

## Subject And Description Of Government Records

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### 1.0 GENERAL

The following 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 TRICARE Management Activity (TMA) Records Management Officer for instructions. Follow Administrative Instruction 15 (AI-15) instructions for indexing requirements (if not specified) series number and disposition for each of the record categories listed below.

#### 1.1 Office General Management Files

**Description:** Documents relating to internal management or general administration of an office.

#### 1.2 Record Locator Files

**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., Standard Form 135, Itemized Listings, File Plans, Certificates of Destruction).

#### 1.3 Informational Records Files

**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.

#### 1.4 Congressional Correspondence

**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 and shall be maintained in paper media.

### 1.5 Recoupment Files

**Description:** Documents relating to specific recoupment cases. These files will be indexed alphabetically by case name (beneficiary/sponsor/requester, provider, etc.) within contract region and shall be maintained in paper media.

### 1.6 Administrative Files

**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 a 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.

### 1.7 Abortion Claim Files

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

### 1.8 Adjusted Claims

**Description:** 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.

### 1.9 Beneficiary History And Deductible Files

**Description:** 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).

### 1.10 TRICARE Contractor Claims Records

**Description:** 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.

### 1.11 Mental Health Case Files

**Description:** 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, by state within contract region and shall be maintained in paper media.

### 1.12 Provider File

**Description:** 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 TRICARE. 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.

### 1.13 Reimbursement File Records

**Description:** 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.

### 1.14 Third Party Liability (TPL) Case Records

**Description:** 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.

### 1.15 TRICARE Benefit Check Records

**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 nonreceipt, loss, theft, or nondelivery. These files will be indexed sequentially by check number order, by month processed through the bank (cancelled or voided) within contract region and shall be maintained in paper media.

### 1.16 Explanation Of Benefits (EOB) Records

**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.

### 1.17 Grievance Case Records

**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 and shall be maintained in paper media.

### 1.18 Case Management Files (Preauthorization/Authorization)

**Description:** This series includes all those records generated within the health care services functions involving preauthorizations, authorization, medical review, peer review, concurrent review, second level review performed by the medical directors, and these notes include COPIES of medical records, 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 and shall be maintained in paper media.

### 1.19 Appeals And Hearings Case Records - TRICARE

**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 and shall be maintained in paper media.

### 1.20 Contractor And Subcontractor Files

**Description:** Contractor agreements with subcontractors, leases for building space, equipment, consulting, and other services. Included are TMA approvals, amendments, and similar documents.

### 1.21 Fraud And Abuse Files

**Description:** 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 and shall be maintained in paper media.

### 1.22 TRICARE Encounter Data (TED)

**Description:** TED submitted in the specified Automated Data Processing (ADP) format. These records are to be retained for the current and one additional year.

### 1.23 Enrollment And Disenrollment Files

**Description:** Computer or manually generated records and all supporting documents which the contractor uses in the enrollment process. These files will be indexed by sponsor's SSN.

### 1.24 Accounting Files

**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 and shall be maintained in paper media.

### 1.25 Quality Assurance Studies And Analyses Of Health Care Quality

**Description:** Studies and evaluations on a "when required" basis, not resulting in issuance of new standards. These files will be indexed upon contractor's discretion and shall be maintained in paper media.

### 1.26 Health Insurance Portability And Accountability Act (HIPAA) Authorizations For Uses And Disclosures

**Description:** Files contain authorizations from individuals for uses and disclosures of their Protected Health Information (PHI). These files will be indexed alphabetically by individual's name.

### 1.27 HIPAA Requests For Access To PHI

**Description:** 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.

### 1.28 HIPAA Amendment Case File

**Description:** 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.

### 1.29 HIPAA Accounting Disclosures

**Description:** 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.

### 1.30 HIPAA Complaint Case Files

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

### 1.31 HIPAA Control Records

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

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