



TRICARE
MANAGEMENT ACTIVITY

OFFICE OF THE ASSISTANT SECRETARY OF DEFENSE
HEALTH AFFAIRS

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TRICARE ACQUISITION PRACTICE

TAP 04-01, Rev. 004
April 1, 2009

SUBJECT: CONTRACT DOCUMENTS FILING SYSTEM

- References:** (a) [FAR Subpart 4.8](#) – Government Contract Files
(b) [DFARS Subpart 204.8](#) – Contract Files
(c) [DFARS PGI 204.8](#) – Contract Files
(d) [TAM Subpart 4.8](#) – Government Contract Files

1. PURPOSE:

To establish responsibilities and procedures for filing pre-award and post-award contract documents in contract file folders and in electronic systems.

2. APPLICABILITY:

This TRICARE Acquisition Practice (TAP) applies to all TRICARE Management Activity (TMA) personnel and functional areas responsible for filing documents in TMA contract file folders and electronic systems for acquisitions emanating from [Contract Management Division \(CMD\)](#).

3. DEFINITIONS:

3.1. "Comprizon.Buy (Comprizon)" is a relational database management system used in the procurement process from initial requisition through contract closeout. It is a system for generating and printing various contract documents (i.e., requisitions, purchase requests, solicitations, awards, delivery orders, and modifications). Reports can be generated from the data elements contained in Comprizon.

3.2. "Comprizon launch" is a feature, which opens a document that has been electronically linked in the database. Documents will launch in the specific application in which they were created (e.g., Word, Excel, and Adobe).

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3.3. "Comprizon print" is a feature which combines administrative data, line item detail data, and the selected template (e.g., SF30) with the electronic documents (e.g., Word) linked through Comprizon to generate and print various contract documents (e.g., modification).

3.4. "Contract documents" are those documents generated by contracting officials, prospective offerors, contractors, other government agencies, and other interested parties that pertain to the planning, announcement, solicitation, award, and administration of government contracts.

3.5. "Documentum" is a customized software application, which provides an electronic repository for contract documents. It provides the ability to manage content electronically from an individual's desktop.

3.6. "Documentum's Docbase[®]" is an electronic repository of the electronic contract documents and the contract document properties.

3.7. "Document properties" are Documentum data items that describe the electronic document (electronic file). The properties differentiate one document from another by identifying specific characteristics. Users locate and retrieve a document through its specified properties.

3.8. "Relational database management system" is a complex set of programs that control the organization, storage, and retrieval of data for many users. Data is organized in fields, records, and files. A database management system also controls the database security.

3.9. "Shared drive" is [either](#) the shared N drive (located on the densodb05\k_dirs server for Comprizon) [or the shared P drive \(located on the densodocu01\CFD server for Documentum\)](#).

4. **RESPONSIBILITIES:**

4.1. The Contracting Officer (CO) is ultimately responsible for the proper filing of contract documents. The [CO](#) is assisted by contract specialists/administrators and administrative assistants.

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4.2. All personnel are responsible for eliminating unnecessary redundancy to the maximum extent practical. For example, an unsigned modification will reside in Comprizon while the signed modification resides in the contract file and Documentum. However, supporting documents which do not require the Comprizon print and launch features should only be maintained in the contract file and Documentum.

5. **PROCEDURES:**

5.1. TMA uses three systems to manage contract documentation and records: the paper contract file and two electronic systems, Documentum and Comprizon. The paper file is the official Government contract file, except for protest documents, and the filing process is described in paragraph 5.2. Comprizon, described in paragraph 5.3.1., links to electronic documents saved on a shared drive to generate and print various contract documents. Documentum, described in paragraph 5.3.2, is an electronic mirror image of the paper contract file. Together these systems create an integrated filing process, which facilitates document filing, search, and retrieval.

5.2. Paper Contract File.

5.2.1. General Contract Folders.

5.2.1.1. Contract files shall be labeled as shown in Enclosures 1 and 2. Labels shall be appropriately placed regardless of the type of folder (manila, green or red pressboard) used. Federal records storage requirement states that no file shall exceed two inches in thickness. If additional folders are required, insure that appropriate indices/checklists are filed in the front of **each contract** file.

5.2.1.2. Select the appropriate document filing index or checklist described below and insert it in the front of each contract file. Documents shall be filed in tabs as specified in the index/checklist.

5.2.1.3. All items on the filing index/checklist should be marked either 1) with a “check mark or X” indicating the information is in the file or 2) “Not Applicable (N/A)” if the item does not apply.

5.2.1.4. Utilize the “Remarks” column (Enclosure 3) or “Type of Documents” column (Enclosure 5) for any additional information, e.g., location where related documents are filed. Contract files should cross-reference the location of

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assessments, decisions, or other documentation supporting an action. For example, a modification for performance incentives earned should include a cross reference to other file parts that contain assessments and decisions supporting the earned incentives if they are not filed with the modification.

5.2.1.5. Tabs shall be placed within a file in descending order, e.g., Tab 1 is the first tab seen when opening the file and Tab 10 is last tab. The contents of each tab shall be filed in ascending order, i.e., most current date on top.

5.2.1.6. Write the tab number in the upper right-hand corner of each paper document to be filed after scanning the document. This makes the document easier to be re-filed under the correct tab if it is removed from the file.

5.2.1.7. The official Government file for protest documents is located in the Office of General Counsel (OGC). Contract file indices shall cross-reference protest documents to the OGC.

5.2.1.8. If the CO is scheduled to be out of the office for a short term (3-30 days), the CO shall assure through his/her supervisor that a warranted signature authority is available. An email shall be sent to the designated individual. A copy of the email shall be filed with Part 1 - Basic Procurement Document and Related Materials (see Enclosure 4).

5.2.1.9. If the CO is scheduled to be out of the office for an extended period of time (more than 30 days) the CO shall coordinate with their management. The cognizant CMD office chief shall prepare a formal memo designating a warranted signatory authority. The signed memo shall be sent to the designated individual, CMD management, the Director, Acquisition Policy and Pricing Division (AP&PD), Deputy Chief, TRICARE Acquisitions; and other individuals as deemed appropriate. A copy of the memo shall be filed with Part 1 - Basic Procurement Document and Related Materials (see Enclosure 4). The document entitled Current Chronological List Identifying the Awarding and Successor Contracting Officers, With Inclusive Dates of Responsibility FAR 4.803(41) (Enclosure 15) shall be updated.

5.2.2. Preaward and Award Contract Folders.

5.2.2.1. Preaward and award documents shall be filed in accordance with TMA Form 814, Preaward Supporting Documents Checklist (Enclosure 3).

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5.2.2.2. A current chronological list identifying the awarding and successor COs, with inclusive dates of responsibility, shall be filed in Part 1 - Basic Procurement Document and Related Materials (Enclosure 4). Use the form entitled Current Chronological List Identifying the Awarding and Successor Contracting Officers, With Inclusive Dates of Responsibility FAR 4.803(41) (Enclosure 15).

5.2.3. Postaward Contract Folders.

5.2.3.1. Postaward documents shall be filed in accordance with the Uniform Filing System for Contracts (Enclosure 4). This includes delivery orders and task orders issued by TRICARE Regional Office COs.

5.2.4. Supporting Documents Checklist for Modifications.

5.2.4.1. Modifications shall be filed in accordance with TMA Form 825, Supporting Documents Checklist (Enclosure 5). Supporting Documents Checklist (*Training*) (Enclosure 5A) is provided as a training guide to Enclosure 5.

5.2.5. Simplified Acquisition Folders.

5.2.5.1. Simplified acquisition documents shall be filed in accordance with TMA Form 702, Contract File Content Index for Simplified Acquisition Purchases (Enclosure 6).

5.2.6. Modifications, delivery orders, and contract payments shall be recorded in the contract file using an Excel spreadsheet, or the optional forms listed below. If an Excel spreadsheet is used, the content of the optional forms is required.

5.2.6.1. Contract Administration - Modification Listing (Enclosure 7).

5.2.6.2. Contract Administration - Delivery Order Listing (Enclosure 8).

5.2.6.3. Contract Administration - Contract Payment Record (Enclosure 9).

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5.3. Electronic Contract Files.

5.3.1. Comprizon Files.

5.3.1.1. Comprizon contains links to electronic documents saved on a shared drive to generate and print various contract documents. In addition, [this](#) shared drive [may be used to](#) temporarily store those items that are to be placed into Documentum (Refer to paragraph 5.3.2.2.). For the current TRICARE contracts, Comprizon preaward electronic folder names correlate to paper file tabs and Comprizon post award electronic folder names correlate to Comprizon activities (e.g., creating modifications). For the legacy MCS/non-MCS contracts, post award electronic folder names correlate to Comprizon activities (e.g., creating modifications).

5.3.1.2. All electronic documents attached to Comprizon via a path statement and accessed using the Comprizon launch feature shall be placed in folders on the shared drive in accordance with this TAP and Comprizon Business Rules, using the following steps:

5.3.1.2.1. Create Electronic Folders.

5.3.1.2.1.1. Upon the CO's request, the Comprizon System Administrators shall create electronic folders on the shared drive and name them in accordance with Enclosure 10, Electronic Folder and File Naming Convention for the current TRICARE Contracts. Electronic folders already exist for post award documents associated with the legacy MCS/non-MCS contracts. Electronic folders should be named in accordance with Enclosure 11, Electronic Folder and File Naming Convention for legacy Managed Care and Non-Managed Care Contracts.

5.3.1.2.1.2. Electronic folders for Uniform Formulary Blanket Purchase Agreements shall be created on the shared drive and named in accordance with Enclosure 13, Comprizon Electronic Folder and File Naming Convention for the Uniform Formulary Blanket Purchase Agreements.

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5.3.1.2.2. Save Electronic Files.

Contracting staff shall name electronic documents in accordance with Enclosure 10 or Enclosure 11 and save the documents in the appropriate electronic folders on the shared drive.

5.3.1.2.3. Create Contract Documents in Comprizon.

Contracting staff will use Comprizon to generate and print contract documents (e.g., solicitations, contracts, modifications, delivery orders).

5.3.1.2.4. Retain Electronic Files.

Contracting staff will retain electronic files required to support the Comprizon print and launch features in the appropriate folders. Once an electronic document is placed in a specific folder and attached to Comprizon, the document cannot be moved. If the document is moved, it will not print from Comprizon because the path supporting the print and launch features will be lost.

5.3.1.3. Only Comprizon System Administrators are authorized to create new electronic folders.

5.3.1.4. To identify, request, and determine a need for a change to the shared drive follow the instructions in the Change Request Process for the K_Dirs Directory (Enclosure 14).

5.3.1.5. Access to the electronic folders and their files is subject to appropriate security and permissions. The Comprizon System Administrators shall set permissions at the CO's direction.

5.3.2. Documentum Files.

5.3.2.1. Documentum mirrors the content of the paper contract files. That is, a paper document filed in post-award Part 1 (see Enclosure 4) will be identified in Documentum via two document properties – Part 1 and then its name (see sample at Enclosure 12). A Documentum file scheme that correlates to the file index/checklist is maintained in the Documentum system to assist in attributing files.

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Files for those acquisitions from or through Government supply sources (Federal Acquisition Regulation [FAR] Part 8) or using Simplified Acquisition Procedures (FAR Part 13) will not be maintained in Documentum.

All other current TRICARE contracts will be maintained in Documentum. Only selected preaward documents are maintained in Documentum. These selected preaward documents are the 1) solicitation and its amendments, 2) questions and answers, and 3) proposal of the offeror who was awarded the contract. Access to preaward documents is restricted to the CO, the Government contract specialist, **CMD** management, and other CO designees.

Selected content of legacy MCS/non-MCS contracts, as determined by the CO, will also be maintained in Documentum. As a minimum, selected content will include an electronic copy of all signed contract awards, modifications, delivery orders, and modifications to delivery orders.

5.3.2.2. Documents shall be placed in Documentum using the following steps:

5.3.2.2.1. *Paper contract documents not available electronically* - Administrative assistants shall scan and save the document as an electric file (e.g., Adobe pdf file, Word) and place it on the **densodocu01\CFD** shared drive. **The densodocu01\CFD shared drive is restricted to administrative assistants and Documentum System Administrators.**

5.3.2.2.2. *Documents available electronically* - the contracting staff shall **provided the electronic documents to the administrative assistants for importing, or use the E-mail Import tool**, or save the document on the **densodb05\k_dirs** shared drive. **If this shared drive is used the individual, placing the document on the shared drive, shall notify their administrative assistant to import the document.**

5.3.2.2.3. The **administrative assistants** shall initiate optical character recognition (OCR) on the scanned electronic document to create a text file. Once the OCR is complete, the **administrative assistants** shall save the electronic file on the shared drive.

5.3.2.2.4. Administrative assistants shall bring files into Documentum utilizing the Contract File Documents (CFD) import tool or E-mail Import

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tool. COs or contract specialist can import emails associated with change orders using the E-mail Import tool. At this point, electronic documents are retrievable using a text search only.

5.3.2.2.5. After importing a file into Documentum, the individual importing the file shall input document properties for the file. “File Section” matches the file tab number and name of the paper contract file. “File Subsection” matches the topical file section tab (e.g., Invoices and Payments Vouchers) identified in the paper contract file. See the sample at Enclosure 12.

5.3.2.2.6. Documents now reside in Documentum’s Docbase[®] and are retrievable by querying the properties specified for that document, or by performing a document text search, or both.

5.3.2.3. Only Documentum system administrators can add “File Sections” and “File Subsections” to the Documentum system. New paper contract file tabs should be coordinated with the Documentum staff to ensure that the “File Section” and “File Subsection” properties match (mirror) the paper contract file tabs. Proposed changes will be directed to the Document Management Working Group Chair, and the [AP&PD](#) for coordination, consideration, and resolution.

5.3.2.4. Access to electronic files is subject to appropriate security and permissions. The Documentum System Administrators shall set permissions at the [CO’s](#) direction.

5.3.3. Performance Assessment Tracking System (PATS) Files.

5.3.3.1. Contract deliverables (e.g., DD Form 1423, Contract Data Requirements List (CDRL) or other documents delivered under the contract) from PATS shall be placed in Documentum.

5.3.3.1.1. The electronic file is electronically moved from one system to the other system.

5.3.3.1.2. The documents are filed in accordance with Enclosure 4, Uniform Filing System for Contracts.

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5.3.3.1.3. All attributing (inputting file properties: “File Section” and “File Subsection”) is done automatically upon system-to-system transfer.

5.3.3.2. The paper contract files do not contain documents transferred from PATS to Documentum. However, the paper file should contain a list of documents contained in PATS. In addition, the paper file shall contain a slip page that directs personnel to Documentum for the location of the contract deliverable. At the end of each option period, the contract deliverables are copied to a compact disks (CDs), label in accordance with paragraph 5.4.1, and the CD physically filed in the **CMD** secure area.

5.4. Electronic Media.

5.4.1. All personnel shall label electronic media (e.g., CDs, digital versatile disc or digital video disc [DVD], or Very High Speed [VHS] videos) in accordance with TMA Records Management Guidance as follows:

5.4.1.1. Guidance 3 – Instructions for Labeling Computer CD’s.

5.4.1.2. Guidance 4 – Instructions for Labeling DVD’s.

5.4.1.3. Guidance 5 – Instructions for Labeling Videos.

5.4.2. The most current versions of these documents are available from the records management point of contact.

5.4.3 File electronic media in accordance with the file structure established for paper copies (paragraph 5.2). Paper contract files shall contain a slip page that directs personnel to the physical location of the media.



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ENCLOSURES:

1. Label Application for Preaward and Post Award Contract Folders (1 page)
2. Label Application for Change Order Folders (1 page), Revised July 24, 2003
3. TMA Form 814, Preaward Supporting Documents Checklist (4 pages), Revised May 2007
4. Uniform Filing System for Contracts (2 pages), Revised **February 2009**
5. TMA Form 825, Supporting Documents Checklist (2 pages), Revised June 2007
- 5.A. TMA Form 825, Supporting Documents Checklist (Training) (2 pages), June 2007
6. TMA Form 702, Contract File Content Index for Simplified Acquisition Purchases (1 page), Revised May 2007
7. TMA Form 830, Contract Administration – Modification Listing (1 page), **Revised February 2009**
8. TMA Form 831, Contract Administration – Delivery Order Listing (1 page), **Revised February 2009**
9. TMA Form 832, Contract Administration - Contract Payment Record (1 page)
10. Comprizon Electronic Folder and File Naming Convention for the Current TRICARE Contracts (9 pages), Revised May 2007
11. Comprizon Electronic Folder and File Naming Convention for Legacy Managed Care and Non-Managed Care Contracts (5 pages), Revised May 2007
12. Documentum Sample File Section and File Subsection Properties (1 page)
13. Comprizon Electronic Folder and File Naming Convention for the Uniform Formulary Blanket Purchase Agreements (2 pages), March 2005
14. Change Request Process for the K_Dirs Directory, Rev. 001 (2 pages), **Revised February 2009**
15. Current Chronological List Identifying the Awarding and Successor Contracting Officers, With Inclusive Dates of Responsibility FAR 4.803(41) (1 page), May 2007