

## *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 [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.*

