



All scanned documents converted into digital images shall be scanned at a minimum of 300 pixels per inch (ppi)/dots per inch (dpi); and the output conversion file shall be a Tagged Image Format File (TIFF), Group 6 or higher, or saved as a searchable file in a portable document format (PDF).

The following minimum requirements are applicable to digital images (scanned), electronic records (born-digital), and electronic data or records output in PDF format:

1. PDF FILE SPECIFICATION FOR ALL PDF RECORDS

- **Version Compliance**
 - PDF records shall comply with PDF versions 1.0 through 1.4 (*i.e.*, be compatible PDF file formats in existence on the approval date of this guidance), and meet conversion requirements, as outlined below.
- **TRICARE Management Activity (TMA) Updates**
 - TMA shall periodically update the list of acceptable PDF versions provided in this guidance, as appropriate.

2. GENERAL REQUIREMENTS FOR ALL PDF RECORDS

- **Security Requirements**
 - PDF records shall not contain any security settings (*e.g.*, self-sign security, user passwords, and/or permissions) that prevent TMA or National Archives and Records Administration (NARA) from opening, viewing, or printing the record.
 - All PDF records shall have the security settings deactivated (*e.g.*, encryption, master passwords, and/or permissions) prior to their transfer to TMA, NARA, or for any transit reasons. Deactivating security settings from PDFs ensures TMA has the ability to support long-term migration and preservation efforts, especially records affected by legal holds.
- **Review of Special Features**
 - Complexities associated with certain PDF features that may be a requirement for offices shall require pre-authorization from the TMA Records Management Officer prior to enabling any special feature. Examples of special features, include but are not limited to: digital signatures; links to other documents, files or sites; embedded files (including multimedia objects); form data; and comments or annotations.

3. REQUIREMENTS FOR SCANNED PAPER OR IMAGE FORMATS CONVERTED TO PDF

- **Minimum Image Specifications**
 - Textual paper records (hard copy) converted into a PDF shall adhere to the requirements identified with the paragraphs above. Offices with digitized (scanned) PDF records not converted in accordance with the minimum image quality specifications standards, as outlined by this document, shall contact the TMA Records Management Officer for further guidance.



- **Optical Character Recognition (OCR)**

- PDF records can contain embedded searchable text based on OCR. TMA recognizes uncorrected OCR'd text can assist with full text search capabilities; thus, offices shall be permitted to provide TMA with PDF records that have been OCR'd using processes that do not alter the original bit-mapped image. An example of an output process that accomplishes this requirement is Searchable Image - Exact. Searchable PDF records output as Formatted Text and Graphics, PDF Normal, or Searchable Image – Compact will not be accepted for scanned paper or image formats.

4. REQUIREMENTS FOR DIGITAL TO DIGITAL CONVERSION

Records Converted to PDF from their native electronic formats (*e.g.*, office automation products) and electronic data output (*e.g.* electronic information systems) to searchable PDF format.

- **Embedded Fonts**

- Electronic records that have been converted to PDF from their native electronic formats must include embedded fonts to guarantee the visual reproduction of all text as created. All fonts embedded in PDF records must be publicly identified as legally embeddable (*i.e.*, font license permits embedding) in a file for unlimited, universal viewing, and printing.

- **Font Referencing**

- PDF records must have all fonts referenced in the record, including the "base 14 fonts," embedded within the PDF file. This requirement is met by having, as a minimum, subsets of all referenced fonts embedded within the PDF file.

5. DATA OUTPUT FROM ELECTRONIC INFORMATION SYSTEMS

- **Format**

- Data output from electronic information systems as TMA records shall be in searchable PDF format. Because the source information is structured or unstructured data, no OCR process is needed. When performing a digital to digital conversion from native formats or data using normal methods (not employing screen scrapes, special tools, etc.) the output will yield a 100% exact searchable PDF although, technically, it is called a "Formatted Text and Graphics" PDF. Electronic records created from data and native format conversions (digital to digital) shall be accepted by TMA, as a PDF formatted text and graphics format.



6. METADATA

- **Document Level Metadata (Metadata Layer 1)**
 - Document level metadata includes information specific to an individual document or record object. An example of mandatory document level metadata could be the date the record was created and/or completed “closed”. Document level metadata may be generated or created at any time during the active lifecycle of a record. In order to prepare inactive records for transfer, they must contain metadata that has been pre-determined by TMA.
- **Record Series Layer Metadata (Metadata Layer 2)**
 - The second metadata layer, referred to as the Record Series layer, contains information that applies to eRecords at the TMA Records Series level. For example, by associating the appropriate TMA Record Series number as a metadata element, TMA is able to apply the appropriate records disposition and applicable records freezes (legal holds) to a group of records, electronically. This enables them to be managed in accordance with federal regulations and guidance until their final disposition is met.
- **Inactive Records (Metadata Layer 3)**
 - The third and final metadata layer is associated with inactive records that are eligible for transfer to TMA’s designated NARA eFRC. This layer also applies to records involved in a transition to an incoming contractor.

7. STANDARDS

- **NARA Records Storage Facility Standards**
 - Offices shall ensure that all on and off-site records storage areas are compliant with NARA Records Storage Facility standards. Consult the DoD TMA Records Management website for links to the most current Federal Records Storage Facility standards and requirements. These standards can be found at: <http://www.archives.gov/records-mgmt/storage-standards-toolkit/>.
- **Electronic Records Management Software Compliancy**
 - If a contractor chooses to use an electronic records management software application, the software must be Department of Defense (DoD) 5015.2-STD certified. Reference the DoD TMA Records Management website for the correct link to a product register for all DoD 5015.2 certified software products. A product register of certified software products can be found at <http://jrtc.fhu.disa.mil/recmgt/>.
 - Requirements for Electronic Records Management are found at <http://www.archives.gov/about/regulations/part-1234.html#partb>. Section 1234.30 outlines responsibilities regarding the selection and maintenance of electronic records storage media. Section 1234.32 describes responsibilities for retention and disposition of electronic records. Additional guidance for storing temporary records on physical media, reference NARA’s FAQ on storing temporary records on CDs and DVDs found at <http://www.archives.gov/records-mgmt/initiatives/temp-opmedia-faq.html>.



- **Records Storage Areas**

- Offices shall ensure that all on and off-site records storage areas are compliant with NARA Records Storage Facility standards. Consult the DoD TMA Records Management website for links to the most current Federal Records Storage Facility and requirements. These standards can be found at: <http://www.archives.gov/records-mgmt/storage-standards-toolkit/>.

- **Physical Media Transfer and Storage**

- Federal records must be stored properly, either on-line or off-line. Industry standards will be applied to on-line storage processes, procedures, archiving, data back-up/recovery, and vital records. Offices are responsible for managing electronic Federal records in accordance with 36 CFR Part 1234. Specific website links are provided from the DoD TMA Records Management website.

8. TRANSFER PACKAGE PROCESS AND PROCEDURES

- **Transfer Package Contents and Storage on Media Device**

- The Transfer Package consists of the following files:
 1. XML Transfer Specification File
 2. Metadata file (txt format)
 3. Record Objects
 4. e-Copy of SF-135 (PDF format)
 5. Audit Log of Validation

When preparing to transfer files for Validation and the eventual transfer to a media device, the user creates a folder on their computer and transfers the XML Transfer Specification file and Metadata file to that folder. Specific instructions and details can be referenced from the TMA Privacy Office web site from the eFRC Data Transfer Specification document.

- **Labeling**

- After the electronic records are stored on the media device, the CD-ROM or DVD-R shall be numbered sequentially (1 of 10, 2 of 10, 3 of 10, etc.) on the label. For more specific guidance on labeling of storage media contact the TMA Records Management Officer.

- **Metadata Elements**

- A list of the required metadata elements that will be included in the metadata file shall be listed on the electronic Standard Form (SF) 135 (Records Transmittal and Receipt). A list of the minimum required metadata elements can be located in Section 2. An electronic copy shall be retained by the contractor so that documents needed for future reference can be identified clearly by requesting officials. Specific instructions and details can be referenced from the TMA Privacy Office web site from the eFRC Process User Manual.



- **Email Preparation**
 - When transferring electronic records to the eFRC, the contractor shall prepare and email the electronic SF 135 (e135) to the TMA Records Management Office prior to shipping the electronic transfer package. Consult the DoD TMA Records Management website for specific instructions on preparing the transmittal documentation:
 1. In the FROM block (block 5) the contractor shall enter the following: TRICARE Management Activity, ATTN: Records Management, 16401 E. Centretch Parkway, Aurora, Colorado 80011-9066.
 2. The Contractor shall insert its own address below the TMA address.
 3. The Contractor shall state in the Series Description Block the description of the records, the contract number, region, record series, and specific metadata elements that will be in the metadata file of the transfer package.
 4. The contractor shall state in the volume and agency box number columns the storage size and total number of rows in the metadata file, respectively.
 5. Instructions for completing the remainder of the form are printed on the reverse side of the SF 135.
- **TMA Records Management Office Review**
 - Upon receipt of the electronic e135, the TMA Records Management Office reviews for completeness and forwards to NARA for approval and assignment of a NARA transfer number. eFRC staff review it for completeness. If approved, the eFRC annotates the official transfer number on the form and returns it to the TMA Records Management Office for continued processing.
 - The original electronic e135 is retained by the eFRC; one copy of the annotated electronic e135, showing transfer number(s) will be emailed to the contractor, indicating the eFRC's approval of the transfer
- **Preparing the Transfer Package**
 - After receiving the copy of the approved electronic e135, the contractor shall prepare the transfer package. The transfer number shall be included on the label of each physical media device. The contractor shall place the electronic copy of the e135 pdf document on the first media device of each transfer and the records will be shipped to the TMA Records Management Officer in accordance with PHI/PII guidance. A copy of the e135 PDF document shall be retained by the contractor for its reference and use.
- **Shipping the Transfer Package**
 - The shipment of the transfer package of electronic records shall be accomplished as soon as the contractor has successfully performed the Validator process. The Validator Installation program, installation instructions and the eFRC Data Transfer Specification, which contains specific guidelines for this process and Validation software instructions, are available on the TMA Records Management website. Contact the TMA Records Management Officer if additional guidance for the required validation process is needed.



9. SHIPPING RECORDS

- **Contractor Compliance**
 - When shipping records, the contractor shall comply with the following instructions:
 1. Double Wrapping shall be used for shipment
 2. Prepare for US Postal Service
 3. Always send by registered mail
 4. Use opaque envelopes or containers
 5. Inner envelope/container has full address for TMA Records Management Officer
 6. Inner envelope/container has classification and handling markings (*i.e.* Unclassified, FOUO)
 7. Outer envelope/container has full address for TMA Records Management Officer
 8. Outer envelope/container has no classification markings

10. RETRIEVING RECORDS

- **Optional Form 11 (OF-11)**
 - The best method to recall records from the eFRC is with the use of the OF-11; Reference Request – Federal Records Center. To obtain an electronic copy of this form and for instructions on how to complete the OF-11, see <http://www.archives.gov/midatlantic/forms/optional-form-11.pdf>. Use the electronic form OF-11 per request and email to the TMA Records Management Officer.