

MICROFILMING

1.0. GENERAL

The success of a microfilming operation depends on a rigid standardization process. A standardized process will result in quality of: filming, processing, storage, retrieval, and reproduction of government records. All TRICARE claims processing contractors shall either microfilm or use an optical disc system (see [Chapter 2, Section 4](#)) for the following records:

- TRICARE Claims.
- Claim Supporting Documentation (including any documentation that either supports or denies payment of a claim).
- Adjustment Records.
- Adjustment Supporting Documentation (including any documentation that either supports or denies payment of the adjustment).
- Checks.
- Explanation of Benefit Forms and Summary Payment Vouchers (if not electronically generated).

2.0. STANDARDS

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

2.2. The contractor shall provide an automated indexing system that can be used independently of the contractor's data system in the event of a transition. An automated indexing system must not be subject to proprietary hardware or software constraints. The automated indexing system shall be able to identify the retrieval location of the original claim and all related documentation, adjustment claims (including correspondence on which the decision to adjust was based) and all related supporting documentation. For example: (1) If back-end filming is done, the back-end document number assigned shall be cross referenced to the original claim number on the index. (2) If the ICN assigned to the adjustment claim is

different than the original claim number, the contractor shall cross reference the adjustment claim ICN to the ICN of the original claim being adjusted on the index. The index shall be available for TRICARE Management Activity (TMA) on-site review.

3.0. PROCEDURES

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

- 3.1.** Monitoring and limiting the deterioration of microfilm.
- 3.2.** Document Preparation.
- 3.3.** Microfilming Operations (flowchart or other graphical depiction of the microfilming process from start to finish).
- 3.4.** Indexing, Retrieval, and Cross-Referencing - (method of indexing all portions of the claim, i.e., mother claim, adjustments, related correspondence, any documentation that substantiates the settlement of the claim, explanation of benefits, check number, etc.). Ensuring that claims retrieval software is Structured Query Language (SQL) compliant.
- 3.5.** Quality Control (must ensure 100% accuracy of readability of all microfilmed documents, how each original will be filmed, what will occur if errors are made, equipment failures, skewed margins, loss of data, etc.).
- 3.6.** Disaster Recovery (shall be in place to ensure 100% recovery capability, how film will be protected, the protection of the vital records, and the location of the duplicate copies of the film).
- 3.7.** Disposition of Original Records (how, when, where will the original documents be destroyed in accordance with the Privacy Act).

4.0. TRANSITION

Maintain a complete set of documentation to be turned over to an incoming contractor, in the event of a transition.

5.0. LEGAL ADMISSABILITY

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.