

## Microfilming, Digital Imaging, And Optical Data Disk Storage

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### 1.0 GENERAL

The success of a microfilming or digital imaging operation depends on a rigid standardization process. A standardized process will result in quality of: filming or scanning, processing, indexing, storage, retrieval, and reproduction of Government records. All TRICARE claims processing contractors shall either microfilm or image all the following records:

- TRICARE 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 Code of Federal Regulations (CFR), Title 36, Part 1230, Micrographics and current American National Standards Institute (ANSI), and Association for Information and Image Management (AIIM) standards for microfilming TRICARE records. Contractors shall adhere to the National Institute of Standards and Technology (NIST), Federal Information Processing Standards (FIPS), and the AIIM Standards for imaging TRICARE records. Microfilmed or imaged copies of TRICARE records shall be certified, reproducible and legible. The contractor's image capture and storage system shall be able to reproduce legible copies of TRICARE records from the storage medium. If any record or set of records is not of a standard to produce legible copies, the contractor shall recover the originals and re-microfilm or re-image them, making certain the new stored image is reproducible as legible documents.

**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 TRICARE Management Activity (TMA) on-site review.

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

**2.3.1** Regularly monitor trends in the technological environment that conform to open systems standards.

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

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

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

### **3.0 PROCEDURES**

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

**3.1** Planning for further technological developments.

**3.2** Providing for the ongoing functionality of system components.

**3.3** Assuring the imaging system has inherent flexibility and has a non-proprietary design that accepts future hardware and software upgrades.

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

**3.5** Document preparation.

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

**3.7** 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, explanation of benefits, check number, etc.). Ensuring that claims retrieval software is Structured Query language (SQL) compliant.

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**3.8** 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.).

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

**3.10** Disposition of Original Records (how, when, where will the original documents be destroyed in accordance with applicable laws and regulations, i.e., AI-15, the Health Insurance Portability and Accountability Act of 1996 (HIPAA) and the Privacy Act of 1974).

**3.11** Imaging Requirements (a detailed description of equipment and software which utilizes Write Once-Read Many (WORM) technology).

#### **4.0 TRANSITION**

**4.1** Maintain a complete set of documentation, including source code with flow diagrams, object code, and operations and maintenance manuals to be turned over to an incoming contractor or the National Archives and Records Administration (NARA) Records Center as designated by TMA, in the event of a transition.

**4.2** Upon direction from the Government, the incumbent shall also be prepared to present the incoming contractor with standard Tagged Imaged File Format (TIFF) claim images and a non-proprietary program to sort and retrieve images by ICN. This program or programs shall be compatible with a current Microsoft® Desktop Operating System. Valid alternatives may be negotiated with the Government.

#### **5.0 LEGAL ADMISSABILITY**

**5.1** 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.

**5.2** The contractor shall implement the current industry standards, using digital-imaging and optical digital data disk storage technologies, either in the conversion of paper documents to digital form or their initial creation in digital form.

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