

## Electronic Records Disposition, Storage, And Transfer

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### 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 [Addendum B](#) (for additional guidance, reference retention and disposal instructions in [Section 2](#), the [Defense Health Agency](#) Records Retention Schedule (DHA RRS), and the policies and regulations cited in [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 Physical Media Transfer and Storage**

**2.4.1** DHA 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).

**2.4.2** Contractors shall manage electronic DHA 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 on 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.

**2.5** If a contractor chooses to use an optical digital data disc system, they shall:

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

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

**2.5.3** Evaluate possible data degradation of information stored on optical digital data discs 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).

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

### **3.0 ROUTINE TRANSFER OF DHA eRECORDS**

**3.1** Transfer of inactive DHA eRecords (records no longer necessary for the conduct of business) from contractor systems is **not** required. Follow the record series number retention and disposal instructions referenced in [Section 2](#) and the DHA RRS to determine when inactive records **may be destroyed**.

**3.1.1** **If storage space becomes an issue due to litigation (frozen records), contractors shall transfer inactive electronic records with associated metadata to DHA's designated electronic records repository (for additional guidance, reference [Addendum B](#)). As litigation holds are lifted, the DHA Records Management Officer shall notify contractors through the Notice of Destruction (NOD) process and provide approval to remove eligible records from contractor systems.**

**3.1.2** Transfer documentation must include NARA Standard Form 135 (SF-135) 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 DHA 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 DHA Records Management Officer in collaboration with the contracting office ([Addendum B](#)). The contractor shall use the designated validation utility and process provided by the DHA Records Management Officer for the quality assurance requirement for preparing electronic records for transfer. (See [Addendum B](#).)

**3.4** The contractor shall follow the guidelines provided in [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 [Addendum B](#) to properly ship electronic records. The contractor shall use the recommended storage media designated by the DHA Records Management Officer. **Electronic media devices containing records with PII/PHI for transfer shall be encrypted in a manner that is compatible with DHA environment.**

**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 [DHA 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 [DHA Records Management Office](#) to request an electronic records transfer. The [DHA Records Management Office](#) uses the information on the SF-135 to request the transfer number and XML file. The [DHA 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 [DHA](#).
- 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 [DHA eRecords not eligible for destruction along](#) with their associated metadata **shall** be transferred to the incoming contractor. [DHA eRecords suitable for transfer](#) are identified through meetings between contractors, the [DHA Records Management Officer](#) and the [DHA Contracting Office](#). The contractor shall develop a process for transferring the

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data to the incoming contractor that ensures no metadata **or its associated record objects are** lost in the transition process. This process is independent of the process for transferring electronic records to **DHA**.

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

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