

Electronic Records

1.0 GENERAL

Contractors shall adhere to current industry standards in regards to electronic records (i.e., International Organization for Standardization guidelines regarding electronic storage and transfer of records). Contractors shall follow the procedure outlined in Administrative Instruction-15 (AI-15) and National Archives and Records Administration (NARA) requirements in regards to electronic storage and transfer of records.

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 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.

3.0 TRANSITION TO NARA OR INCOMING CONTRACTORS

3.1 The contractor shall prepare and provide electronic records documentation which, at a minimum, must maintain a complete set of documentation, including source code with flow diagrams, object code, and operations and maintenance manuals to be turned over to an incoming contractor or NARA, in the event of a transition. The documentation must be adequate to identify, service, and interpret electronic records that have been designated for storage by TRICARE and the documentation must be transferred with the records. Documentation must include required NARA forms. Where possible, contractors shall submit required documentation in an electronic form that conforms to NARA requirements. For data files and data bases, 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.

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Chapter 2, Section 4

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3.2 Formats and storage media for transfer will be coordinated with the TRICARE Management Activity (TMA) Records Management Officer. The contractor may not transfer electronic records that are in a format dependent on specific hardware and/or software.

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