

# Records Management

## V. TRANSFERRING RECORDS (FEDERAL RECORDS CENTERS AND TRANSITIONS)

### A. Federal Records Centers

Federal Records Centers (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 noncurrent records for federal agencies.

#### 1. FRC Relations

The contractor shall:

**a.** Deal only with the FRC designated by the *TRICARE Management Activity (TMA)*. The FRC to be used by all contractors is located in Pittsfield, Massachusetts:

Pittsfield Federal Records Center  
100 Dan Fox Drive  
Pittsfield, MA 01201

**(1)** The telephone number to use for inquiries concerning specific shipments or requests for records is: (413) 445-7305.

**(2)** All requests for records (Optional Form 11) and shipments shall be sent to:

Pittsfield Federal Records Center  
100 Dan Fox Drive  
Pittsfield, MA 01201

**b.** Contact the FRC for assistance in arranging for the retirement and storage of records. The arrangements concern only the details of transfer and recall of records and do not alter the provisions of this chapter.

**c.** Designate a specific individual as a point of contact to deal with the FRC. 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 Centretex Parkway  
Aurora, Colorado 80011-9043

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

Records Management Officer  
*TRICARE Management Activity*  
16401 East Centretex Parkway  
Aurora, Colorado 80011-9043

## 2. Procedures for Transferring Records to FRC

**a.** The standard federal records carton (or its equivalent) will be used to ship records to the FRC. It is the responsibility of the contractor to acquire cartons from outside sources. Cartons that meet standards for shipping records to the FRC are:

FSN 8115-00-290-3379  
Standard fiberboard shipping box  
15" x 12" x 10"  
Fits both letter and legal-size records

FSN 8115-00-117-8338  
Half-size fiberboard shipping box  
14-3/4" x 9-1/2" x 4-7/8"  
Fits checks

FSN 8115-00-117-8347  
Special purpose fiberboard box  
14-3/4" x 11-3/4" x 11-3/4"  
Fits magnetic tapes

FSN 8115-00-117-8249  
Tuck bottom fiberboard box  
14-3/4" x 12" x 9-1/2"  
Fits both letter and legal-size records

### **b. Packing and Labeling of Records**

**(1)** An important aspect of preparing records for transfer to the FRC is proper packing. Improper packing may result in damage to records and may make them difficult to use in the future.

**(2)** Records should not be forced into the cartons; leaving a 1/2 inch space in each carton will permit easy withdrawal of individual records for reference. If interfiles are expected in the future, enough space should 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 Figure 1-2-A-1). Records shall be shipped in file folders or have dividers separating the various records specified in Section V.B., above. Under no circumstances shall records be placed one on top of another in a carton.

**(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 1-2-A-1).

**(4)** Detailed lists of the contents of cartons, indexes to records, and other specialized finding aids shall be retained by the contractor so that documents needed for future reference can be identified clearly by requesting officials.

**(5)** When records are shipped in cartons that the FRC cannot accommodate, the records will be returned to the contractor for repacking.

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### c. Preparing Transmittal Document

(1) When transferring records to the FRC, the contractor shall prepare and forward the original and two (2) copies of the Standard Form 135, "Records Transmittal and Receipt" (SF 135), see Figure 1-2-A-2) to the FRC prior to shipping records. 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 Standard Form 135-A, "Records Transmittal and Receipt" (Continuation) (SF 135-A), (see Figure 1-2-A-3).

(2) When records are transferred, they must be scheduled for disposal using the applicable disposition schedule (see Section II., for schedules). When the disposal authority is not cited, the SF 135, (see Figure 1-2-A-2) will be returned for completion.

(3) Upon receipt of the SF 135, the FRC reviews it for completeness and propriety of transfer.

(4) If approved, the FRC assigns an accession number on the form.

(5) The original SF 135 is retained by the FRC; two (2) copies of the annotated SF 135, showing accession number(s) are returned to the contractor, indicating the FRC's approval of the shipment.

(6) After receiving copies of the approved SF 135, the contractor shall mark each carton in the shipment with the assigned accession number. The accession number shall be put in the upper left front of the carton (see Figure 1-2-A-1). The contractor shall place one (1) copy of the SF 135, in the first carton of each accession and the records will be shipped to the FRC. The second copy shall be retained by the contractor for its use.

(7) The shipment of records shall be accomplished as soon as possible after the FI/Contractor receives the annotated copies of the SF 135. If shipment cannot be made within thirty (30) days of receipt, the contractor must notify the FRC, or the SF 135 will be returned by the FRC. They may then assign the accession number to another shipment.

(8) Upon receipt of the records in the FRC, the SF 135 will be signed and returned to the contractor. A location number will be provided for the first carton in each series listed on the SF 135.

(9) The contractor shall send a copy of the SF 135, showing both accession number and location code, along with the detailed box listing, immediately upon receipt. The documents shall be sent to:

Records Management Officer  
TRICARE Management Activity  
16401 East Centretch Parkway  
Aurora, Colorado 80011-9043

**d. Shipping Records**

(1) The contractor shall advise the TMA Records Management Officer by telephone that a Government Bill of Lading (GBL) is required for shipment of records. The information must be provided at least two (2) weeks prior to the estimated shipment date. The information required when requesting a GBL includes:

- (a) Number of boxes
- (b) Estimated weight
- (c) Estimated date of shipment

(2) A line-haul carrier will be assigned by the Government and stated in the GBL. Only the carrier designated on the GBL will be used. The contractor shall be responsible for arranging for the date and time of pickup and delivery. The contractor shall furnish the carrier with the following instructions:

- (a) Boxes will be strapped or shrink wrapped onto pallets
- (b) No double palleting
- (c) Carrier will load and off-load shipment
- (d) The shipment will be loaded and off-loaded sequentially (see Figure 1-2-A-5).

(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 Officer 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) TMA will pay for the actual shipment of records to the FRC by use of the GBL. 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 accession numbers on boxes, repacking damaged boxes (caused by improper packing), etc., that cost will also be the responsibility of the contractor.

**3. Retrieving Records**

a. The FRC provides reference services which include 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 shall not be made by the contractor for any reason except where necessary in the administration of TRICARE.

b. 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. 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 and may be returned to the FRC for refile.

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**c.** The best method to recall records from the FRC is with the use of the Optional Form 11, "Reference Request - Federal Records Center," (OF 11), (see Figure 1-2-A-4). When multiple OF 11s are transmitted to the FRC, they shall be arranged in accession number order, by FRC location and contractor box number. Use one (1) OF 11 per request. If OF 11s are unavailable, request files on letter-size paper, providing one (1) copy for each requested document to be used by the FRC as a charge-out document. When using letter-size paper for requesting records, do not request more than ten (10) records per page.

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

- (1) Accession Number
- (2) FRC Location
- (3) Contractor Box Number
- (4) Description of Records or Information Requested
- (5) Name, Address, and Telephone Number of Requester

**e.** Phone requests shall be limited to emergency situations. The FRC normally processes requests within eight (8) hours of receipt. All telephone requests for records (priority requests) must go through the *TRICARE Management Activity (TMA)* Records Management Officer at (303) 676-3487. Emergency phone requests are defined as:

- (1) Freedom of Information requests
- (2) Privacy Act requests
- (3) Congressional inquiries
- (4) Pending court actions
- (5) High-level interest cases

**f.** 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 or Defense Criminal Investigating Service (DCIS). Records shall be sent only to TRICARE contractors or TMA.

**g.** Requests for records (Optional Form 11) shall be in FRC location order if twenty-five (25) or more requests are sent together. There is no limit on the number of requests the FRC will process at one time.

## B. Other Contractors

In some circumstances will be necessary to transfer records to another TRICARE contractor. The more common reason would be a transition responsibility for the contract jurisdiction. In doing so, the contractor shall carefully follow the same procedures as provided in Section V.A.2.a. and b., but shall ship to the other contractor, as directed by the Contracting Officer.

**C. Requesting Forms**

Contractors shall direct all requests for FRC forms to the following address:

Forms Management Officer  
*TRICARE Management Activity*  
*16401 East Centretech Parkway*  
Aurora, Colorado 80011-9043

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### **VI. DESTRUCTION OF RECORDS**

#### **A. Policy**

Contractors are required to use the following procedures in destroying government records. Records may be either sold/salvaged, or destroyed by the contractor in accordance with the following:

#### **B. Sale or Salvage of Records**

**1.** Paper records: Paper records to be disposed of normally must be sold as wastepaper. Since the majority of the records created by the contractor for the government contain Privacy Act information, the wastepaper contractor shall be required to pulp, macerate, shred or otherwise definitively destroy the information contained in the records. The destruction shall either be witnessed by a contractor employee, or the recycler must be bonded, insured and furnish the contractor with a Certificate of Destruction. The contract for sale shall prohibit the resale of all TRICARE paper records for use as records or documents.

**2.** Other Media: records other than paper records (audio, visual, data tapes, discs and diskettes) shall be salvaged and sold in the same manner and under the same conditions as paper records. All sales shall be in accordance with the established procedures for the sale of Personal Property (see 41 CFR part 101-45, Sale, Abandonment, or Destruction of Personal Property).

#### **C. On-Site Destruction**

If the records cannot be sold advantageously or otherwise salvaged, the records may be destroyed by either burning (in accordance with existing state laws), pulping, shredding, or macerating.





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# **Audits, Inspections and Reports**

## **I. AUDITS AND INSPECTIONS**

### **A. General**

#### **1. Government Right to Inspect**

Federal Acquisition Regulation 52.215-2, included in all TRICARE contracts, provides that TMA, its related audit-agencies, and the Comptroller General of the United States have the right to examine all supporting documentation to permit evaluation of cost or pricing data submitted by a contractor. This examination is to verify that cost or pricing data submitted during negotiations, including changes and the preparation of any fiscal report of settlement, are accurate, complete, and current. This right continues for three (3) years after final payment to the contractor. The contractor's facilities and applicable records also shall be subject to inspection and audit by TMA.

#### **2. Inspections Conducted at TMA or the Contractor's Facility**

All inspections shall be conducted either at TMA or at the contractor's facility. Inspection, acceptance, and receipt of services provided by the contractor shall be accomplished by the Contracting Officer or other designee(s). Inspections include, but are not limited to, TMA payment audits, performance audits, Program Integrity audits coordinated with TMA, and contractor/TMA quality assurance audits.

#### **3. Contractor's Responsibilities**

The contractor is required to provide TMA with free access to all financial records, cost information, systems documentation, program logic, operating manuals, procedures, and other information and documentation gathered, used, and stored as a part of the contractor's TRICARE operations, including the performance of its subcontractor(s). Subcontractors must provide the same free access to TMA.

#### **4. Records Retention Requirement**

Records relating to appeals under the dispute clause, litigation or settlement of claims, or cost and expenses to which exception has been taken by audit, shall be retained by the contractor until the issues have been settled, and shall be retrievable for three years subsequent to the date of the settlement.

#### **5. Proprietary Rights**

Proprietary information, if so designated in the contract (including the technical proposal) will not be released by TMA. However, TMA will not recognize, as proprietary, information records and files (including attendant documentation) used by the contractor which constitute essential data resources in the processing of TRICARE claims and the generation of health care services records. This includes all files and data identified in the Request for Proposal (RFP) for release to TMA and files, lists, manuals, etc., relating to beneficiaries, providers, fee and rate profiles, provider charges, pending claims, and paid claims.

#### **6. TMA Rights to Specify Manner of Delivery**

TMA reserves the right to specify the format, media, and timing of the delivery to, and access by TMA, of information and documentation. Access to information

and documentation also includes the right of TMA inspection. This is to assure that the government has full and free use of TRICARE data as well as supporting information and documentation for program purposes. TMA will assure that restricted rights are properly maintained.

### **B. Contract Performance Reviews**

Contract performance evaluations by the Government staff, including audit personnel under contract, Lead Agents and MTF personnel, will be conducted periodically at the location(s) of the contractor's operations and/or subcontractor's operations. These reviews will include financial and operational analyses of all aspects of the contractor's performance under the terms of the contract and TMA instructions. The contractor shall make available all personnel, facilities, and documentation required in the conduct of such reviews or investigations by TMA or other authorized Government agencies and staff. Upon request by the Contracting Officer, the contractor shall provide up to 1000 square feet of office space, at a contractor operated facility determined by the government, for any permanent or long term on-site auditors. Evaluations will include desk audits and surveys of contractor performance. The contractor will be furnished written findings.

### **C. Renegotiation Audits**

The variables to be utilized in renegotiating at-risk provisions of contracts are yet to be defined. The contractor agrees to provide the necessary data and supporting documentation to TMA for audit, prior to negotiation. This section will be modified unilaterally, by TMA, when the variables are defined.

# Audits, Inspections and Reports

## II. REPORTS

### A. General

1. TMA requires contractors to prepare and submit routine workload and management reports. These reports are used to establish a uniform format for recording data on contractor operations and provide historical data for continued evaluation of contractor performance. While the data contained in the reports are essential to TMA for purposes of program management, they are equally essential for a contractor's management of the program.

2. A contractor is accountable for assuring that reports contain accurate and complete data. Each contractor shall prepare written procedures describing the source of information as well as the specific steps followed in the collection and preparation of data for each report. In addition, the contractor is responsible for establishing a quality assurance program to assure a high degree of reporting accuracy. All reports must be supported with sufficient documentation and audit trails by the contractor for TMA on-site and desk audit inspections. An officer of the contractor must sign and date each report submitted to attest to the accuracy and completeness of the report.

### B. Special Reports

If special reports are requested by TMA, the contractor must inform the Contracting Officer of the cost, if any. Upon approval of the cost estimate, the contractor shall complete the special report within the time requested by TMA unless a different delivery date is approved.

