

Records Management

IV. DIGITAL-IMAGING AND OPTICAL DIGITAL DATA DISK STORAGE

A. General

The success of an imaging operation depends on a rigid standardization process. A standardized process will result in quality of: scanning, processing, indexing, storage, retrieval, and the production of clear, legible government records. Contractors shall either microfilm (see [Section III.](#)) or image the following records:

1. Claims;
2. Claim Supporting Documentation (including any documentation that either supports or denies payment of a claim);
3. Adjustment Records;
4. Adjustment Supporting Documentation (including any documentation that either supports or denies payment of the adjustment);
5. Checks;
6. Explanation of Benefit Forms and Summary Payment Vouchers (if not electronically generated).

B. Standards

1. Contractors shall adhere to the National Institute of Standards and Technology (NIST), Federal Information Processing Standards (FIPS), and the Association of Information and Image Management (AIIM) Standards for imaging the above record. Imaged copies of the government records shall be certified and legible. If any record or set of records is not of a legible standard, the contractor shall recover the originals and re-image, making certain the new image is legible.

2. Contractors 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 shall 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. For example: (1) If back-end filming is done, the back-end document number assigned shall be cross referenced to the original claim number on the index. (2) If the 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 government on-site review.

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

- a. Regularly monitor trends in the technological environment that conform to open systems standards.

b. Specify existing and emerging nonproprietary technology standards in system design.

c. Evaluate possible data degradation of information stored on optical digital data disks and system functionality on a regular basis using media error monitoring and reporting tools outlined in proposed and evolving standards (i.e., ANSI/AIM MS59-199X).

d. Support the ongoing development of nonproprietary standards for data exchange and interoperability.

C. Procedures

1. The contractor shall develop and follow a system for imaging two-sided documentation to include written procedures for government inspection detailing the entire imaging process. Documentation, at a minimum, must include the following:

a. Planning for further technological developments.

b. Providing for the ongoing functionality of system components.

c. Assuring the imaging system has inherent flexibility and has a nonproprietary design that accepts future hardware and software upgrades.

d. Monitoring and limiting the deterioration of optical digital data disk storage.

e. Document Preparation.

f. Imaging Requirements (a detailed description of equipment and software which utilizes write once read many (WORM) technology).

g. Imaging Operations (flowchart or other graphical depiction of the imaging process from start to finish).

h. 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.

i. Quality Control (must ensure *one hundred percent (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.).

j. Disaster Recovery (shall be in place to ensure *one hundred percent (100%)* recovery capability, how disks will be protected, the protection of the vital records, and the location of the duplicate copies of the images).

k. Disposition of Original Records (how, when, where will the original documents be destroyed in accordance with the Privacy Act).

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IV.D.

D. Transition

1. *Maintain a complete set of documentation, including source code with flow diagrams, object code, and operations and maintenance manuals to be turned over to an incoming contractor, in the event of a transition.*
2. *Upon direction from the government, the incumbent shall also be prepared to present the incoming contractor with standard Tagged Imaged File Formate (TIFF) claim images and a nonproprietary program to sort and retrieve images by internal control number (ICN). This program or programs shall be compatible with an IBM PC running Windows 3.1. Valid alternatives may be negotiated with the government.*

E. Legal Admissability

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.*
2. *The contractor shall implement the recommendations provided in AIIM TR31, Parts I and II, using digital-imaging and optical digital data disk storage technologies, either in the conversion of paper documents to digital form or their initial creation in digital form.*

