine requests for NARA publications and other nonarchival materials, requests for information that do not require an extensive search, requests for recurrent information from or about the records, and requests for information that cannot be found after a reasonable search.

24. Reference reports.

Reference reports are prepared when the information to be provided is too extensive to be conveniently incorporated in a letter or when repeated inquiries on the same subject are anticipated. These reports are prepared in the style shown in app. 7E. A report normally is written in the third person without identifying the inquirer and without specifying that it has been prepared in response to a particular inquiry, except by reference to the subject. Records are referred to by record groups rather than by the unit to which the records are allocated. Reference reports are sent to the inquirer with a covering letter.

25. Preparation of written replies.

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a. References.

- i. The NARA Administrative Procedures Manual (Admin. 201), ch. 14.
- ii. The United States Government Correspondence Manual.
- iii. The United States Government Printing Office Style Manual.

b. Format. See app. 7F for a sample reference letter showing the format to be used.

The information at the bottom of the letter identifies the records referenced and their location. This information is printed only on the official file copy and is used to locate the records when the researcher places an order.

c. Copies.

- i. Prepare an original and two carbon copies (one yellow and one white) of the reference letter.
 1. Mail the signed original letter and attachments to the inquirer.
 2. Place the official file copy (the yellow carbon) and the letter of inquiry in the reference unit's official file.
 3. Retain the white carbon in the reference unit's reading file.
- ii. If desired, create another white carbon copy for the NARA employee who prepared the reference letter or report.

26. Congressional inquiries.

a. Control. Written congressional reference inquiries are controlled by either the Archivist of the United States (N), NN, or a regional archives director using Optional Form (OF) 102, Correspondence Control Record (see app. 7G).

- i. **Washington, DC, area.** Responses, in the form of letters or reference reports, to congressional inquiries are prepared for the signature of either N or NN, as specified in Admin. 201, ch. 14. Replies to routine congressional inquiries are signed by the appropriate division director or center director, with an information copy always sent to NN. When the division director is unavailable, NN will sign the replies. NN signs replies to congressional

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correspondence that make a complaint about NN service or concern other nonroutine matters within the scope of NN's functions.

- ii. **Regional archives.** Regional archives directors sign responses to congressional letters containing reference questions relating to the holdings in their custody. Nonreference letters (such as those relating to policy or quality of reference service) concerning the regional archives are prepared for the signature of N or NN, as appropriate.

- b. **Written congressional inquiries involving more than one unit.** A coordinated reply is prepared for written congressional inquiries involving more than one unit only when the inquiry is a nonconstituent request, i.e., a request from a member of Congress for information for the use of the Member and not for the assistance of a constituent. The unit that received the inquiry functions as the coordinator responsible for obtaining from other units the information necessary for a reply and for preparing the reply. (See subpar. a concerning control of congressional requests).

- i. Received by Washington, DC, area units.
 - a. When responses are limited to Washington, DC, area units, responding units furnish their information to the coordinating unit within 5 workdays or provide written notice of any expected delay.
 - b. When responses appear to involve regional archives, the coordinating unit first ascertains (by contacting NNA or the appropriate regional archives) that a regional archives holds pertinent records. If the coordinating unit is located in the National Archives Building, a copy of the inquiry and any partial or interim reply is hand-carried to NNA. If the coordinating unit is located outside the National Archives Building, a copy of the inquiry and any partial or interim reply may be forwarded to NNA via fax. NNA forwards the request to the appropriate regional archives via fax or the contract overnight express company. Within 3 workdays of

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receipt, the regional unit returns the inquiry and the unit's reply via fax or the contract overnight express company.

- ii. Received by regional archives. See ch. 9.

c. Copies for NARA offices.

- i. Correspondence for N's signature requires four copies: the yellow carbon, with the letter of inquiry, for the originating unit, and three white carbons for the day files of N, NN, and the originating unit. If a congressional inquiry is from a district office, prepare an additional white carbon and forward it to the Member's Washington, DC, office.
 - ii. Correspondence for NN's signature requires three carbons: the yellow carbon, with the letter of inquiry, for the originating unit, and two white carbons for the day files of the Executive Staff Director (NS) and NN. If a congressional inquiry is from a district office, prepare an additional white copy of the reply and forward it to the Member's Washington, DC, office.
 - iii. Correspondence for a regional archives director's signature requires three carbons: the yellow carbon, with the letter of inquiry, for the originating regional archives, and two white carbons for the day files of NS and NN. If a congressional inquiry is from a district office, prepare an additional white carbon and forward it to the Member's Washington, DC, office.
- d. Addressing replies.** NARA keeps each Member of Congress informed of all correspondence with his/her staff by addressing replies to the member. Different formats of the address show whether staff members are in the Washington, DC, office or in the Member's home state. Therefore, when a congressional staff member signs a letter to NARA, follow the procedures in subpars. (1) and (2)
- i. If the staff member is in the Member's Washington, DC, office, address the reply to the Member of Congress instead of the staff member.
 - ii. If the staff member is in the Member's State or district office, address the reply to the Member and include the name of the staff member on an attention line.

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- e. **Routing replies.** Send the reply to the same address location as on the incoming letter, unless otherwise requested.
 - i. If the incoming letter is from a Member's Washington, DC, office, send the reply to that office.
 - ii. If the incoming letter is from the Member's State or district office, send the reply to that address, with a courtesy copy to the Washington, DC, office.
 - iii. If requested, send the reply directly to the constituent's address, with courtesy copies to the appropriate offices.
- f. **Telephone inquiries.** When a congressional inquiry is received by telephone, OF 41, Routing and Transmittal Slip, is used to transmit any requested material. However, when a telephone request requires research entailing a substantive reply, prepare a letter for N's, NN's, or a regional archives director's signature, as appropriate.

27. Review and signature of reference correspondence.

- a. **General.** Unit heads are responsible for ensuring that NARA policies and procedures are followed and that an acceptable level of quality is maintained in all reference correspondence. To accomplish this, unit heads, or a designated assistant, must review or sign reference correspondence originating within the unit. Reviews shall concentrate on the substance of the reply and make as few stylistic changes as possible.
- b. **Correspondence signed outside originating unit.** Congressional and other reference correspondence to be signed outside the originating unit must be reviewed and initialed by the unit head or a designated assistant before it is sent through the normal supervisory channels to the signing official.
- c. **Correspondence signed within originating unit.**

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- i. Nonroutine correspondence. Correspondence involving matters of policy, including questions of access, restrictions, or commitments for special services, is signed by the unit head or the assistant, if designated by the unit head.
- ii. General reference correspondence. Reference correspondence is reviewed and signed as follows:
 - a. Letters prepared by archivists and archives specialists, GS-12 or above, are signed by the preparing archivist or specialist, and a representative sample is post-audited at least monthly by the unit head.
 - b. Letters prepared by archivists and archives specialists, GS-11, are signed by the preparing archivist or specialist after review by the unit head or his/her designee.
 - c. Letters prepared by archivists, archives specialists, and archives technicians, GS-10 and below, are signed by the archivist supervising their work and are subject to the review requirements in subpars. (a) and (b).
 - d. **Other signature authority.** Further restriction or extension of authority to sign reference correspondence requires prior approval of the appropriate division or regional archives director.

28. thru 30. Reserved.

PART 3. USE OF RECORDS

31. General.

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This part includes procedures for the use of records in research rooms. Restrictions on the use of records are discussed in ch. 6. Researchers normally use records only in designated research rooms. At the discretion of the unit head, records may be used in reference units (see par. 34c). See ch. 9 for regional procedures.

- a. Original records are normally not made available when microfilm or other copies are available.
- b. Researchers under the age of 16 must be accompanied by an adult researcher. The adult agrees in writing to be present when the records are used and to be responsible for compliance with research room rules.

32. Researcher application and registration.

Each researcher must apply for a research identification card before access is allowed to records and library holdings in any NARA research area except the Microfilm Research Room located in the National Archives Building and the microfilm research areas in each of the regional archives.

- a. **Application.** Each researcher completes NA Form 14003 (see app. 7B). The researcher must then be issued NA Form 14025, Researcher Identification (see app. 7H), by the appropriate NARA reference personnel. This identification card, and similar identification cards issued by Presidential libraries, are valid at all NARA research facilities for a period of 2 years.
 - i. For procedures involving each NA Form 14003 filled in at a regional archives, see ch. 9.
 - ii. NNRS maintains a copy of all NA Forms 14003. Whenever NNRS issues an NA Form 14025, a copy of the pertinent NA Form 14003 is retained by NNRS.
 - iii. The researcher receives a copy of NA Form 14003 to present to the staff of the reference unit in charge of the records he/she intends to use.
- b. **Registration.** Each research room maintains a register of researchers on NA Form 14004, Register of Researchers (see app. 7I). All researchers visiting research rooms must provide the information requested on the form once each day and must sign in and out whenever they leave or enter the room.

33. Revocation of a researcher identification card.

- a. **Reasons.** Researchers may have their identification cards revoked if the researchers refuse to comply with the rules and regulations of a NARA facility or if their actions demonstrate that they present a danger to the records or a danger or nuisance to other researchers or to employees.

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- b. **Revocation and researcher notification.** Identification cards may be revoked immediately by officials identified in subpar. c. Cards are revoked for a period of 6 months. A researcher whose card is revoked must receive a written notice of the reasons for the revocation within 3 workdays. In the event that the notice must be mailed, it shall be sent via U.S. Postal Service (USPS) certified mail, return receipt requested, showing the address of where the letter was delivered.
- c. **Revoking officials.**
 - i. **Washington, DC, area.** Only directors of divisions or centers providing reference services have authority to revoke researcher identification cards.
 - ii. **Regional archives.** Only regional archives directors have authority to revoke researcher identification cards.
- d. **Loss of research privileges.** A researcher whose card is revoked by one NARA facility is denied research privileges at all NARA facilities.
- e. **Notifications to other NN units and NARA offices.**
 - i. Whenever an identification card is revoked, the revoking official prepares a revocation notification memo to all division, center, and regional archives directors for NN's signature. This memo contains the name of the researcher, card number (available from the NA Form 14003 maintained by NNRS), issuing unit (if known), and reason for revocation.
 - ii. NN prepares a revocation notification memo to N, the Office of Federal Records Centers (NC), and the Office of Presidential Libraries (NL). This memo contains the name of the researcher, card number, and reason for revocation.
- f. **Appeals.**
 - i. A researcher whose identification card is revoked has 30 calendar days after the revocation to appeal in writing to N for reinstatement of research privileges.
 - ii. N reviews all appeals and has 30 calendar days after receiving an appeal to decide whether or not to reinstate the research privileges. If the revocation is upheld, the researcher may not apply for another identification card for 6 months from the date of the revocation. N informs NN of the appeal decision and NN notifies appropriate directors. A researcher whose appeal is denied must receive from NN a written notice of the reasons for the denial within 3 workdays. In the event that the notice must be mailed, it shall be sent via USPS certified mail, return receipt requested, showing the address of where the letter was delivered.
- g. **Subsequent applications.**
 - i. **Approvals.** Upon application, a new identification card is issued for a probationary period of 2 months. At the end of the probationary period, the researcher may apply for a new identification card valid for 2 years. If the researcher complies with NARA building and research room rules during the probationary period, a regular 2-year identification card is issued.
 - a. Whenever a researcher whose card was previously suspended is issued a probationary and/or a new researcher identification card, the issuing official prepares a reissuance notification memo to all division, center, and regional archives directors for NN's signature. This memo shall contain

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the researcher's name, identification card number, issuing unit, and expiration date.

- b. NN prepares a reissuance notification memo and sends it to N, NC, and NL.
- ii. **Denials.** If a revoking official or designee believes that a probationary reinstatement of the researcher poses a threat to the safety of persons or property, the official may deny probationary reinstatement. If the official denies probationary reinstatement, research privileges are again denied for 6 months. The revoking official must notify the applicant in writing within 3 workdays of receiving the application. In the event that the notice must be mailed, it shall be sent via USPS certified mail, return receipt requested, showing the address to which the letter was delivered. The revoking official also must prepare a revocation notification memo for NN's signature (see subpar. e).
- h. **Subsequent revocations.** If a reinstated researcher's conduct is found to be unsatisfactory, research privileges may again be denied for 6 months. A second and any later revocation of research privileges may be appealed to N in accordance with the procedures in subpar. f.

34. Use of records in the National Archives Building.

- a. **General.** Textual records are normally made available to researchers in the Central Research Room, the East Research Room, the Special Research Room, or unit research rooms; microfilm records, in the Microfilm Research Room; and nontextual records, in the appropriate unit research rooms.
- b. **Centralized research rooms.** NNRS is responsible for operating the Central Research Room, the East Research Room, the Special Research Room, and the Microfilm Research Room. Centralized research rooms are provided to relieve the reference units in the National Archives Building of supervising researchers whose demands for records can be conveniently supplied at a distance from the stack areas and whose requirements for consultation with specialists in the reference units are neither continuous nor frequent.
 - i. **Hours.**
 - a. Legal holidays excepted, the Central Research Room, the East Research Room, and the Microfilm Research Room are open from 8:45 a.m. to 10 p.m., Monday through Friday, and from 8:45 a.m. to 5 p.m. on Saturday. The Special Research Room is open weekdays from 9 a.m. to 12 noon and 1 p.m. to 5 p.m.
 - b. Except for census volumes, which are available from the Central Research Room desk attendant during Central Research Room operating hours, researchers must request records before 4:00 p.m., Monday through Thursday, and before 3:00 p.m., on Friday for use on Friday or Saturday.

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ii. **Records held on indefinite loan.** Records may be charged on indefinite loan to NNRS because of the frequency of their use in the Central Research and East Research Rooms. The reference unit and NNRS share responsibility for rendering service on such records and for initiating necessary repair and preservation measures on the records. The unit that loaned the records continues to account for them in its finding aids and in reports on holdings.

iii. **Records holding areas.**

a. Reference units take records to be used by researchers to the holding area unless the researcher is waiting or is on the way to the research room.

b. Records that have not been used for 3 workdays, without prior holding arrangements from a research room supervisor, are removed from the holding area by the appropriate reference unit.

c. Records carts that have been turned in by researchers are immediately returned to the holding area. Reference units are responsible for the daily pickup of returned records or records that have been in the holding area without use for more than 3 workdays.

c. **Reference unit research rooms.** Reference units operate their own research rooms when special circumstances make such facilities necessary. A staff member must always be present whenever such research rooms are in use. Reference unit research rooms are open from 8:45 a.m. to 5 p.m., Monday through Friday, legal holidays excepted.

d. **Library.** The library adjacent to the Central Research Room is operated by NNRS. Library holdings can be examined during the same hours that the Central Research Room is open. Requests for library publications from the stacks are filled as requested from 9 a.m. until 5 p.m., Monday through Friday. Requests for evening use should be submitted by 3 p.m. Requests for Saturday use must be submitted by 3 p.m. on Friday. A reference librarian is on duty from 9 a.m. to 5 p.m., Monday through Friday.

35. Use of records outside the National Archives Building.

a. **Washington National Records Center (WNRC).** Researchers using records in the custody of NN use the WNRC research room, which is provided for persons examining records in either the records center or an NN unit. The research room is open from 8 a.m. to 4:15 p.m., Monday through Friday, and 8 a.m. to 4:30 p.m. on Saturdays, legal holidays excepted. On weekdays, researchers must request records before 3 p.m. of the day that they wish to use the records. Records for Saturday use must be requested by 2 p.m. on Friday.

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- b. **841 South Pickett Street.** The research room provided for using cartographic and architectural records is open from 8 a.m. to 4:30 p.m., Monday through Friday, legal holidays excepted. Researchers must request records before 4 p.m.
- c. **Regional archives.** See ch. 9.

36. Appointments.

Units do not require researchers to make appointments to gain access to NARA holdings. However, researchers are advised that appointments can facilitate their research efforts, can increase the likelihood of same-day access to certain records, and can prevent nonproductive research visits when records cannot be made available.

37. Records chargeout procedures.

NA Form 14001, Reference Service Slip (see app. 7J), or NA Form 14027, Request for Military Records (see app. 7K), must be prepared whenever records are removed from their proper place in the stacks for use in research rooms or in other authorized locations. Procedures for the preparation of NA Forms 14001 and 14027 and the distribution of copies are set forth in app. 7L.

- a. **NA Form 14001.** Whenever the yellow copy of an NA Form 14001 is placed in a container used for storing oversized records, such as maps or posters, the form is placed in a polyester sleeve to prevent contact between the acidic paper of the form and the records stored in the container.
- b. **NA Form 14027.** NA Form 14027 is used when removing compiled military service records and pension application files to a research room (see app. 7L).

38. Review of chargeouts to other NARA units.

Reference units maintain a separate chronological file of the white copies of completed NA Forms 14001 and 14027 for records charged out to other NARA units. Reference units periodically review this file to determine when records are to be returned and to investigate the circumstances concerning overdue records.

39. Secure research rooms.

Reference units and general reference rooms are secure research rooms, and therefore certain rules must be followed by people using the rooms. Reference unit and research room staffs are responsible for providing researchers with copies of Regulations for the Public Use of Records in the National Archives, General Information Leaflet (GIL) No. 2, which contains the secure research room rules (see 36 CFR 1254.10-1254.27).

- a. **Care of records.** Records used in research rooms require special care to protect them from damage, obliteration, mutilation, and theft. App. 7M supplements GIL No. 2 by highlighting instructions for using research rooms in the National Archives Building and

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for handling unbound and bound textual records. Information in app. 7M may be supplemented, as appropriate, by the inclusion of information on the location of various research rooms. Subject-specific instructions for handling nontextual and cartographic records in special research rooms are provided at those locations.

b. National Archives Building and WNRC.

- i.** Central, East, Special, and WNRC research rooms. App. 7N contains special instructions that are placed at research stations. NARA supplies notepaper and notecards in various sizes for the researcher's convenience.
- ii.** Microfilm Research Room. Personal effects may be brought into this research room.
- iii.** Use of lockers. Lockers are provided outside most research rooms for personal belongings. Researchers may not leave any materials in the lockers overnight. Items left in lockers are removed. In the National Archives Building, items may be reclaimed in room G-4, the Security Control Center. At WNRC, contact the research room attendant.
- iv.** Overnight storage. Equipment such as typewriters may be left overnight in the Central and East Research Rooms if space is available. The research room attendant is responsible for making arrangements. Equipment may not be left overnight in other research rooms. NARA is not responsible for equipment left overnight or unattended in research rooms.

c. Regional archives. See ch. 9.

40. Defacement or theft of records.

- a. General.** Archival holdings accessible to researchers in NARA facilities are U.S. Government property. Anyone who willfully and unlawfully conceals, removes, mutilates, obliterates, or destroys such property, or attempts to do so, is guilty of a crime and subject to fine and imprisonment under 18 U.S.C. 2071.

b. Inspection of personal items.

- i.** It is lawful for NARA to examine packages, briefcases, and other containers brought into or taken out of a NARA facility by researchers and other visitors. The justification for the entry inspection is the protection of persons and property. The justification for the exit inspection is to prevent the theft of records and other Government property.
- ii.** Responsibility for inspection is assigned to the security officer on duty. When a security officer is not available, research room attendants, reference archivists, and other NARA personnel working with researchers may deny access to the research room and/or inspect personal items subject to the following limitations. Researchers entering a research room may be refused entrance if they are carrying items that are prohibited (see app. 7M). Researchers exiting research rooms may have their possessions inspected to guarantee that only personal notes and authorized reproductions are removed. For any other types of searches, a security officer must conduct the search (see subpar. d).

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- c. **Discussion of incidents.** Research room attendants and other NARA personnel who observe or who have specific reason to believe that a researcher has concealed, taken, destroyed, obliterated, or mutilated archival holdings shall immediately advise a supervisor, or another employee if the supervisor is unavailable, of what has happened. Together, the two should approach the researcher, ask to discuss the observed behavior, and request an explanation. Discussions should not be accusatory and, if possible, should take place in private, unobserved by other researchers.
- i. **Mutilation or defacement of records.** If mutilation or defacement is suspected and the incident is not satisfactorily resolved, immediately notify the branch chief. After regular office hours, immediately notify the supervisory archivist.
 - ii. **Concealment or theft.**
 - a. **National Archives Building, WNRC, and 841 South Pickett Street.** If concealment or theft is suspected and the incident is not satisfactorily resolved, immediately report the incident to all of the following individuals and offices: the security officer present at the site, the Security Staff (NAFS), the Security Control Center (room G-4), and the branch chief. After regular office hours, immediately notify the supervisory archivist.
 - b. **Regional archives.** If concealment or theft is suspected and the incident is not satisfactorily resolved, immediately notify the local guard or police force for assistance and follow any locally prescribed procedures (see ch. 9).
 - c. n/a
 - d. **Search, arrest, and detention of violators.** Only NARA security officers, Federal Protective Service Officers, or local police officers are authorized to search, arrest, or detain anyone suspected of concealment, theft, destruction, obliteration, or mutilation of Federal records. NARA employees are not law enforcement officers and shall not attempt to search, arrest, or detain an individual in such situations. NARA employees may inspect a researcher's possessions when appropriate (see subpar. b).
 - e. **Securing records.** Whenever an arrest is made and/or NARA research privileges are revoked as a result of concealment, theft, destruction, obliteration, or mutilation of archival holdings, the affected records must be immediately secured by the research room supervisor. The records must be kept in their current order and physical condition and are not accessible to anyone other than authorized investigative personnel pending resolution of any charges, accusations, or appeals associated with the incident.
 - f. **Written reports.** Research room supervisors promptly prepare written reports for all incidents not satisfactorily resolved and forward these reports to the Facilities and Materiel Management Division (NAF), with copies to NN and NAFS.
 - g. **Penalties.** Researchers who violate 36 CFR 1254.18 may be subject, in addition to prosecution under 18 U.S.C. 2071, to revocation of their

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identification cards and denial of research privileges at all NARA facilities (see par. 33).

41 thru 46. Reserved.

PART 4. REPRODUCTION SERVICE

47. National Archives Trust Fund System 1 (Service Order System).

The National Archives Trust Fund System 1 (NATFS-1), commonly referred to as the Service Order System (SOS), is the automated system for handling many reproduction service orders in the Washington, DC, area. (See the Trust Fund Procedures Manual (TRUST FUND 1801), ch. 5. For orders that are processed manually, see par. 48 of this chapter).

- a. **General.** Most requests from the public and Federal agencies for the reproduction of records, purchase of publications, and requests from within NARA for the reproduction of records and nonrecord material are processed through SOS. SOS also provides appropriate financial controls and documentation.
- b. **Service and price quotations.** In response to a researcher's written or oral request for a reproduction service, reference units create price quotations for reproductions. When quotations are mailed, units may attach a form letter or a price list to aid the researcher in selecting the proper service. Units shall enclose a lockbox-addressed envelope in their responses.
- c. **Electronic and hardcopy mail.** Reference units and laboratory units daily check the SOS for electronically transmitted reference requests and check their mailboxes in NAJC for reference orders.
- d. **Unit production orders.** After receiving an electronic or hardcopy order, reference units shall produce reproduction orders in accordance with the timeframes given in subpar. 4b. Units shall not process electronic orders until they have received the customer's confirming order from the Cashier Office (NAJC) and have determined if the researcher has changed the original order.
- e. **Mailing services.** See TRUST FUND 1801, ch. 8.

48. NATF Forms 80 thru 83.

See TRUST FUND 1801, ch. 6, part 7, for information on the manual processing of NATF Forms 80 thru 83 for non-SOS reproduction service orders.

49. Priorities.

Reproduction services are filled in the order that requests are received unless special circumstances exist. Special circumstances include reproductions required for legal proceedings or reproductions beneficial to the general public. Reference unit heads authorize expedited reproduction service (see subpar. 50d).

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50. Limitations.

- a. **Restrictions.** In general, records that are available for examination may be reproduced either for Government agencies or for the public. The immediate reproduction of some records is limited by restrictions, including copyright and the downgrading and declassification of security-classified documents. A one-time copy of any accessioned machine-readable data set will be provided to the agency of origin. For further information on restrictions, see subpar. b and ch. 6, part 1.
- b. **Copyright.** The provisions of the Copyright Act of 1976 and its revisions (17 U.S.C., 101 et seq.) apply to copyrighted materials in the holdings of the National Archives.
 - i. **General.** Most Federal records are in the public domain and are not subject to copyright. Federal agencies have at times, however, acquired copyrighted material from private sources and have incorporated the material into their records.
 - ii. **Warnings.** A warning of copyright (see app. 70) must be posted in research rooms and any other locations, including self-service copiers, where reproduction orders are accepted or where copies may be reproduced by researchers. If a unit provides a researcher with copies of copyrighted material, the warning shall be furnished with the copies.
- c. **Unreasonable requests.** Reference unit heads are authorized to reject unreasonable requests for reproduction of records in their care. Examples of unreasonable requests are those that require more work in searching and refiling records than can be accomplished in a reasonable time and personal requests from employees of other Government agencies that are clearly irrelevant to the current business of those agencies.
- d. **Unusual requests.** Reference unit heads must consult with the appropriate reproduction service unit before making any unusual commitments for reproduction service that might involve an excessive expenditure of resources, unusual technical problems, or the meeting of an expedited delivery date. NARA reproduction laboratories do not provide overtime services. Units are authorized to reject any unusual request for reproduction service when the following circumstances exist.
 - i. The resources of NARA are insufficient to provide the service without detriment to normal reproduction services;
 - ii. NARA is unable to meet a stipulation that the services are to be completed within a fixed time; or
 - iii. The request calls for a format or method of reproduction for which NARA lacks the equipment skilled personnel.
- e. **Document preservation.** If the reproduction of a record poses a threat to its physical integrity, the unit head may refuse to copy the record.
 - i. **Preservation charges.** If a reference unit head determines that a researcher's request for the reproduction of documents will require unscheduled laboratory preservation work before copies can be made, and that this preservation work will demand extensive staff resources, the unit head may charge the researcher for the cost of staff preparation of the records and the cost of laboratory preservation work, as well as for the cost of the reproductions.

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- ii. **Cost determination.** For projects requiring more than 1 hour, the reference unit head estimates the cost of preparation. In the Washington, DC, area, the head of NNPD estimates the cost of the laboratory preservation work.
- iii. **Researcher notification.** The reference unit requesting unscheduled laboratory preservation work shall inform the researcher in writing of any anticipated delay caused by the conservation treatment and of any fees charged for performing the unscheduled preservation treatment.
- f. **Nonfee reproduction services for other Government agencies.** Government agencies are subject to charge by NARA for reproduction services (see the NARA fee schedule in Admin. 201, ch. 1, app. 1D). As a courtesy, however, NARA provides a limited number of free copies to an originating agency: 100 pages of electrostatic copies per request; five 8" x 10" black-and-white photographic prints with negatives per request; or an equivalent amount of other types of reproductions. If an agency submits multiple requests in a given year, reference unit heads may impose a limitation on the amount of nonfee reproductions provided. Reference unit heads may agree to fill larger orders, after consultation with NN.
- g. **Nonfee reproduction services for the general public.** Nonfee reproductions for researchers are limited to 10 or fewer electrostatic copies.

51. Microform reproductions of nonmicroform records.

- a. **General.** Reference units inform the purchaser that a positive microform or duplicate negative can be obtained. Fees are quoted based on the price per frame. Subsequent requests for positive copies of microforms already created are sold at microform publication rates (see Admin. 201, ch. 1, app. 10).
- b. **NARA copy.** When determining whether NARA should retain the master negative produced in response to an order, reference unit heads consider preservation and security filming issues and follow criteria delineated in The Selection and Preparation of Records For Publication on Microfilm, Staff Information Paper (SIP) No. 19 (Revised).
 - i. **Washington, DC, area.** Reference unit heads also consult with the Archival Publications and Accessions Control Staff (NN-E) and the Marketing and Fulfillment Branch (NEPF) to determine whether NARA should retain the master negative produced in response to an order.
 - ii. **Regional archives.** See ch. 9.

52. Self-service copiers.

- a. **Restrictions.**
 - i. The following types of documents are not suitable for copying on self-service copiers: bound archival volumes; records fastened together by staples, clips, acco fasteners, rivets, or similar fasteners, where folding or bending the record may cause damage; records larger than 11" x 14"; records with uncanceled security markings; records with legal restrictions on copying; and records that, in the judgment of the research room attendant, are in poor physical condition.

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Permission may be given by the reference unit branch chief to remove fasteners for the purpose of facilitating copying and to copy bound volumes when they can be safely handled. Records with uncanceled security markings may be copied with use of a declassification strip or after cancellation of security markings by a research room attendant.

- ii. All records shall be examined by research room staff to determine if they are suitable for copying on the self-service copiers.
- iii. The arrangement of the records shall be checked by research room staff before and after copying to ensure that researchers copy from only one filing unit at a time.
- iv. Copiers may not be used as work areas for locating pages to be copied.
- b. **Debit card operated copiers.** The researcher obtains a debit card from the debit card dispenser located near the copier or from NAJC, room G-1, National Archives Building. When the copying is complete, the debit card may be returned to NAJC for a refund of the dollar amount remaining on the card. See TRUST FUND 1801, ch. 6, part 5.
- c. **Coin-operated copiers.** Change necessary to use coin-operated copiers is available in NAJC, the National Archives Building snack bar, and the WNRC research room.

53. Personal paper-to-paper copiers.

The use of personal paper-to-paper copiers is prohibited in areas subject to secure research room procedures (see par. 39).

54. Personal microform copiers.

Personal microform copying equipment may be used only in research rooms subject to the procedures outlined in 36 CFR Subpart F.

55. Other researcher-owned and -operated equipment for manual, electronic, or photographic copying of records.

- a. **Definition.** Researcher-owned and -operated equipment that may be used under certain conditions (see subpar. b) includes computers, cameras, audio recorders, videotape recorders, and manual and electric typewriters.
- b. **Limitations.** Equipment must be able to operate from a table top as it will be placed on a research desk. Researchers are limited to one research desk. Reference supervisors may restrict the use of certain equipment or the photographic copying of certain records.
 - i. Power consumption of equipment may not exceed 1.2 kilowatts. Power available is 115 volts, 60 hertz.
 - ii. Photographic equipment may not be used with flash or other types of artificial light to copy paper-based records.
 - iii. Persons desiring to use approved equipment shall work in areas designated by the research room attendant.

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56. Citing reproductions.

Researchers, not NARA staff members, are responsible for properly citing the source of a reproduction. The identification strip reproduced at the top of each electrostatic copy provides only basic information concerning the source of the record. Reference units furnishing reproductions to persons engaged in substantive research shall therefore encourage researchers to use Citing Records in the National Archives of the United States, GIL No. 17.

57. Certification.

a. General.

- i. Division directors, branch chiefs, regional archives directors, or their designees are authorized to certify reproductions of records in their charge. NARA staff must make the reproductions of documents to be certified.
- ii. Researcher-produced copies, including those created on self-service copiers, cannot be certified. The research room staff (except in the Microfilm Research Room) instructs researchers to tab the documents for reproduction and certification and informs the researcher that duplication is subject to the reference unit's workload. The documents are returned to the reference unit, assigned a place in the sequence of work to be done, duplicated, and certified.

b. Paper copies.

- i. **National Archives Building and 841 South Pickett Street.** Reference units in the National Archives Building send the ribbon copy of NA Form 14007A, which is an authentication certificate (see app. 7P), with the related reproduction to NNRS. NNRS attaches the form to the reproduction and embosses the certificate with the seal of the National Archives of the United States then returns the package to the reference unit. The Cartographic and Architectural Branch (NNSC) uses NA Form 14007A to do its own certification.
- ii. **WNRC.** Reference units at WNRC use NA Form 14007B (see app. 7Q) to do their own certification.
- iii. **Regional archives.** Regional archives use NA Form 14007 (see app. 7R) to do their own certification.

- c. **Microfilm copies.** Reference units send the appropriate NA Form 14007 (see subpar. b to determine the forms used by various NARA units), ribbon copy only, with the related records to the microfilm laboratory. The microfilm laboratory films the form as the first frame. The statement in fig. 7-1 is filmed as the second frame. The reference unit verifies the microfilm copy with a 100-percent, image-by-image comparison against the original records.

Figure 7-1. Microfilm certification statement

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The following document is from the records of the National Archives of the United States, Record Group _____, subgroup _____, series _____. The document is _____ pages long and is filmed without splices.

- d. **Fees.** There is a charge for this service at the rate specified in Admin. 201, ch 1, app. 10.

58. Reproductions of declassified records.

Copies of declassified records must be marked to show that the records have been declassified properly in accordance with procedures found in the NND Procedures Manual (DECLASS 1403). The following procedures shall be used by Washington area units; regional archives may use these procedures or modifications as approved by the Alternate NARA Information Security Manager (administratively located in NA).

a. Self-service reproductions of declassified records in research rooms.

- i. Research room staff are authorized to mark individual original documents with the same declassification authority that is on the box labels for the records. In some instances the declassification authority appears on the first page of a document or on the folder. A line is drawn through the security classification marking without obscuring the level of the former security classification. Marking individual documents is appropriate only when a small number of items are being reproduced.
- ii. A declassification strip can be used on the copier for bulk copying. The strip containing the information about the declassification authority that appears on the box label is prepared by the research room staff and is placed face down on the copier so that the declassification markings will appear on the copies.
- iii. If there is a question about the declassification authority, the records are removed from the research room and the research room staff notifies the reference unit to determine the classification status of the records.

b. Reproduction orders of declassified records in reference units.

Researchers may place reproduction orders after examining records in the research rooms or may order copies by mail. These orders are handled by the reference units. The reference unit employs the same procedures used by research room staff described in subpars. a(1) and a(2) for copying the records.

c. Reproductions of declassified nontextual records.

Special procedures are sometimes necessary for records on media other than paper.

- i. **Still pictures.** Copies are stamped with a Records Declassification Division (NND) approved stamp.
- ii. **Microforms.**
 - a. For reproductions of entire rolls of declassified microfilm, a declassification strip is prepared by the unit and is placed face up on the camera bed so that declassification markings will appear on each image.

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- b.** For reproductions of selected images from a roll of declassified microfilm, the individual copies are marked or stamped with the declassification authority.
- c.** n/a
- d.** All declassification markings or stamps on original records are to be made only with ink, pens, and stamps meeting Preservation Policy and Services Division (NNP) standards as nonacidic, nonbleeding, and colorfast. Pens, stamp pad ink, and stamp pads meeting the NNP standards are available from NNPD.
- e.** Guidance on declassification markings. Detailed instructions on the format and content of declassification markings are found in INFO SECURITY 202, ch. 5, part 2.

59 thru 68. Reserved.

Part 5. Interagency Reference Loan Procedures

(Canceled by NARA 1701)

Appendixes 7A thru 7V not shown