

Record Series Subject And Description Of Government Records

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.

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Chapter 2, Section 2

Record Series Subject And Description Of Government Records

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

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

1.18 Recoupment Files

Record Series Number:	911-07
Description:	Documents relating to specific recoupment cases. These files will be indexed alphabetically by case name (beneficiary/ sponsor/requester, provider, etc.) within contract region.
Metadata/Index Elements:	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
Disposition:	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

Record Series Number:	911-08
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.
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:	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.

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