



OFFICE OF THE ASSISTANT SECRETARY OF DEFENSE
HEALTH AFFAIRS

16401 EAST CENTRETECH PARKWAY
AURORA, COLORADO 80011-9066

TRICARE
MANAGEMENT ACTIVITY

OD

CHANGE 16
6010.56-M
DECEMBER 23, 2009

**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: POSITIVE RECORDS TRANSFER

CONREQ: 14880

PAGE CHANGE(S): See page 2.

SUMMARY OF CHANGE(S): This change to the TRICARE Quality Monitoring Contractor (TQMC) Interface provides a positive transfer of records procedure for transfer of records between TQMC, Managed Care Support Contractor (MCSC), Designated Provider (DP) and TRICARE Dual Eligible Fiscal Intermediary Contract (TDEFIC). This positive transfer of records will help TRICARE Management Activity (TMA) to insure protection of all data, in compliance with Health Insurance Portability and Accountability Act (HIPAA) requirements.

EFFECTIVE DATE: February 1, 2010.

IMPLEMENTATION DATE: Upon direction of the Contracting Officer.


Reta M. Michak
Director, Operations Division

ATTACHMENT(S): 5 PAGES
DISTRIBUTION: 6010.56-M

CHANGE 16
6010.56-M
DECEMBER 23, 2009

REMOVE PAGE(S)

CHAPTER 7

Table of Contents, page 1

Section 3, page 1

INSERT PAGE(S)

Table of Contents, page 1

Section 3, pages 1 through 4

Chapter 7

Utilization And Quality Management

Section/Addendum	Subject/Addendum Title
------------------	------------------------

- | | |
|---|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| 1 | Management |
| 2 | Preauthorizations |
| 3 | Contractor Relationship With The Military Health System (MHS) TRICARE Quality Monitoring Contractor (TQMC)
Figure 7.3-1 Box Inventory Document (Sample)
Figure 7.3-2 Routine E-Mail (Sample) |
| 4 | Clinical Quality Management Program (CQMP) |
| A | An Important Message From TRICARE |
| B | Hospital Issued Notices Of Noncoverage |
| C | Hospital Adjustments |

Contractor Relationship With The Military Health System (MHS) TRICARE Quality Monitoring Contractor (TQMC)

1.0 The TRICARE Quality Monitoring Contractor (TQMC) conducts reviews to validate the appropriateness of the contractor's quality of care and utilization review decisions. The Managed Care Support Contractors (MCSCs), Designated Providers (DPs), and the TRICARE Dual Eligible Fiscal Intermediary Contractor (TDEFIC) shall transmit copies of the medical record and all case documentation to the TQMC for each case or category of case requested by the TQMC. The estimated number of cases (including inpatient and outpatient care) to be selected on a monthly basis will vary depending upon the health care region involved and the case selection criteria. The estimated quantities per region could range from 300 to 630 cases per month for the MCSCs, 10 to 30 cases per month for the DPs, and 100 to 200 cases per month for TDEFIC.

2.0 The MCSCs, DPs, and TDEFIC contractor shall transmit 95% of the requested records to the TQMC within 45 calendar days and 98% within 60 calendar days from the date the MCSCs, DPs, and TDEFIC contractor receive the request for records from the TQMC. Records to be transmitted shall include the complete medical record, the MCSC's, DP's, and TDEFIC's utilization review decision, rationale for that decision, and quality of care determinations. The MCSCs, DPs, and TDEFIC contractor shall forward a monthly Contractors Records Accountability Report by the 10th day of the month following the month being reported (see Contract Data Requirements Lists (CDRLs) for Contractor Records Accountability Reporting requirements). **Transfer of records shall adhere to procedures specified in paragraphs 2.1 and 2.5. Adherence to these procedures is essential for compliance with the Privacy Act of 1974, the Department of Defense (DoD) privacy Program (DoD 5400.11-R), the Health Insurance Portability and Accountability Act of 1996 (HIPAA), the DoD Health Information Privacy Regulation (DoD 6025.18-R), the DoD Health Information Security Regulation (DoD 8580.02-R), and other Federal laws protecting the privacy and security of Personally Identifiable Information (PII), including health information.**

2.1 The records shall be packaged in boxes containing a single month of records and a Box Inventory Document (see Figure 7.3-1) stating the number of patient records contained therein and identifying each record by patient name and TRICARE Management Activity (TMA) Internal Control Number (ICN), which should be clearly shown on each patient's record. Because the Box Inventory Document contains PII, that document (in both its paper and electronic versions) shall be protected from unauthorized use and disclosure in the same manner as the patient records themselves. The MCSC, DP, or TDEFIC shall notify the designated Point Of Contact (POC) at the TQMC, via e-mail, each day that a box or boxes have shipped, stating the number of boxes (with tracking numbers) in that day's shipment (see Figure 7.3-2.) The MCSC, DP, or TDEFIC shall track the shipment, including delivery, using the shipping vendor's tracking method and retain documentation of such.

2.2 Within one business day of receipt by the TQMC, using the MCSC, DP, or TDEFIC Box Inventory Document(s), shall match the number of boxes received with the corresponding e-mail shipment notification. Then the TQMC shall confirm the number of records in each box, and a match between

each patient record and ICN for the patient names listed on the Box Inventory Document no later than the Close of Business (COB) on the fifth business day after receipt of the shipment. By that date, the TQMC shall send an e-mail back to the MCSC/DP/TDEFIC confirming the number of boxes, number of records in each box and match of all ICNs. Upon receipt of the TQMC confirmation e-mail, no further action is required by the MCSC, DP, or TDEFIC.

2.3 Using the Box Inventory Document, if the TQMC identifies:

2.3.1 A count discrepancy in either the number of boxes or number of charts in each box;

2.3.2 Absence of a record; or

2.3.3 A mismatch of the record with the ICN; and

2.3.4 If the TQMC concludes that records are or may be missing, the TQMC shall notify by e-mail the MCSC, DP, or TDEFIC of the discrepancy including details of the discrepancy by COB of the fifth business day from receipt of shipment. Upon notification of the count discrepancy, the MCSC, DP, or TDEFIC shall investigate the discrepancy, take appropriate steps and notifications, and be in telephone, fax and e-mail communication to resolve the potential violations of applicable law as soon as possible.

2.4 The TQMC shall send a "non-receipt" e-mail to the MCSC, DP, or TDEFIC POC by COB of the fifth business day if no shipment was received from the MCSC, DP, or TDEFIC following notification that a shipment was sent. Upon receipt of a "non-receipt of a shipment" e-mail from the TQMC POC, the MCSC, DP, or TDEFIC shall immediately track the shipment and notify the TQMC POC, by e-mail, of the status of the shipment. The MCSC, DP, or TDEFIC shall be in telephone, fax or e-mail communication with the TQMC POC to determine the appropriate steps and notifications, based upon the investigation to resolve the potential HIPAA violation.

2.5 If no e-mails from the TQMC indicating either confirmation of receipt, confirmation of receipt with discrepancy, or a non-receipt of shipment, are received by the MCSC, DP, or TDEFIC by the morning of the sixth business day after shipment, the MCSC, DP, or TDEFIC shall notify, by COB on the same day, all parties required to receive notice under the breach notification provisions of [Chapter 1, Section 5](#) and applicable law. These parties include the TRICARE Regional Office (TRO) or Designated Provider Program Office (DPPO) and the TMA Privacy Office. The notifications shall provide available details about the shipment and the circumstances. The TQMC shall verify that these notifications are sent, and shall provide the notifications itself if the sender of the records fails to do so. Thereafter, the MCSC, DP, or TDEFIC shall comply with breach response requirements of [Chapter 1, Section 5](#) and applicable law.

3.0 The MCSCs, DPs, and TDEFIC shall provide the appropriate TRO/DPPO and TDEFIC Contracting Officer's Representative (COR) written responses to all TQMC findings within 45 calendar days of receipt of the TQMC Monthly Findings Report. The MCSC's, DP's, and TDEFIC contractor's responses shall state agreement, partial agreement, or nonconcurrency with each discrepancy found by the TQMC, and include supporting rationale, and proposed follow-up actions to address the issues (see contract CDRLs for reporting requirements).

4.0 At the direction of the TRICARE Management Activity (TMA) Healthcare Operations Division (HCO), the MCSCs, DPs, and TDEFIC shall attend two face-to-face meetings annually, of one to two

TRICARE Operations Manual 6010.56-M, February 1, 2008

Chapter 7, Section 3

Contractor Relationship With The Military Health System (MHS) TRICARE Quality Monitoring

days duration, at a location chosen by HCO. Additionally, contractors shall participate in two teleconference meetings not to exceed one day per meeting.

FIGURE 7.3-1 BOX INVENTORY DOCUMENT (SAMPLE)

(Logo or Letterhead of Company)

Inside mailing address identifying Organization and Person Shipping POC

Privacy/HIPAA Warning Notice:

The information in the enclosed documents may be subject to the Privacy Act of 1974, the Health Insurance Portability and Accountability Act (HIPAA) and other Federal Laws protecting the privacy and security of Personally Identifiable Information (PII), including health information. Personal information contained in this inventory and in the enclosed documents may be used and disclosed only by authorized persons in the conduct of official business and only in accordance with the Privacy Act, HIPAA and other applicable Federal law. Any unauthorized use or disclosure of personal information may result in criminal and/or civil penalties. If you are not the intended recipient of this correspondence, you must notify the sender upon receipt and transfer the documents in accordance with the sender's instructions. If you inspect, copy or transfer the enclosed documents other than as instructed, a violation of applicable law may occur.

This is Box X of Y mailed on MM/DD/YEAR

Record Request Received by Contractor: Month & Year

Recommended Per Box Inventory Letter Example (to be included in each box)

Name of Contractor:	Date Mailed: M/D/YR	Month of Chart Request: M/YR	Number of records in box =	
ICN	Patient Name	Patient Year of Birth	Admission Date	Discharge Date

FIGURE 7.3-2 ROUTINE E-MAIL (SAMPLE)

Information to include:

Universal

Date Shipment to be "picked up"

Number of boxes in shipment

For Each Box in Shipment

Tracking number for box: 1ZV300Y4019919XXX

Audit Month (05/2009)

Number of records in box (XY)

Signatory

References:

1. OASD/HA Memorandum, Use of Digital Signature on Official TMA Electronic Mail (e-mail), June 13, 2007.
2. OASD/HA Memorandum, Protection of Sensitive Information in Electronic Mail, August 13, 2007.
3. OASD/HA Memorandum, Guidelines on Protection of Sensitive Information in Electronic Email, June 25, 2008.
4. OASD/HA Memorandum, Updated Guidelines on Protection of Sensitive Information in Electronic Mail, September 19, 2008.
5. DoD Memorandum, "DoD Guidance on Protecting Personally Identifiable Information (PII)," August 18, 2006.
6. DoD Regulation 6025.11-R, "DoD Health Information Privacy Regulation," January 24, 2003, and
7. DoD Regulation 8580.02-R, "DoD Health Information Security Regulation," July 12, 2007.

- END -