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TRICARE  
MANAGEMENT ACTIVITY

OD

CHANGE 94  
6010.56-M  
FEBRUARY 13, 2013

## CORRECTED COPY

### 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:** RECORDS MANAGEMENT

**CONREQ:** 14878

**PAGE CHANGE(S):** See page 2.

**SUMMARY OF CHANGE(S):** This change revises records management requirements for transferring electronic records to the electronic Federal Records Center (eFRC) and provides additional guidance and/or clarification on contractor compliance with relevant provisions of applicable federal statutes and regulations.

**EFFECTIVE DATE:** Upon direction of the Contracting Officer.

**IMPLEMENTATION DATE:** Upon direction of the Contracting Officer.

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**ATTACHMENT(S):** 76 PAGES  
**DISTRIBUTION:** 6010.56-M

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## Chapter 2

# Records Management

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## General

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### 1.0 POLICY

**1.1** This chapter implements the Department of Defense (DoD) Records Management Policy, and "TRICARE Management Activity (TMA) Records Retention Schedule (RRS)" (hereafter referred to as "TMA 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 TMA RRS, contractors shall comply with the following policies, regulations, and laws relating to Government records:

- 36 Code of Federal Regulations (CFR), 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 Directive (DoDD) 5015.2, "DoD Records Management Program," March 6, 2000

**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 TMA 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 TMA 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 TMA 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 TMA 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 TMA

TMA is responsible for:

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

Contractor shall be responsible for:

**3.2.1** Scheduling, following contract award, its Records Liaison to attend the next available records management training provided by TMA. 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 TMA 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 TMA RRS (see Section 2).

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

**3.2.2.11** The contractor shall ensure that records in its jurisdiction are retrievable and provided within five working days of being requested by the Government.

**3.2.2.12** TMA records move from an active to inactive status when they meet the TMA RRS cut off requirements in the disposition instructions. Once the TMA records are inactive, they shall be held in accordance with the TMA RRS disposition instructions and then transferred to the FRC. Inactive TMA electronic records shall be transferred from contractor systems to TMA's designated National Archives and Records Administration (NARA) Electronic Federal Records Center (eFRC) (see Section 4, paragraph 3.0).

## 4.0 DEFINITIONS

### 4.1 Active Records

Active records are those used to conduct current TMA 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 TMA. The contractor is required to provide adequate and proper documentation of TMA's programs and to manage them effectively.

#### **4.5 Disposition Instructions**

Actions taken on records no longer needed to conduct the current business of TMA, 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 TMA 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 TMA 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 TMA 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 special circumstances, such as a court order, require a temporary extension of the approved retention period.

#### **4.14 Group 6 or Higher**

The minimum accepted Tagged Image File Format (TIFF) version sufficient for electronic records to be maintained or transferred because it is the lowest TIFF specification able to convert record data into an archival file format suitable for long-term preservation.

#### **4.15 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.

#### **4.16 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.

#### **4.17 Master Files**

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

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#### 4.18 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.

#### 4.19 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.

#### 4.20 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.

#### 4.21 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.)

#### 4.22 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.

#### 4.23 Processing Files

Files, aside from master files, which 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.

#### 4.24 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.

#### 4.25 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.

#### 4.26 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."

#### 4.27 Records Management

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

#### 4.28 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 NARA ARCIS web page.

#### 4.29 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.

#### 4.30 Transmission and Receipt Data

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

**4.30.2** 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).

#### 4.31 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, at a minimum:

**5.1** Write and implement e-mail instructions based on the requirements of the TMA 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 TMA 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 TMA in accordance with Section 4.

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#### General

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**6.2** In the event of a contract transition, the outgoing contractor shall transfer records to the incoming contractor for an agreed upon period of time (for example, the last 18-24 months). Records beyond this agreed upon period of time shall be transferred to the NARA FRC designated by the TMA Records Management Officer. Records transferred to the NARA FRC shall follow transfer procedures outlined in Addendums A and B. Examples of records to be maintained and transferred may include, but are not limited to:

- TMA Claims;
- Claims 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; and
- EOB Forms and Summary Payment Vouchers.

- END -



## Record Series Subject And Description Of Government Records

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### 1.0 GENERAL

**1.1** The following TRICARE Management Activity (TMA) 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 TMA Records Management Officer for instructions. Follow the guidance in the sections below for indexing and record series number requirements. For additional guidance, follow the "TMA Records Retention Schedule" (hereafter referred to as "TMA RRS") for record series numbers and disposition instructions. Contact the TMA Records Management Office to obtain a current copy of the TMA RRS.

**1.2** If TMA contractors cannot identify a specific series number from the TMA 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.
- GRS 23, Number 8.5.a: Destroy or delete when two years old.
- GRS 23, Number 8.5.b: Destroy or delete when no longer needed for convenience.
- GRS 23, Number 8.6.a: Destroy after action taken.
- GRS 23, Number 8.6.b: (1) If suspense copy is an extra copy, destroy immediately.  
(2) If suspense copy is the file copy, incorporate it into the official files. Destroy after action taken.

**Disposition (Continued):** GRS 23, Number 8.7: Destroy immediately, or when no longer needed for reference, or according to a predetermined time period or business rule (e.g., implementing the auto-delete feature of electronic mail systems).

GRS 23, Number 8.8: Destroy or delete when two years old, or two years after the date of the latest entry, whichever is applicable.

GRS 23, Number 8.9: Destroy or delete with related records.

(\*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 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. These files will be indexed alphabetically by case name (beneficiary, provider, or institution) within contract region.

**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.

102-18.2: Permanent. Retire to the WNRC one year after close of the case; transfer to the National Archives when 20 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: TMA, 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)

**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). These files will be indexed alphabetically by an individuals' name.

**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. These files will be indexed alphabetically by individual's name.

**Amendment Case Files:** Files contain requests for amendment, contractor's agreement to amend, or agreement not to amend records and all supporting documentation. These files will be indexed alphabetically by individual's name.

**Complaint Case Files:** Files contain letters of complaint, contractor's response and any supporting documentation. These files will be indexed alphabetically by name of individual filing complaint.

**Control Records:** Files contain logs which track HIPAA requests. These files will be indexed by calendar year.

**Description (Continued):** **Enrollment and Disenrollment Files:** Files contain logs which track HIPAA requests. These files will be indexed by calendar year.

**Requests for Access to PHI:** Files contain original requests for PHI, copies of contractor responses and all related supporting documentation. These files will be indexed alphabetically by individual's name.

**Metadata/Index Elements:** Sponsor Name; Beneficiary Name; Requestor Name; Date; Subject; Request Number

**Disposition:** PENDING APPROVAL. Retain until disposition instructions have been approved by NARA.

### 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. These files will be indexed upon contractor's discretion.

**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:** 905-02.2

**Description:** Studies and evaluations when required, not resulting in issuance of new standards. These files will be indexed upon contractor's discretion.

**Metadata/Index Elements:** Program Name; Report Name; Date; Subject

**Disposition:** Destroy when five years old.

### 1.13 TRICARE Contractor Claims Records

**Record Series Number:** 911-01.1 (paper records); 911-01.3 (microform and/or electronic records)

**Description:** **Abortion Claims Files:** Documents required during the processing of abortion claims. These files will be indexed sequentially by Internal Control Number (ICN) order within contract region.

**Description (Continued):** **Adjusted Claims:** Records which are acquired or utilized in the development and processing of adjusted claims. These files will be indexed sequentially by ICN order within contract region.

**Beneficiary History and Deductible Files:** Computer generated records reflecting the contractor's processing of claims and health care services. These files will be indexed numerically by sponsor's Social Security Number (SSN).

**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. These files will be indexed alphabetically by beneficiary's last name or sequentially by sponsor's SSN within contract region.

**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. These files will be indexed alphabetically by case name (beneficiary - last name) or by sponsor's SSN and by state within contract region.

**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 TMA. Included are network agreements, sanction documents, provider signature on file, and provider power of attorney. These files will be indexed by tax identification number or alphabetically by provider name.

**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. Indexing should be able to support the metadata/index elements listed for 911-01.

**Third Party Liability (TPL) Case Records:** Documents relating to a TPL cases. These files will be indexed alphabetically by sponsor's last name or by sponsor's SSN within contract region.

**Description (Continued):** **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 TMA); 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. These files will be indexed sequentially by ICN within contract region.

**Metadata/Index Elements:** Sponsor Name; Sponsor SSN; Sponsor Date of Birth (DOB); National Number Identifier; DoD Benefits Number (DBN); DoD Identification Number; Defense Enrollment Eligibility Reporting System (DEERS) Family Identification Number; TMA Claim Number; Beneficiary Identification 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); Record Sub-Series; Date

**Disposition:**

911-01.1:	Close out at end of the calendar year in which received; hold one additional year; and transfer to the Federal Records Center (FRC). The FRC shall destroy after an additional five years retention.
911-01.3:	Close out at end of the calendar year in which created; hold on-site six additional years.

#### 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. These files will be indexed sequentially by check number order or by month processed through the bank (cancelled or voided) within contract region.

**Metadata/Index Elements:** Check Number; Check Issue Date; Payee Name; Account Number; Check Serial Number; Check Sequence Number; Check Amount; Image Control Number; Check View Type

**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:** EOB forms and Summary Payment Voucher notices used to advise beneficiaries, sponsors, or providers of the action taken on TRICARE claims. These files will be indexed by ICN within contract region.

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

**Disposition:**

- 9-11-03.1: Close out at end of the calendar year in which issued; hold one additional year; transfer to the FRC; destroy after five years.
- 9-11-03.2: Destroy upon verification of microfilm, or as directed by TMA.
- 9-11-03.3: Close out at the end of the calendar year in which created; hold on-site six additional years.

### 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. These files will be indexed alphabetically by beneficiary name within contract region.

**Metadata/Index Elements:** Sponsor Name; Sponsor SSN; Sponsor DOB; Beneficiary Name; National Number Identifier; DBN; DoD Identification Number; DEERS Family Identification Number; TMA Claim Number; Beneficiary Identification Number; Begin Date of Service; End Date of Service; Provider Name; Provider TIN

**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

<b>Record Series Number:</b>	911-05
<b>Description:</b>	Contractor agreements with subcontractors, leases for building space, equipment, consulting, and other services. Included are TMA approvals, amendments, and similar documents.
<b>Metadata/Index Elements:</b>	Contract Name; Contract Number; Sub Contract Name; Sub Contract Number; Agreement Title/Document Name; Date
<b>Disposition:</b>	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 Recoupment Files

<b>Record Series Number:</b>	911-07
<b>Description:</b>	Documents relating to specific recoupment cases. These files will be indexed alphabetically by case name (beneficiary/ sponsor/requester, provider, etc.) within contract region.
<b>Metadata/Index Elements:</b>	Sponsor Name; Sponsor SSN; Case ID; Sponsor DOB; Beneficiary Name; Provider Name; Provider TIN; Requestor Name; Requestor Number; Date; Subject; National Number Identifier; DBN; DoD Identification Number; DEERS Family Identification Number; Beneficiary Identification Number
<b>Disposition:</b>	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.

### 1.19 Fraud And Abuse Files

<b>Record Series Number:</b>	911-08
<b>Description:</b>	Documents relating to specific fraud and abuse cases. These files will be indexed alphabetically by case name (beneficiary/ sponsor/requester, provider, etc.) within contract region.
<b>Metadata/Index Elements:</b>	Provider Name; Provider TIN; Hospital Name; Year; Case ID; Case Name; Investigator; National Number Identifier; DBN; DoD Identification Number; DEERS Family Identification Number; Beneficiary Identification Number
<b>Disposition:</b>	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.

**1.20 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. These files will be indexed alphabetically by beneficiary name within contract region.

**Metadata/Index Elements:** Provider Name; Provider TIN; Hospital Name; Year; Case ID; Case Name; Investigator; National Number Identifier; DBN; DoD Identification Number; DEERS Family Identification Number; Beneficiary Identification Number

**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

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### 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 TRICARE Management Activity (TMA) records.

**1.2** All TMA contractors shall provide TMA with the following inactive records (for definition, see Section 1, paragraph 4.14) 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):

- TMA 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
- 185, Escrowed Encryption Standard (EES), February 9, 1994
- 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
- 200, Minimum Security Requirements for Federal Information and Information Systems, March 2006
- 199, Standards for Security Categorization of Federal Information and Information Systems, February 2004
- 197, Advanced Encryption Standard (AES), November 26, 2001
- 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** TMA records that are imaged will follow current Association for Information and Image Management (AIIM) standards for imaging. All documents converted into digital format will be scanned into searchable PDF (at a minimum be 300 pixels per inch (ppi)/dots per inch (dpi)) or TIFF Group 6 or higher (for definition, see [Section 1, paragraph 4.14](#)) format. AIIM acts as the voice of the ECM industry in key standards organizations, with the media, and with government decision-makers. AIIM is an ANSI (American National Standards Institute) accredited standards development organization. AIIM also holds the Secretariat for the ISO (International Organization for Standardization) committee focused on Information Management Compliance issues, TC171.

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

**2.3** The following minimum 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 1.4 (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** TMA shall 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 TMA 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 TMA 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 TMA, NARA, or for transit reasons. Deactivating security settings from PDFs ensures TMA 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 should be encrypted using TMA approved (Department of Defense (DoD) compliant) encryption software: FIPS PUB 140-2; December 3, 2002. FIPS PUB 140-2 is a U.S. Government computer security standard used to accredit cryptographic modules. TMA recommends using TMA approved (DoD compliant) encryption software and following [paragraph 2.1](#). Reference [Addendum B](#) for transferring and shipping electronic records securely.

### **2.3.2.2 Review Of Special Features**

Complexities associated with certain PDF features that may be a requirement for contractors shall require pre-authorization from the TMA 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 TMA Records Management Officer for further guidance.

#### **2.3.3.2 Optical Character Recognition (OCR)**

PDF records can contain embedded searchable text based on OCR. TMA recognizes uncorrected OCR'd text can assist with full text search capabilities; thus, contractors shall be permitted to provide TMA 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 TMA 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 TMA, as a PDF formatted text and graphics format.

## 3.0 METADATA

**3.1** Metadata is a critical element of TMA records in electronic format. All TMA electronic records require mandatory metadata to be associated or linked to them throughout their active and inactive life cycle. Metadata enables TMA to meet the federally mandated life cycle and recordkeeping requirements while ensuring eRecords remain accessible and searchable to TMA 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. For specific metadata requirements reference [Section 2](#). For example, document and record series metadata for a TMA Contractor Claims Records, Record Series 911-01, may include but is not limited to the following metadata:

- Date
- DoD Benefits Number (DBN)
- National Provider Identifier (NPI)
- Defense Enrollment Eligibility Reporting System (DEERS) Family Identification Number
- DoD Identification Number
- Beneficiary Identification Number
- Subject
- Sponsor Name
- Status
- Sponsor Social Security Number (SSN)
- TMA Claim Number
- Begin Date of Service
- End Date of Service
- Provider Name

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

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- Provider Taxpayer Identification Number (TIN)
- Index

#### 4.0 PROCEDURES

The contractor shall develop and follow a system for imaging two-sided documentation and output to electronic formats required by TMA to include written procedures for Government inspection detailing the entire process. Documentation, at a minimum, must 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., TMA 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 Maintain a complete set of documentation to be turned over to an incoming contractor and the NARA electronic Federal Records Center (eFRC) as designated by TMA, in the event of a transition.

**5.2** Upon direction from TMA, the incumbent shall also be prepared to present the incoming contractor with standard TIFF claim images, searchable PDF files, and a non-proprietary program to sort and retrieve these TMA records by ICN. This program or programs shall be compatible with a current Microsoft® Desktop Operating System. Valid alternatives shall be submitted to TMA 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 TMA Contracting Office or TMA Records Management Office. A formal record of destruction or certificate must be provided to the TMA Contracting Office documenting what was destroyed, the date(s) destroyed and by whom. This certificate of destruction will be provided to the TMA 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

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### 1.0 GENERAL

**1.1** Contractors shall adhere to the following current industry standards in regards to electronic records (i.e., International Organization for Standardization (ISO) guidelines for electronic storage and transfer of records):

- ISO 13008:2012 - Information and Documentation - Digital Records Conversion and Migration Process
- ISO/TR 13028:2010 - Information and Documentation - Implementation Guidelines for Digitization of Records
- ISO 15489-1:2001 - Information and Documentation - Records Management - Part 1: General
- ISO/TR 15489-2:2001 - Information and Documentation - Records Management - Part 2: Guidelines
- ISO 16175-1:2010 - Information and Documentation - Principles and Functional Requirements for Records in Electronic Office Environments - Part 1: Overview and Statement of Principles
- ISO 16175-2:2011 - Information and Documentation - Principles and Functional Requirements for Records in Electronic Office Environments - Part 2: Guidelines and Functional Requirements for Digital Records Management Systems
- ISO 16175-3:2010 - Information and Documentation - Principles and Functional Requirements for Records in Electronic Office Environments - Part 3: Guidelines and Functional Requirements for Records in Business Systems
- ISO/DTR 17068 - Information and Documentation - Trusted Third Party Repository for Digital Records
- ISO/DTR 18128 - Information and Documentation - Risk Identification and Assessment for Records Systems
- ISO 22310:2006 - Information and Documentation - Guidelines for Standards Drafters for Stating Records Management Requirements in Standards
- ISO 23081-1:2006 - Information and Documentation - Records Management Processes - Metadata for Records - Part 1: Principles

- ISO 23081-2:2009 - Information and Documentation - Managing Metadata for Records - Part 2: Conceptual and Implementation Issues
- ISO/TR 23081-3:2011 - Information and Documentation - Managing Metadata for Records - Part 3: Self-assessment Method
- ISO/TR 26122:2008 - Information and Documentation - Work Process Analysis for Records
- ISO 30300:2011 - Information and Documentation - Management Systems for Records - Fundamentals and Vocabulary
- ISO 30301:2011 - Information and Documentation - Management Systems for Records - Requirements

**1.2** Contractors shall follow procedures outlined in [Addendum B](#) (for additional guidance, reference retention and disposal instructions in [Section 2](#), the TRICARE Management Activity Records Retention Schedule (TMA 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** Contractors shall ensure that all records storage areas are compliant with the National Archives and Records Administration (NARA) Records Storage Facility Standards Toolkit. These standards can be found on the TMA Records Management web site.

### **2.4.1 Physical Media Transfer and Storage**

**2.4.1.1** TMA records must be stored properly. The ISO requirements will be applied to all storage processes, procedures, archiving, data back-up and recovery, and vital records (records essential to the continued functioning or reconstitution of an organization during and after an emergency).

**2.4.1.2** Contractors are responsible for managing electronic TMA records in accordance with the NARA Code of Federal Regulations (CFR) - 36 CFR 1234, SubChapter B - Records Management. Section 1234.14 outlines environmental controls for storing electronic records 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.

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

**2.4.2.1** Monitor trends in the technological environment that conform to open systems standards.

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

**2.4.2.3** Evaluate possible data degradation of information stored on optical digital data disks and system functionality on an annual basis using media error monitoring and reporting tools outlined in proposed and evolving standards (i.e., American National Standards Institute (ANSI)/Association for Information and Image Management (AIIM) MS59-199X).

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

### **3.0 ROUTINE TRANSFER OF TMA eRECORDS**

**3.1** Transfer of inactive TMA eRecords (records no longer necessary for the conduct of business) from contractor systems is required. Follow the record series number retention and disposal instructions referenced in [Section 2](#) and the TMA RRS to determine when to transfer inactive records to an FRC.

**3.1.1** Contractors shall transfer inactive electronic records with associated metadata to TMA's designated electronic records repository hosted by NARA's electronic Federal Records Center (eFRC) (For additional guidance, reference [Addendum B](#)).

**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 TMA Records Management Officer. The contractor shall not transfer electronic records that are in a format dependent on specific hardware and/or software.

**3.3** The contractor shall follow transfer procedures provided by the TMA Records Management Officer in collaboration with the contracting office ([Addendum B](#)). The contractor shall use the

designated validation utility and process provided by the TMA Records Management Officer for the quality assurance requirement for preparing electronic records for transfer. (See [Addendum B](#).)

**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 TMA Records Management Officer. The contractor shall use [Section 3, paragraph 2.1](#) standards on encryption software for Personally Identifiable Information (PII)/Protected Health Information (PHI) data.

**3.6** The contractor shall prepare the electronic transfer package to include the following items:

- SF-135 in Portable Document Format (PDF) format sample, which can be found on the TMA Records Management web site. The transmittal document SF-135 shall be used as a communication and documentation tool when requesting electronic records transfer. The sample SF-135 illustrates how to use this document (see key information below). The SF-135 PDF file will be sent via e-mail to the TMA Records Management Office to request an electronic records transfer. The TMA Records Management Office uses the information on the SF-135 to request the transfer number and XML file from NARA. The TMA Records Management Office requires a SF-135 PDF file on the media that is used to transfer the electronic records as a documentation tool.
- eXtensible Markup Language (XML) file provided to contractor from TMA.
- Delimited data file to include required document type (i.e., DOC, PDF, TIFF, XLS) and version information of the software that produced the document type.
- Record object documents.
- Validation Audit Log.
- Key Information.
- In #6 Volume (d) - list the storage size of the transfer.
- Agency Box Numbers (e) - list the total rows of data in the metadata file.
- Series Description (f) - list the metadata elements and data types included in the metadata file.
- Series Description (f) - Indicate if metadata elements are required and visible on record object.
- Series Description (f) - Identify the delimiter used in the metadata file.

**4.0 TRANSFER OF RECORDS IN THE EVENT OF TRANSITION**

**4.1** In the event of a contract transition, all active and eligible inactive TMA eRecords with their associated metadata will be transferred to the incoming contractor or to the NARA eFRC. Eligible inactive TMA eRecords are identified through meetings between contractors, the TMA Records Management Officer and the TMA Contracting Office. The contractor shall develop a process for transferring the data to the incoming contractor that ensures no metadata is lost in the transition process. This process is independent of the process for transferring electronic records to NARA.

**4.2** The documentation must adequately identify, service, and interpret electronic records designated for storage by TMA and the documentation must be transferred with the records.

- END -



## Transferring Records (Federal Records Centers (FRCs) And Transitions)

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### 1.0 FEDERAL RECORDS CENTERS (FRCs)

FRCs are established and maintained by the National Archives and Records Administration (NARA) at locations throughout the United States for the storage, processing, and servicing of **inactive** records for federal agencies. When a government record (regardless of media) becomes inactive (**records no longer necessary for the conduct of business and can be transferred to an FRC or destroyed**), it shall be transferred to a FRC designated by TRICARE Management Activity (TMA). **If space is not available at the contractor location, active records can be transferred to the designated FRC. For additional guidance, reference 36 Code of Federal Regulations (CFR), Subchapter B, Part 1234 - Facility Standards for Records.**

### 2.0 FRC RELATIONS

The contractor shall:

**2.1** Deal only with the FRC designated by the TMA.

**2.2** Contact **the** TMA Records Management Officer for assistance in arranging for the retirement and storage of records. The arrangements concern only the details of transfer and recall of records.

**2.3** Designate a specific individual as a **Point Of Contact (POC)** to deal with the transfer of records. The name and address of the individual and any change in designation shall be forwarded as soon as possible to:

Records Management Officer  
TRICARE Management Activity  
16401 East Centretch Parkway  
Aurora, Colorado 80011-9066

**2.4** Refer all problems or excessive delays encountered with the FRC to:

Records Management Officer  
TRICARE Management Activity  
16401 East Centretch Parkway  
Aurora, Colorado 80011-9066

### **3.0 TRANSFER TO OTHER CONTRACTORS/RECORDS CENTER**

In circumstances when it is necessary to transfer records to another **TMA** contractor (i.e., transition situations) or NARA Records Center, the contractors shall carefully follow the media transferring procedures located in [Addendums A and B](#) and [Section 4, paragraph 4.0](#).

#### **3.1 Transfer Of Paper Records**

See [Addendum A](#) for paper record transfer procedures.

#### **3.2 Transfer of Electronic Records**

See [Addendum B](#) for electronic record transfer procedures.

**3.2.1** Transfer of electronic records will be determined in transition meetings for records being transferred to another **TMA** contractor.

**3.2.2** When transferring electronic records to other than a contractor, the transfer of electronic records will be in accordance with current NARA Temporary Records Transfer procedures.

- END -

## Destruction Of Records

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### 1.0 POLICY

Contractors are required to use the following procedures **when** destroying Government records:

**1.1** 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 be required at a minimum to cross shred paper documents **in accordance with Department of Defense (DoD) 5220.22-M, "National Industrial Security Program Operating Manual (NISPOM)," Chapter 5, Section 7**. 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.

**1.2** 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 made available to the Government upon request.

- END -



## Paper Record Transfer Procedures

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### 1.0 GENERAL

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

Small Material Box (NSN 8115-00-117-8338)  
(for checks)  
14-3/4" x 9-1/2" x 4-3/4" (outside dimensions)

Microfiche Box  
14-3/4" x 11-3/4" x 11-3/4" (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 cartons. Leave a 1/2 inch space in each carton 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 carton and legal-size records facing the left side of the carton (see the FRC Toolkit at <http://www.archives.gov/frc/pdf/toolkit.pdf>). 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 carton.

**2.3** After the records are boxed, the cartons 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 cartons, 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 TRICARE Management Activity (TMA) or a TMA designated authority.

### 3.0 PREPARING TRANSMITTAL DOCUMENT

**3.1** When transferring records to the FRC, the contractor shall prepare and forward the original and two copies of the SF-135 (available on the TMA Records Management web site under the National Archives and Records Administration (NARA), Records Transmittal and Receipt, SF-135) to the TMA 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 TMA 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 carton shall be attached to the SF-135. If a continuation form is required, use SF-135-A (Records Transmittal and Receipt (Continuation)) or on 8-1/2" x 11" bond paper.

**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 carton in the shipment with the assigned transfer number. The transfer number shall be put in the upper left front of the carton (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 TMA Records Management Office and the FRC, or the SF-135 may be cancelled 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 TMA.

**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 TMA Records Management Officer for guidance.

## 4.0 SHIPPING RECORDS

**4.1** The contractor shall advise the TMA Records Management Officer that a **Commercial** Bill of Lading (CBL) is required for shipment of records. The information must be provided at least two weeks prior to the estimated shipment date. The information required when requesting a CBL includes:

- Number of boxes/pallets
- Estimated weight
- Estimated date of shipment
- **Pickup date for shipment**
- Point Of Contact (POC) name/telephone number
- Pick up address
- Destination address

**4.2** A line-haul carrier will be assigned by the Government and stated in the CBL. Only the carrier designated on the CBL will be used. The contractor shall be responsible for arranging for the date and time of pickup and delivery. **The TMA Records Management Office will notify the contractor at least 24 hours in advance of scheduled pickup date. If a contractor location is open other than normal days/hours, that information should be included on the CBL request, so that the pickup can be scheduled during those times.** The contractor shall comply with the following instructions:

- Boxes will be strapped or shrink-wrapped onto pallets.
- Pallets will not be double stacked.
- Shipment will be loaded and off-loaded sequentially **in accordance with the TMA Record Retention Schedule (RRS), "Packing of Files for Retirement" or the FRC Toolkit, which can be found on the National Archives, FRC web site.**

**4.3** The FRC has the right to refuse any shipment of records. Their basis for refusal is based on the requirements of this chapter not being met. When deficiencies are identified with the contents of a shipment, the FRC will send a letter to the contractor stating the deficiencies found. The FRC will notify the TMA Records Management Office of any deficiencies found in shipments, including corrective actions to be taken by the contractor or the basis for a return of the shipment.

**4.4** TMA will pay for the actual shipment of records to the FRC by use of the CBL. However, if the shipment is found unacceptable at the FRC, the cost to send the shipment back to the contractor and reship to the FRC will be the responsibility of the contractor. 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 **TMA Records Management Officer**.

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### Chapter 2, Addendum A Paper Record Transfer Procedures

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**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 TMA 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 request 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 TMA 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

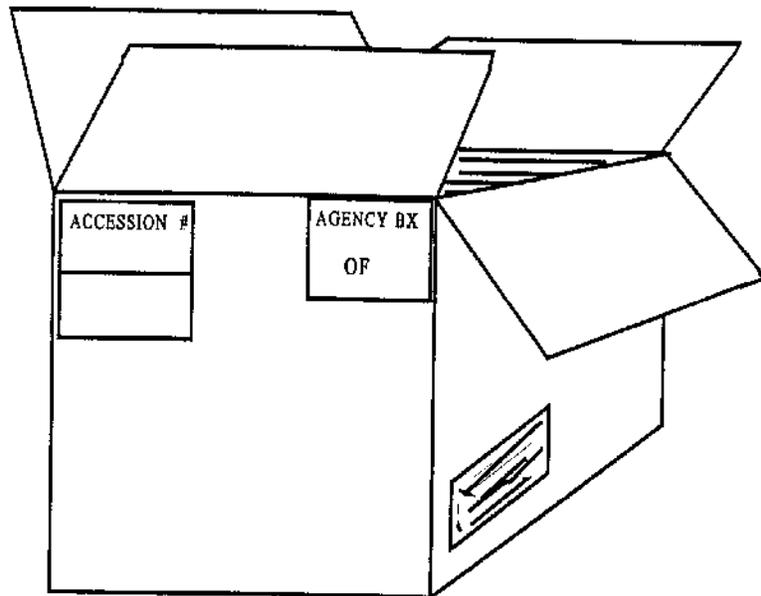
**5.6** **ARCIS Smart Scan requests shall be limited to emergency situations. The FRC normally processes these requests within eight hours of receipt. All Smart Scanned and e-mail documents shall not contain Personally Identifiable Information (PII) or Personal Health Information (PHI), unless approved encryption technology is applied. Contact your TMA 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 TMA 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 TMA contractors or the TMA 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*

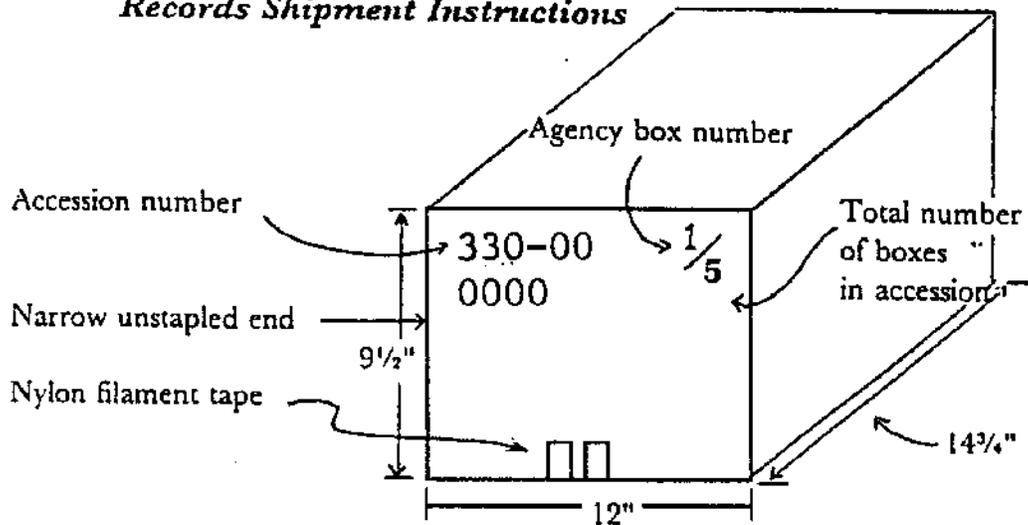
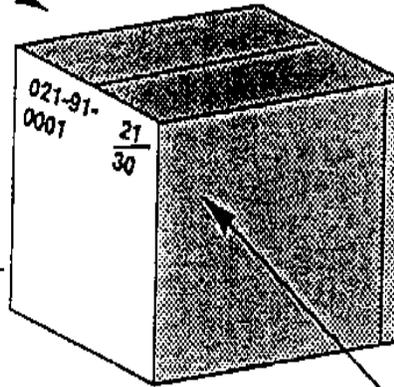


FIGURE 2.A-2 ARRANGEMENT OF BOXES ON PALLETS

Standard FRC  
Cubic Foot  
Carton

Accession Number  
on Every Box  
(1" Letters)



Stapled End

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

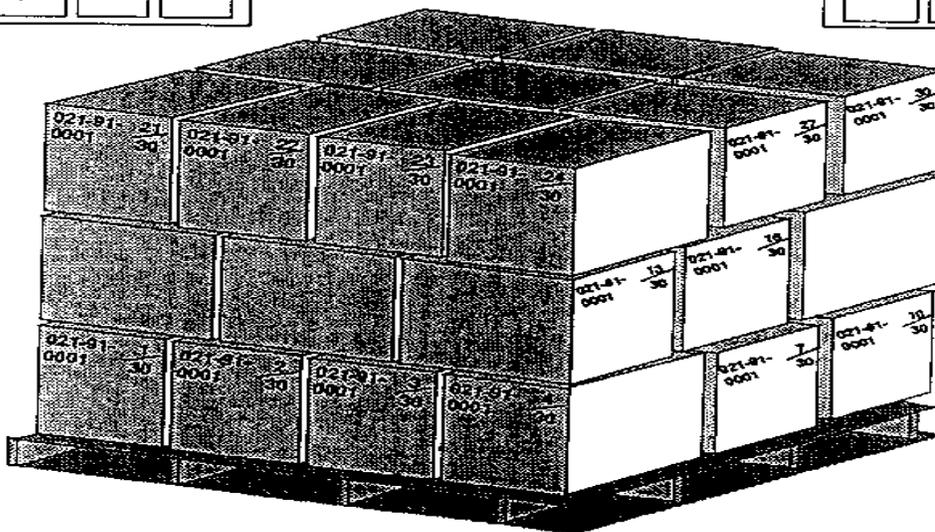
**Palletizing Your Records**  
Alternate Each Layer (Maximum - 6' High)

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

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### 1.0 GENERAL

The TRICARE Management Activity (TMA) 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 transferred to the National Archives and Records Administration's (NARA's) electronic Federal Record Center (eFRC) by following this guidance.

**1.1** Electronic records shall be transferred to TMA 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 TMA 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 minor changes the same form (reference [paragraph 3.4](#) for more details) can be used to initiate a request to transfer electronic records. The TMA Records Management Officer shall receive the SF-135 Portable Document Format (PDF) via e-mail from the contractor. Once the transfer is approved, the TMA 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 TMA Records Management Officer. It is a free tool provided to contractors by TMA. 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 package. The TMA Records Management Officer will provide the Validator deployment package. The contractor shall run the validator tool prior to shipping the transfer package to TMA. The TMA and NARA 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. The updates to the Validator tool will be provided to contractors as necessary.

### 3.0 TRANSFER PACKAGE PREPARATION AND LABELING OF ELECTRONIC RECORDS

**3.1** NARA now accepts electronic record transfers. An important aspect of preparing electronic records for transfer to the Electronic Federal Records Center (eFRC) is proper preparation. Improper preparation of the transfer package may result in the transfer package being rejected by the TMA 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). TMA 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 is TIF, TIFF, PDF (image based), JPEG, JPG, GIF; TXT, HTML, DOC, DOCX, PDF (text based), XML, XLS, XLSX, CSV, MSG, PPT, PPTX, VSD, or VSDX.
- 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.

- The Record Object File Format Version

#### 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.

#### 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 TMA Records Management Officer for specific instructions for using the Validator utility.

**3.3** After the electronic records are stored on the media device, the CD-ROM or DVD-R label shall include the following information.

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

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

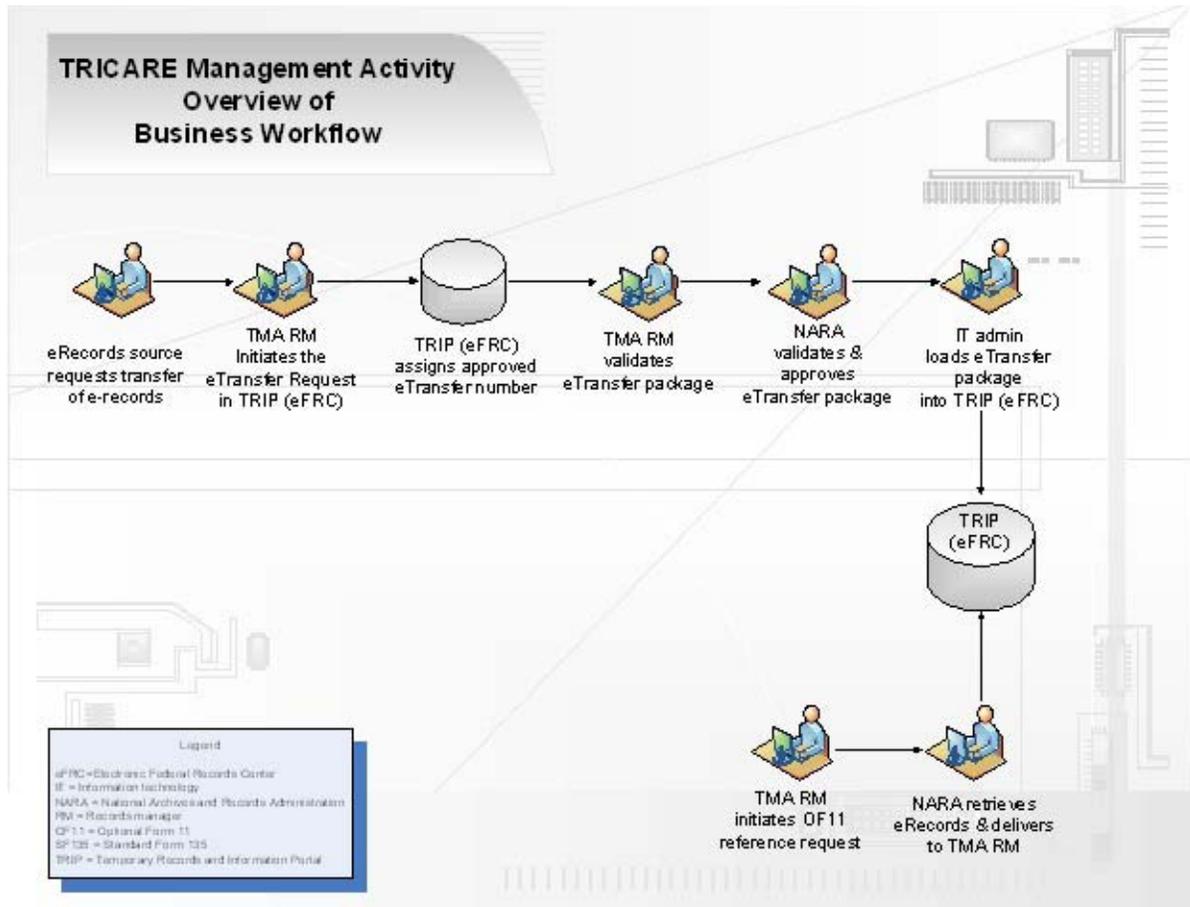
**3.4** A list of the required metadata elements that will be included in the metadata file shall be listed on the electronic SF-135. A list of the minimum required metadata elements can be located in [Section 2](#). An electronic copy shall be retained by the contractor so that documents needed for future reference can be identified clearly by requesting officials.

## **4.0 PREPARING TRANSMITTAL DOCUMENT AND LOADING PACKAGE PROCESS**

**4.1** The contractor must obtain permission from TMA and NARA to transfer a group of records in the eFRC repository. TMA must verify that the repository has adequate storage space for the records and that the records are structured in the manner that the TMA Records Officer and eFRC repository requires.

**4.2** TMA and NARA have defined a workflow process for transferring a group of records to the eFRC repository for storage. The workflow process helps ensure that the records meet the quality requirements and specifications. [Figure 2.B-1](#) illustrates the workflow process.

**FIGURE 2.B-1 TMA OVERVIEW OF BUSINESS WORKFLOW**



**4.2.1** When transferring electronic records to the eFRC, the contractor shall prepare and e-mail the SF-135 to the TMA Records Management Officer prior to shipping the electronic transfer package. In the SF-135 "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 TMA address. The contractor shall state in the Series Description Block, the description of the records, the contract number, record series, and specific metadata elements 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 TMA and eFRC staffs review it for completeness for transfer. If approved, the eFRC annotates the official transfer number on the form and returns it to the TMA Records Management Officer for continued processing.

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

**4.2.7** For successful validation the contractor sends the transfer package to the TMA Records Management Officer.

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

**4.2.9** If the Temporary Records Information Portal (TRIP) Validator identifies no errors, the TMA Records Management Officer proceeds to next step.

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

**4.2.11** The TMA Records Management Officer adds the successful Validator audit log file to the transfer package and forwards it to an Information Technology (IT) administrator/NARA.

**4.2.12** The IT administrator/NARA uses the Validator to verify that the transfer package meets the requirements and specifications.

**4.2.13** If the TRIP Validator identifies no errors, the IT administrator/NARA proceeds to next step.

**4.2.14** If the TRIP Validator identifies one or more errors, the IT administrator/NARA returns the transfer package to the TMA records manager, who in turn, returns it to the contractor for corrections.

**4.2.15** The IT administrator/NARA uploads the transfer package into eFRC repository.

**4.2.16** NARA validates the load and approves the TRIP Transfer package.

**4.2.17** Contact the TMA Records Management Officer for specific instructions for using the Validator utility.

## 5.0 SHIPPING RECORDS

**5.1** Sensitive data (PII/PHI) shall follow the transfer protocol instructions available from the TMA 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 TMA or eFRC. Contact the TMA 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 or SF-135.
- Inner envelope/container has classification and handling markings (i.e., unclassified, FOUO).
- Outer envelope/container has full address for TMA Records Management Officer.
- Outer envelope/container has no classification markings.

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

## 6.0 RETRIEVING RECORDS

**6.1** The eFRC 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 the eFRC 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 is managed and maintained as such.

**6.3** The best method to recall records from the eFRC 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 TMA Records Management Officer.

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

- Transfer Number
- eFRC Location (for all transfers going to the eFRC, annotate "eFRC" as the FRC Location)
- Metadata elements used for Search Criteria
- Record Series
- Description of Records or Information Requested

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Chapter 2, Addendum B

Electronic Record Transfer Procedures

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- Name, Address, and Telephone Number of Requester

- END -



## Acronyms And Abbreviations

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AA	Anesthesiologist Assistant
AA&E	Arms, Ammunition and Explosives
AAA	Abdominal Aortic Aneurysm
AAAHC	Accreditation Association for Ambulatory Health Care, Inc.
AAFES	Army/Air Force Exchange Service
AAMFT	American Association for Marriage and Family Therapy
AAP	American Academy of Pediatrics
AAPC	American Association of Pastoral Counselors
AARF	Account Authorization Request Form
AATD	Access and Authentication Technology Division
ABA	American Banking Association Applied Behavioral Analysis
ABMT	Autologous Bone Marrow Transplant
ABPM	Ambulatory Blood Pressure Monitoring
ABR	Auditory Brainstem Response
AC	Active Component
ACD	Augmentative Communication Devices
ACI	Autologous Chondrocyte Implantation
ACIP	Advisory Committee on Immunization Practices
ACO	Administrative Contracting Officer
ACOG	American College of Obstetricians and Gynecologists
ACOR	Administrative Contracting Officer's Representative
ACS	American Cancer Society
ACSP	Autism Demonstration Corporate Services Provider
ACTUR	Automated Central Tumor Registry
AD	Active Duty
ADA	American Dental Association American Diabetes Association Americans with Disabilities Act
ADAMHA	Alcohol, Drug Abuse, And Mental Health Administration
ADAMHRA	Alcohol, Drug Abuse, And Mental Health Reorganization Act
ADCP	Active Duty Claims Program
ADD	Active Duty Dependent
ADDP	Active Duty Dental Program
ADFM	Active Duty Family Member

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### Appendix A

#### Acronyms And Abbreviations

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<b>ADH</b>	<b>Atypical Ductal Hyperplasia</b>
ADL	Activities of Daily Living
ADP	Automated Data Processing
ADSM	Active Duty Service Member
AF	Atrial Fibrillation
AFB	Air Force Base
AFOSI	Air Force Office of Special Investigations
AGR	Active Guard/Reserve
AHA	American Hospital Association
AHLTA	Armed Forces Health Longitudinal Technology Application
AHRQ	Agency for Healthcare Research and Quality
AI	Administrative Instruction
AIDS	Acquired Immune Deficiency Syndrome
AIIM	Association for Information and Image Management
AIS	Ambulatory Infusion Suite Automated Information Systems
AIX	Advanced IBM Unix
AJ	Administrative Judge
ALA	Annual Letter of Assurance
ALB	All Lines Busy
<b>ALH</b>	<b>Atypical Lobular Hyperplasia</b>
ALL	Acute Lymphocytic Leukemia
ALOS	Average Length-of-Stay
ALS	Action Lead Sheet Advanced Life Support
ALT	Autolymphocyte Therapy
AM&S	Acquisition Management and Support (Directorate)
AMA	Against Medical Advice American Medical Association
AMCB	American Midwifery Certification Board
AMH	Accreditation Manual for Hospitals
AMHCA	American Mental Health Counselor Association
AML	Acute Myelogenous [Myeloid] Leukemia
ANSI	American National Standards Institute
AOA	American Osteopathic Association
APA	American Psychiatric Association American Podiatry Association
APC	Ambulatory Payment Classification
API	Application Program Interface
APN	Assigned Provider Number
APO	Army Post Office
<b>ARCIS</b>	<b>Archives and Records Centers Information System</b>
ART	Assisted Reproductive Technology

## TRICARE Operations Manual 6010.56-M, February 1, 2008

### Appendix A

#### Acronyms And Abbreviations

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ARU	Automated Response Unit
ARVC	Arrhythmogenic Right Ventricular Cardiomyopathy
ASA	Adjusted Standardized Amount American Society of Anesthesiologists
ASAP	Automated Standard Application for Payment
ASC	Accredited Standards Committee Ambulatory Surgical Center
ASCA	Administrative Simplification Compliance Act
ASCUS	Atypical Squamous Cells of Undetermined Significance
ASD	Assistant Secretary of Defense Atrial Septal Defect Autism Spectrum Disorder
ASD(C3I)	Assistant Secretary of Defense for Command, Control, Communications, and Intelligence
ASD(HA)	Assistant Secretary of Defense (Health Affairs)
ASD (MRA&L)	Assistant Secretary of Defense for Manpower, Reserve Affairs, and Logistics
ASP	Average Sale Price
ASRM	American Society for Reproductive Medicine
ATA	American Telemedicine Association
ATB	All Trunks Busy
ATO	Approval to Operate
AVM	Arteriovenous Malformation
AWOL	Absent Without Leave
AWP	Average Wholesale Price
B&PS	Benefits and Provider Services
B2B	Business to Business
BACB	Behavioral Analyst Certification Board
BBA	Balanced Budget Act
BBP	Bloodborne Pathogen
BBRA	Balanced Budget Refinement Act
BC	Birth Center
BCaBA	Board Certified Assistant Behavior Analyst
BCABA	Board Certified Associate Behavior Analyst
BCAC	Beneficiary Counseling and Assistance Coordinator
BCBA	Board Certified Behavior Analyst
BCBS	Blue Cross [and] Blue Shield
BCBSA	Blue Cross [and] Blue Shield Association
BCC	Biostatistics Center
BE&SD	Beneficiary Education and Support Division
BH	Behavioral Health
BI	Background Investigation
BIA	Bureau of Indian Affairs
BIPA	Benefits Improvement Protection Act

## TRICARE Operations Manual 6010.56-M, February 1, 2008

### Appendix A

#### Acronyms And Abbreviations

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BL	Black Lung
BLS	Basic Life Support
BMI	Body Mass Index
BMT	Bone Marrow Transplantation
BNAF	Budget Neutrality Adjustment Factor
BOS	Bronchiolitis Obliterans Syndrome
BP	Behavioral Plan
BPC	Beneficiary Publication Committee
BRAC	Base Realignment and Closure
BRCA	BReast CAncer (genetic testing)
BRCA1/2	BReast CAncer Gene 1/2
BS	Bachelor of Science
BSGI	Breast-Specific Gamma Imaging
BSID	Bayley Scales of Infant Development
BSR	Beneficiary Service Representative
BWE	Beneficiary Web Enrollment
C&A	Certification and Accreditation
C&P	Compensation and Pension
C/S	Client/Server
CA	Care Authorization
CA/NAS	Care Authorization/Non-Availability Statement
CABG	Coronary Artery Bypass Graft
CAC	Common Access Card
CACREP	Council for Accreditation of Counseling and Related Educational Programs
CAD	Coronary Artery Disease
CAF	Central Adjudication Facility
CAH	Critical Access Hospital
CAMBHC	Comprehensive Accreditation Manual for Behavioral Health Care
CAP	Competitive Acquisition Program
CAP/DME	Capital and Direct Medical Education
CAPD	Continuous Ambulatory Peritoneal Dialysis
CAPP	Controlled Access Protection Profile
CAQH	Council for Affordable Quality Health
CAS	Carotid Artery Stenosis
CAT	Computerized Axial Tomography
CB	Consolidated Billing
CBC	Cypher Block Chaining
CBE	Clinical Breast Examination
CBHCO	Community-Based Health Care Organizations
<b>CBL</b>	<b>Commercial Bill of Lading</b>
CBP	Competitive Bidding Program
CBSA	Core Based Statistical Area

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#### Acronyms And Abbreviations

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CP	Cerebral Palsy
CPA	Certified Public Accountant
CPE	Contract Performance Evaluation
CPI	Consumer Price Index
CPI-U	Consumer Price Index - Urban (Wage Earner)
CPNS	Certified Psychiatric Nurse Specialists
CPR	CAC PIN Reset
CPT	Chest Physiotherapy Current Procedural Terminology
CPT-4	Current Procedural Terminology, 4th Edition
CQM	Clinical Quality Management
CQMP	Clinical Quality Management Program
CQMP AR	Clinical Quality Management Program Annual Report
CQS	Clinical Quality Studies
CRM	Contract Resource Management (Directorate)
CRNA	Certified Registered Nurse Anesthetist
CRS	Cytoreductive Surgery
CRSC	Combat-Related Special Compensation
CRT	Computer Remote Terminal
CSA	Clinical Support Agreement
CSE	Communications Security Establishment (of the Government of Canada)
CSP	Corporate Service Provider Critical Security Parameter
CST	Central Standard Time
CSU	Channel Sending Unit
CSV	Comma-Separated Value
CSW	Clinical Social Worker
CT	Central Time Computerized Tomography
CTA	Composite Tissue Allotransplantation Computerized Tomography Angiography
CTC	Computed Tomographic Colonography
CTCL	Cutaneous T-Cell Lymphoma
CTEP	Cancer Therapy Evaluation Program
CTX	Corporate Trade Exchange
CUC	Chronic Ulcerative Colitis
CVAC	CHAMPVA Center
CVS	Contractor Verification System
CY	Calendar Year
DAA	Designated Approving Authority
DAO	Defense Attache Offices
DBA	Doing Business As
DBN	DoD Benefits Number

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DC	Direct Care
DCAA	Defense Contract Audit Agency
DCAO	Debt Collection Assistance Officer
DCID	Director of Central Intelligence Directive
DCII	Defense Clearance and Investigation Index
DCIS	Defense Criminal Investigative Service Ductal Carcinoma In Situ
DCN	Document Control Number
DCP	Data Collection Period
DCPE	Disability Compensation and Pension Examination
DCR	Developed Character Reference
DCS	Duplicate Claims System
DCSI	Defense Central Security Index
DCWS	DEERS Claims Web Service
DD (Form)	Department of Defense (Form)
DDAS	DCII Disclosure Accounting System
DDD	Degenerative Disc Disease
DDP	Dependent Dental Plan
DDS	DEERS Dependent Suffix
DE	Durable Equipment
DECC	Defense Enterprise Computing Center
DED	Dedicated Emergency Department
DEERS	Defense Enrollment Eligibility Reporting System
DELM	Digital Epiluminescence Microscopy
DENC	Detailed Explanation of Non-Concurrence
DepSecDef	Deputy Secretary of Defense
DES	Data Encryption Standard Disability Evaluation System
DFAS	Defense Finance and Accounting Service
DG	Diagnostic Group
DGH	Denver General Hospital
DHHS	Department of Health and Human Services
DHP	Defense Health Program
DIA	Defense Intelligence Agency
DIACAP	DoD Information Assurance Certification And Accreditation Process
DII	Defense Information Infrastructure
DIS	Defense Investigative Service
DISA	Defense Information System Agency
DISCO	Defense Industrial Security Clearance Office
DISN	Defense Information Systems Network
DISP	Defense Industrial Security Program
DITSCAP	DoD Information Technology Security Certification and Accreditation Process

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DLAR	Defense Logistics Agency Regulation
DLE	Dialyzable Leukocyte Extract
DLI	Donor Lymphocyte Infusion
DM	Disease Management
DMDC	Defense Manpower Data Center
DME	Durable Medical Equipment
DMEPOS	Durable medical equipment, prosthetics, orthotics, and supplies
DMI	DMDC Medical Interface
DMIS	Defense Medical Information System
DMIS-ID	Defense Medical Information System Identification (Code)
DMLSS	Defense Medical Logistics Support System
<b>DMR</b>	<b>Direct Member Reimbursement</b>
DMZ	Demilitarized Zone
DNA	Deoxyribonucleic Acid
DNA-HLA	Deoxyribonucleic Acid - Human Leucocyte Antigen
DNACI	DoD National Agency Check Plus Written Inquiries
DO	Doctor of Osteopathy Operations Directorate
DOB	Date of Birth
DOC	Dynamic Orthotic Cranioplasty (Band)
DoD	Department of Defense
DoD AI	Department of Defense Administrative Instruction
DoDD	Department of Defense Directive
DoDI	Department of Defense Instruction
DoDIG	Department of Defense Inspector General
DoD P&T	Department of Defense Pharmacy and Therapeutics (Committee)
DOE	Department of Energy
DOEBA	Date of Earliest Billing Action
DOES	DEERS Online Enrollment System
DOHA	Defense Office of Hearings and Appeals
DOJ	Department of Justice
DOLBA	Date of Latest Billing Action
DOS	Date Of Service
DP	Designated Provider
DPA	Differential Power Analysis
DPI	Designated Providers Integrator
DPO	DEERS Program Office
DPPO	Designated Provider Program Office
DRA	Deficit Reduction Act
DREZ	Dorsal Root Entry Zone
DRG	Diagnosis Related Group
DRPO	DEERS RAPIDS Program Office

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DRS	Decompression Reduction Stabilization
DSAA	Defense Security Assistance Agency
DSC	DMDC Support Center
DSCC	Data and Study Coordinating Center
DS Logon	DoD Self-Service Logon
DSM	Diagnostic and Statistical Manual of Mental Disorders
DSM-III	Diagnostic and Statistical Manual of Mental Disorders, Third Edition
DSM-IV	Diagnostic and Statistical Manual of Mental Disorders, Fourth Edition
DSMC	Data and Safety Monitoring Committee
DSMO	Designated Standards Maintenance Organization
DSMT	Diabetes Self-Management Training
DSO	DMDC Support Office
DSPOC	Dental Service Point of Contact
DSU	Data Sending Unit
DTF	Dental Treatment Facility
DTM	Directive-Type Memorandum
DTR	Derived Test Requirements
DTRO	Director, TRICARE Regional Office
DUA	Data Use Agreement
DVA	Department of Veterans Affairs
DVAHCF	Department of Veterans Affairs Health Care Finder
DVD	Digital Versatile Disc (formerly Digital Video Disc)
DVD-R	Digital Versatile Disc-Recordable
DWR	DSO Web Request
Dx	Diagnosis
DXA	Dual Energy X-Ray Absorptiometry
E-ID	Early Identification
E-NAS	Electronic Non-Availability Statement
e-QIP	Electronic Questionnaires for Investigations Processing
E&M	Evaluation & Management
E2R	Enrollment Eligibility Reconciliation
EAL	Common Criteria Evaluation Assurance Level
EAP	Employee-Assistance Program Ethandamine phosphate
EBC	Enrollment Based Capitation
ECA	External Certification Authority
ECAS	European Cardiac Arrhythmia Society
ECG	Electrocardiogram
ECHO	Extended Care Health Option
ECT	Electroconvulsive Therapy
ED	Emergency Department
EDC	Error Detection Code

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EDI	Electronic Data Information Electronic Data Interchange
EDIPI	Electronic Data Interchange Person Identifier
EDIPN	Electronic Data Interchange Person Number
EDI_PN	Electronic Data Interchange Patient Number
EEG	Electroencephalogram
EEPROM	Erasable Programmable Read-Only Memory
EFM	Electronic Fetal Monitoring
EFMP	Exceptional Family Member Program
EFP	Environmental Failure Protection
<b>eFRC</b>	<b>Electronic Federal Records Center</b>
EFT	Electronic Funds Transfer Environmental Failure Testing
EGHP	Employer Group Health Plan
E/HPC	Enrollment/Health Plan Code
EHHC	ECHO Home Health Care Extended Care Health Option Home Health Care
EHP	Employee Health Program
EHRA	European Heart Rhythm Association
EIA	Educational Interventions for Autism Spectrum Disorders
EID	Early Identification Enrollment Information for Dental
EIDS	Executive Information and Decision Support
EIN	Employer Identification Number
EIP	External Infusion Pump
EKG	Electrocardiogram
ELN	Element Locator Number
ELISA	Enzyme-Linked Immunoabsorbent Assay
E/M	Evaluation and Management
EMC	Electronic Media Claim Enrollment Management Contractor
EMDR	Eye Movement Desensitization and Reprocessing
EMG	Electromyogram
EMTALA	Emergency Medical Treatment & Active Labor Act
ENTNAC	Entrance National Agency Check
EOB	Explanation of Benefits
EOBs	Explanations of Benefits
EOC	Episode of Care
EOE	Evoked Otoacoustic Emission
EOG	Electro-oculogram
EOMB	Explanation of Medicare Benefits
EOP	Explanation of Payment
ePHI	electronic Protected Health Information

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EPO	Erythropoietin Exclusive Provider Organization
EPR	EIA Program Report
EPROM	Erasable Programmable Read-Only Memory
ER	Emergency Room
ERISA	Employee Retirement Income and Security Act of 1974
ESRD	End Stage Renal Disease
EST	Eastern Standard Time
ESWT	Extracorporeal Shock Wave Therapy
ET	Eastern Time
ETIN	Electronic Transmitter Identification Number
EWPS	Enterprise Wide Provider System
EWRAS	Enterprise Wide Referral and Authorization System
F&AO	Finance and Accounting Office(r)
FAI	Femoroacetabular Impingement
FAP	Familial Adenomatous Polyposis
FAR	Federal Acquisition Regulations
FASB	Federal Accounting Standards Board
FBI	Federal Bureau of Investigation
FCC	Federal Communications Commission
FCCA	Federal Claims Collection Act
FDA	Food and Drug Administration
FDB	First Data Bank
FDL	Fixed Dollar Loss
Fed	Federal Reserve Bank
FEHBP	Federal Employee Health Benefit Program
FEL	Familial Erythrophagocytic Lymphohistiocytosis
FEV <sub>1</sub>	Forced Expiratory Volume
FFM	Foreign Force Member
FHL	Familial Hemophagocytic Lymphohistiocytosis
FI	Fiscal Intermediary
FIPS	Federal Information Processing Standards (or System)
FIPS PUB	FIPS Publication
FISH	Fluorescence In Situ Hybridization
FISMA	Federal Information Security Management Act
FL	Form Locator
FMCRA	Federal Medical Care Recovery Act
FMRI	Functional Magnetic Resonance Imaging
FOBT	Fecal Occult Blood Testing
FOC	Full Operational Capability
FOIA	Freedom of Information Act
<b>FOUO</b>	<b>For Official Use Only</b>

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FPO	Fleet Post Office
FQHC	Federally Qualified Health Center
FR	Federal Register Frozen Records
FRC	Federal Records Center
FSH	Follicle Stimulating Hormone
FSO	Facility Security Officer
FTE	Full Time Equivalent
FTP	File Transfer Protocol
FX	Foreign Exchange (lines)
FY	Fiscal Year
GAAP	Generally Accepted Accounting Principles
GAO	General Accounting Office
GDC	Guglielmi Detachable Coil
GFE	Government Furnished Equipment
GHP	Group Health Plan
GHz	Gigahertz
GIFT	Gamete Intrafallopian Transfer
GIQD	Government Inquiry of DEERS
GP	General Practitioner
GPCI	Geographic Practice Cost Index
H/E	Health and Environment
HAC	Health Administration Center Hospital Acquired Condition
HAVEN	Home Assessment Validation and Entry
HBA	Health Benefits Advisor
HBO	Hyperbaric Oxygen Therapy
HCC	Health Care Coverage
HCDP	Health Care Delivery Program
HCF	Health Care Finder
HCFA	Health Care Financing Administration
HCG	Human Chorionic Gonadotropin
HCIL	Health Care Information Line
HCM	Hypertrophic Cardiomyopathy
HCO	Healthcare Operations Division
HCP	Health Care Provider
HCPC	Healthcare Common Procedure Code (formerly HCFA Common Procedure Code)
HCPCS	Healthcare Common Procedure Coding System (formerly Healthcare Common Procedure Coding System)
HCPR	Health Care Provider Record
HCSR	Health Care Service Record
HDC	High Dose Chemotherapy
HDC/SCR	High Dose Chemotherapy with Stem Cell Rescue

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HDGC	Hereditary Diffuse Gastric Cancer
HDL	Hardware Description Language
<b>HDR</b>	<b>High Dose Radiation</b>
HEAR	Health Enrollment Assessment Review
HEDIS	Health Plan Employer Data and Information Set
HepB-Hib	Hepatitis B and Hemophilus influenza B
HHA	Home Health Agency
HHA PPS	Home Health Agency Prospective Payment System
HHC	Home Health Care
HHC/CM	Home Health Care/Case Management
HHRG	Home Health Resource Group
HHS	Health and Human Services
HI	Health Insurance
HIAA	Health Insurance Association of America
HIC	Health Insurance Carrier
HICN	Health Insurance Claim Number
HINN	Hospital-Issued Notice Of Noncoverage
HINT	Hearing in Noise Test
HIPAA	Health Insurance Portability and Accountability Act (of 1996)
HIPEC	Hyperthermic Intraperitoneal Chemotherapy
HIPPS	Health Insurance Prospective Payment System
HIQH	Health Insurance Query for Health Agency
HIV	Human Immunodeficiency Virus
HL7	Health Level 7
HLA	Human Leukocyte Antigen
HMAC	Hash-Based Message Authentication Code
HMO	Health Maintenance Organization
HNPCC	Hereditary Non-Polyposis Colorectal Cancer
HOPD	Hospital Outpatient Department
HPA&E	Health Program Analysis & Evaluation
HPSA	Health Professional Shortage Area
HPV	Human Papilloma Virus
HRA	Health Reimbursement Arrangement
HRG	Health Resource Group
HRS	Heart Rhythm Society
HRT	Heidelberg Retina Tomograph Hormone Replacement Therapy
HSCRC	Health Services Cost Review Commission
HSWL	Health, Safety and Work-Life
HTML	HyperText Markup Language
HTTP	HyperText Transfer (Transport) Protocol
HTTPS	HyperText Transfer (Transport) Protocol Secure

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NPPES	National Plan and Provider Enumeration System
NPR	Notice of Program Reimbursement
NPS	Naval Postgraduate School
NPWT	Negative Pressure Wound Therapy
NQF	National Quality Forum
NRC	Nuclear Regulatory Commission
NRS	Non-Routine [Medical] Supply
NSDSMEP	National Standards for Diabetes Self-Management Education Programs
NSF	Non-Sufficient Funds
NTIS	National Technical Information Service
NUBC	National Uniform Billing Committee
NUCC	National Uniform Claims Committee
O/ATIC	Operations/Advanced Technology Integration Center
OA	Office of Administration
OAE	Otoacoustic Emissions
OASD(HA)	Office of the Assistant Secretary of Defense (Health Affairs)
OASD (H&E)	Office of the Assistant Secretary of Defense (Health and Environment)
OASD (MI&L)	Office of the Assistant Secretary of Defense (Manpower, Installations, and Logistics)
OASIS	Outcome and Assessment Information Set
OB/GYN	Obstetrician/Gynecologist
OBRA	Omnibus Budget Reconciliation Act
OCE	Outpatient Code Editor
OCHAMPUS	Office of Civilian Health and Medical Program of the Uniformed Services
OCMO	Office of the Chief Medical Officer
OCONUS	Outside of the Continental United States
OCR	Office of Civil Rights <b>Optical Character Recognition</b>
OCSP	Organizational Corporate Services Provider
OCT	Optical Coherence Tomograph
OD	Optical Disk
OF	Optional Form
OGC	Office of General Counsel
OGC-AC	Office of General Counsel-Appeals, Hearings & Claims Collection Division
OGP	Other Government Program
OHI	Other Health Insurance
OHS	Office of Homeland Security
OIG	Office of Inspector General
OMB	Office of Management and Budget
OP/NSP	Operation/Non-Surgical Procedure
OPD	Outpatient Department
OPM	Office of Personnel Management

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OPPS	Outpatient Prospective Payment System
OR	Operating Room
OSA	Obstructive Sleep Apnea
OSAS	Obstructive Sleep Apnea Syndrome
OSD	Office of the Secretary of Defense
OSHA	Occupational Safety and Health Act
OSS	Office of Strategic Services
OT	Occupational Therapy (Therapist)
OTC	Over-The-Counter
OTCD	Ornithine Transcarbamylase Deficiency
OUSD	Office of the Undersecretary of Defense
OUSD (P&R)	Office of the Undersecretary of Defense (Personnel and Readiness)
P/O	Prosthetic and Orthotics
P&T	Pharmacy And Therapeutics (Committee)
PA	Physician Assistant
PACAB	Port Access Coronary Artery Bypass
PACO <sub>2</sub>	Partial Pressure of Carbon Dioxide
PAO <sub>2</sub>	Partial Pressure of Oxygen
PAK	Pancreas After Kidney (transplant)
PAP	Papanicolaou
PAT	Performance Assessment Tracking
PatID	Patient Identifier
PAVM	Pulmonary Arteriovenous Malformation
PBM	Pharmacy Benefit Manager
PBT	Proton Beam Therapy
PC	Peritoneal Carcinomatosis Personal Computer Professional Component
PCA	Patient Controlled Analgesia
PCDIS	Purchased Care Detail Information System
PCI	Percutaneous Coronary Intervention
PCM	Primary Care Manager
PCMBN	PCM By Name
PCMRA	PCM Research Application
PCMRS	PCM Panel Reassignment (Application) PCM Reassignment System
PCO	Procurement (Procuring) Contracting Officer
PCP	Primary Care Physician Primary Care Provider
PCS	Permanent Change of Station
PCSIB	Purchased Care Systems Integration Branch
PD	Passport Division

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PDA	Patent Ductus Arteriosus Personal Digital Assistant
PDD	Percutaneous (or Plasma) Disc Decompression
PDDBI	Pervasive Developmental Disorders Behavior Inventory
PDDNOS	Pervasive Developmental Disorder Not Otherwise Specified
PDF	Portable Document Format
PDI	Potentially Disqualifying Information
PDQ	Physicians's Data Query
PDR	Person Data Repository
PDS	Person Demographics Service
PDTS	Pharmacy Data Transaction System
PDX	Principal Diagnosis
PE	Physical Examination
PEC	Pharmacoeconomic Center
PEP	Partial Episode Payment
PEPR	Patient Encounter Processing and Reporting
PERMS	Provider Education and Relations Management System
PESA	Percutaneous Epididymal Sperm Aspiration
PET	Positron Emission Tomography
PFCRA	Program Fraud Civil Remedies Act
PFP	Partnership For Peace
PFPWD	Program for Persons with Disabilities
Phen-Fen	Pondimin and Redux
PHI	Protected Health Information
PHIMT	Protected Health Information Management Tool
PHP	Partial Hospitalization Program
PHS	Public Health Service
PI	Program Integrity (Office)
PIA	Privacy Impact Assessment (Online)
PIC	Personnel Investigation Center
PIE	Pulsed Irrigation Evacuation
<b>PII</b>	<b>Personally Identifiable Information</b>
PIN	Personnel Identification Number
PIP	Personal Injury Protection Personnel Identity Protection
PIRFT	Percutaneous Intradiscal Radiofrequency Thermocoagulation (PIRFT)
PIT	PCM Information Transfer
PIV	Personal Identity Verification
PK	Public Key
PKE	Public Key Enabling
PKI	Public Key Infrastructure
PKU	Phenylketonuria

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PLS	Preschool Language Scales
PM-DRG	Pediatric Modified-Diagnosis Related Group
PMPM	Per Member Per Month
PMR	Percutaneous Myocardial Laser Revascularization
PNET	Primitive Neuroectodermal Tumors
PNT	Policy Notification Transaction
POA	Power of Attorney Present On Admission
POA&M	Plan of Action and Milestones
POC	Pharmacy Operations Center Plan of Care Point of Contact
POL	May 1996 TRICARE/CHAMPUS Policy Manual 6010.47-M
POS	Point of Sale (Pharmacy only) Point of Service Public Official's Statement
POV	Privately Owned Vehicle
PPACA	Patient Protection and Affordable Care Act
PPD	Per Patient Day
PPN	Preferred Provider Network
PPO	Preferred Provider Organization
PPP	Purchasing Power Parity
PPS	Prospective Payment System Ports, Protocols and Services
PPSM	Ports, Protocols, and Service Management
PPV	Pneumococcal Polysaccharide Vaccine
PQI	Potential Quality Indicator Potential Quality Issue
PR	Periodic Reinvestigation
PRC	Program Review Committee
PRFA	Percutaneous Radiofrequency Ablation
PRG	Peer Review Group
PRO	Peer Review Organization
ProDUR	Prospective Drug Utilization Review
PROM	Programmable Read-Only Memory
PRP	Personnel Reliability Program
PRPP	Pharmacy Redesign Pilot Project
PSA	Prime Service Area Physician Scarcity Area
PSAB	Personnel Security Appeals Board
PSCT	Peripheral Stem Cell Transplantation
PSD	Personnel Security Division
PSG	Polysomnography

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PSI	Personnel Security Investigation
PST	Pacific Standard Time
PT	Pacific Time Physical Therapist Physical Therapy Prothrombin Time
PTA	Pancreas Transplant Alone Percutaneous Transluminal Angioplasty
PTC	Processed To Completion
PTCA	Percutaneous Transluminal Coronary Angioplasty
PTK	Phototherapeutic Keratectomy
PTNS	Posterior Tibial Nerve Stimulation
PTSD	Post-Traumatic Stress Disorder
PVCs	Premature Ventricular Contractions
QA	Quality Assurance
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
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

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RFA	Radiofrequency Ablation
RFI	Request For Information
RFP	Request For Proposal
RHC	Rural Health Clinic
RHHI	Regional Home Health Intermediary
RhoGAM	RRho (D) Immune Globulin
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
<b>ROMF</b>	<b>Record Object Metadata File</b>
ROT	Read-Only Table
ROTC	Reserved Officer Training Corps
ROVER	RHHI OASIS Verification
RPM	Record Processing Mode
RRA	Regional Review Authority
<b>RRS</b>	<b>Records Retention Schedule</b>
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
<b>SAMHSA</b>	<b>Substance Abuse and Mental Health Services Administration</b>
SAO	Security Assistant Organizations
SAP	Special Access Program
SAPR	Sexual Assault Prevention and Response
SAS	Sensory Afferent Stimulation
SAT	Service Assist Team
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

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SCIC	Significant Change in Condition
SCOO	Special Contracts and Operations Office
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
SIT	Standard Insurance Table
SMC	System Management Center
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
SPA	Simple Power Analysis
SPECT	Single Photon Emission Computed Tomography
SPK	Simultaneous Pancreas Kidney (transplant)
SPOC	Service Point of Contact
SPR	SECRET Periodic Reinvestigation
SQL	Structured Query Language
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

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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
SVT	Supraventricular Tachycardia
SWLS	Satisfaction With Life Scale
TAD	Temporary Additional Duty
TAFIM	Technical Architecture Framework for Information Management
TAMP	Transitional Assistance Management Program
TAO	TRICARE Alaska Office TRICARE Area Office
TAR	Total Ankle Replacement
TARO	TRICARE Alaska Regional Office
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
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

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### Appendix A

#### Acronyms And Abbreviations

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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
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
TOPO	TRICARE Overseas Program Office
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)

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TQMC	TRICARE Quality Monitoring Contractor
TRDP	TRICARE Retiree Dental Program
TRI	TED Record Indicator
TRIAP	TRICARE Assistance Program
<b>TRIP</b>	<b>Temporary Records Information Portal</b>
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
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
UCCI	United Concordia Companies, Inc.
UCSF	University of California San Francisco
UIC	Unit Identification Code
UIN	Unit Identifier Number
UM	Utilization Management

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### Appendix A

#### Acronyms And Abbreviations

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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
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
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
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 Thorascopic 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

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Acronyms And Abbreviations

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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
WebDOES	Web DEERS Online Enrollment System (application)
WEDI	Workgroup for Electronic Data Interchange
<b>WHS</b>	<b>Washington Headquarters Services</b>
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

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