



DEFENSE
HEALTH AGENCY

HPOB

OFFICE OF THE ASSISTANT SECRETARY OF DEFENSE
HEALTH AFFAIRS
16401 EAST CENTRETECH PARKWAY
AURORA, CO 80011-9066

CHANGE 152
6010.56-M
SEPTEMBER 25, 2015

PUBLICATIONS SYSTEM CHANGE TRANSMITTAL
FOR
TRICARE OPERATIONS MANUAL (TOM), FEBRUARY 2008

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

CHANGE TITLE: ELECTRONIC RECORDS

CONREQ: 17111

PAGE CHANGE(S): See page 2.

SUMMARY OF CHANGE(S): This change provides guidance to the Contractor for maintaining and storing federal electronic records for the duration of their life cycle, since National Archives and Records Administration will no longer store temporary electronic records.

EFFECTIVE DATE: October 26, 2015.

IMPLEMENTATION DATE: October 26, 2015.

ARENDALE.JOH
N.LOUIS.II.11507
75368

Digitally signed by
ARENDALE.JOHN.LOUIS.II.1150775368
DN: c=US, o=U.S. Government, ou=DoD,
ou=PKI, ou=TMA,
cn=ARENDALE.JOHN.LOUIS.II.115077536
8
Date: 2015.09.22 10:58:48 -06'00'

John L. Arendale
Section Chief, Health Plan
Operations Branch (HPOB)
Defense Health Agency (DHA)

ATTACHMENT(S): 52 PAGES
DISTRIBUTION: 6010.56-M

WHEN PRESCRIBED ACTION HAS BEEN TAKEN, FILE THIS TRANSMITTAL WITH BASIC DOCUMENT.

REMOVE PAGE(S)

CHAPTER 2

Table of Contents, page 1
Section 1, pages 1 through 9
Section 2, pages 1 through 10
Section 3, pages 1 through 7
Section 4, pages 1 through 6
Section 6, page 1
Addendum A, pages 1 through 6
Addendum B, pages 1 through 7

APPENDIX A

pages 27 through 34

INSERT PAGE(S)

Table of Contents, page 1
Section 1, pages 1 through 8
Section 2, pages 1 through 10
Section 3, pages 1 through 6
Section 4, pages 1 through 5
Section 6, page 1
Addendum A, pages 1 through 6
Addendum B, pages 1 through 7

pages 27 through 34

Chapter 2

Records Management

Section/Addendum	Subject/Addendum Title
1	General
2	Record Series Subject And Description Of Government Records
3	Digital Imaging (Scanned) And Electronic (Born-Digital) Records Process And Formats
4	Electronic Records Disposition, Storage, And Transfer
5	Transferring Records (Federal Records Centers (FRCs) And Transitions)
6	Destruction Of Records
A	Paper Record Transfer Procedures
	Figure 2.A-1 Marking And Packing Instructions
	Figure 2.A-2 Arrangement Of Boxes On Pallets
B	Electronic Record Transfer Procedures
	Figure 2.B-1 Records Transmittal and Receipt (SF-135)

Chapter 2

Section 1

General

1.0 POLICY

1.1 This chapter implements the Department of Defense (DoD) Records Management Policy, and “Defense Health Agency (DHA) Records Retention Schedule (RRS)” (hereafter referred to as “DHA 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 DHA RRS, contractors shall comply with the following policies, regulations, and laws relating to Government records:

- 36 Code of Federal Regulations (CFR) Chapter XII, 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 Instruction (DoDI) 5015.2, “DoD Records Management Program,” February 24, 2015

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 DHA 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 DHA 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 DHA 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 DHA 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 [A](#) or [B](#), for guidance on transferring records to the Federal Records Centers (FRCs).

3.1 DHA

DHA is responsible for:

3.1.1 The development and implementation of standards and policies for the economical management of records for the DHA 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

The contractor shall:

3.2.1 Schedule its Records Liaison to attend the next available DHA provided records management training following contract award. 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 DHA 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 DHA RRS (see [Section 2](#)).

3.2.2.2 Appoint an individual to act as a Records Management liaison to work with the DHA 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 providing a copy of the plan for review by the DHA 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 DHA RRS. Record information created in information systems and not identified in the DHA RRS shall be brought to the attention of the DHA 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 DHA 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 implementing a vital records program in case of disaster, in accordance with 36 CFR, Part 1223, "Managing Vital Records."

3.2.2.11 Ensure that records in its jurisdiction are retrievable and provided within five working days upon requested by the Government.

3.2.2.12 Maintain and store federal electronic records for the duration of their life cycle throughout the contracts period of performance. At the end of a contract reference Section 4 for transition instructions. Once an electronic record retention is met and DHA Records Manager has approved destruction, the contractor shall destroy all eligible records. All vital records shall be maintained in accordance with 36 CFR Chapter XII, Subchapter B – Records Management.

4.0 DEFINITIONS

4.1 Active Records

Active records are those used to conduct current DHA 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 specific action, transaction, event, person, project, or other subject. As an example, case files may cover one or several subjects that relate to a 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 DHA. The contractor is required to provide adequate and proper documentation of DHA's programs and to manage them effectively.

4.5 Disposition Instructions

Actions taken on records no longer needed to conduct the current business of DHA, 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 DHA 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 DHA mission related functions (claims, Explanation 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 DHA 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 [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 of special circumstances, such as a court order, require a temporary extension of the approved retention period.

4.14 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 the cut-off, as defined on a Records Retention Schedule, has been reached. Inactive records may also be referred to as "closed" records.

4.15 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.

4.16 Master Files

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

4.17 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.

4.18 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.

4.19 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.

4.20 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.)

4.21 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.

4.22 Processing Files

Files, aside from master files, **that** 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.

4.23 Project Files

A project file contains material on a specific action, transaction, event, person, project, or other subject. As an example, project files may cover one or several subjects that relate to a particular project.

4.24 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.

4.25 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."

4.26 Records Management

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

4.27 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 [National Archives and Records Administration \(NARA\) ARCIS web page](#).

4.28 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

transmittal document SF-135 for paper, or for electronic records.

4.29 Transmission and Receipt Data

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

4.29.2 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).

4.30 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:

5.1 Write and implement e-mail instructions based on the requirements of the **DHA** 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 recordkeeping requirements in compliance with **DHA** RRS requirements (also see [paragraph 1.1](#)). This training shall include: defining what is a record vs. a non-record; how to put records into recordkeeping 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 [Section 2](#) shall be maintained by all contractors. Inactive records shall be routinely transferred to the NARA FRC designated by **DHA** in accordance with [Section 4](#).

6.2 In the event of a contract transition [refer to Section 4 for instructions](#). Records transferred to the FRC shall follow transfer procedures outlined in [Addendums A and B](#).

- END -

Record Series Subject And Description Of Government Records

1.0 GENERAL

1.1 The following **Defense Health Agency (DHA)** 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 **DHA** Records Management Officer for instructions. Follow the guidance in the sections below for indexing and record series number requirements. **Each series number includes a list of possible metadata elements that might be used. Each series number also includes a list of possible index elements for paper records.** For additional guidance, follow the “**DHA** Records Retention Schedule” (hereafter referred to as “**DHA** RRS”) for record series numbers and disposition instructions. Contact the **DHA** Records Management Office to obtain a current copy of the **DHA** RRS.

1.2 If **DHA** contractors cannot identify a specific series number from the **DHA** 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: Destroy when two years old.

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

1.4 Office General Management Files

Record Series Number: 101-01

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
Description:	Documents used to locate files in the current files area, Records Holding Area (RHA) 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
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
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 Number:	102-15
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 Elements:	Date; Subject
Disposition:	Destroy these materials 90 days after serving the purpose that they are collected.

1.8 Congressional Correspondence

Record Series Number: 102-18

Description: Inquiries received directly by the contractor from congressional offices and the contractor's reply.

Metadata/Index Elements: Date; Subject

Disposition: 102-18.1: Retire to the Washington National Records Center (WNRC) when one year old; destroy when seven 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: **DHA**, 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) **Files for Individual Beneficiaries**

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).

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.

Description (Continued): **Amendment Case Files:** Files contain requests for amendment, contractor's agreement to amend, or agreement not to amend records and all supporting documentation.

Complaint Case Files: Files contain letters of complaint, contractor's response and any supporting documentation.

Control Records: Files containing (1) logs which track authorizations, accounting, amendment, and complaint files, records maintained in the Protected Health Information Management Tool (PHIMT) system, and other HIPAA files relating to individual requests, such as requests for record access, restrictions on disclosure and requests for confidential communications, together with contractor responses and supporting documentation for such requests; and (2) logs which track other records within the scope of the HIPAA Privacy, Security, and Breach Rules, including contractor training logs, and records under other records series named in this section.

Requests for Access to PHI: Files contain original requests for PHI, copies of contractor responses and all related supporting documentation.

Metadata/Index Elements: TMA Claim Number; Image Control Number; Sponsor Date of Birth (DOB); Beneficiary DOB; Sponsor Name; Beneficiary Name; Requestor Name; Date; Subject; Request Number; DoD Benefits Number (DBN); DoD Identification Number; Electronic Data Interchange Person Number (EDIPN)

Disposition: Close out at end of calendar year in which use of records is completed; destroy six years after that calendar year.

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.

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
Description:	Studies and evaluations when required, not resulting in issuance of new standards.
Metadata/Index Elements:	TMA Claim Number; Image Control Number; Sponsor SSN; Sponsor DOB; Beneficiary DOB, Sponsor Name; Beneficiary Name; Program Name; Report Name; Date; Subject; Case Identifier; Document Control Number (DCN)
Disposition:	905-02.2: Destroy when five years old.

1.13 TRICARE Contractor Claims Records

Record Series Number:	911-01
Description:	<p>Abortion Claims Files: Documents required during the processing of abortion claims.</p> <p>Adjusted Claims: Records which are acquired or utilized in the development and processing of adjusted claims.</p> <p>Beneficiary History and Deductible Files: Computer generated records reflecting the contractor's processing of claims and health care services.</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.</p> <p>Enrollment and Disenrollment Files: Computer or manually generated records and all supporting documents which the contractor uses in the enrollment process.</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.</p>

Description (Continued): **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 **DHA**. Included are network agreements, sanction documents, provider signature on file, and provider power of attorney.

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.

Third Party Liability (TPL) Case Records: Documents relating to a TPL cases.

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 **DHA**); 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.

Metadata/Index Elements: Sponsor Name; Sponsor SSN; Sponsor DOB; DBN; DoD Identification Number; TMA Claim 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); **National Provider Identifier (NPI)**; Record Sub-Series; Date; **SSN**; **DCN**

Disposition: 911-01: Close out at end of the calendar year in which received. **Destroy 10 year(s) after cut off.**

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. **Electronic Funds Transfer (EFT) file information containing details about electronic payment to providers or beneficiaries.**

Metadata/Index Elements: Check Number; Check Issue Date; Payee Name; Account Number; Check Serial Number; Check Sequence Number; Check Amount; Image Control Number; **TMA Claim Number; Sponsor SSN; Sponsor Name;** Check View Type; **Provider Number; Payee Identifier; DCN; Financial Arrangement (Bank Account Number); DBN; DoD Identification Number**

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.

1.15 Explanation Of Benefits (EOB)

Record Series Number: 911-03

Description: **Beneficiary EOBs:** Forms used to advise beneficiaries and/or sponsors of the action taken on their TRICARE claims.
Provider EOBs (Summary Payment Vouchers): Forms used to advise providers of the action taken on claims they submitted to TRICARE.

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

Disposition: 911-03: Close out at end of the calendar year in which received. **Destroy 10 year(s) after cut off.**

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.

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

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 **DHA** 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 TRICARE Provider Authorization File

Record Series Number: 911-06

Description: **Certification of Institutional Providers of Healthcare Cases Files:** These files consist of certification of institutional providers of healthcare as authorized TRICARE providers that meet all applicable provisions of law and regulation. The files include: TRICARE forms, correspondence, and related documents certifying that each provider (institutional entity that provides medical services or supplies on an outpatient or inpatient basis) meets the criteria in the TRICARE Regulation, 32 CFR 199. They also include compliance with TRICARE standards, investigation of complaints, termination and reinstatement of providers, and assessment of the operational effectiveness of the provider certification program.

Health Facilities Registry File: This file consists of a computer printout registry of TRICARE-approved institutional providers of healthcare. The file includes the following categories of providers: Residential Treatment Centers (RTCs), Specialized Treatment Facilities (STFs), and Program for the Handicapped (PFTH). (The registry is compiled from data contained in file 911-06, above.)

Metadata/Index Elements: TMA Claim Number; Image Control Number; Sponsor SSN; Sponsor DOB; Beneficiary DOB; Sponsor Name; Beneficiary Name; Provider Name; Provider TIN; NPI; DBN; DoD Identification Number; Hospital Name; Year; Case ID; Case Name; Investigator; Date: Subject

Disposition:

911-06.1: Place in inactive file upon completion of the final action, cut off inactive file at the end of the calendar year in which final action was taken, hold for two additional years, and retire to the TRICARE RHA. Destroy after three years retention in the RHA.

911-06.2 Destroy when superseded by a new registry.

1.19 Recoupment Files

Record Series Number:	911-07
Description:	Documents relating to specific recoupment cases. The contractor shall follow the consolidation instruction in Chapter 10, Section 4, paragraph 16.1. If the debts do not total \$600.00 or more, and have been on offset status more than 12 months, the contractor shall consider the recoupment files inactive once the final contract payment is made and follow the standard closing procedures.
Metadata/Index Elements:	TMA Claim Number; Image Control Number; Sponsor Name; Sponsor SSN; Case ID; Sponsor DOB; Beneficiary DOB; Beneficiary Name; Provider Name; Provider TIN; Requestor Name; Requestor Number; Date; Subject; NPI; DBN; DoD Identification Number; Provider Number; Refund Control 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.

1.20 Fraud And Abuse Files

Record Series Number:	911-08
Description:	Documents relating to specific fraud and abuse cases.
Metadata/Index Elements:	TMA Claim Number; Image Control Number; Sponsor SSN; Sponsor DOB; Beneficiary DOB; Sponsor Name; Beneficiary Name; Provider Name; Provider TIN; Hospital Name; Year; Case ID; Case Name; Investigator; NPI; DBN; DoD Identification Number; SSN; DCN
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.

1.21 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.

TRICARE Operations Manual 6010.56-M, February 1, 2008

Chapter 2, Section 2

Record Series Subject And Description Of Government Records

Metadata/Index Elements: TMA Claims Number; Image Control Number; Sponsor SSN; Sponsor DOB; Beneficiary DOB; Sponsor Name; Beneficiary Name; Provider Name; Provider TIN; Hospital Name; Year; Case ID; Case Name; Investigator; NPI; DBN; DoD Identification Number; SSN; DCN

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.

- END -

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 **Defense Health Agency (DHA)** records. **For more information on additional formats reference Addendum B, paragraph 3.1.3.**

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

- **DHA** 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

TRICARE Operations Manual 6010.56-M, February 1, 2008

Chapter 2, Section 3

Digital Imaging (Scanned) And Electronic (Born-Digital) Records Process And Formats

- 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
- 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 DHA records that are imaged shall follow current Association for Information and Image Management (AIIM) standards for imaging. All documents converted into digital format shall be scanned into legible TIFF or searchable PDF. AIIM acts as the voice of the ECM industry in key standards organizations, with the media, and with government decision-makers. AIIM is an American National Standards Institute (ANSI) accredited standards development organization. AIIM also holds the Secretariat for the International Organization for Standardization (ISO) committee focused on Information Management Compliance issues, TC171.

2.2.1 Imaged copies of DHA records must be legible, reproducible and certified. Image capture and storage systems used by the contractor shall 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 DHA on-site review.

2.3 The following 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 Specification For All PDF Records

2.3.1.1 Searchable PDF records shall comply with PDF versions 1.0 through 1.7 (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 DHA will 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 DHA 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 DHA or 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 DHA, NARA, or for transit reasons. Deactivating security settings from PDFs ensures DHA 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 shall be encrypted in a manner that is compatible with DHA security standards.

2.3.2.2 Review Of Special Features

Complexities associated with certain PDF features that may be a requirement for contractors shall require preauthorization from the DHA 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 DHA Records Management Officer for further guidance.

2.3.3.2 Optical Character Recognition (OCR)

PDF records can contain embedded searchable text based on OCR. DHA recognizes uncorrected OCR'd text can assist with full text search capabilities; thus, contractors shall be permitted to provide DHA 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 DHA 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. Electronic records created from data and native format conversions (digital to digital) shall be accepted by DHA, as a PDF formatted text and graphics format.

3.0 METADATA

3.1 Metadata is a critical element of DHA records in electronic format. All DHA electronic records require mandatory metadata to be associated or linked to them throughout their active and inactive life cycle. Metadata enables DHA to meet the federally mandated life cycle and

recordkeeping requirements while ensuring eRecords remain accessible and searchable to DHA 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 Addendum B.

3.2 Metadata can be captured or generated throughout or as part of the business process.

4.0 PROCEDURES FOR IMAGING

The contractor shall develop and follow a system for imaging two-sided documentation and output to electronic formats required by DHA to include written procedures for Government inspection detailing the entire process. Documentation shall 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.

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

4.5 Document preparation.

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, EOB, 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., DHA 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 The contractor shall maintain a complete set of documentation to be turned over to an incoming contractor and DHA, in the event of a transition.

5.2 Upon direction from DHA, the incumbent shall also be prepared to present the incoming contractor with standard claim images in TIFF or searchable PDF format. Valid alternatives shall be submitted to DHA 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 DHA Contracting Office or DHA Records Management Office. A formal record of destruction or certificate must be provided to the DHA Contracting Office documenting what was destroyed, the date(s) destroyed and by whom. This certificate of destruction will be provided to the DHA Records Management Officer.

5.4 Reference Section 4, 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.

- END -

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 [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](#).)

TRICARE Operations Manual 6010.56-M, February 1, 2008

Chapter 2, Section 4

Electronic Records Disposition, Storage, And Transfer

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

TRICARE Operations Manual 6010.56-M, February 1, 2008

Chapter 2, Section 4

Electronic Records Disposition, Storage, And Transfer

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.

- END -

Destruction Of Records

1.0 POLICY

Contractors **shall** use the following procedures when destroying Government records:

1.1 Contractors shall contact the Defense Health Agency (DHA) Records Management Officer for approval prior to the destruction of any record material. The Records Management Office will furnish the contractor with the Declaration of Transfer and Destruction of Records form. The contractor shall provide all applicable information on the form and submit it electronically to the Records Management Officer for approval. The Declaration of Transfer and Destruction of Records form shall be received by the Records Management Officer no later than 60 days after the record material is scheduled for destruction. Contractor shall contact the Records Management Officer if more time is needed to complete the Declaration of Transfer and Destruction of Records form. Records must be inactive, past their disposal date, and not subject to any Preservation Order or litigation hold.

1.2 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 cross shred paper documents. 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.

1.3 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 **provided** to the **Records Management Officer within 10 business days after the destruction**.

1.4 Electronic Media: Contractors shall provide the Records Management Officer with a Declaration of Transfer and Destruction of Records form as defined in the Contract Data Requirements List (CDRL), DD Form 1423 in the contract declaring that the electronic records have been permanently removed/destroyed, including removal/destruction and completely wiping (using an approved wiping erase process) from all electronic systems and databases and any related backup/convenience data (paper copies, tapes, cartridges, Compact Discs (CDs), vendors, other electronic storage devices, etc.) in accordance with 36 Code of Federal Register (CFR) Chapter XII, Subchapter B, Department of Defense Manual (DoDM) 5200.01, and DoD Instruction (DoDI) 8510.01.

- END -

Paper Record Transfer Procedures

1.0 GENERAL

The standard federal records **box** (or its equivalent) will be used to ship records to the Federal Records Center (FRC). It is the responsibility of the contractor to acquire **boxes** from outside sources. When records are shipped in **boxes** that the FRC cannot accommodate, the records will be returned to the contractor for repacking at the expense of the contractor. **Boxes** 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)

Box must be rated at 275 pounds per square inch burst strength

Small Material Box (NSN 8115-00-117-8338)
(for checks)
14-3/4" x 9-1/2" x 4-3/4" (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 **boxes**. Leave a 1/2 inch space in each **box** 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 **box** and legal-size records facing the left side of the **box** (see [Figure 2.A-1](#) and [Figure 2.A-2](#)). Records shall be shipped in manila file folders or expandable folders separating the various records specified in [Section 2](#). Under no circumstances shall records be placed one on top of another in a **box**.

2.3 After the records are boxed, the **boxes** 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 **boxes**, 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 **Defense Health Agency (DHA)** or a **DHA** designated authority.

3.0 PREPARING TRANSMITTAL DOCUMENT

3.1 When transferring records to the FRC, the contractor shall prepare and forward **one** original of the SF-135 (available on the **DHA** Records Management web site under the National Archives and Records Administration (NARA), Records Transmittal and Receipt, SF-135) to the **DHA** 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 **DHA** 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 **box** shall be attached to the SF-135.

3.2 When records are transferred, they must be scheduled for disposal using the applicable disposition schedule (see [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 **box** in the shipment with the assigned transfer number. The transfer number shall be put in the upper left front of the **box** (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 **DHA** Records Management Office and the FRC, or the SF-135 may be canceled 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 **DHA**.

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 **DHA** Records Management Officer for guidance.

4.0 SHIPPING RECORDS

4.1 The contractor shall refer to **NARA's FRC Toolkit guidance on "Transferring Records to a Federal Records Center"** for shipping instructions.

4.2 **Shipping is the responsibility of the contractor. Refer to the "Packaging" section in the contract for further information.**

4.3 The FRC has the right to refuse any shipment of records. **The FRC may refuse to accept the delivery of a shipment if their requirements are not met.**

4.4 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 **DHA** 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 **DHA** 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 requests 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 **DHA** 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),

TRICARE Operations Manual 6010.56-M, February 1, 2008

Chapter 2, Addendum A Paper Record Transfer Procedures

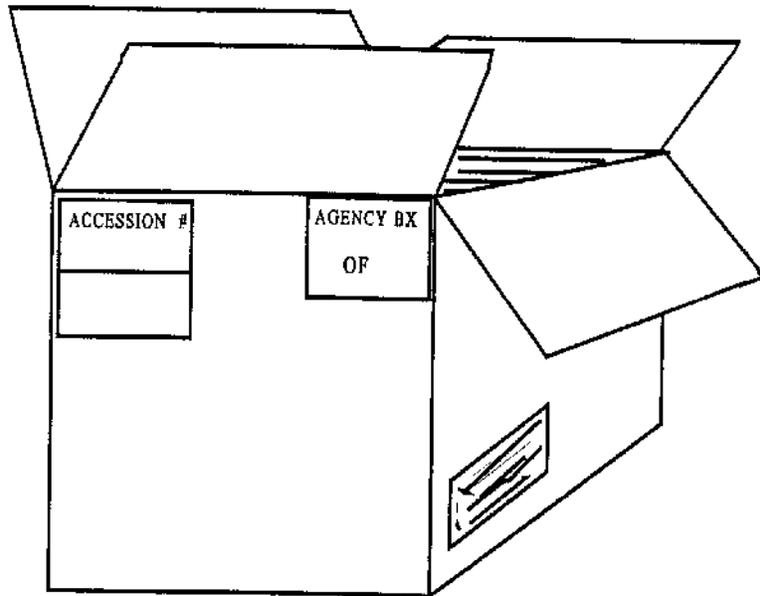
unless approved encryption technology is applied. Contact your DHA Records Management Officer for guidance on approved encryption. All Smart Scanned electronic documents shall be treated as transitory and convenience copies. All Smart Scan requests for records (priority requests) must go through the DHA 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 DHA contractors or the DHA 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



Records Shipment Instructions

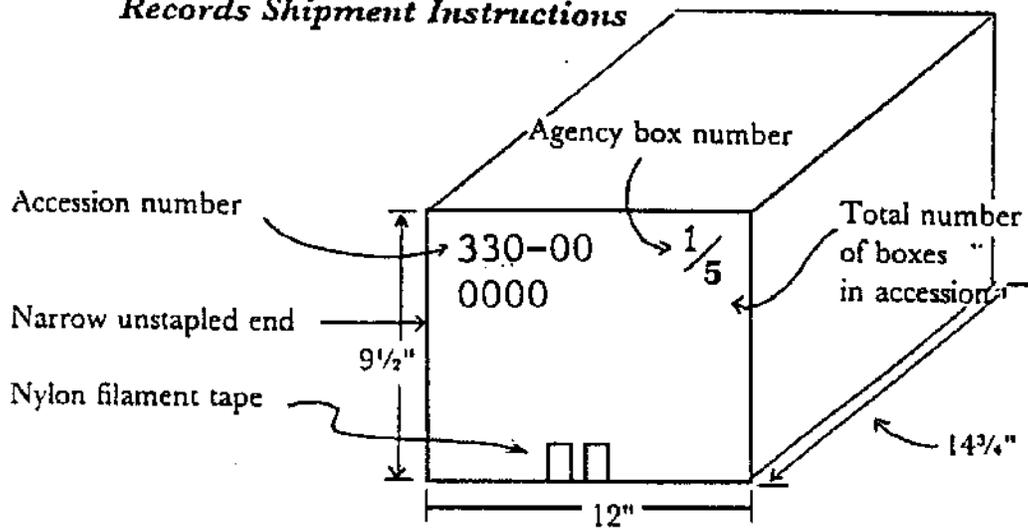
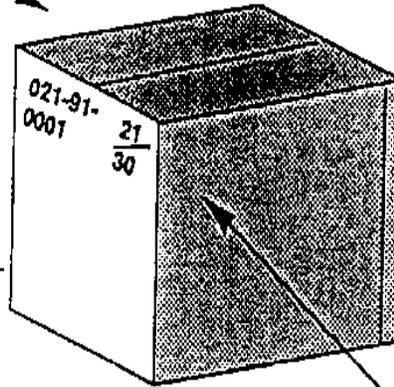


FIGURE 2.A-2 ARRANGEMENT OF BOXES ON PALLETS

Standard FRC
Cubic Foot
Carton

Accession Number
on Every Box
(1" Letters)



Stapled End

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

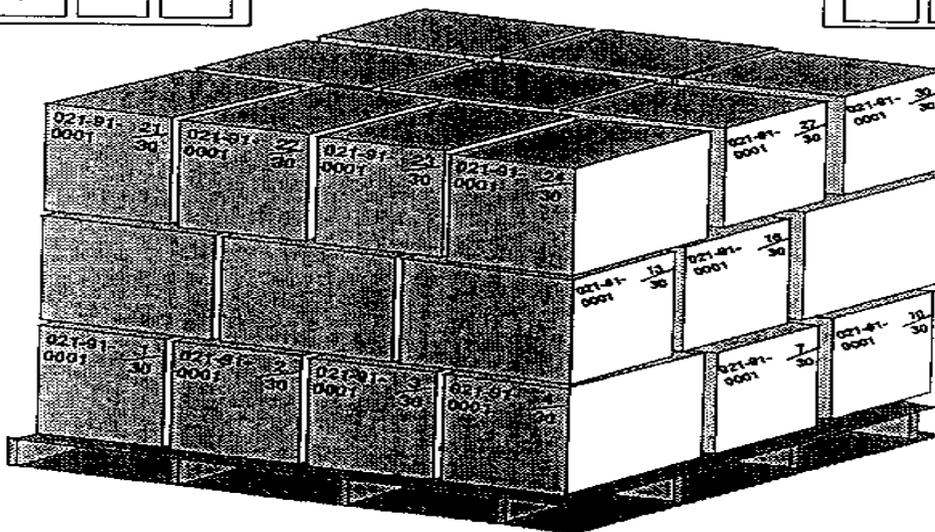
Palletizing Your Records
Alternate Each Layer (Maximum - 6' High)

1st Layer

1	5	8
2		
3	6	9
4	7	10

2nd Layer

11	14	17
		18
12	15	19
13	16	20



- END -

Electronic Record Transfer Procedures

1.0 GENERAL

The **Defense Health Agency (DHA)** Records Management Office has provided the contractor two options to manage government records, either in paper (reference Addendum A) or electronic (reference this Addendum) format. Electronic records shall be **held at DHA Records Management Office** by following this guidance.

1.1 Electronic records shall be transferred to **DHA** 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 **DHA** Records Management Officer.

1.2 The contractor shall use the existing 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 **specific electronic record details** in the same form (reference [Figure 2.B-1](#) for more details) **it may** be used to initiate a request to transfer electronic records. The **DHA** Records Management Officer shall receive the SF-135 Portable Document Format (PDF) via e-mail from the contractor. Once the transfer is approved, the **DHA** 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 **DHA** Records Management Officer. It is a free tool provided to contractors by **DHA**. 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 **transfer** package. The **DHA** Records Management Officer will provide the Validator deployment package. The contractor shall run the validator tool prior to shipping the transfer package to **DHA**. The **DHA** 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. Updates to the Validator tool will be provided to contractors as necessary.

3.0 TRANSFER PACKAGE PREPARATION AND LABELING OF ELECTRONIC RECORDS

3.1 **DHA** accepts electronic record transfers. An important aspect of preparing electronic records for transfer is proper preparation. Improper preparation of the transfer package may result in the

transfer package being rejected by the DHA 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). DHA 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. The acceptable Record Object File Formats are TIF, TIFF, PDF (image based), JPEG, JPG, GIF, TXT, RTF, HTML, DOC, DOCX, PDF (text based), XML, XLS, XLSX, CSV, MSG, PPT, PPTX, VSD, or VSDX.
- The Record Object File Format Version.
- 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.

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. For more specific guidance on digital images (TIFF/PDF), reference paragraph 3.0.

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 **DHA** Records Management Officer for specific instructions for using the Validator utility.

3.3 After the electronic records are stored on the media device, the label shall include the following information.

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

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

3.4 A list of the required/**visible** metadata elements that will be included in the metadata file shall be listed on the electronic SF-135. A list of the required metadata elements **are** located in **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 **shall** obtain permission from **DHA** to transfer a group of records. **DHA will** verify that the repository has adequate storage space for the records and that the records are structured in the manner that the **DHA** Records Officer requires.

4.2 **DHA has** defined a workflow process for transferring a group of records. The workflow process helps ensure that the records meet the quality requirements and specifications. **Figure 2.B-1** illustrates the **SF-135 form described in paragraph 4.2.1 for transferring electronic records to the DHA Records Management Office.**

TRICARE Operations Manual 6010.56-M, February 1, 2008

Chapter 2, Addendum B
Electronic Record Transfer Procedures

FIGURE 2.B-1 RECORDS TRANSMITTAL AND RECEIPT (SF-135)

RECORDS TRANSMITTAL AND RECEIPT		Complete and send original and one copy of this form to the appropriate Federal Records Center for approval prior to shipment of records. See specific instructions on reverse.		PAGE	OF															
1 TO		(Complete the address for the records center serving your area as shown in 36 CFR 1228.150.)		1	1															
2 AGENCY TRANSFER AUTHORIZATION		TRANSFERRING AGENCY OFFICIAL (signature and title)		DATE																
3 AGENCY CONTACT		TRANSFERRING AGENCY LIAISON OFFICIAL (Name, office and telephone No)		DATE																
4 RECORDS CENTER RECEIPT		RECORDS RECEIVED BY (Signature and Title)		DATE																
<p style="text-align: center;">Electronic Federal Records Center (eFRC) Aurora RHA</p> <p>Defense Health Agency Attn: Records Management 16401 E Centrotech Parkway Aurora, CO 80011</p> <p>Contractor Record Center Contractor Address 1 Contractor Address 2 Phone: E-mail: Date:</p>																				
5 FROM (Enter the name and complete mailing address of the office retiring the records. The signed receipt of this form will be sent to this address.)																				
RECORDS DATA																				
ACCESSION NUMBER		SERIES DESCRIPTION (with inclusive dates of records)	RESTRICTION	DISPOSAL AUTHORITY (schedule and item number)	DISPOSAL DATE	LOCATION	SHELF	PLAN	CONT. TYPE	AUTO DISP.										
RG	FY	VOLUME (cu. ft.)	AGENCY BOX NUMBERS	(f)	(g)	(h)	(i)	(j)	(k)	(l)	(m)	(n)	(o)	(p)	(q)	(r)	(s)	(t)	(u)	(v)
135	2014	1234	3 TB External Hard Drive, Transfer 1 of 1	Contract Number: Region: Record: Record Series: Description: Closed Date: Metadata - Datatype(length) Required, Visible Sponsor First Name - Char(20),F,F Sponsor Last Name - Char(20),T,T Sponsor SSN - Char(9),T,T Beneficiary First Name - Char(20),F,F Beneficiary Last Name - Char(20), T,T Beneficiary DOB - Date, yyyy-mm-dd,T,T Image Control Number (Claim Number) - Char(9), T,T Provider Name - Char(20),F,F Provider Taxpayer Identification Number (TIN)- Char(20),T,F National Provider Identifier (NPI)- Char(20),F,F ROMF Type - Char(5), T, F ROMF Name - Char(20), T, F ROMF Format - Char (8), T, F ROMF Format Version - Char (7), T, F ROMF Delimiter & Type: ~ (Tilde) (txt) Records are currently frozen - Tobacco Litigation	W	OSD AI-15 Para. 911.01.3 (6 years) DEST 6 years after COFF.	01-01-2017													

Standard Form 135 (Rev. 7-85) Facs
Prescribed by NARA
36 CFR 1228.152

135-107

NSN 7540-00-634-4093

TRICARE Operations Manual 6010.56-M, February 1, 2008

Chapter 2, Addendum B Electronic Record Transfer Procedures

4.2.1 When transferring electronic records to the **DHA Records Management Office**, the contractor shall prepare and e-mail the SF-135 to the **DHA Records Management Officer** prior to shipping the electronic transfer package. In the SF-135 "From" block (Block 5) the contractor shall enter the following: **Defense Health Agency**, ATTN: Records Management, 16401 E. Centretch Parkway, Aurora, Colorado 80011-9066. The contractor shall insert its own address below the **DHA** address. The contractor shall state in the Series Description Block, the description of the records, the contract number, record series, and specific metadata elements, **indicators for required or visible, and delimiter** 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 [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 **DHA** staff reviews it for completeness for transfer. If approved, the **DHA Records Management Officer** annotates the official transfer number on the form and returns it to the **contractor** for continued processing.

4.2.4 The original SF-135 is retained by the **DHA**; one copy of the annotated SF-135, showing transfer number(s) will be e-mailed to the contractor, indicating the 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 **shall** be shipped to the **DHA** 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 **DHA** Records Management Officer.

4.2.7 **After** successful validation the contractor **shall** send the transfer package to the **DHA** Records Management Officer.

4.2.8 The **DHA** Records Management Officer uses the Validator to verify that the transfer package meets the requirements and specifications.

4.2.9 If the Validator identifies no errors, the **DHA** Records Management Officer proceeds to next step.

4.2.10 If the TRIP Validator identifies one or more errors, the **DHA** Records Management Officer returns the transfer package to the contractor for corrections.

4.2.11 The **DHA** Records Management Officer adds the successful Validator audit log file to the transfer package.

5.0 SHIPPING RECORDS

5.1 Sensitive data (PII/PHI) shall follow the transfer protocol instructions available from the **DHA** 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 **DHA**. Contact the **DHA** Records Office for guidance 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 **along with the paper copy of the SF-135**.
- Inner envelope/container has classification and handling markings (i.e., unclassified, FOUO).
- Outer envelope/container has full address for **DHA** Records Management Officer.
- Outer envelope/container has no classification markings.
- **For hard drive media encryption guidance contact the DHA Records Management Officer.**

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

6.0 RETRIEVING RECORDS

6.1 **DHA** 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 **DHA** 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 **shall be** managed and maintained as such.

6.3 The best method to recall records from **DHA** 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 **DHA** Records Management Officer.

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

- Transfer Number
- **Copy of SF-135 PDF**
- Metadata elements used for Search Criteria
- Record Series
- Description of Records or Information Requested

TRICARE Operations Manual 6010.56-M, February 1, 2008

Chapter 2, Addendum B

Electronic Record Transfer Procedures

- Name, Address, and Telephone Number of Requester

- END -

TRICARE Operations Manual 6010.56-M, February 1, 2008

Appendix A

Acronyms And Abbreviations

PTNS	Posterior Tibial Nerve Stimulation
PTSD	Post-Traumatic Stress Disorder
PVCs	Premature Ventricular Contractions
QA	Quality Assurance
QABA	Qualified Applied Behavior Analysis
QASP	Qualified Autism Services Practitioner
QC	Quality Control
QI	Quality Improvement Quality Issue
QII	Quality Improvement Initiative
QIO	Quality Improvement Organization
QIP	Quality Improvement Program
QLE	Qualifying Life Event
QM	Quality Management
QUIG	Quality Indicator Group
RA	Radiofrequency Annuloplasty Remittance Advice
RADDP	Remote Active Duty Dental Program
RAM	Random Access Memory
RAP	Request for Anticipated Payment
RAPIDS	Real-Time Automated Personnel Identification System
RARC	Remittance Advice Remark Code
RBT	Registered Behavior Technician
RC	Reserve Component
RCC	Recurring Credit/Debit Charge Renal Cell Carcinoma
RCCPDS	Reserve Component Common Personnel Data System
RCN	Recoupment Case Number Refund Control Number
RCS	Report Control Symbol
RD	Regional Director Registered Dietitian
RDBMS	Relational Database Management System
RDDDB	Reportable Disease Database
REM	Rapid Eye Movement
RF	Radiofrequency
RFA	Radiofrequency Ablation
RFI	Request For Information
RFP	Request For Proposal
RHA	Records Holding Area
RHC	Rural Health Clinic
RHHI	Regional Home Health Intermediary
RhoGAM	RRho (D) Immune Globulin

TRICARE Operations Manual 6010.56-M, February 1, 2008

Appendix A

Acronyms And Abbreviations

RIA	Radioimmunoassay
RM	Records Management
RN	Registered Nurse
RNG	Random Number Generator
RO	Regional Office
ROC	Resumption of Care
ROFR	Right of First Refusal
ROM	Read-Only Memory Rough Order of Magnitude
ROMF	Record Object Metadata File
ROT	Read-Only Table
ROTC	Reserved Officer Training Corps
ROVER	RHHI OASIS Verification
RPM	Record Processing Mode
RRA	Regional Review Authority
RRS	Records Retention Schedule
RTC	Residential Treatment Center
rTMS	Repetitive Transcranial Magnetic Stimulation
RUG	Resource Utilization Group
RV	Residual Volume Right Ventricle [Ventricular]
RVU	Relative Value Unit
SAAR	System Authorization Access Request
SAD	Seasonal Affective Disorder
SADMERC	Statistical Analysis Durable Medical Equipment Regional Carrier
SAFE	Sexual Assault Forensic Examination
SAMHSA	Substance Abuse and Mental Health Services Administration
SAO	Security Assistant Organizations
SAP	Special Access Program
SAPR	Sexual Assault Prevention and Response
SAS	Sensory Afferent Stimulation Specified Authorization Staff (formerly Service Point of Contact (SPOC))
SAT	Service Assist Team
SAVR	Surgical Aortic Valve Replacement
SBCC	Service Branch Classification Code
SBI	Special Background Investigation
SCA	Service Contract Act
SCH	Sole Community Hospital
SCHIP	State Children's Health Insurance Program
SCI	Sensitive Compartmented Information Spinal Cord Injury
SCIC	Significant Change in Condition
SCOO	Special Contracts and Operations Office

TRICARE Operations Manual 6010.56-M, February 1, 2008

Appendix A

Acronyms And Abbreviations

SCR	Stem Cell Rescue
S/D	Security Division
SD (Form)	Secretary of Defense (Form)
SEP	Sensory Evoked Potentials
SES	Senior Executive Service
SelRes	Selected Reserve
SF	Standard Form
SFTP	Secure File Transfer Protocol
SGDs	Speech Generating Devices
SHCP	Supplemental Health Care Program
SI	Sensitive Information Small Intestine (transplant) Special Indicator (code) Status Indicator
SIDS	Sudden Infant Death Syndrome
SIF	Source Input Format
SII	Special Investigative Inquiry
SI/L	Small Intestine-Live (transplant)
SIOP-ESI	Single Integrated Operational plan-Extremely Sensitive Information
SIP	System Identification Profile
SIRT	Selective Internal Radiation Therapy
SIT	Standard Insurance Table
SLP	Speech-Language Pathology
SMC	System Management Center
SME	Subject Matter Expert
SMHC	Supervised Mental Health Counselor
SN	Skilled Nursing
SNF	Skilled Nursing Facility
SNS	Sacral Nerve Root Stimulation
SOC	Start of Care
SOFA	Status Of Forces Agreement
SOIC	Senior Officer of the Intelligence Community
SON	Submitting Office Number
SOR	Statement of Reasons System of Records
SORN	System of Records Notice
SP	Special Publication
SPA	Simple Power Analysis
SPC	Special Processing Code
SPECT	Single Photon Emission Computed Tomography
SPK	Simultaneous Pancreas Kidney (transplant)
SPR	SECRET Periodic Reinvestigation
SQL	Structured Query Language

TRICARE Operations Manual 6010.56-M, February 1, 2008

Appendix A

Acronyms And Abbreviations

SRE	Serious Reportable Event
SSA	Social Security Act Social Security Administration
SSAA	Social Security Authorization Agreement
SSAN	Social Security Administration Number
SSBI	Single-Scope Background Investigation
SSDI	Social Security Disability Insurance
SSL	Secure Socket Layer
SSM	Site Security Manager
SSN	Social Security Number
SSO	Short-Stay Outlier
ST	Speech Therapy
STF	Specialized Treatment Facility
STS	Specialized Treatment Services
STSF	Specialized Treatment Service Facility
SUBID	Sub-Identifier
SUDRF	Substance Use Disorder Rehabilitation Facility
SVO	SIT Validation Office
SVP	State Vaccine Program State Vaccine Program entity
SVT	Supraventricular Tachycardia
SWLS	Satisfaction With Life Scale
T-3	TRICARE Third Generation
TAD	Temporary Additional Duty
TAFIM	Technical Architecture Framework for Information Management
TAH	Total Artificial Heart
TAMP	Transitional Assistance Management Program
TAO	TRICARE Alaska Office TRICARE Area Office
TAR	Total Ankle Replacement
TARO	TRICARE Alaska Regional Office
TAVR	Transcatheter Aortic Valve Replacement
TB	Tuberculosis
TBD	To Be Determined
TBE	Tick Borne Encephalitis
TBI	Traumatic Brain Injury
TC	Technical Component
TCMHC	TRICARE Certified Mental Health Counselor
TCP/IP	Transmission Control Protocol/Internet Protocol
TCSRC	Transitional Care for Service-Related Conditions
TDD	Targeted Disc Decompression
TDEFIC	TRICARE Dual Eligible Fiscal Intermediary Contract
TDP	TRICARE Dental Program/Plan

TRICARE Operations Manual 6010.56-M, February 1, 2008

Appendix A

Acronyms And Abbreviations

TDR	Total Disc Replacement
TDRL	Temporary Disability Retired List
TDY	Temporary Duty
TED	TRICARE Encounter Data
TEE	Transesophageal Echocardiograph [Echocardiography]
TEFRA	Tax Equity and Fiscal Responsibility Act
TEOB	TRICARE Explanation of Benefits
TEPRC	TRICARE Encounter Pricing (Record)
TEPRV	TRICARE Encounter Provider (Record)
TET	Tubal Embryo Transfer
TF	Transfer Factor
TFL	TRICARE For Life
TFMDP	TRICARE (Active Duty) Family Member Dental Plan
TGRO	TRICARE Global Remote Overseas
TGROHC	TGRO Host Country
TIFF	Tagged Imaged File Format
TIL	Tumor-Infiltrating Lymphocytes
TIMPO	Tri-Service Information Management Program Office
TIN	Taxpayer Identification Number
TIP	Thermal Intradiscal Procedure
TIPS	Transjugular Intrahepatic Portosystemic Shunt
TIS	TRICARE Information Service
TLAC	TRICARE Latin America/Canada
TLC	Total Lung Capacity
TMA	TRICARE Management Activity
TMA-A	TRICARE Management Activity - Aurora
TMAC	TRICARE Maximum Allowable Charge
TMCPA	Temporary Military Contingency Payment Adjustment
TMH	Telemental Health
TMI&S	Technology Management Integration & Standards
TMOP	TRICARE Mail Order Pharmacy
TMR	Transmyocardial Revascularization
TMS	Transcranial Magnetic Stimulation
TN	Termination Notice
TNEX	TRICARE Next Generation (MHS Systems)
TNP	Topical Negative Pressure
TOB	Type of Bill
TOE	Target of Evaluation
TOL	TRICARE Online
TOM	August 2002 TRICARE Operations Manual 6010.51-M February 2008 TRICARE Operations Manual 6010.56-M
TOP	TRICARE Overseas Program

TRICARE Operations Manual 6010.56-M, February 1, 2008

Appendix A

Acronyms And Abbreviations

TOPO	TRICARE Overseas Program Office
TP	Treatment Plan
TPA	Third Party Administrator
TPC	Third Party Collections
TPharm	TRICARE Pharmacy
TPL	Third Party Liability
TPM	August 2002 TRICARE Policy Manual 6010.54-M February 2008 TRICARE Policy Manual 6010.57-M
TPN	Total Parenteral Nutrition
TPOCS	Third Party Outpatient Collections System
TPR	TRICARE Prime Remote
TPRADFM	TRICARE Prime Remote Active Duty Family Member
TPRADSM	TRICARE Prime Remote Active Duty Service Member
TPRC	TRICARE Puerto Rico Contract(or)
TPSA	Transitional Prime Service Area
TQMC	TRICARE Quality Monitoring Contractor
TRDP	TRICARE Retiree Dental Program
TRI	TED Record Indicator
TRIAP	TRICARE Assistance Program
TRIP	Temporary Records Information Portal
TRM	August 2002 TRICARE Reimbursement Manual 6010.55-M February 2008 TRICARE Reimbursement Manual 6010.58-M
TRO	TRICARE Regional Office
TRO-N	TRICARE Regional Office-North
TRO-S	TRICARE Regional Office-South
TRO-W	TRICARE Regional Office-West
TRPB	TRICARE Retail Pharmacy Benefits
TRR	TRICARE Retired Reserve
TRRx	TRICARE Retail Pharmacy
TRS	TRICARE Reserve Select
TRSA	TRICARE Reserve Select Application
TSC	TRICARE Service Center
TSF	Target of Evaluation Security Functions
TSM	August 2002 TRICARE Systems Manual 7950.1-M February 2008 TRICARE Systems Manual 7950.2-M
TSP	Target of Evaluation Security Policy
TSR	TRICARE Select Reserve
TSRDP	TRICARE Select Reserve Dental Program
TSRx	TRICARE Senior Pharmacy
TSS	TRICARE Senior Supplement
TSSD	TRICARE Senior Supplement Demonstration
TTOP	TRICARE Transitional Outpatient Payment
TTPA	Temporary Transitional Payment Adjustment

TRICARE Operations Manual 6010.56-M, February 1, 2008

Appendix A

Acronyms And Abbreviations

TTY	Teletypewriter
TUNA	Transurethral Needle Ablation
TYA	TRICARE Young Adult
UAE	Uterine Artery Embolization
UARS	Upper Airway Resistance Syndrome
UB	Uniform Bill
UBO	Uniform Business Office
UCBT	Umbilical Cord Blood Stem Cell Transplantation
UCC	Uniform Commercial Code Urgent Care Center
UCSF	University of California San Francisco
UIC	Unit Identification Code
UIN	Unit Identifier Number
UM	Utilization Management
UMO	Utilization Management Organization
UMP	User Maintenance Portal
UPIN	Unique Physician Identification Number
UPPP	Uvulopalatopharyngoplasty
URFS	Unremarried Former Spouse
URL	Universal Resource Locator
US	Ultrasound United States
US-CERT	United States-Computer Emergency Readiness Team
USA	United States of America
USACID	United States Army Criminal Investigation Division
USAF	United States Air Force
USAO	United States Attorneys' Office
USC	United States Code
USCG	United States Coast Guard
USCO	Uniformed Services Claim Office(r)
USCYBERCOM	United States Cyber Command
USD	Undersecretary of Defense
USD (P&R)	Undersecretary of Defense (Personnel and Readiness)
USDI	Undersecretary of Defense for Intelligence
USFHP	Uniformed Services Family Health Plan
USHBP	Uniformed Services Health Benefit Plan
USMC	United States Marine Corps
USMTF	Uniformed Services Medical Treatment Facility
USN	United States Navy
USPDI	United States Pharmacopoeia Drug Information
USPHS	United States Public Health Service
USPS	United States Postal Service

TRICARE Operations Manual 6010.56-M, February 1, 2008

Appendix A

Acronyms And Abbreviations

USPSTF	U.S. Preventive Services Task Force
USS	United Seaman's Service
USTF	Uniformed Services Treatment Facility
UV	Ultraviolet
VA	Veterans Affairs (hospital) Veterans Administration
VAC	Vacuum-Assisted Closure
VAD	Ventricular Assist Device
VAMC	VA Medical Center
VATS	Video-Assisted Thoroscopic Surgery
VAX-D	Vertebral Axial Decompression
VD	Venereal Disease
VO	Verifying Office (Official)
VPN	Virtual Private Network
VPOC	Verification Point of Contact
VRDX	Reason Visit Diagnosis
VSAM	Virtual Storage Access Method
VSD	Ventricular Septal Defect
WAC	Wholesale Acquisition Cost
WAN	Wide Area Network
WATS	Wide Area Telephone Service
WC	Worker's Compensation
WDR	Written Determination Report
WebDOES	Web DEERS Online Enrollment System (application)
WEDI	Workgroup for Electronic Data Interchange
WHS	Washington Headquarters Services
WIC	Women, Infants, and Children (Program)
WII	Wounded, Ill, and Injured
WLAN	Wireless Local Area Network
WORM	Write Once Read Many
WRAMC	Walter Reed Army Medical Center
WTC	World Trade Center
WTRR	Wire Transfer Reconciliation Report
WTU	Warrior Transition Unit
WWW	World Wide Web
X-Linked SCID	X-Linked Severe Combined Immunodeficiency Syndrome
XML	eXtensible Markup Language
ZIFT	Zygote Intrafallopian Transfer
2D	Two Dimensional
3D	Three Dimensional

- END -