



TRICARE
MANAGEMENT ACTIVITY

OD

**OFFICE OF THE ASSISTANT SECRETARY OF DEFENSE
HEALTH AFFAIRS**

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**CHANGE 151
6010.51-M
FEBRUARY 12, 2013**

**PUBLICATIONS SYSTEM CHANGE TRANSMITTAL
FOR
TRICARE OPERATIONS MANUAL (TOM), AUGUST 2002**

The TRICARE Management Activity has authorized the following addition(s)/revision(s).

CHANGE TITLE: RECORDS MANAGEMENT

CONREQ: 15835

PAGE CHANGE(S): See page 2.

SUMMARY OF CHANGE(S): This change revises records management requirements for transferring electronic records to the electronic Code of Federal Regulations (eFRC) and provides additional guidance and/or clarification on contractor compliance with relevant provisions of applicable federal statutes and regulations.

EFFECTIVE DATE: Upon direction of the Contracting Officer.

IMPLEMENTATION DATE: Upon direction of the Contracting Officer.

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368
Date: 2013.02.08 12:48:51 -07'00'

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**ATTACHMENT(S): 49 PAGES
DISTRIBUTION: 6010.51-M**

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SECTION **SUBJECT**

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GENERAL

1.0. POLICY

1.1. This chapter implements *the* Department of Defense (DoD) Records Management Policy, and “TRICARE Management Activity (TMA) Records Retention Schedule (RRS)” (hereafter referred to as “TMA RRS”). Contractors must plan for the full life cycle of Government records (regardless of media), from creation through the required retention period and to the authorized destruction date. In addition to the TMA RRS, contractors shall comply with the following policies, regulations, and laws relating to Government records:

- 36 Code of Federal Regulations (CFR), Subchapter B - Records Management
- Federal Records Act (Title 44 United States Code (USC), Chapters 21, 29, 31, 33)
- Paperwork Reduction Act (Title 44 USC, Chapter 35)
- DoD Directive (DoDD) 5015.2, “DoD Records Management Program,” March 6, 2000

1.2. It is DoD policy, to limit the creation of records to those essential for the efficient conduct of official business and to preserve those of continuing value while systematically eliminating all others, and to ensure their management is in compliance with the above listed laws and regulations, as well as, all TMA RRS references.

1.3. No record of the United States (U.S.) Government is to be alienated (removed) or destroyed except in accordance with the provisions of the Federal Records Act and applicable regulations. Unauthorized destruction of records is punishable by fine, imprisonment, or both.

2.0. APPLICABILITY

2.1. The provisions of this chapter apply to all TMA contractors. Where “contractor” is referred to within this chapter, the provisions shall apply, when appropriate, to subcontractors providing services under the prime *contractors with TRICARE* contracts.

2.2. Contractors are responsible for preventing the alienation or unauthorized destruction of records, including all forms of mutilation. Willful and unlawful destruction, damage or alienation of federal records is subject to the fines and penalties imposed by 18 USC 2701. Records may not be removed from the legal custody of TMA contractors or destroyed without regard to the provisions of the agency records schedules.

3.0. RESPONSIBILITIES

Contractors shall comply with the federal policies, regulations, and laws referenced in paragraph 1.1., including those policies associated with the safeguarding of records covered by the Privacy Act of 1974, Freedom of Information Act (FOIA), and Health Insurance Portability and

Accountability Act (HIPAA) statutes. These policies include the preservation of all TMA records created or received, regardless of format (paper, electronic, etc.) or mode of transmission (e-mail, fax, etc.) or state of completion (draft, final, etc.). Contractors may choose to maintain records in either paper or electronic format. Depending on the chosen format (paper or electronic), contractors shall use the appropriate Addendum, either Chapter 2, Addendum A or B, for guidance on transferring records to the Federal Records Centers (FRCs).

3.1. TMA

TMA is responsible for:

3.1.1. *The development and implementation of standards and policies for the economical management of records for the TMA Program;*

3.1.2. *Providing effective control over the creation, organization, maintenance, use, and disposition of records including records containing adequate and proper documentation of the contractor's administration and procedures;*

3.1.3. *Providing annual records training for contractors;*

3.1.4. *Notifying contractors of records freezes; and*

3.1.5. *Inspecting the contractor's records management practices and procedures during the contractor's normal business hours.*

3.2. Contractor

Contractor shall be responsible for:

3.2.1. *Scheduling, following contract award, its Records Liaison to attend the next available records management training provided by TMA. The contractor's Records Liaison shall continue to attend the records management course annually thereafter. All travel shall be at the contractor's expense.*

3.2.2. *Records related to beneficiary health care and/or claims and all supporting documentation received or developed under a TMA contract, are the property of the U.S. Government, unless specifically excluded. Contractors, at a minimum, are required to:*

3.2.2.1. *Maintain all government records in accordance with the requirements of the TMA RRS (see Chapter 2, Section 2).*

3.2.2.2. *Appoint an individual to act as a Records Management liaison to work with the TMA Records Management Officer.*

3.2.2.3. *Apply current laws, regulations, standards, procedures, and techniques to ensure the most economical, efficient, and reliable means for creation, retrieval, maintenance, preservation, and disposition of their (Government) records, regardless of media.*

3.2.2.4. *Maintain a file plan of all active and inactive federal records and provide a copy of the plan for review by the TMA Records Management Officer. In addition, the contractor shall maintain documentation on any federal records that have been retired to the FRC or destroyed.*

3.2.2.5. *Annually review and provide feedback on the file plans for each office within their purview to ensure that records are accurately identified. These file plans shall be made available to the Government, if requested.*

3.2.2.6. *Perform self-evaluations of their records management program every two years to ensure compliance with applicable records management laws, regulations, standards and guidance. Copies of the evaluations criteria and their results shall be made available to the Government, if requested.*

3.2.2.7. *Evaluate current and potential information systems to identify record information being created or received during the conduct of business and ensure the preservation of federal records as specified in the TMA RRS. Record information created in information systems and not identified in the TMA RRS shall be brought to the attention of the TMA Records Management Officer.*

3.2.2.8. *Promote awareness of their legal responsibility to report to the appropriate official any actual, impending, or threatened unlawful removal, alteration, or destruction of federal records. Applicable policies and regulations are referenced in [paragraph 1.1](#).*

3.2.2.9. *Establish a records management program covering all media. The contractor shall use the standard classification and filing system outlined in the TMA RRS. This allows for the maximum uniformity and ease in maintaining and using Government records and facilitating the locating, charge-out, re-filing, and disposing of records.*

3.2.2.10. *Develop and implement a vital records program in case of disaster. Reference 36 CFR, Part 1223, "Managing Vital Records."*

3.2.2.11. *The contractor shall ensure that records in its jurisdiction are retrievable and provided within five working days of being requested by the Government.*

3.2.2.12. *TMA records move from an active to inactive status when they meet the TMA RRS cut off requirements in the disposition instructions. Once the TMA records are inactive, they shall be held in accordance with the TMA RRS disposition instructions then transferred to the FRC. Inactive TMA electronic records shall be transferred from contractor systems to TMA's designated National Archives and Records Administration (NARA) Electronic Federal Records Center (eFRC) (see [Chapter 2, Section 4, paragraph 3.0](#)).*

4.0. DEFINITIONS

4.1. Active Records

Active records are those used to conduct current TMA business. They may also be referred to as "open." Active records are generally maintained in office space or on-line in an electronic system. Events in this phase of the records life cycle include creating or receiving records and capturing them in a document or content management system or recordkeeping system.

4.2. Case Files

A case file contains material on a specifically identified matter, action, transaction, event, person, project, or other single standardized subject. As an example, case files may cover one or several topics but all subject material pertains to a single particular case.

4.3. Content Management System

An application that provides capabilities for multiple users with different permission levels to manage content, data, or information.

4.4. Contractor Records

Records include data produced and/or maintained by a contractor for TMA. The contractor is required to provide adequate and proper documentation of TMA's programs and to manage them effectively. The documentation of TMA programs is considered a record.

4.5. Disposition Instructions

Actions taken on records no longer needed to conduct the current business of TMA, and usually include instruction for the cut off, transfer, retirement, and destruction of record documents. Specific guidance and techniques for using or applying disposition instructions are located in the TMA RRS.

4.6. Documentation

Documentation concerns the creation of records and the assembly or consolidation of this information; this applies to records in all media (paper, electronic, microfilm, etc.).

4.7. Electronic Information Systems

Records generated in systems created to perform TMA mission related functions (claims, Explanations of Benefits (EOBs), etc.) and used by office and/or organizational personnel, computer operators, programmers, and systems administrators. These systems are usually identified by a specific name or acronym, and contain structured data. These systems contain TMA records content and shall be required to have retention schedules applied.

4.8. Electronic Mail

A document created or received on an agency electronic mail system, including brief notes, more formal or substantive documents, and any attachments and routing information which may be transmitted with the message. May be a record or a non-record.

4.9. Electronic Recordkeeping

The creation, maintenance, use and disposition of records created and stored by using a computer. Electronic recordkeeping is part of the solution to manage, preserve, and provide access to electronic records.

4.10. Electronic Recordkeeping System

An electronic recordkeeping system collects, organizes, and categorizes electronic records in their native file form instead of requiring the user to print and file them in a manual filing system. Such a system automates the preservation, retrieval, use, and disposition of the electronic record.

4.11. Electronic Records

Records stored in a form that only a computer can process and satisfies the definition of a federal record, also referred to as machine-readable records or automatic data processing records.

4.12. Electronic Standard Form 135 (SF-135)

The electronic SF-135 is modeled after the transmittal document SF-135 designed for metadata about the paper records. When transferring electronic records the metadata is different than the paper records (see [Chapter 2, Addendum B](#)). The metadata collected for electronic transfers will be the key identifiers used to search and retrieve the record.

4.13. Frozen Records (FRs)

Those temporary records that cannot be destroyed on schedule because special circumstances, such as a court order, require a temporary extension of the approved retention period.

4.14. Group 6 or Higher

The minimum accepted Tagged Imaged File Format (TIFF) version sufficient for electronic records to be maintained or transferred because it is the lowest TIFF specification able to convert record data into an archival file format suitable for long-term preservation.

4.15. Inactive Records

Inactive records are documents which are no longer referenced on a regular basis (yearly) and tend to be stored in a less accessible place. Records become inactive when they reach their cut-off as defined on a Records Retention Schedule, has been reached. Inactive records may also be referred to as "closed" records.

4.16. Life Cycle of Records

The concept that records pass through the following stages: receipt, capture, creation, active use, inactive use, distribution, storage, transfer, migration, disposition, and archiving of the official record.

4.17. Master Files

Relatively long-lived computer files containing an organized and consistent set of complete and accurate data. Usually updated periodically.

4.18. Medium/Media

The physical form of recorded information, such as paper, film, disc, magnetic tape, and other materials on which information can be recorded and stored.

4.19. Metadata

Data about a record; the attributes of electronic records (structure, content, and context), including office of origin, file codes, dates sent/received, disposition, security classification, etc. For example, if a record can be viewed as a "letter," then metadata is found on the "envelope" (e.g., date stamp, return address, addressee, etc.). Associated metadata is data that is linked to or associated with a specific electronic record or record object.

4.20. Migration

The techniques and strategies used to move electronic information from one storage medium to another over time to prevent the loss of needed information because of technological obsolescence.

4.21. Non-Record Material

Non-record material is any U.S. Government-owned documentary material that does not meet the conditions of records status or that is specifically excluded from the statutory definition of a record (see 44 USC 3301). There are three specific categories of materials excluded from the statutory definition of records:

- *Library and museum material (but only if such material is made or acquired and preserved solely for reference or exhibition purposes), including physical exhibits, artifacts, and other material objects lacking evidential value.*
- *Extra copies of documents (but only if the sole reason such copies are preserved is for convenience of reference).*
- *Stocks of publications and of processed documents. Catalogs, trade journals, and other publications that are received from other Government agencies, commercial firms, or private institutions and that require no action and are not part of a case on which action is taken. (Stocks do not include serial or record sets of agency publications and processed documents, including annual reports, brochures, pamphlets, books, handbooks, posters and maps.)*

4.22. Optical Disc (OD)

A non-contact, random-access disc tracked by optical laser beams and used for mass storage and retrieval of digitized text and graphics. Sometimes called an optical digital disc or optical digital data disc. Types include:

- *Write Once Read Many (WORM);*
- *Compact Disc-Read Only Memory (CD-ROM);*
- *Compact Disc-Interactive (CD-I);*
- *Digital Video Disc (DVD); and*

- Erasable ODs.

4.23. Processing Files

Files, aside from master files, which comprise the life cycle of most computerized records prior to the production of a given master file. Processing files, from work files and input or source files to some valid transaction files, are employed to create and use a master file.

4.24. Project Files

A project file contains an assembly of materials that pertain to a set of actions, transactions, events, persons, or other subject matter designated to a project. By definition, projects are temporary so files have a clear beginning and end date that correspond to a project's life cycle.

4.25. Record Object

A record object is a container (typically, a computer file) for a group of related information. The information can be formatted as either text or images, and the computer file-type indicates the format of the information. For example, scanned images are typically stored in TIFF or as Portable Document Format (PDF) files.

NOTE: *For the purpose of electronic records management, a record object is not necessarily a row of data in a database.*

4.26. Records

According to 44 USC 3301, the term "records" includes "all books, papers, maps, photographs, electronic records, or other documentary materials, regardless of physical form or characteristics, made or received by an agency of the U.S. Government under federal law or in connection with the transaction of public business and preserved or appropriate for preservation by that agency or its legitimate successor as evidence of the organization, functions, policies, decisions, procedures, operations, or other activities of the Government, or because of the informational nature of data in them. Library and museum material made or acquired and preserved solely for reference, and stocks or publications and of processed documents are not included."

4.27. Records Management

That area of general administrative management concerned with achieving economy and efficiency in the creation, use/maintenance, and disposition of records.

4.28. Smart Scan

Smart Scan is a feature of the Archives and Records Centers Information System (ARCIS) that provides a service of scanning the paper records requested and having them e-mailed to the requestor. For more specific details about the service, check the NARA ARCIS web page.

4.29. Transfer

The term "transfer" has replaced the older term "accession" for temporary records. Like an accession, a transfer is a unique identifier used by NARA to track the records transferred using the SF-135 transmittal document for either paper or for electronic records.

4.30. Transmission and Receipt Data

4.30.1. *Transmission data. Information in electronic mail systems regarding the identities of sender and addressee(s), and the date and time messages were sent.*

4.30.2. *Receipt data. Information in electronic mail systems regarding date and time of receipt of a message, and/or acknowledgment of receipt or access by the addressee(s).*

4.31. Vital Records (Sometimes Called Essential Records)

Records essential to the continued functioning or reconstitution of an organization during and after an emergency and also those records essential to protecting the rights and interests of that organization and of the individuals directly affected by its activities (includes both emergency-operating and rights-and-interests records). Vital records considerations are part of an agency's records disaster prevention and recovery program.

5.0. E-MAIL RECORDKEEPING REQUIREMENTS

The same records management principles apply to e-mail records. Contractors shall, at a minimum:

5.1. Write and implement *e-mail* instructions *based on the requirements of the TMA RRS*. Instructions at a minimum shall address: what is a record vs. a non-record, how the contractor will preserve the data, the names on distribution lists or directories, when to request receipts and how to preserve the receipts, external e-mail systems, and circulated drafts. The contractor must minimize the risk of unauthorized additions, deletions, or alterations to e-mail records (integrity).

5.2. Assign an individual to be responsible for the maintenance of the e-mail recordkeeping system. This individual is also required to annually monitor the use of the e-mail system to assure recordkeeping instructions are being followed.

5.3. Train all e-mail users and provide on-going training for any new users on e-mail record keeping requirements in compliance with *TMA RRS (also see paragraph 1.1.)*. This training shall include: defining what is a record vs. a non-record; how to put records into record keeping systems; preserving data; preserving names on distribution lists or directories; when to request receipts and how to preserve the receipts; how to deal with circulated drafts; and external e-mail systems.

6.0. RECORDS MAINTAINED BY CONTRACTORS

6.1. The records *identified* in Chapter 2, Section 2 shall be maintained by all contractors. *Inactive records shall be routinely transferred to the NARA FRC designated by TMA in accordance with Chapter 2, Section 4.*

6.2. In the event of a contract transition, the outgoing contractor shall transfer records to an incoming contractor *for an agreed upon period of time (for example, typically the last 18-24 months)*. *Records beyond this agreed upon period of time shall be transferred to the NARA FRC designated by the TMA Records Management Officer. Records transferred to the NARA FRC shall follow transfer procedures outlined in Chapter 2, Addendum A and B. Examples of records to be maintained and transferred may include, but are not limited to:*

- *TMA Claims;*
- *Claims Supporting Documentation, including any documentation that either supports or denies payment of a claim;*
- *Adjustment Records;*
- *Adjustment Supporting Documentation, including any documentation that either supports or denies payment of the adjustment;*
- *Checks; and*
- *EOB Forms and Summary Payment Vouchers.*

RECORD SERIES SUBJECT AND DESCRIPTION OF GOVERNMENT RECORDS

1.0. GENERAL

1.1. The following *TRICARE Management Activity (TMA)* records shall be maintained by all contractors *regardless of media*. If this section does not contain a description of a *record* created by the contractor for the Government, contact the TMA Records Management Officer for instructions. *Follow the guidance in the sections below for indexing and record series number requirements. For additional guidance, follow the "TMA Records Retention Schedule" (hereafter referred to as "TMA RRS") for record series numbers and disposition instructions. Contact the TMA Records Management Office to obtain a current copy of the TMA RRS.*

1.2. *If TMA contractors cannot identify a specific series number from the TMA RRS to apply to a particular type of record, consult the National Archives and Records Administration (NARA) General Records Schedule (GRS) available on NARA's web site.*

1.3. GRS

Record Series Number: GRS 23, Number 8

Description: *Logs, registers, and other records used to control or document the status of correspondence, reports, or other records that are authorized for destruction by the GRS or a NARA-approved Standard Form (SF) 115.*

Metadata*/Index Elements: *Date; Subject*

Disposition:

GRS 23, Number 8.1:	<i>Destroy when two years old.</i>
GRS 23, Number 8.5.a:	<i>Destroy or delete when two years old.</i>
GRS 23, Number 8.5.b:	<i>Destroy or delete when no longer needed for convenience.</i>
GRS 23, Number 8.6.a:	<i>Destroy after action taken.</i>
GRS 23, Number 8.6.b:	<i>(1) If suspense copy is an extra copy, destroy immediately. (2) If suspense copy is the file copy, incorporate it into the official files. Destroy after action taken.</i>
GRS 23, Number 8.7:	<i>Destroy immediately, or when no longer needed for reference, or according to a predetermined time period or business rule (e.g., implementing the auto-delete feature of electronic mail systems).</i>

Disposition (Continued): GRS 23, Number 8.8: Destroy or delete when two years old, or two years after the date of the latest entry, whichever is applicable.

GRS 23, Number 8.9: Destroy or delete with related records.

(*Formally categorized as TRICARE Encounter Data (TED) 101-01 Records)

1.4. Office General Management Files

Record Series Number: 101-01

Number:

Description: Documents relating to internal management or general administration of an office.

Metadata/Index Elements: Date; Subject

Disposition: Destroy after one year or on discontinuance.

1.5. Record Locator Files

Record Series Number: 101-05

Number:

Description: Documents used to locate files in the current files area, records holding area or records center. Included are retained copies of the records shipment transmittal sheets with backup (e.g., SF-135, Itemized Listings, File Plans, and Certificates of Destruction).

Metadata/Index Elements: Accession/Transfer Number; Record Series; Contract Name; Contract Number; Office Name

Disposition: Destroy file plans and lists of file numbers when superseded. Destroy shipment lists when six years old after related records are destroyed or after the related records are transferred to the National Archives, whichever is applicable. GRS 16, Item 2.a.(2).

1.6. Non-Policy Administration Files

Record Series Number: 102-07

Number:

Description: Correspondence, transmittal memoranda, instructions, and other related material of a non-policy nature on internal administration and operations.

Metadata/Index Elements: Date; Subject

Disposition: Cut off when superseded or obsolete; destroy three years after cut off.

1.7. Informational Record Files

Record Series 102-15

Number:

Description: Documents not required as supporting documentation of a TRICARE claim or health care service. Included are: administrative memoranda, courtesy copies of correspondence, copies of correspondence which are circulated for informational purposes only, papers, drafts, stenographic notebooks, tape or wire recordings, feeder reports which are transcribed to basic data reports, temporary or interim material, and other data used to prepare record material. Completed surveys from which electronic data is captured, working papers or background information which has been generated or accumulated for inclusion in a final report or document.

Metadata/Index Date; Subject

Elements:

Disposition: Destroy *these materials* 90 days after *servicing* the purpose ~~that they are~~ collected.

1.8. Congressional Correspondence

Record Series 102-18

Number:

Description: Inquiries received directly by the contractor from congressional offices and the contractor's reply. *These files will be indexed alphabetically by case name (beneficiary, provider, or institution) within contract region.*

Metadata/Index Date; Subject

Elements:

Disposition: 102-18.1: *Retire to the Washington National Records Center (WNRC) when one year old; destroy when seven years old.*

102-18.2: *Permanent. Retire to the WNRC one year after close of the case; transfer to the National Archives when 20 years old.*

1.9. Administrative Files

Record Series Number: 103-03

Description: Documents relating to the overall or general routine administration, but exclusive of specific records described elsewhere in this chapter. Included are: TMA, *Department of Defense (DoD)*, or *General Accounting Office (GAO)* audit reports on contractor's performance, administrative costs, benefit payments or any other issue including related correspondence; routine comments on instructions, directives or other publications prepared by another office, e.g., comments on coordinated drafts of manual instructions; evaluations of suggestions that do not result in issuing an instruction; management improvement reports; cost reduction information; travel arrangements; internal security arrangements; and administrative reports.

Metadata/Index Elements: Date; Subject

Disposition: Destroy after five years or discontinuance, whichever is first.

1.10. Health Insurance Portability and Accountability Act (HIPAA)

Record Series Number: 203-18

Description:

***Authorizations for uses and Disclosures:** Files that contain authorizations from individuals for uses and disclosures of their Protected Health Information (PHI). These files will be indexed alphabetically by an individuals' name.*

***Accounting Disclosures:** Files that provide an accurate accounting of the date, nature, and purpose of each PHI disclosure, including documents that show the subject individual's name; requestor's name and address; purpose and date of disclosure; and proof of subject individual's consent, when applicable. These files will be indexed alphabetically by individual's name.*

***Amendment Case Files:** Files contain requests for amendment, contractor's agreement to amend, or agreement not to amend records and all supporting documentation. These files will be indexed alphabetically by individual's name.*

***Complaint Case Files:** Files contain letters of complaint, contractor's response and any supporting documentation. These files will be indexed alphabetically by name of individual filing complaint.*

***Control Records:** Files contain logs which track HIPAA requests. These files will be indexed by calendar year.*

***Enrollment and Disenrollment Files:** Files contain logs which track HIPAA requests. These files will be indexed by calendar year.*

Description (Continued): *Requests for Access to PHI: Files contain original requests for PHI, copies of contractor responses and all related supporting documentation. These files will be indexed alphabetically by individual's name.*

Metadata/Index Elements: *Sponsor Name; Beneficiary Name; Requestor Name; Date; Subject; Request Number*

Disposition: *PENDING APPROVAL. Retain until disposition instructions have been approved by NARA.*

1.11. Accounting Files

Record Series Number: 206-09

Description: *Bank analysis reports, accounts receivable reports, unable to adjust remittances and non-financially underwritten bank account reports, including enrollment financial records of payments made by the beneficiary. These files will be indexed upon contractor's discretion.*

Metadata/Index Elements: *Date; Subject (DRAC - HT0003#; DRAM#; DRAL#; DRAC Files; Name); Account Number; Schedule Number; Voucher Number*

Disposition: 206-09.1: *Destroy six years, three months after period covered by account.*
206-09.2: *Destroy when one year old.*

1.12. Quality Assurance Studies and Analyses of Health Care Quality

Record Series Number: 905-02.2

Description: *Studies and evaluations when required, not resulting in issuance of new standards. These files will be indexed upon contractor's discretion.*

Metadata/Index Elements: *Program Name; Report Name; Date; Subject*

Disposition: *Destroy when five years old.*

1.13. TRICARE Contractor Claims Records

Record Series Number: 911-01.1 (paper records); 911-01.3 (microform and/or electronic records)

Description: *Abortion Claims Files: Documents required during the processing of abortion claims. These files will be indexed sequentially by Internal Control Number (ICN) order within contract region.*
Adjusted Claims: Records which are acquired or utilized in the development and processing of adjusted claims. These files will be indexed sequentially by ICN order within contract region.

Description (Continued):	<p>Beneficiary History and Deductible Files: Computer generated records reflecting the contractor's processing of claims and health care services. These files will be indexed numerically by sponsor's Social Security Number (SSN).</p> <p>Case Management Files (Preauthorization/Authorization): This series includes all those records generated within the health care services function involving pre-authorizations, authorization, medical review, peer review, concurrent review, and second level review performed by the medical directors. These notes include copies of medical records and copies of prescriptions and other annotations that are maintained elsewhere in the original case files. These records include the major case files noted as Case Management Files, Extended Care Health Option (ECHO), and other more complex medical case histories. These files will be indexed alphabetically by beneficiary's last name or sequentially by sponsor's SSN within contract region.</p> <p>Mental Health Case Files: These files consist of all documents required in the processing of mental health claims. This series includes cases which have gone to peer review or have been denied at the contractor level. Peer reviews and all associated papers shall be filed in the case file, not kept separate. These files should support the metadata/index elements to include case name (beneficiary - last name), sponsor's SSN and state within contract region.</p> <p>Provider Files: Computer or manually generated records and supporting documents which are used in establishing and documenting a provider as authorized to provide services or supplies under TMA. Included are network agreements, sanction documents, provider signature on file, and provider power of attorney. These files will be indexed by tax identification number or alphabetically by provider name.</p> <p>Reimbursement File Records: Computer or manually generated data and all supporting documents which the contractor uses in determining the payment to beneficiaries or providers. Included are all special rate agreements. Indexing should be able to support the metadata/index elements listed for 911-01.</p> <p>Third Party Liability (TPL) Case Records: Documents relating to a TPL cases. These files will be indexed alphabetically by sponsor's last name or by sponsor's SSN within contract region.</p>
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Description (Continued):	TRICARE Contractor Claims Records: Any record acquired or used by the contractor in the development and processing of claims. These records include but are not limited to: claims (TRICARE claims or other forms approved by the TMA); and supporting documentation, i.e., receipts (itemized statements); medical reports (operative or daily nursing notes, lab results, etc.); authorization forms; certifications of eligibility; double coverage information; completed subrogation forms, certification of emergency statements; powers of attorney or statements of legal guardianship; claim development documentation; includes development documentation maintained on an electronic record, i.e., notepad; and correspondence and other comparable documentation which result in or support specific claim processing and payment determinations. These files will be indexed sequentially by ICN within contract region.
Metadata/Index Elements:	Sponsor Name; Sponsor SSN; Sponsor Date of Birth (DOB); National Number Identifier; DoD Benefits Number (DBN); DoD Identification Number; Defense Enrollment Eligibility Reporting System (DEERS) Family Identification Number; TMA Claim Number; Beneficiary Identification Number; Beneficiary Name; Beneficiary SSN; Beneficiary DOB; Image Control Number; Begin Date of Service; End Date of Service; Provider Name; Provider Taxpayer Identification Number (TIN); Record Sub-Series; Date
Disposition:	<p>911-01.1: Close out at end of the calendar year in which received; hold one additional year; and transfer to the Federal Records Center (FRC). The FRC shall destroy after an additional five years retention.</p> <p>911-01.3: Close out at end of the calendar year in which created; hold on-site six additional years.</p>

1.14. TRICARE Benefit Check Records

Record Series Number:	911-02
Description:	Checks paid to beneficiaries or sponsors and providers, and any relevant records to include check vouchers, registers, and canceled or voided checks resulting from non-receipt, loss, theft, or non-delivery. <i>These files will be indexed sequentially by check number order or by month processed through the bank (cancelled or voided) within contract region.</i>
Metadata/Index Elements:	Check Number; Check Issue Date; Payee Name; Account Number; Check Serial Number; Check Sequence Number; Check Amount; Image Control Number; Check View Type
Disposition:	Close <i>out</i> at the end of the calendar year in which <i>paid</i> , or voided, <i>as applicable</i> ; hold one <i>additional</i> year; and <i>retire</i> to the FRC. The FRC shall destroy <i>after an additional five years retention</i> .

1.15. Explanation Of Benefits (EOB)

Record Series Number: 911-03

Description: EOB forms and Summary Payment Voucher notices used to advise beneficiaries, sponsors, or providers of the action taken on TRICARE claims. *These files will be indexed by ICN within contract region.*

Metadata/Index Elements: *Sponsor Name; Sponsor SSN; Sponsor DOB; Beneficiary Name; TMA Claim Number; DBN; DEERS Family Identification Number; DoD Identification Number; Begin Date of Service; End Date of Service; Provider Name; Image Control Number; Provider TIN*

Disposition:

- 9-11-03.1: *Close out at end of the calendar year in which issued; hold one additional year; transfer to the FRC; destroy after five years.*
- 9-11-03.2: *Destroy upon verification of microfilm, or as directed by TMA.*
- 9-11-03.3: *Close out at the end of the calendar year in which created; hold on-site six additional years.*

1.16. Appeals And Hearings Case Records

Record Series Number: 911-04

Description: Claimant requests for reconsiderations, written statements or evidence, medical records pertaining to the claims under appeal, notices of review decision and other papers resulting from the appeals process. *These files will be indexed alphabetically by beneficiary name within contract region.*

Metadata/Index Elements: *Sponsor Name; Sponsor SSN; Sponsor DOB; Beneficiary Name; National Number Identifier; DBN; DoD Identification Number; DEERS Family Identification Number; TMA Claim Number; Beneficiary Identification Number; Begin Date of Service; End Date of Service; Provider Name; Provider TIN*

Disposition: *Place in inactive file upon final action on the case. Close out inactive file at the end of the calendar year in which action was taken, hold one additional year, and retire to the FRC. Destroy after five years' retention in the FRC.*

1.17. Contractor And Subcontractor Files

Record Series Number: 911-05

Description: Contractor agreements with subcontractors, leases for building space, equipment, consulting, and other services. Included are TMA approvals, amendments, and similar documents.

Metadata/Index Elements: *Contract Name; Contract Number; Sub Contract Name; Sub Contract Number; Agreement Title/Document Name; Date*

Disposition: *Close out at the end of the calendar year in which paid, or voided, as applicable; hold one additional year; and retire to the FRC. The FRC shall destroy after an additional five years retention.*

1.18. Recoupment Files

Record Series Number: 911-07

Description: *Documents relating to specific recoupment cases. These files will be indexed alphabetically by case name (beneficiary/sponsor/requester, provider, etc.) within contract region.*

Metadata/Index Elements: *Sponsor Name; Sponsor SSN; Case ID; Sponsor DOB; Beneficiary Name; Provider Name; Provider TIN; Requestor Name; Requestor Number; Date; Subject; National Number Identifier; DBN; DoD Identification Number; DEERS Family Identification Number; Beneficiary Identification Number*

Disposition: *Place in inactive file upon completion of the final action, cut off inactive file at the end of the calendar or fiscal year in which final action was taken, hold one year, transfer to the FRC, destroy after five years.*

1.19. Fraud And Abuse Files

Record Series Number: 911-08

Description: *Documents relating to specific fraud and abuse cases. These files will be indexed alphabetically by case name (beneficiary, sponsor, requester, provider, etc.) within contract region.*

Metadata/Index Elements: *Provider Name; Provider TIN; Hospital Name; Year; Case ID; Case Name; Investigator; National Number Identifier; DBN; DoD Identification Number; DEERS Family Identification Number; Beneficiary Identification Number*

Disposition: *Place in inactive file upon completion of the final action, cut off inactive file at the end of the calendar year in which the final action was taken, hold one year, and transfer to the FRC. The FRC shall hold for an additional five years.*

1.20. Grievance Case Records

Record Series Number: 911-11

Description: *Beneficiary's written grievance report, the record of the contractor's review and findings, the response to the aggrieved party and, where appropriate, the record of corrective action taken. These files will be indexed alphabetically by beneficiary name within contract region.*

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CHAPTER 2, SECTION 2

RECORD SERIES SUBJECT AND DESCRIPTION OF GOVERNMENT RECORDS

Metadata/Index Elements: *Provider Name; Provider TIN; Hospital Name; Year; Case ID; Case Name; Investigator; National Number Identifier; DBN; DoD Identification Number; DEERS Family Identification Number; Beneficiary Identification Number*

Disposition: *Cut off at the end of the calendar year in which case is closed. Hold in the Central Facilities Area (CFA) one additional year and retire to FRC. Destroy after five years.*

DIGITAL IMAGING (SCANNED) AND ELECTRONIC (BORN-DIGITAL) RECORDS PROCESS AND FORMATS

1.0. GENERAL

1.1. The success of a *digitized document conversion* operation, *receipt or creation of electronic records in native formats, or output of data as electronic records*, depends upon a *strict* standardized process. A standardized process *that is repeatable and consistently followed* will result in *authentic and reliable records*. It also provides for *quality, creation, capture, conversion in the case of scanning, output, processing, indexing, storage, search, retrieval, migration, and reproduction of TRICARE Management Activity (TMA) records*.

1.2. All TMA contractors shall provide TMA with the following inactive records (for definition, see *Chapter 2, Section 1, paragraph 4.15.*) in either Tagged Image File Format (TIFF) or searchable Portable Document Format (PDF) files, with required metadata as defined by *Chapter 2, Section 2, Records Series Subject and Description of Government Records (reference Chapter 2, Addendum B for format, metadata, and transfer requirements)*:

- TMA Claims.
- Claim Supporting Documentation, including any documentation that either supports or denies payment of a claim.
- Adjustment Records.
- Adjustment Supporting Documentation, including any documentation that either supports or denies payment of the adjustment.
- Checks.
- Explanation of Benefit (EOB) Forms and Summary Payment Vouchers (if not electronically generated).

2.0. STANDARDS

2.1. Contractors shall adhere to the following National Institute of Standards and Technology (NIST) and Federal Information Processing Standards (FIPS):

NIST:

- 186-3, Digital Signature Standard (DSS), June 9, 2009
- 198-1, The Keyed-Hash Message Authentication Code (HMAC), July 2008
- 185, Escrowed Encryption Standard (EES), February 9, 1994
- 181, Automated Password Generator (APG), October 5, 1993

FIPS:

- *Subject 180-4, Secure Hash Standard (SHS), March 2012 (Supersedes FIPS 180-3 as of March 2012)*
- *201-1, Personal Identity Verification for Federal Employees and Contractors, March 2006*
- *200, Minimum Security Requirements for Federal Information and Information Systems, March 2006*
- *199, Standards for Security Categorization of Federal Information and Information Systems, February 2004*
- *197, Advanced Encryption Standard (AES), November 26, 2001*
- *Date 140-2, Security Requirements for Cryptographic Modules, May 25, 2001 (Supersedes FIPS PUB 140-1, January 11, 1994)*
- *196, Entity Authentication Using Public Key Cryptography, February 18, 1997*
- *191, Guideline for the Analysis of Local Area Network Security, November 9, 1994*
- *190, Guideline for the Use of Advanced Authentication Technology Alternatives, September 28, 1994*
- *188, Standard Security Label for Information Transfer, September 6, 1994*

2.2. *TMA records that are imaged will follow current Association for Information and Image Management (AIIM) standards for imaging. All documents converted into digital format will be scanned into searchable PDF (at a minimum be 300 pixels per inch (ppi)/dots per inch (dpi)) or TIFF Group 6 or higher (for definition, see Chapter 2, Section 1, paragraph 4.14.) format. AIIM acts as the voice of the ECM industry in key standards organizations, with the media, and with government decision-makers. AIIM is an ANSI (American National Standards Institute) accredited standards development organization. AIIM also holds the Secretariat for the ISO (International Organization for Standardization) committee focused on Information Management Compliance issues, TC171.*

2.2.1. *Imaged copies of TMA records must be legible, reproducible and certified. Image capture and storage systems used by the contractor must reproduce legible copies from the storage medium. Should the contractor produce illegible copies of any record or set of records, the contractor shall recover and re-image the originals ensuring that the newly stored image is a legible, reproducible and certifiable document.*

2.2.2. *The contractor shall provide an automated indexing system that can be used independently of the contractor's data system in the event of a transition. An automated indexing system **must not** be subject to proprietary hardware or software constraints. The automated indexing system shall be able to identify the retrieval location of the original claim and all related documentation, adjustment claims (including correspondence on which the decision to adjust was based) and all related supporting documentation.*

EXAMPLE 1: If back-end filming *or imaging* is done, the back-end document number assigned shall be cross-referenced to the original claim number on the index.

EXAMPLE 2: If the *Internal Control Number (ICN)* assigned to the adjustment claim is different than the original claim number, the contractor shall cross-reference the adjustment claim ICN to the ICN of the original claim being adjusted on the index. The index shall be available for TMA on-site review.

2.3. *The following minimum requirements are applicable to digital images (scanned), electronic records (born-digital), and electronic data or records output in PDF format:*

2.3.1. *PDF File Specifications For All PDF Records*

2.3.1.1. *Searchable PDF records shall comply with PDF versions 1.0 through 1.4 (i.e., be compatible PDF file formats in existence on the approval date of this guidance), and meet conversion requirements as outlined below.*

2.3.1.2. *TMA shall periodically update the list of acceptable PDF versions provided in this guidance, as appropriate.*

2.3.1.3. *The automated indexing system requirements identified in TMA records that are imaged will follow the AIIM guidelines, and apply to all PDF records.*

2.3.2. *General Requirements For All PDF Records*

2.3.2.1. *Security Requirements*

2.3.2.1.1. *The media utilized to transfer records to the government shall be encrypted. However, PDF records shall not contain security settings (e.g., self-sign security, user passwords, and/or permissions) that prevent TMA or the National Archives and Records Administration (NARA) from opening, viewing, or printing the record.*

2.3.2.1.2. *All PDF records shall have all security settings deactivated (e.g., encryption, master passwords, and/or permissions) prior to transfer to TMA, NARA, or for transit reasons. Deactivating security settings from PDFs ensures TMA has the ability to support long term migration and preservation efforts, especially records affected by legal holds. The electronic media device containing PDF records with PII/PHI for transfer should be encrypted using TMA approved (Department of Defense (DoD) compliant) encryption software: FIPS 140-2. TMA recommends using TMA approved (DoD compliant) encryption software and following [paragraph 2.1](#). Reference [Chapter 2, Addendum B](#) for transferring and shipping electronic records securely.*

2.3.2.2. *Review Of Special Features*

Complexities associated with certain PDF features that may be a requirement for contractors shall require pre-authorization from the TMA Records Management Officer prior to enabling any special feature. Examples of special features, include but are not limited to: digital signatures; links to other documents, files or sites; embedded files (including multimedia objects); form data; comments and/or annotations.

2.3.3. Requirements For Scanned Paper or Image Formats Converted To PDF

2.3.3.1. Minimum Image Specifications

Textual paper records (hard copy) converted into a PDF shall adhere to the requirements identified with the paragraphs above. Contractors with digitized (scanned) PDF records not converted in accordance with the minimum image quality specifications standards shall contact the TMA Records Management Officer for further guidance.

2.3.3.2. Optical Character Recognition (OCR)

PDF records can contain embedded searchable text based on OCR. TMA recognizes uncorrected OCR'd text can assist with full text search capabilities; thus, contractors shall be permitted to provide TMA with PDF records that have been OCR'd using processes that do not alter the original bit-mapped image. An example of an output process that accomplishes this requirement is Searchable Image-Exact. Searchable PDF files output as Formatted Text and Graphics, PDF Normal, or Searchable Image-Compact will not be accepted for scanned paper or image formats.

2.3.4. Requirements For Digital To Digital Conversion

Records Converted to searchable PDF from their native electronic formats (e.g., office automation products) and electronic data output (e.g. electronic information systems) to searchable PDF files

2.3.4.1. Embedded Fonts

Electronic records that have been converted to searchable PDF files from their native electronic formats must include embedded fonts to guarantee the visual reproduction of all text as created. All fonts embedded in searchable PDF files must be publicly identified as legally embeddable (i.e., font license permits embedding) in a file for unlimited, universal viewing, and printing.

2.3.4.2. Font Referencing

2.3.4.2.1. *PDF records that reference fonts other than the "base 14 fonts" must have those fonts referenced in the record (i.e., as a minimum, subsets of all referenced fonts) embedded within the PDF file.*

2.3.4.2.2. *PDF records must have all fonts referenced in the record, including the "base 14 fonts," embedded within the PDF file. This requirement is met by having, as a minimum, subsets of all referenced fonts embedded within the PDF file.*

2.3.5. Data Output From Electronic Information Systems

Data output from electronic information systems such as TMA records shall be in the format of searchable PDF files. Because the source information is structured or unstructured data, no OCR process is needed. When performing a digital to digital conversion from native formats or data using normal methods (not employing screen scrapes, special tools, etc.) the output will yield a 100% exact searchable PDF file although, technically, it is called a "Formatted Text and Graphics" PDF.

DIGITAL IMAGING (SCANNED) AND ELECTRONIC (BORN-DIGITAL) RECORDS PROCESS AND FORMATS

Electronic records created from data and native format conversions (digital to digital) shall be accepted by TMA, as a PDF formatted text and graphics format.

3.0. METADATA

3.1. *Metadata is a critical element of TMA records in electronic format. All TMA electronic records require mandatory metadata to be associated or linked to them throughout their active and inactive life cycle. Metadata enables TMA to meet the federally mandated life cycle and recordkeeping requirements while ensuring eRecords remain accessible and searchable to TMA business owners and authorized users. There are several different layers of metadata associated with electronic records as they move through their life cycle from active to inactive, then are transferred to the designated NARA Federal Records Center (FRC), reference [Chapter 2, Addendum B](#).*

3.2. *Metadata can be captured or generated throughout or as part of the business process. For specific metadata requirements reference [Chapter 2, Section 2](#). For example, document and record series metadata for a TMA Contractor Claims Records, Record Series 911-01, may include but is not limited to the following metadata:*

- *Date*
- *DoD Benefits Number (DBN)*
- *National Provider Identifier (NPI)*
- *Defense Enrollment Eligibility Reporting System (DEERS) Family Identification Number*
- *DoD Identification Number*
- *Beneficiary Identification Number*
- *Subject*
- *Sponsor Name*
- *Status*
- *Sponsor Social Security Number (SSN)*
- *TMA Claim Number*
- *Begin Date of Service*
- *End Date of Service*
- *Provider Name*
- *Provider Taxpayer Identification Number (TIN)*
- *Index*

4.0. PROCEDURES

The contractor shall develop and follow a system for *imaging* two-sided documentation *and output to electronic formats required by TMA* to include written procedures for Government inspection detailing the entire process. Documentation, at a minimum, must include the following:

4.1. *Planning for further technological developments.*

4.2. *Providing for the ongoing functionality of system components.*

4.3. *Assuring the imaging system and electronic information systems have inherent flexibility and a non-proprietary design that accepts future hardware and software upgrades.*

DIGITAL IMAGING (SCANNED) AND ELECTRONIC (BORN-DIGITAL) RECORDS PROCESS AND FORMATS

- 4.4. Monitoring and limiting the deterioration of *optical media and digital data disk storage*.
- 4.5. Document *p*reparation.
- 4.6. *Imaging/Conversion* Operations (flowchart or other graphical depiction of the *imaging* process from start to finish).
- 4.7. Indexing, Retrieval, and Cross-Referencing (method of indexing all portions of the claim; i.e., mother claim, adjustments, related correspondence, any documentation that substantiates the settlement of the claim, explanation of benefits, check number, etc.). Ensuring that claims retrieval software is Structured Query Language (SQL) compliant.
- 4.8. Quality Control (must ensure 100% accuracy of readability of all *imaged* documents, how each original will be *imaged*, what will occur if errors are made, equipment failures, skewed margins, loss of data, etc.) *as well as comparable quality control process and procedures for data output as electronic records in PDF format*.
- 4.9. Disaster Recovery (shall be in place to ensure 100% recovery capability, how *content and media* will be protected, the protection of the vital records, and the location of the duplicate copies of the *images, indexes, and PDF records*).
- 4.10. Disposition of Original Records (how, when, where will the original documents be destroyed in accordance with *applicable laws and regulations; i.e., TMA Records Retention Schedule (RRS), the Health Insurance Portability and Accountability Act of 1996 (HIPAA), and the Privacy Act of 1974*).
- 4.11. *Documentation of Imaging and Output Storage Requirements*.

5.0. TRANSITION

- 5.1. Maintain a complete set of documentation to be turned over to an incoming contractor *and the NARA electronic Federal Records Center (eFRC) as designated by TMA*, in the event of a transition.
- 5.2. *Upon direction from TMA, the incumbent shall also be prepared to present the incoming contractor with standard TIFF claim images, searchable PDF files, and a non-proprietary program to sort and retrieve these TMA records by ICN. This program or programs shall be compatible with a current Microsoft® Desktop Operating System. Valid alternatives shall be submitted to TMA for review and consideration.*
- 5.3. *Once the transition of records and materials has been accomplished, outgoing contractors are responsible for destroying all copies to include backup data in accordance with 36 CFR Part 1226, "Implementing Disposition" after full transition and acceptance of transition materials and information has been completed. Contractors are not authorized to dispose or destroy any copies or backup data prior to formal, written notification from the TMA Contracting Office or TMA Records Management Office. A formal record of destruction or certificate must be provided to the TMA Contracting Office documenting what was destroyed, the date(s) destroyed and by whom. This certificate of destruction will be provided to the TMA Records Management Officer.*

5.4. *Reference Chapter 2, Section 3, paragraph 3.0., for additional guidance on records disposal, storage, and transfer.*

6.0. LEGAL ADMISSABILITY

6.1. The contractor shall be familiar with how the rules of evidence apply to federal records, and ensure that procedural controls that protect their integrity are in place and adhered to *for the life cycle management of all Government records.*

6.2. *The contractor shall implement current industry standards from paragraph 2.1., using digital-imaging processes, proven technologies, and optical media for the conversion of paper documents to digital form, their initial creation in digital form, or digital to digital conversion.*

ELECTRONIC RECORDS DISPOSITION, STORAGE, AND TRANSFER

1.0. GENERAL

1.1. *Contractors shall adhere to the following current industry standards in regards to electronic records (i.e., International Organization for Standardization (ISO) guidelines for electronic storage and transfer of records):*

- *ISO 13008:2012 - Information and Documentation - Digital Records Conversion and Migration Process*
- *ISO/TR 13028:2010 - Information and Documentation - Implementation Guidelines for Digitization of Records*
- *ISO 15489-1:2001 - Information and Documentation - Records Management - Part 1: General*
- *ISO/TR 15489-2:2001 - Information and Documentation - Records Management - Part 2: Guidelines*
- *ISO 16175-1:2010 - Information and Documentation - Principles and Functional Requirements for Records in Electronic Office Environments - Part 1: Overview and Statement of Principles*
- *ISO 16175-2:2011 - Information and Documentation - Principles and Functional Requirements for Records in Electronic Office Environments - Part 2: Guidelines and Functional Requirements for Digital Records Management Systems*
- *ISO 16175-3:2010 - Information and Documentation - Principles and Functional Requirements for Records in Electronic Office Environments - Part 3: Guidelines and Functional Requirements for Records in Business Systems*
- *ISO/DTR 17068 - Information and Documentation - Trusted Third Party Repository for Digital Records*
- *ISO/DTR 18128 - Information and Documentation - Risk Identification and Assessment for Records Systems*
- *ISO 22310:2006 - Information and Documentation - Guidelines for Standards Drafters for Stating Records Management Requirements in Standards*
- *ISO 23081-1:2006 - Information and Documentation - Records Management Processes - Metadata for Records - Part 1: Principles*

- *ISO 23081-2:2009 - Information and Documentation - Managing Metadata for Records - Part 2: Conceptual and Implementation Issues*
- *ISO/TR 23081-3:2011 - Information and Documentation - Managing Metadata for Records - Part 3: Self-assessment Method*
- *ISO/TR 26122:2008 - Information and Documentation - Work Process Analysis for Records*
- *ISO 30300:2011 - Information and Documentation - Management Systems for Records - Fundamentals and Vocabulary*
- *ISO 30301:2011 - Information and Documentation - Management Systems for Records - Requirements*

1.2. Contractors shall follow procedures outlined in [Chapter 2, Addendum B](#) (for additional guidance, reference retention and disposal instructions in [Chapter 2, Section 2](#), the TRICARE Management Activity Records Retention Schedule (TMA RRS), and the policies and regulations cited in [Chapter 2, Section 1, paragraph 1.1](#).

2.0. STANDARDS

2.1. The contractor shall ensure electronic records are:

- *Accessible*
- *Identifiable*
- *Retrievable*
- *Understandable*
- *Authentic*

2.2. Contractors shall ensure they maintain accurate, reliable, and trustworthy electronic document-based information. This means ensuring the following: it can be read and correctly interpreted by a computer application; it is available in natural language format; it has a logical and physical structure, substantive content, and context that were apparent at the time of creation or receipt.

2.3. If a contractor chooses to use an Electronic Records Management Software application, the software must be Department of Defense (DoD) 5015.2 compliant.

2.4. Contractors shall ensure that all records storage areas are compliant with the National Archives and Records Administration (NARA) Records Storage Facility Standards Toolkit. These standards can be found on the TMA Records Management web site.

2.4.1. Physical Media Transfer and Storage

2.4.1.1. TMA records must be stored properly. The ISO requirements will be applied to all storage processes, procedures, archiving, data back-up and recovery, and vital records (records essential to the continued functioning or reconstitution of an organization during and after an emergency).

2.4.1.2. Contractors are responsible for managing electronic TMA records in accordance with the NARA Code of Federal Regulations (CFR) - 36 CFR 1234, SubChapter B - Records Management. Section 1234.14 outlines environmental controls for storing electronic records by storage media. For additional guidance on storing temporary records on physical media, reference NARA's Frequently Asked Question(s) (FAQ(s)) on storing temporary records on Compact Discs (CDs) and Digital Versatile Discs (DVDs). 36 CFR 1236, Electronic Records Management, describes the responsibility for the retention and disposition of electronic records.

2.4.2. If a contractor chooses to use an optical digital data disk system, they shall, at a minimum:

2.4.2.1. Monitor trends in the technological environment that conform to open systems standards.

2.4.2.2. Specify existing and emerging non-proprietary technology standards in system design.

2.4.2.3. Evaluate possible data degradation of information stored on optical digital data disks and system functionality on an annual basis using media error monitoring and reporting tools outlined in proposed and evolving standards (i.e., American National Standards Institute (ANSI)/Association for Information and Image Management (AIIM) MS59-199X).

2.4.2.4. Support the ongoing development of non-proprietary standards for data exchange and interoperability.

3.0. ROUTINE TRANSFER OF TMA eRECORDS

3.1. Transfer of inactive TMA eRecords (records no longer necessary for the conduct of business) from contractor systems is required. Follow the record series number retention and disposal instructions referenced in [Chapter 2, Section 2](#) and the TMA RRS to determine when to transfer inactive records to an FRC.

3.1.1. Contractors shall transfer inactive electronic records with associated metadata to TMA's designated electronic records repository hosted by NARA's electronic Federal Records Center (eFRC) (For additional guidance, reference [Chapter 2, Addendum B](#)).

3.1.2. Transfer documentation must include required NARA Standard Form 135 (SF-135) along with corresponding indexes.

3.1.3. Where possible, contractors shall submit required documentation in an electronic format that conforms to NARA requirements. For data files and databases, documentation must include record layouts, data element definitions, and code translation tables (code books) for coded data. Data element definitions, codes used to represent data values and interpretations of these codes must match the actual format and codes as transferred.

3.2. Formats and storage media for transfer will be coordinated with the TMA Records Management Officer. The contractor shall not transfer electronic records that are in a format dependent on specific hardware and/or software.

3.3. The contractor shall follow transfer procedures provided by the TMA Records Management Officer in collaboration with the contracting office ([Chapter 2, Addendum B](#)). The contractor shall use the designated validation utility and process provided by the TMA Records Management Officer for

the quality assurance requirement for preparing electronic records for transfer. (See Chapter 2, Addendum B.)

3.4. *The contractor shall follow the guidelines provided in Chapter 2, Addendum B to prepare the electronic SF-135 transfer document that will include the metadata elements.*

3.5. *The contractor shall follow the guidelines provided in Chapter 2, Addendum B to properly ship electronic records. The contractor shall use the recommended storage media designated by the TMA Records Management Officer. The contractor shall use Chapter 2, Section 3, paragraph 2.1. standards on encryption software for Personally Identifiable Information (PII)/Protected Health Information (PHI) data.*

3.6. *The contractor shall prepare the electronic transfer package to include the following items:*

- *SF-135 in Portable Document Format (PDF) format sample, which can be found on the TMA Records Management web site. The transmittal document SF-135 shall be used as a communication and documentation tool when requesting electronic records transfer. The sample SF-135 illustrates how to use this document (see key information below). The SF-135 PDF file will be sent via e-mail to the TMA Records Management Office to request an electronic records transfer. The TMA Records Management Office uses the information on the SF-135 to request the transfer number and XML file from NARA. The TMA Records Management Office requires a SF-135 PDF file on the media that is used to transfer the electronic records as a documentation tool.*
- *eXtensible Markup Language (XML) file provided to contractor from TMA.*
- *Delimited data file to include required document type (i.e., DOC, PDF, TIFF, XLS) and version information of the software that produced the document type.*
- *Record object documents.*
- *Validation Audit Log.*
- *Key Information.*
- *In #6 Volume (d) - list the storage size of the transfer.*
- *Agency Box Numbers (e) - list the total rows of data in the metadata file.*
- *Series Description (f) - list the metadata elements and data types included in the metadata file.*
- *Series Description (f) - Indicate if metadata elements are required and visible on record object.*
- *Series Description (f) - Identify the delimiter used in the metadata file.*

4.0. TRANSFER OF RECORDS IN THE EVENT OF TRANSITION

4.1. *In the event of a contract transition, all active and eligible inactive TMA eRecords with their associated metadata will be transferred to the incoming contractor or to the NARA eFRC. Eligible inactive TMA eRecords are identified through meetings between contractors, the TMA Records Management Officer and the TMA Contracting Office. The contractor shall develop a process for transferring the data to the incoming contractor that ensures no metadata is lost in the transition process. This process is independent of the process for transferring electronic records to NARA.*

4.2. *The documentation must adequately identify, service, and interpret electronic records designated for storage by TMA and the documentation must be transferred with the records.*

TRANSFERRING RECORDS (FEDERAL RECORDS CENTERS (FRCs) AND TRANSITIONS)

1.0. FEDERAL RECORDS CENTERS (FRCs)

FRCs are established and maintained by the National Archives and Records Administration (NARA) at locations throughout the United States for the storage, processing, and servicing of *inactive* records for federal agencies. *When a government record (regardless of media) becomes inactive (records no longer necessary for the conduct of business and can be transferred to an FRC or destroyed), it shall be transferred to a FRC designated by TRICARE Management Activity (TMA). If necessary, the contractor may transfer active records to a designated FRC. For additional guidance, reference 36 Code of Federal Regulations (CFR), Subchapter B, Part 1234 - Facility Standards for Records.*

2.0. FRC RELATIONS

The contractor shall:

- 2.1. Deal only with the FRC designated by the TMA.
- 2.2. Contact the *TMA Records Management Officer* for assistance in arranging for the retirement and storage of records. The arrangements concern only the details of transfer and recall of records.
- 2.3. Designate a specific individual as a *Point Of Contact (POC)* to deal with the *transfer of records*. The name and address of the individual, and any change in designation, shall be forwarded, as soon as possible, to:

Records Management Officer
TRICARE Management Activity
16401 East Centretech Parkway
Aurora, Colorado 80011-9066

- 2.4. Refer all problems or excessive delays encountered with the FRC to:

Records Management Officer
TRICARE Management Activity
16401 East Centretech Parkway
Aurora, Colorado 80011-9066

3.0. TRANSFER TO OTHER CONTRACTORS/RECORDS CENTER

In circumstances when it is necessary to transfer records to another TMA contractor (i.e., transition situations) or NARA Records Center, the contractors shall carefully follow the media

transferring procedures located in Chapter 2, Addendum A and B and Chapter 2, Section 4, paragraph 4.0.

3.1. Transfer Of Paper Records

See Chapter 2, Addendum A for paper record transfer procedures.

3.2. Transfer of Electronic Records

See Chapter 2, Addendum B for electronic record transfer procedures.

3.2.1. *Transfer of electronic records will be determined in transition meetings for records being transferred to another TMA contractor.*

3.2.2. *When transferring electronic records to other than a contractor, the transfer of electronic records will be in accordance with current NARA Temporary Records Transfer procedures.*

DESTRUCTION OF RECORDS

1.0. POLICY

Contractors are required to use the following procedures *when* destroying Government records:

1.1. Paper records *and other media*: *Since the bulk of the Government records created/ maintained and received by the contractor contain Protected Health Information (PHI) and Personally Identifiable Information (PII), the contractor shall be required at a minimum to cross shred paper documents in accordance with Department of Defense (DoD) 5220.22-M, "National Industrial Security Program Operating Manual (NISPOM)," Chapter 5, Section 7. Other acceptable disposal methods include: burning, melting, chemical decomposition, pulping, pulverizing, or mutilation. These methods are considered adequate, if the personal data is rendered unrecognizable or beyond reconstruction. Magnetic tapes or other magnetic media shall be cleared by degaussing, overwriting, or erasing.*

1.2. *If a contractor uses a shred company, the destruction shall be witnessed by a contractor employee. The shred company shall be bonded, insured, and furnish the contractor with a Certificate of Destruction. The Certificate(s) of Destruction shall provide a description of the records that were destroyed (i.e., general correspondence and claim documents for Calendar Year (CY) 2006). The Certificate(s) of Destruction shall be made available to the Government upon request.*

PAPER RECORD TRANSFER PROCEDURES

1.0. GENERAL

The standard federal records carton (or its equivalent) will be used to ship records to the Federal Records Center (FRC). It is the responsibility of the contractor to acquire cartons from outside sources. When records are shipped in cartons that the FRC cannot accommodate, the records will be returned to the contractor for repacking at the expense of the contractor. Cartons that meet standards for shipping records to the FRC are:

*Standard-Size Record Box (NSN 8115-00-117-8249)
(for standard and legal files)
14-3/4" x 12" x 9-1/2" (inside dimensions)
15" x 12" x 10" (outside dimensions)*

*Small Material Box (NSN 8115-00-117-8338)
(for checks)
14-3/4" x 9-1/2" x 4-3/4" (outside dimensions)*

*Microfiche Box
14-3/4" x 11-3/4" x 11-3/4" (outside dimensions)*

2.0. PACKING AND LABELING OF RECORDS

2.1. *When preparing records for transfer to FRC, records shall be properly packed to minimize the possibility of damage to records.*

2.2. *Records shall not be forced into the cartons. Leave a 1/2 inch space in each carton to permit easy withdrawal of individual records for future reference. If interfiles are expected in the future, enough space shall be left to accommodate them. Records shall be packed upright, with letter-size records facing the front of the carton and legal-size records facing the left side of the carton (see the FRC Toolkit at <http://www.archives.gov/frc/pdf/toolkit.pdf>). Records shall be shipped in manila file folders or expandable folders separating the various records specified in Chapter 2, Section 2. Under no circumstances shall records be placed one on top of another in a carton.*

2.3. *After the records are boxed, the cartons shall be numbered sequentially (1/10, 2/10, 3/10, etc.) with permanent black marker in the upper right front corner (see Figure 2-A-1).*

2.4. *Detailed lists of the contents of cartons, indexes to records, and other specialized finding aids shall be attached to the Standard Form 135 (SF-135), Records Transmittal and Receipt, and retained by the contractor for future reference or upon request by the TRICARE Management Activity (TMA) or a TMA designated authority.*

3.0. PREPARING TRANSMITTAL DOCUMENT

3.1. When transferring records to the FRC, the contractor shall prepare and forward the original and two copies of the SF-135 (available on the TMA Records Management web site under the National Archives and Records Administration (NARA), Records Transmittal and Receipt, SF-135) to the TMA Records Management Officer. In the "From" block (Block 5), the contractor shall enter the following: TRICARE Management Activity, ATTN: Records Management, 16401 E. Centretch Parkway, Aurora, Colorado 80011-9066. The contractor shall insert its own address below the TMA address. The contractor shall state in the Series Description Block the description of the records, the contract number and region. Instructions for completing the remainder of the form are printed on the reverse side of the SF-135. A detailed listing of the contents of each carton shall be attached to the SF-135. If a continuation form is required, use SF-135-A (Records Transmittal and Receipt (Continuation)) or on 8-1/2" x 11" bond paper.

3.2. When records are transferred, they must be scheduled for disposal using the applicable disposition schedule (see [Chapter 2, Section 2](#), for schedules). When the disposal authority is not cited, the SF-135 will be returned for completion.

3.3. Upon receipt of the SF-135, the FRC reviews it for completeness for transfer. If approved, the FRC assigns a transfer number on the form.

3.4. The original SF-135 is retained by the FRC; one copy of the annotated SF-135, showing transfer number(s) will be returned to the contractor, indicating the FRC's approval of the shipment.

3.5. After receiving the copy of the approved SF-135, the contractor shall mark each carton in the shipment with the assigned transfer number. The transfer number shall be put in the upper left front of the carton (see [Figure 2-A-1](#)). The contractor shall place one copy of the SF-135 with the index in Box 1 of each transfer and the records will be shipped to the FRC. A copy of the SF-135 and index shall be retained by the contractor for its use.

3.6. The shipment of records shall be accomplished as soon as possible after the contractor receives the annotated copy of the SF-135. If shipment cannot be made within 90 days of receipt, the contractor must notify the TMA Records Management Office and the FRC, or the SF-135 may be cancelled and returned by the FRC.

3.7. Upon receipt of the records in the FRC, the SF-135 will be signed and returned to the contractor. The FRC's Archives and Records Centers Information System (ARCIS) web application tracks the location of boxes with bar codes. The bar codes and location numbers are no longer provided back to TMA.

3.8. Records boxes will be palletized as shown in [Figure 2-A-2](#). If transferring to the Pittsfield FRC, use [Figure 2-A-2](#). If transferring records to another FRC, contact the TMA Records Management Officer for guidance.

4.0. SHIPPING RECORDS

4.1. *The contractor shall advise the TMA Records Management Officer that a Commercial Bill of Lading (CBL) is required for shipment of records. The information must be provided at least two weeks prior to the estimated shipment date. The information required when requesting a CBL includes:*

- *Number of boxes/pallets*
- *Estimated weight*
- *Estimated date of shipment*
- *Pickup date for shipment*
- *Point Of Contact (POC) name/telephone number*
- *Pick up address*
- *Destination address*

4.2. *A line-haul carrier will be assigned by the Government and stated in the CBL. Only the carrier designated on the CBL will be used. The contractor shall be responsible for arranging for the date and time of pickup and delivery. The TMA Records Management Office will notify the contractor at least 24 hours in advance of scheduled pickup date. If a contractor location is open other than normal days/hours, that information should be included on the CBL request, so that the pickup can be scheduled during those times. The contractor shall comply with the following instructions:*

- *Boxes will be strapped or shrink-wrapped onto pallets.*
- *Pallets will not be double stacked.*
- *Shipment will be loaded and off-loaded sequentially in accordance with the TMA Record Retention Schedule (RRS), "Packing of Files for Retirement" or the FRC Toolkit, which can be found on the National Archives, FRC web site.*

4.3. *The FRC has the right to refuse any shipment of records. Their basis for refusal is based on the requirements of this chapter not being met. When deficiencies are identified with the contents of a shipment, the FRC will send a letter to the contractor stating the deficiencies found. The FRC will notify the TMA Records Management Office of any deficiencies found in shipments, including corrective actions to be taken by the contractor or the basis for a return of the shipment.*

4.4. *TMA will pay for the actual shipment of records to the FRC by use of the CBL. However, if the shipment is found unacceptable at the FRC, the cost to send the shipment back to the contractor and reship to the FRC will be the responsibility of the contractor. If the FRC must perform work on the shipment to make it acceptable (i.e., putting box or transfer numbers on boxes, repacking damaged boxes (caused by improper packing), etc.), that cost will be the responsibility of the contractor.*

5.0. RETRIEVING RECORDS

5.1. *The FRC provides reference services, which includes the loan or return of records, preparation of authenticated reproductions of documents, and furnishing of information from records. Requests for the return of retired records by the contractor shall be approved by the TMA Records Management Officer.*

5.2. Recall of a record from the FRC may constitute a reactivation of the case if the record will be retained on the basis of a current transaction (permanent recall). The record shall be transferred as part of a new shipment of records to the FRC after the new retention period has been met. A record is not reactivated if used only for reference (temporary recall) and may be returned to the FRC for refile.

5.3. To recall records from the FRC, the contractor shall complete the Optional Form 11 (OF-11) (see the National Archives, Forms, OF-11, Reference Request) and contact the TMA Records Management Office, who will coordinate the recall. When multiple OF-11s are transmitted to the FRC, they shall be arranged in transfer number order, by FRC location and contractor box number. Use one OF-11 per request. If OF-11s are unavailable, request files on letter-size paper, providing one copy for each requested document to be used by the FRC as a charge-out document.

5.4. The following information shall always be furnished when preparing a reference request:

- Accession number or transfer number
- FRC location
- Contractor box number
- Description of records or information requested
- Name, address, and telephone number of requester

5.5. Phone request shall be limited to emergency situations. The FRC normally processes requests within eight hours of receipt. All telephone requests for records (priority requests) must go through the TMA Records Management Office at (303) 676-3559. Emergency phone requests are defined as:

- Freedom of Information Act (FOIA) requests
- Privacy Act requests
- Congressional inquiries
- Pending court actions
- High-level interest cases

5.6. ARCIS Smart Scan requests shall be limited to emergency situations. The FRC normally processes these requests within eight hours of receipt. All Smart Scanned and e-mail documents shall not contain Personally Identifiable Information (PII) or Personal Health Information (PHI), unless approved encryption technology is applied. Contact your TMA Records Management Officer for guidance on approved encryption. All Smart Scanned electronic documents shall be treated as transitory and convenience copies. All Smart Scan requests for records (priority requests) must go through the TMA Records Management Office at (303) 676-3559. Smart Scan requests are defined as:

- FOIA requests
- Privacy Act requests
- Congressional inquiries
- Pending court actions
- High-level interest cases

5.7. All records requested from storage shall go to the individual (office) requesting them. Records shall not be sent to outside sources such as the U.S. Department of Justice (DOJ) or Defense Criminal Investigative Service (DCIS). Records shall be sent only to the TMA contractors or the TMA Records Management Officer.

5.8. *Requests for records (OF-11) shall be in FRC location order if 25 or more requests are sent together. There is no limit on the number of requests the FRC will process at one time.*

FIGURE 2-A-1 MARKING AND PACKING INSTRUCTIONS

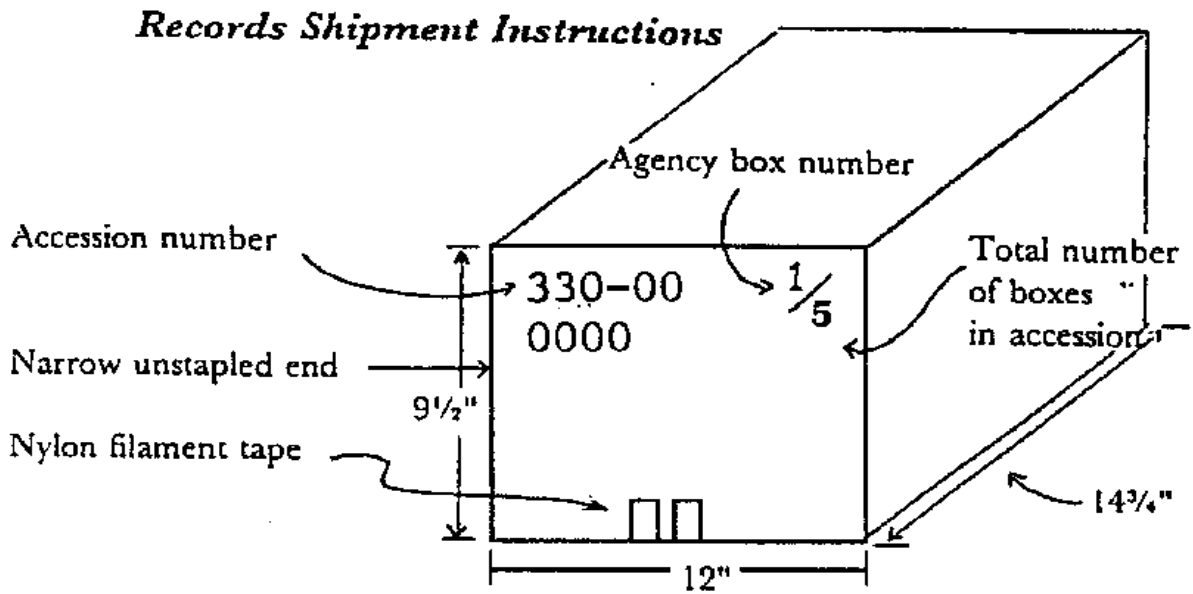
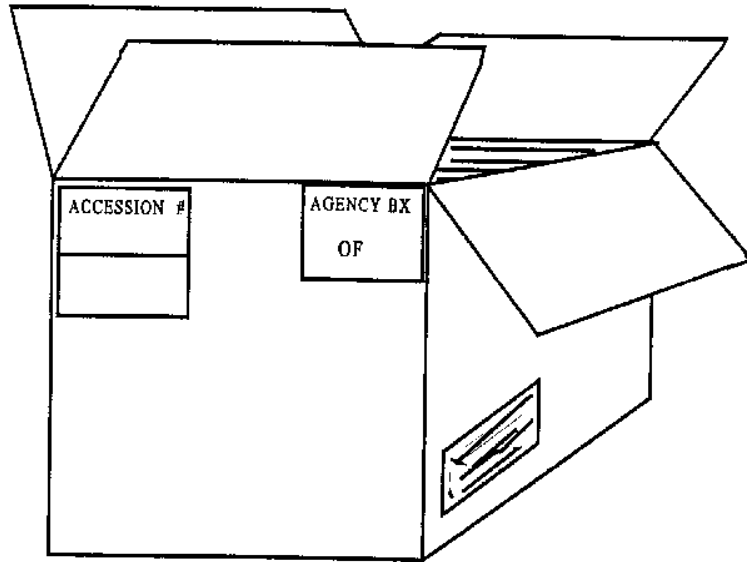
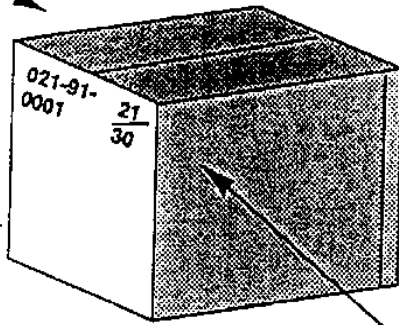


FIGURE 2-A-2 ARRANGEMENT OF BOXES ON PALLETS

Standard FRC
Cubic Foot
Carton

Accession Number
on Every Box
(1" Letters)



Stapled End

Consecutive Number on
Each Box of Accession
(1" Letters)

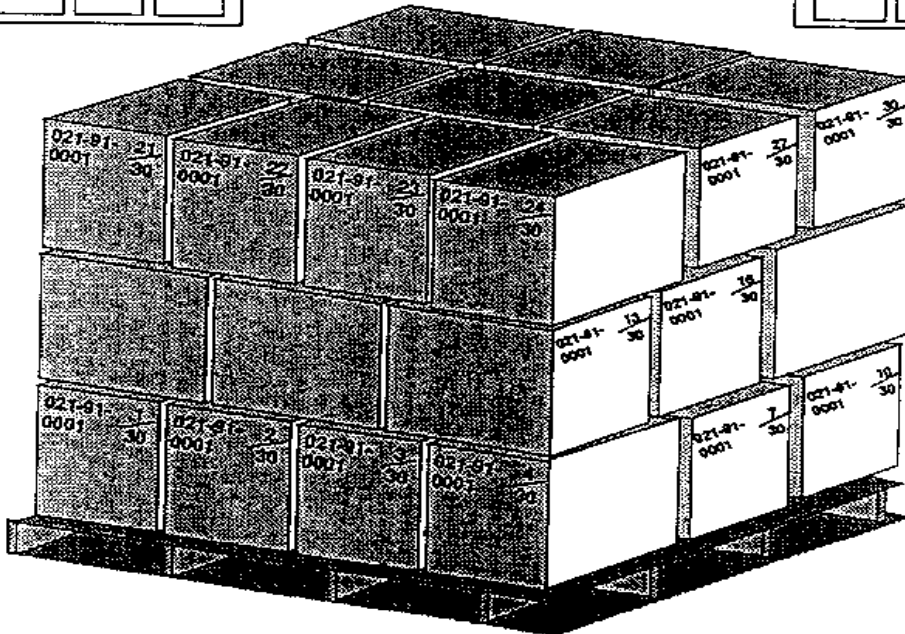
Palletizing Your Records
Alternate Each Layer (Maximum - 6" High)

1st Layer

1	5	8
2	6	9
3	7	10
4		

2nd Layer

11	14	17
12	15	18
13	16	19
		20



ELECTRONIC RECORD TRANSFER PROCEDURES

1.0. GENERAL

The TRICARE Management Activity (TMA) Records Management Office has provided the contractor two options to manage government records, either in paper (reference [Chapter 2, Addendum A](#)) or electronic (reference this Addendum) format. Electronic records shall be transferred to the National Archives and Records Administration's (NARA's) electronic Federal Record Center (eFRC) by following this guidance.

1.1. Electronic records shall be transferred to TMA on acceptable storage media. Acceptable storage media for electronic transfers are Compact Disc-Read Only Memory (CD-ROM), Digital Versatile Disk-Recordable (DVD-R), or on external terabyte drives. If there is a need for other storage media not identified, contact the TMA Records Management Officer.

1.2. The contractor will use the existing electronic Standard Form 135 (SF-135) (Records Transmittal and Receipt) to communicate specific transfer information for electronic records. The SF-135 is specific to paper records; however, with some minor changes it (reference [paragraph 3.4.](#) for more details) can be used to initiate a request to transfer electronic records. The TMA Records Management Officer shall receive the SF-135 Portable Document Format (PDF) via e-mail from the contractor. Once the transfer is approved, the TMA Records Management Officer will send the annotated SF-135 PDF via e-mail to the contractor. The contractor shall include the e-copy of the SF-135 PDF in the transfer package.

2.0. VALIDATOR UTILITY

The Validator utility and documentation shall be provided by the TMA Records Management Officer. It is a free tool provided to contractors by TMA. The purpose of the Validator utility is to provide the quality assurance necessary to ensure trustworthy electronic records by performing low-level validation, analyzing a sampling of the records, identifying the possible errors/omissions, and conducting a Validation Survey for 20 randomly selected record objects. The Validator will produce an audit log to document the success of the transfer package validation and this log is required as part of the final package. The TMA Records Management Officer will provide the Validator deployment package. The contractor shall run the validator tool prior to shipping the transfer package to TMA. The TMA and NARA shall run the Validator upon receiving the transfer package to perform the quality assurance process. Errors shall be communicated back to the contractor for resolution. The updates to the Validator tool will be provided to contractors as necessary.

3.0. TRANSFER PACKAGE PREPARATION AND LABELING OF ELECTRONIC RECORDS

3.1. NARA now accepts electronic record transfers. An important aspect of preparing electronic records for transfer to the Electronic Federal Records Center (eFRC) is proper preparation. Improper

preparation of the transfer package may result in the transfer package being rejected by the TMA Records Management Officer. The transfer package consists of the following files:

3.1.1. eXtensible Markup Language (XML) Transfer Specification File

This file displays, in XML format, the information that the contractor provided on the SF-135 and the transfer number. It describes how to locate the Record Object Metadata File (ROMF). TMA provides this file to the contractor.

3.1.2. ROMF

A character-delimited text file that contains the metadata field values from each of the record objects that is included in the transfer package. The metadata fields are identified in the XML transfer specification metadata file. In addition to the identified metadata elements by the contractor, the Validator also requires the following metadata fields:

- *The Record Object File Type is Image, Text, or None*

NOTE: *When a record in the ROMF has a Record Object File Type of None, no corresponding record object file exists in the transfer package.*

- *The Record Object File Name.*
- *The Record Object File Format is TIF, TIFF, PDF (image based), JPEG, JPG, GIF; TXT, HTML, DOC, DOCX, PDF (text based), XML, XLS, XLSX, CSV, MSG, PPT, PPTX, VSD, or VSDX.*
- *The View Type tag is specific to check record objects to indicate the front or back of the check image. The values are FBW, BBW.*

NOTE: *The View Type tag is required in the ROMF when a check image is broken down into two separate record objects to indicate the front or back of the check. This is not required when a check image is not separated into two record objects. If View Type tag is available in the ROMF, the Validator will display the front of the check image for the validation survey.*

- *The Record Object File Format Version*

3.1.3. Record Objects

Computer files that contain a group of related information. The information can be formatted as either text or images, and the computer file-type indicates the format of the information. For example, scanned images are typically stored in Tagged Image File Format (TIFF) or PDF files.

3.1.4. e-Copy of SF-135 (PDF format).

3.1.5. Audit Log of Validation

The Validator generates an audit log file that provides detailed information about any ROMF data errors, data entry errors that occurred during the validation process and the final validation result.

3.2. *When preparing to transfer files for validation and the eventual transfer to the media device, the user creates a folder on their computer and transfers the XML Transfer Specification file and ROMF to that folder. Contact the TMA Records Management Officer for specific instructions for using the Validator utility.*

3.3. *After the electronic records are stored on the media device, the CD-ROM or DVD-R label shall include the following information.*

- *Contractor, region, and information*
- *For Official Use Only (FOUO)*
- *Identify the sequential order of the media set (e.g., 1 of 10, 2 of 10, 3 of 10, etc.)*
- *Include the date media was created*
- *Records series, transfer number, and file formats*

For more specific instruction on labeling of storage media contact the TMA Records Management Officer.

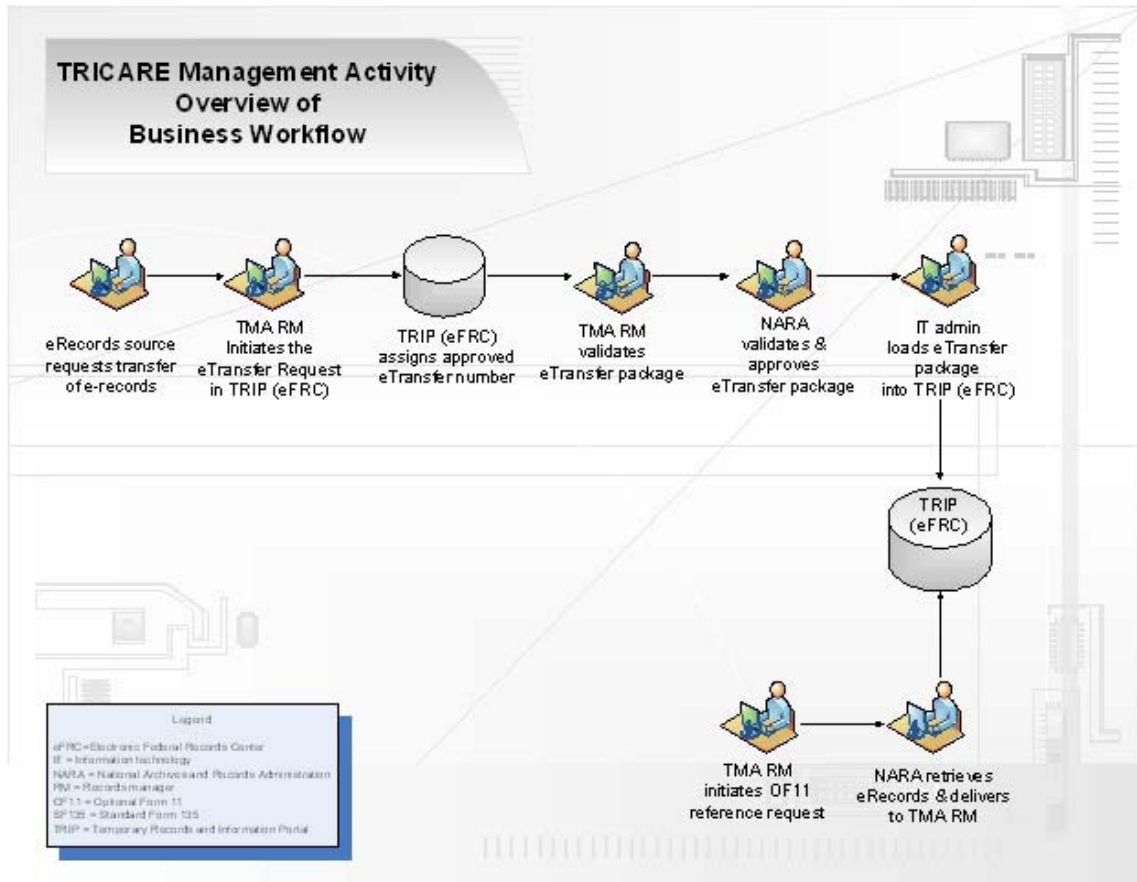
3.4. *A list of the required metadata elements that will be included in the metadata file shall be listed on the electronic SF-135. A list of the minimum required metadata elements can be located in [Chapter 2, Section 2](#). An electronic copy shall be retained by the contractor so that documents needed for future reference can be identified clearly by requesting officials.*

4.0. PREPARING TRANSMITTAL DOCUMENT AND LOADING PACKAGE PROCESS

4.1. *The contractor must obtain permission from TMA and NARA to transfer a group of records in the eFRC repository. TMA must verify that the repository has adequate storage space for the records and that the records are structured in the manner that the TMA Records Officer and eFRC repository requires.*

4.2. *TMA and NARA have defined a workflow process for transferring a group of records to the eFRC repository for storage. The workflow process helps ensure that the records meet the quality requirements and specifications. [Figure 2-B-1](#) illustrates the workflow process.*

FIGURE 2-B-1 TMA OVERVIEW OF BUSINESS WORKFLOW



4.2.1. When transferring electronic records to the eFRC, the contractor shall prepare and e-mail the SF-135 to the TMA Records Management Officer prior to shipping the electronic transfer package. In the SF-135 FROM block (Block 5) the contractor shall enter the following: TRICARE Management Activity, ATTN: Records Management, 16401 E. Centretech Parkway, Aurora, Colorado 80011-9066. The contractor shall insert its own address below the TMA address. The contractor shall state in the Series Description Block, the description of the records, the contract number, record series, and specific metadata elements that will be in the metadata file of the transfer package. The contractor shall state in the volume and agency box number columns the storage size, and total number of rows in the metadata file respectively. Instructions for completing the remainder of the form are printed on the reverse side of the SF-135.

4.2.2. When records are transferred, they must be scheduled for disposal using the applicable disposition schedule referenced in Chapter 2, Section 2. When the disposal authority is not cited, the SF-135 will be returned for completion.

4.2.3. Upon receipt of the SF-135, the TMA and eFRC staffs review it for completeness for transfer. If approved, the eFRC annotates the official transfer number on the form and returns it to the TMA Records Management Officer for continued processing.

- 4.2.4.** *The original SF-135 is retained by the eFRC; one copy of the annotated SF-135, showing transfer number(s) will be e-mailed to the contractor, indicating the eFRC's approval of the transfer.*
- 4.2.5.** *After receiving the copy of the approved SF-135 PDF document, the contractor shall prepare the transfer package. The transfer number shall be included on the label of each physical media device. The contractor shall place the electronic copy of the SF-135 PDF document on the first media device of each transfer and the records will be shipped to the TMA Records Management Officer in accordance with Protected Health Information (PHI)/ Personally Identifiable Information (PII) guidance. A copy of the SF-135 PDF document shall be retained by the contractor for its reference and use.*
- 4.2.6.** *The shipment of the transfer package of electronic records shall be accomplished as soon as the contractor has successfully run the Validator utility. The contractor can receive the Validator Installation program and the installation instruction from the TMA Records Management Officer.*
- 4.2.7.** *For successful validation the contractor sends the transfer package to the TMA Records Management Officer.*
- 4.2.8.** *The TMA Records Management Officer uses the Validator to verify that the transfer package meets the requirements and specifications.*
- 4.2.9.** *If the Temporary Records Information Portal (TRIP) Validator identifies no errors, the TMA Records Management Officer proceeds to next step.*
- 4.2.10.** *If the TRIP Validator identifies one or more errors, the TMA Records Management Officer returns the transfer package to the contractor for corrections.*
- 4.2.11.** *The TMA Records Management Officer adds the successful Validator audit log file to the transfer package and forwards it to an Information Technology (IT) administrator/NARA.*
- 4.2.12.** *The IT administrator/NARA uses the Validator to verify that the transfer package meets the requirements and specifications.*
- 4.2.13.** *If the TRIP Validator identifies no errors, the IT administrator/NARA proceeds to next step.*
- 4.2.14.** *If the TRIP Validator identifies one or more errors, the IT administrator/NARA returns the transfer package to the TMA records manager, who in turn, returns it to the contractor for corrections.*
- 4.2.15.** *The IT administrator/NARA uploads the transfer package into eFRC repository.*
- 4.2.16.** *NARA validates the load and approves the TRIP Transfer package.*
- 4.2.17.** *Contact the TMA Records Management Officer for specific instructions for using the Validator utility.*

5.0. SHIPPING RECORDS

5.1. *Sensitive data (PII/PHI) shall follow the transfer protocol instructions available from the TMA Records Management Officer. All sensitive data that includes PII or PHI shall be encrypted on the media device prior to shipping the transfer package to TMA or eFRC. Contact the TMA Records Office for instruction on the use for sensitive data. The contractor shall comply with the following instructions:*

- *Double wrapping shall be used for shipment.*
- *Recommended shipment methods are U.S. Postal Service (USPS), FedEx, and UPS along with the tracking number and delivery signature confirmation.*
- *Use opaque envelopes or containers.*
- *Complete Chain of Custody template or SF-135.*
- *Inner envelope/container has classification and handling markings (i.e., unclassified, FOUO).*
- *Outer envelope/container has full address for TMA Records Management Officer.*
- *Outer envelope/container has no classification markings.*

5.2. *Non-sensitive data can be shipped to TMA Records Management Officer using normal shipment methods and sensitive data transfer protocol is not necessary.*

6.0. RETRIEVING RECORDS

6.1. *The eFRC provides reference services which include search, retrieval, and providing authorized requesters with a copy of the electronic records stored in the repository.*

6.2. *Recall of an electronic record from the eFRC does not include a permanent recall. The copy of an electronic record shall be managed as a convenience copy and destroyed when no longer needed. Remember, if the content of the recalled record is re-utilized for other business purposes, it becomes a new record and is managed and maintained as such.*

6.3. *The best method to recall records from the eFRC is with the use of the Optional Form 11 (OF-11), (Reference Request-Federal Records Center). Use the electronic form OF-11 per request and e-mail it to the TMA Records Management Officer.*

6.4. *The following information shall always be furnished when preparing a reference request:*

- *Transfer Number*
- *eFRC Location (for all transfers going to the eFRC, annotate "eFRC" as the FRC Location)*
- *Metadata elements used for Search Criteria*
- *Record Series*
- *Description of Records or Information Requested*

- *Name, Address, and Telephone Number of Requester*

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