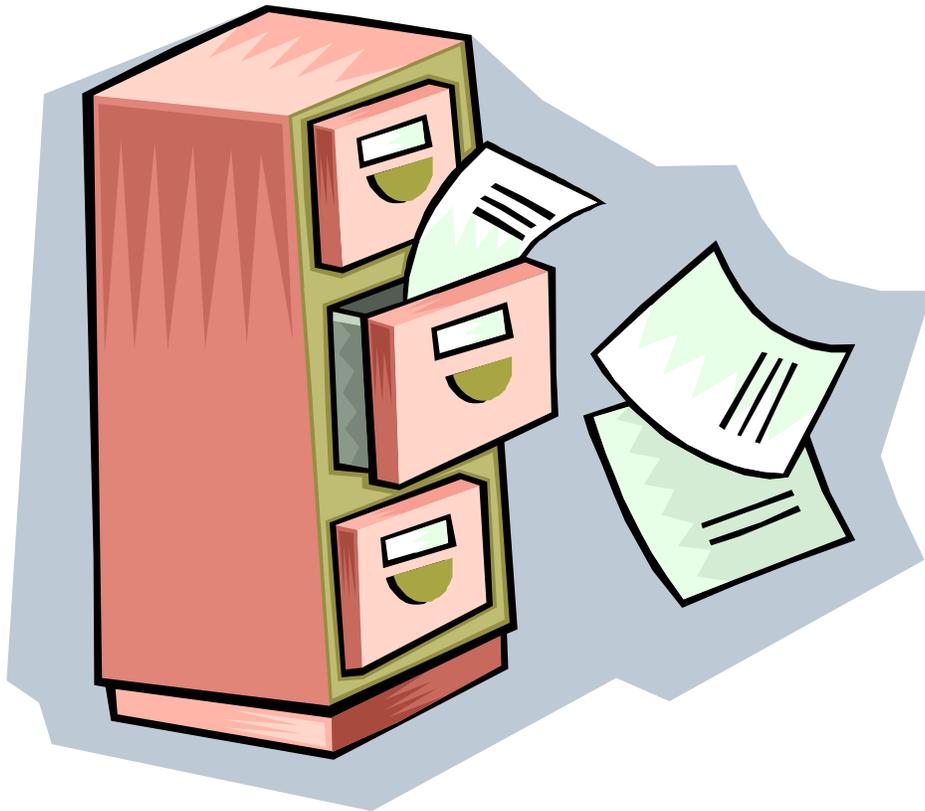




HEALTH AFFAIRS
and
TRICARE MANAGEMENT ACTIVITY
Records Management
Reference Handbook



2012

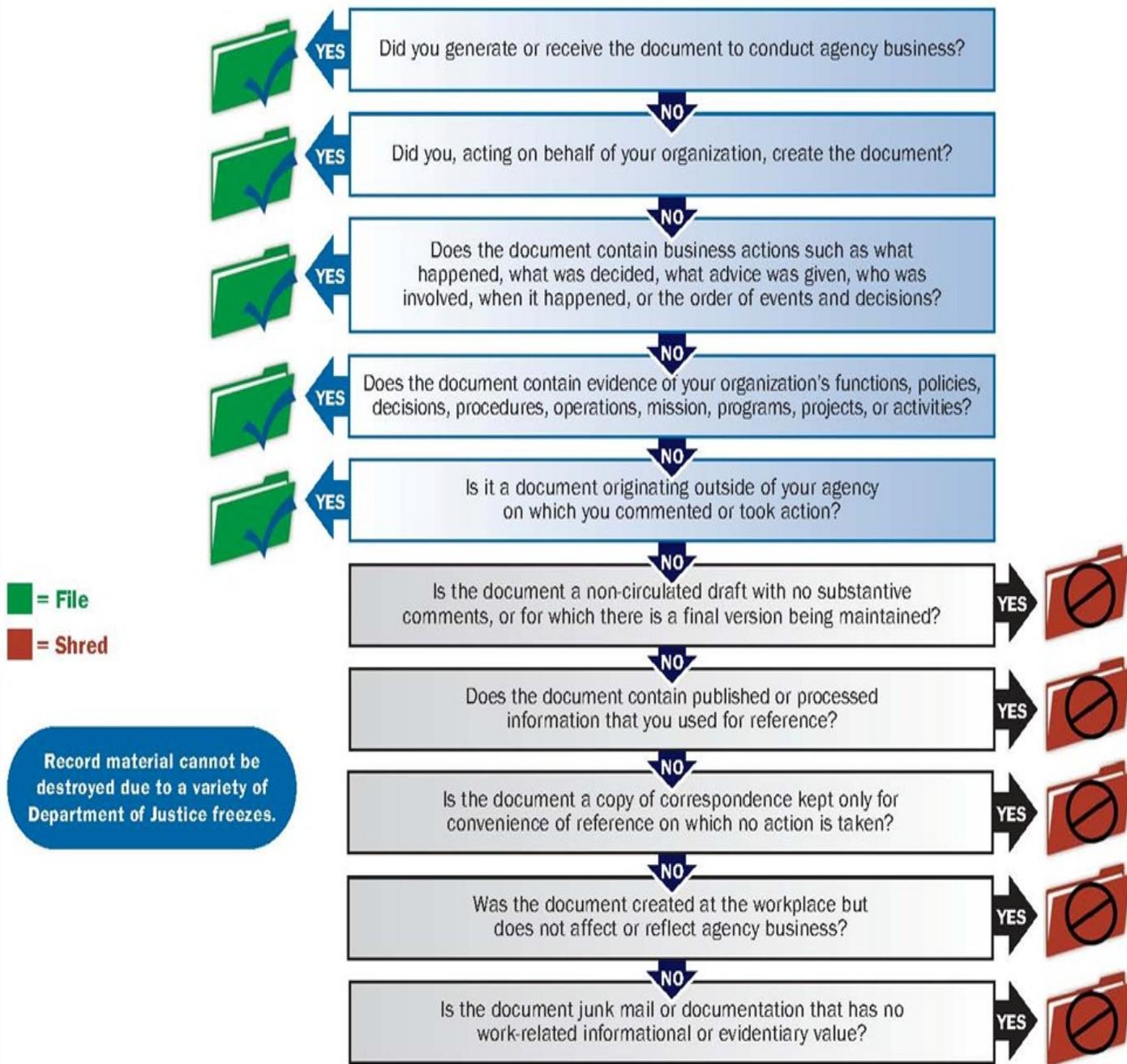
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Introduction

- The United States Code (44 USC 3301) broadly defines records as all books, papers, maps, photographs, or other materials made or received by a U.S. agency that document the organization, functions, policies, procedures, operations, or other activities of the Federal government.
- Office personnel must understand how to identify Federal government records and the proper methods for handling record and non-record material.
- Official records contain information with continuing legal, fiscal, administrative, or historical value. They are made or received by a Federal agency under law or regulation, or to conduct public business. Examples of official HA/TMA records: official correspondence, contracts, healthcare policy, and claims records.
- This reference handbook reviews procedures for filing, maintaining, and archiving agency records according to the Administrative Instruction 15 (AI-15), the Department of Defense's guidelines for records management. All Federal employees and contractors must follow the requirements of the AI-15 when handling official records, regardless of media.
- Please direct any questions to the HA/TMA Records Management Support Team (RecordsManagement@tma.osd.mil, (703) 921-1648, or (303) 676-3559).

Is it a Record?



When in doubt, treat it as a record.

Records Decision Checklist

- What will I or someone else need in the following years to do my job?
- What materials will I need to support decisions to be made in my program area?
- Do these materials chronicle decisions or actions of significant value to HA/TMA?
- Will someone need these records for future program, legal, fiscal, or research purposes?
- Do these records have unique historical value?

Records Life Cycle

1. Creation or Receipt

2. Maintenance and Use

Using the AI-15

- Determine the most appropriate records disposition schedule
- Within that schedule, find the series number which best describes the record
- Insert the document into a correctly labeled folder

Creating a files plan

- List each series number in sequential order from lowest to highest on the HA/TMA Files Plan form
- Mark records which contain Protected Health Information (PHI) and/or Personally Identifiable Information (PII)
- Once approved, place the files plan in the official file station as the first record (101-05 Office Record Locator File)

3. Disposition

Shipping records

- Determine if records are eligible for shipment
- Fill boxes in searchable order
- Complete box list and SF-135, and have them approved by the Washington National Records Center (WNRC)
- Arrange a pick-up date
- Insert box list and SF-135 into box 1 of the accession and label boxes for shipment
- Ensure that boxes are easily accessible for shipping personnel

My Responsibilities as a Federal Employee or Contractor

- **Follow the Official Retention Schedules.** Ensure that official records are kept in accordance with the AI-15. Permanent records require special care to prevent damage or accidental destruction, as these records are eventually sent to the National Archives and Records Administration (NARA). Identify and keep permanent records separate from temporary records and keep active files separate from inactive files.
- **Use the official correspondence process.** The review and approval process for official correspondence may vary from office to office, but all official correspondence must be part of the official HA/TMA system. Follow effective procedures for using records, including reference and charge-out procedures, to facilitate the finding, borrowing, and re-filing of records.
- **File records appropriately.** Ensure that when you create or receive record material, you add it to the official filing system. Each office must create a HA/TMA files plan which describes what series numbers the office keeps and where the office stores its records. Store controlled information in locations that ensure limited access by authorized personnel. Store records that contain names, social security numbers, or other personal identifiers, as well as records that contain sensitive or restricted information, in locked file cabinets in order to prevent unauthorized access.
- **Keep non-record material separate from official records.** Keep official records separate from personal papers, extra reference copies, and papers on which no official agency action is taken. Dispose of non-record material when you no longer need it for reference. Personal information (such as notes about personal activities) should be removed from e-mail messages or other records before printing or filing the official record copy.
- **Maintain electronic records.** NARA currently limits HA/TMA's authority to maintain files in an electronic-only format. Print official electronic records (correspondence, e-mail, spreadsheets, reports, etc.) and put them in paper files until proper authorities schedule appropriate systems.
- **Be cautious of records destruction.** It is unlawful to dispose of official agency records unless they are covered by an approved records schedule. Unscheduled records must be kept until the proper authorities create and approve an official records schedule for such records. HA/TMA is also currently under several records freezes which prohibit the destruction of records.

Basic File Types

Subject Files

- Forms, reports, and other materials related to programs and functions, but not to specific cases
- Examples: a file that contains the time cards for all of the employees within an office, original warranty documents for HA/TMA computer systems, and Human Resources personnel files
- Arrange according to general content or topic
- Cut off at the end of each calendar year

Case or Project Files

- Material related to a specific action, transaction, event, person, or project
- Examples: Background papers used to prepare a report about sanitary conditions at a field facility in Virginia, a file that contains all of the documents for the 2009 Data Protection Seminar, and a file that contains the renovation floor plans for the 4th floor executive suites
- May cover one or more subjects on a case or project but will always be filed by a specific title or number
- Arrange in chronological order with the most recent records in the front of the cabinet
- Keep case working papers separate from official regular case records
- Mark closed case files and keep them separate from active files
- Cut off upon completion or termination of project

Reference or Convenience Files

- May include extra copies of documents officially recorded elsewhere (books, pamphlets, catalogs, etc.)
- Examples: Copies of *Government Computer News*, a memo that was originally sent to all of HA/TMA and does not require any action or document any specific functions, and the Rules of Compliance in fulfillment of the Federal Sunshine Act
- Periodically review to retain current files with significant reference value
- Cut off when superseded or obsolete

Audiovisual Materials

- Inventory your office for any audiovisual records (film, video, photographic, sound, microfilm, laser disc, etc.) and document how and where they are maintained
- Identify finding aids, such as indexes, captions, lists of captions, data sheets, shot lists, continuities, review sheets, and published or unpublished catalogs maintained on audiovisual records
- Protect information on permanent or unscheduled magnetic, sound, or video media from erasure or overwriting
- Contact the HA/TMA Records Management Officer at (303) 676-3559 or (703) 921-1648 for assistance

Most Commonly Utilized Records Series Numbers Reference List

Series	Records Type	Disposition
LEGEND: O = Obsolete S = Superseded NLN = No Longer Needed DISC. = Discontinued		
101-01	Office General Management Files	1 year/Disc.
101-02	Office Inspection and Survey Files	See AI-15
101-03	Office Instruction Files	S/O
101-04	Office Organization Files	S/O/NLN
101-05	Office Record Locator Files	See AI-15
101-06	Records Access Files	S/O/Trf/Sep
101-07	Security Container Record Files	DEST 3
	months	after
	last entry	
101-08	Security Container Information Files	Superseded
101-09	Office Classified Document Receipt Files	2 years
101-10	Office Classified Register or Control Files	2 years
101-11	Temporary Internal Receipt Files	2 years
101-12	Office Non-registered Classified Document Destruction Certificate Files	2 years
101-13	Office Mail Control Files	See AI-15
101-14	Office Financial Files	1 year/Disc.
101-15	Office Service & Supply Files	1 year
101-16	Office Property Record Files	S/O/Turn in
101-17	Office Equipment Approval & Utilization Files	S/O/Disposal
101-18	Classified Matter Inventory Reporting Files	2 years
101-19	Security Classification Regrading Files	5 years
101-20	Office Management System Files	System NL in effect
101-21	Office Space Assignment Records Files	S/O
101-22	Publications Request Files	3 months after COFF
102-01	Reference Publication Files	S/O/NLN
102-02	Technical Material Reference Files	S/O/NLN
102-03	Reading Files	NLN
102-04	Office Message Reference Files	1 year
102-05	Policy & Precedent Files	S/O
102-06.a	Publications Files	Permanent
102-06.b	Publications Files	1 year
102-06.c	Publications Files	NLN
102-07	Non-Policy Administration Files	3 years
102-08	Messenger Service Records Files	2 months
102-09.1	Mailing Lists Files	See AI-15
102-09.2	Mailing Lists Files	Canc. or

Most Commonly Utilized Records Series Numbers List (Cont)

Series	Records Type	Disposition
102-09.3	Mailing Lists Files	Canc. or Revised
102-10.1	Postal Records Files	1 year
102-10.2	Postal Records Files	1 year
102-10.3	Postal Records Files	1 year
102-10.4	Postal Records Files	1 year
102-10.5	Postal Records Files	1 year
102-11.1	Mail Control Files	1 year
102-11.2	Mail Control Files	6 months
102-11.3	Mail Control Files	6 months
102-11.4	Mail Control Files	1 year
102-11.5	Mail Control Files	6 months
102-11.6	Mail Control Files	6 months
102-12.1	Electrical Messages File	Permanent
102-12.2	Electrical Messages File	2 years
102-12.3	Electrical Messages File	6 months
102-13.a	Program Progress Files	Permanent
102-13.b	Program Progress Files	6 months
102-14.a	Implementation Files	30 years
102-14.b	Implementation Files	6 months
102-15	Informational Records Files	90 days
102-16	Chronological Reading Files (HA/TMA Executive Director)	1 year/ Permanent
102-17.1	White House Correspondence Files	7 years
102-17.2	White House Correspondence Files	Permanent
102-18.1	Congressional Correspondence	7 years
102-18.2	Congressional Correspondence	Permanent
102-19.1	Special Studies	Permanent
102-19.2	Special Studies	NLN
103-01.1	Policy Files	Permanent
103-01.2	Policy Files	Permanent
103-01.3	Policy Files	NLN
103-02	Instruction Files	Permanent
103-03.1	Administrative Files-Routine	5 years
103-03.2	Administrative Files-Evaluations	5 years
103-03.3	Administrative Files-Program & Budget	5 years
103-03.4	Administrative Files-Extracts of Reports	5 years
103-03.5	Administrative Files-Comments on or Contributions	5 years
103-03.5	Administrative Files-News Media	5 years

Most Commonly Utilized Records Series Numbers List (Cont)

Series	Records Type	Disposition
103-04.a.1	Agreement Files	6 years
103-04.a.2	Agreement Files	Supp., Canc. or Term.
103-04.b	Agreement Files	1 year or
NLN		
103-05	Orientation & Briefing Files	S/O
103-06.1	Committee Chairman or Secretariat Files	Permanent
103-06.2	Committee Administrative Files	3 years
103-07	Staff Visit Files	5 years
103-08.1	Reference Paper Files-Draft, notes	See AI-15
103-08.2	Reference Paper Files-Listings, indexes and receipts	NLN
103-08.3	Reference Paper Files-Technical	S/O/NLN
103-08.4	Reference Paper Files-General Information	1 year
103-08.5	Reference Paper Files-Extra copies	1 year
103-08.6	Reference Paper Files-Supervisory documents	1 year
103-09	Official Visits Files	5 years
103-10.a	GAO/Audit Report Files-Action copies	15 years
103-10.b	GAO/Audit Report Files-Information copies	NLN
103-11	Legislative Branch Relations Files	5 years
103-12	Schedules of Daily Activities	See AI-15
103-13	Transitory Records	NLN
103-14	Schedules of Daily Activities for High Level Officials	2 years
201-01	Organization Planning Files	Permanent
201-02	Organizational Structure	Permanent
201-03	Organizational Activation & Status Change Files	Permanent
201-04	Management Practices	Permanent
201-05	Management Survey Case Files	See AI-15
201-06	Management Survey Background Files	NLN
201-07.1	Management Improvement Files	4 years
201-07.2.a	Management Improvement Files	See AI-15
201-07.2.b	Management Improvement Files	See AI-15
201-07.2.c	Management Improvement Files	See AI-15
201-07.2.d	Management Improvement Files	See AI-15
201-08	Management Improvement Project Background Files	3 years
201-10	Committee Management Files	Permanent
201-11.a	Advisory Committee Activity Reporting Files	Permanent
201-11.b	Advisory Committee Activity Reporting Files	2 years
201-12	Federal & State Relations Files	Permanent
201-13	Emergency Planning Files	Permanent
201-15	Administrative Guidance Instruction Files	20 years

Most Commonly Utilized Records Series Numbers List (Cont)

Series	Records Type	Disposition
201-17	Organization Charter Files	Permanent
202-01.1	General Personnel Administrative Files-General	3 years
202-01.2	General Personnel Administration Files-Correspondence	5 years
202-02	Office Personnel Register Files	6 months
202-04	Strength Reports	See AI-15
202-05.1.1	Position Classification Files-Standards	S/O
202-05.1.2	Position Classification Files-Development	See AI-15
202-05.2	Position Classification Files-Position Descriptions	See AI-15
202-05.3	Position Classification Files-Survey Files	See AI-15
202-06	Pending Request Files	See AI-15
202-07	Office Personnel Information Files	S/NLN
202-08.1	Recruitment & Placement Files-Employee documentation	2 years
202-08.2	Recruitment & Placement Files-Correspondence	See AI-15
202-08.3	Recruitment & Placement Files-Applications for employment	See AI-15
202-09	Standards of Conduct Files	See AI-15
202-10	Nondisclosure Agreement and Security Awareness Files	See AI-15
202-11	Temporary Duty Travel Files	6 years
202-12	Official Personnel Folders	See AI-15
202-14	Application Files	2 years
202-15.1	Correspondence Files-P&S correspondence	3 years
202-15.2	Correspondence Files-copies of correspondence	See AI-15
202-15.3	Correspondence Files-P&S correspondence and forms	See AI-15
202-18.1	PDs & Related Material Files-Position descriptions	See AI-15
202-18.2	PDs & Related Material Files-Survey files	See AI-15
203-08	Records Disposition Standard Exemption Files	See AI-15
204-01.a	Space Management	See AI-15
204-04	Space & Facilities Files	5 years
204-07.2	Credential Files-Parking Permits	See AI-15
204-08	Building & Equipment Services	3 months
206-01	Budget Policy Files	Permanent
206-02	Budget Background Records	1 years
206-03	Budget Correspondence Files	2 years
206-04.2	Budget Estimate & Justification Files	See AI-15
206-05.1	Budget Report Files-Annual	5 years
206-05.2	Budget Report Files-All Others	3 years
206-06	Financial Reports	Permanent
206-07	Budget Apportionment Files	2 years
206-08.2.1.1	Travel & Transportation-Freight Files	6 years
206-08.2.1.2	Travel & Transportation-Freight Files	2 years

Most Commonly Utilized Records Series Numbers List (Cont)

Series	Records Type	Disposition
206-08.2.3.1	Travel & Transportation-Freight Files	6 years
206-08.2.4.1	Travel & Transportation-Freight Files	6 years
206-08.2.4.2	Travel & Transportation-Freight Files	See AI-15
206-08.2.5.1	Travel & Transportation-Freight Files	2 years
206-08.2.5.2	Travel & Transportation-Freight Files	1 year
206-09.1	Accountable Officer's Files	6 years 3 mo
206-09.2	Accountable Officer's Files	1 year
206-12	General Fund Files	3 years
206-16	Expenditure Accounting General Correspondence & Subject Files	2 years
207-02	Correspondence Files	2 years
207-03.1	Time & Attendance-Source Records	6 years
207-04.2	Individual Authorization Card & Payroll Allotments	3 years
207-08.1	Leave Application Files-Initialed Time Cards	See AI-15
207-08.2.	Leave Application Files-Non-initialed time cards	See AI-15
207-10	Donated Leave Program	1 year
207-18	Tax Files-Withholding Allowance	4 years
207-23	Levy & Garnishment Records	3 years
208-01	Procurement Files	Permanent
208-03	Correspondence Files	2 years
208-04.1.1	Contract Records that Exceed \$25,000	6 yr 3 mo
after		fin. payment
208-04.1.2	Contract Records Less than \$25,000	3 yr 6 mo
after		fin. payment
208-04.3	Contract Requisition, Purchase Order, etc-copies	See AI-15
208-05.2	Files of Reports on Supply Requirements-copies	1 year
208-06.1	Bid Files-Successful Bids	See AI-15
208-06.2	Bid Files-Unsuccessful Bids	See AI-15
208-08	Requisition for Non Personal Services	1 years
208-09.1	Requisition-Supplies/Equipment	2 years
208-09.2	Requisition-Supplies/Equipment-copies	6 months
208-10.2	Inventory Files-Inventory Cards	2 years
208-11	Telephone Statement & Toll Slips	3 years
208-14.1.c	Disposal of Surplus Property	See AI-15
208-15.1	Inventories of Supplies/Equip.-Stockroom copy	2 years
208-15.3	Inventories of Supplies/Equip.-Inventory cards	2 years
208-16	Building & Equipment Service Files	3 months
210-01.1.1	Defense Investigative Case Files-Routine Investigations	15 years

Most Commonly Utilized Records Series Numbers List (Cont)

Series	Records Type	Disposition
210-01.1.3	Defense Investigative Case Files-Major Investigations	Permanent
303-03.2	Construction Files	Permanent
304-06.4	Contract Audit & Analysis Files-Working Papers	NLN
304-06.5	Contract Audit & Analysis Files-Evals. Of GAO Reports	See AI-15
304-06.6	Contract Audit & Analysis Files-Correspondence with ASD	NLN
403-02	Affiliations & Financial Interest Files	6 years
403-03	Executive Financial Disclosure Reporting Files	6 years
701-09.1.1	Informational Services Record-Press Releases and Transcripts	Permanent
704-01	FOIA-Security Review	15 years
704-02.1	FOIA-Initial Requests	2 years
704-02.2	FOIA-Appeals	6 years
704-02.3	FOIA-Copies of Appeals Records	See AI-15
704-02.4	FOIA-Annual FOIA Report	2 years
704-02.5	FOIA Litigation	NLN
704-02.6	FOIA Policy Files	Permanent
704-02.7	FOIA Instruction Files	Permanent
704-03.1	Privacy Act-Correspondence	2 years
902-01.2	Drug & Alcohol Abuse-Administrative Documents	S/NLN
903-01	Facilities & Materials	Permanent
903-02	Health Manpower	Permanent
903-03	Cost & Budget	Permanent
904-01	Program Statistics	Permanent
904-02.1	Data Systems-Documents for Medical Data	2 years
904-02.2	Data Systems-Manuals	2 years
904-02.4	Data Systems- Analysis Studies	1 years
904-03.a	Defense Enroll. Eligibility Reporting System (DEERS)	See AI-15
905-01	Utility Review	Permanent
905-02.1	Utility Review-Standards	Permanent
905-02.2	Utility Review-Studies and Evaluations	5 years
905-02.3	Utility Review-Studies and Analysis	Permanent
906-01.1	TRICARE Records-Policy	Permanent
906-01.4	TRICARE Records- Budget	5 years
906-02	Liaison Activities	10 years
907-01	Policy Analysis	Permanent
907-02	Mobilization Plans	Permanent
907-03	Productivity Planning	Permanent
908-01.1	Dental Affairs Policy-Policy	Permanent
908-01.2	Dental Affairs Policy-Estimation	2 years

Most Commonly Utilized Records Series Numbers List (Cont)

Series	Records Type	Disposition
909	Medical Affairs	Permanent
910-01.1	Medical Readiness-Speeches	NLN
910-01.2.a	Medical Readiness-Chairman Records	Permanent
910-01.2.b	Medical Readiness-Other Members	NLN
910-03.1	General Accounting Audits	See AI-15
910-03.2	Defense Audit Services	See AI-15
910-04.1	National Disaster Medical System-Agreements	6 years
910-04.3	National Disaster Medical System-Documents of Directorate Meetings	Permanent
910-04.4	National Disaster Medical System-Documents on Funding	5 years
910-04.5	National Disaster Medical System-Documents on Operations	Permanent
910-05	Exercises	NLN
910-06.1	International Affairs	Permanent
910-08	Military Medical Facilities	See AI-15
910-09.1	Mobilization Planning	Permanent
910-11.1	Nuclear, Biological, Chemical Warfare-Evaluations and Policies	Permanent
910-11.2	Nuclear, Biological, Chemical Warfare- Reference Materials	S/O/NLN
910-12.1	Planning, Programming, Budgeting System-Background Papers	Permanent
910-12.2	Planning, Programming, Budgeting System-Reference Documents	NLN
910-13	Reserve Affairs	NLN
911-01.1	TRICARE Files-Paper Records	7 years
911-01.3	TRICARE Files-Electronic Media	7 years
911-02	TRICARE Benefit Check Records	See AI-15
911-04	Appeals and Hearings Case Files-TRICARE	See AI-15
911-06.1	TRICARE Provider Authorization Files-Certification	See AI-15
911-06.2	TRICARE Provider Authorization-Health Facilities Registry Files	See AI-15
911-07	TRICARE Recoupment Files	6 years
911-08	Fraud & Abuse Files	6 years
911-09	TRICARE Litigation Files	6 years
911-10	TRICARE Legal Opinion Files	NLN
911-11	TRICARE Medical Care Grievance Case files	See AI-15
1101-04.1	Information Security	Permanent
1201-09.4.3	Procurement Files- Copies of Contracts	See AI-15
1201-09.6.a	Procurement Files-Requisitions and Bills	3 years
1201-14.a	Facility Records	Permanent
1202-01.b	Procurement Policy	See AI-15
1202-02.a	Procurement Management-Review Procedures	See AI-15
1202-02.b	Procurement Management-Progress Reports	See AI-15
1202-02.c	Procurement Management-Training Programs	See AI-15

Most Commonly Utilized Records Series Numbers List (Cont)

Series	Records Type	Disposition
1202-03	Procurement Analysis & Planning	See AI-15
1202-04.b	Small Business & Economic Utilization Policy-Correspondence	3 years
1202-05.b	Contract Administration Services-Monitoring Contracts	15 years
1202-07	Contract Support Services	15 years
1601-01.1	Electronic and CIO Records-Master Files	NLN
1601-01.b	Electronic and CIO Records-Updates	See AI-15
1601-01.c	Electronic and CIO Records-Electronic System Usage	NLN
1601-04	Permanent Electronic Records	See AI-15
1601-05	Data Files Consisting of Summarized Information	See AI-15
1601-10	Finding Aids and Indexes	NLN

Labeling Files

Commonly used abbreviations:

CFA	Current Files Area	RET	Retire
COFF	Cut off	REFP	Reference papers
DEST	Destroy	FRC	Federal Records Center
PERM	Permanent	WNRC	Washington National Records Center
PIF	Place in Inactive File		
TRF	Transfer		

Example:

1. The AI-15 includes the following information for 102-18 Congressional Correspondence:

102-18 Congressional Correspondence (NC1-330-79-1)

102-18.1 Correspondence of a routine nature with no historical value. Congressional inquires originated by Armed Forces personnel, the public, or members of Congress, that are forwarded to the OSD for reply. Examples include letters regarding the Office of Civilian Health and Medical Program of the Uniformed Services (OCHAMPUS) benefits for dependents, rejections for military service, requests for information about commissary privileges for retirees and retirement benefit programs, physician pay bonus program eligibility, and public inquires as to how and where military equipment can be purchased, discrimination complaints, and public inquires on Defense spending.

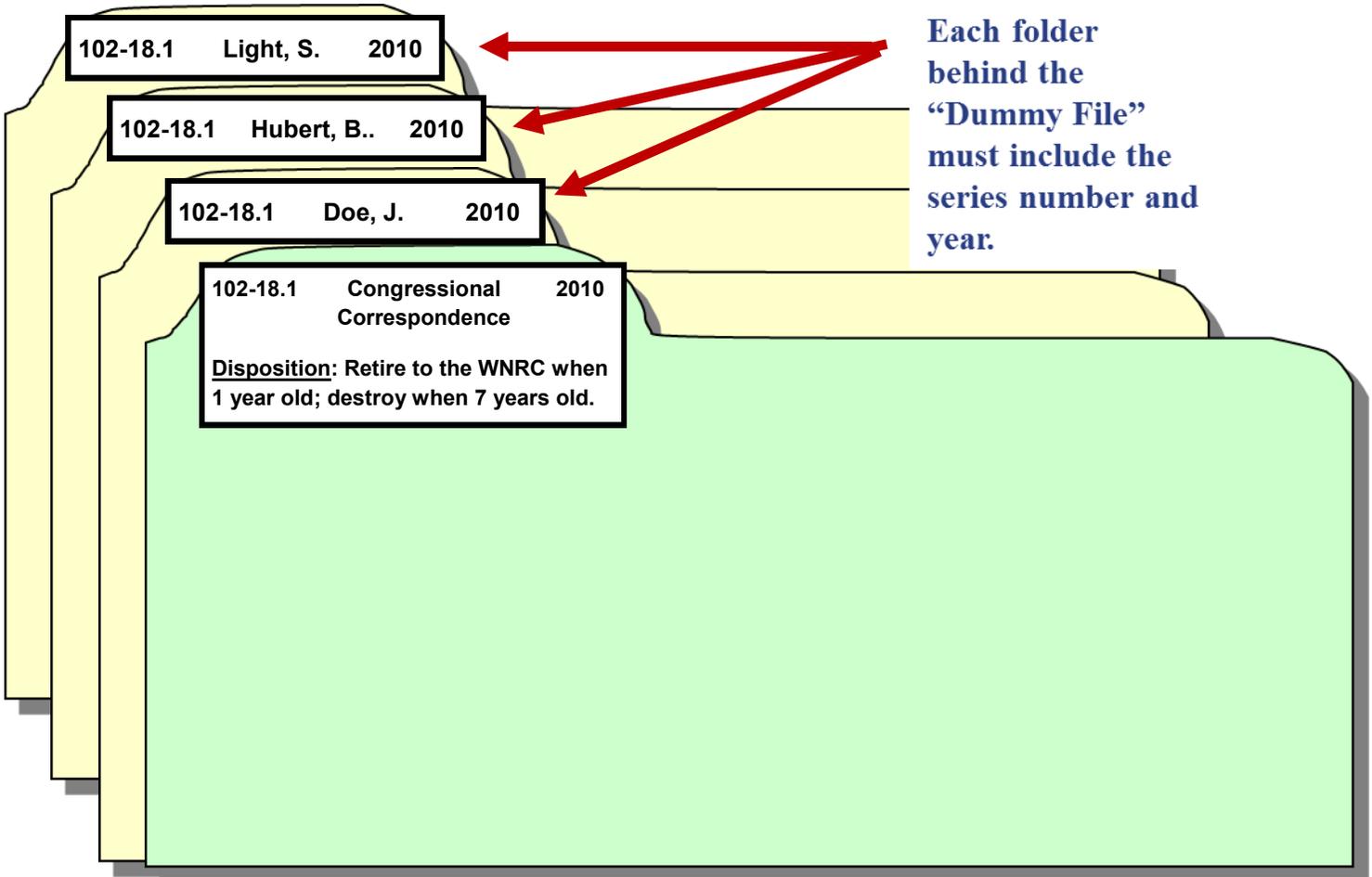
Disposition: Retire to the WNRC when 1 year old; destroy when 7 years old

2. The file label must contain the following information:

102-18.1 **Congressional Correspondence** **2005**
Walker, J
RET to the WNRC when 1 year old; DEST when 7 years old

- **Series number**
- **Series title**
- **Date (year file was created)**
- **Additional identifying information (name, contract #, etc.)**
- **Disposition Instructions**

3. Use a dummy file folder to simplify labeling when your office keeps multiple records under the same series number. Tape dummy file folders shut to prevent others from filing documents in that folder. Label each folder behind the dummy by its series number, description, and year:



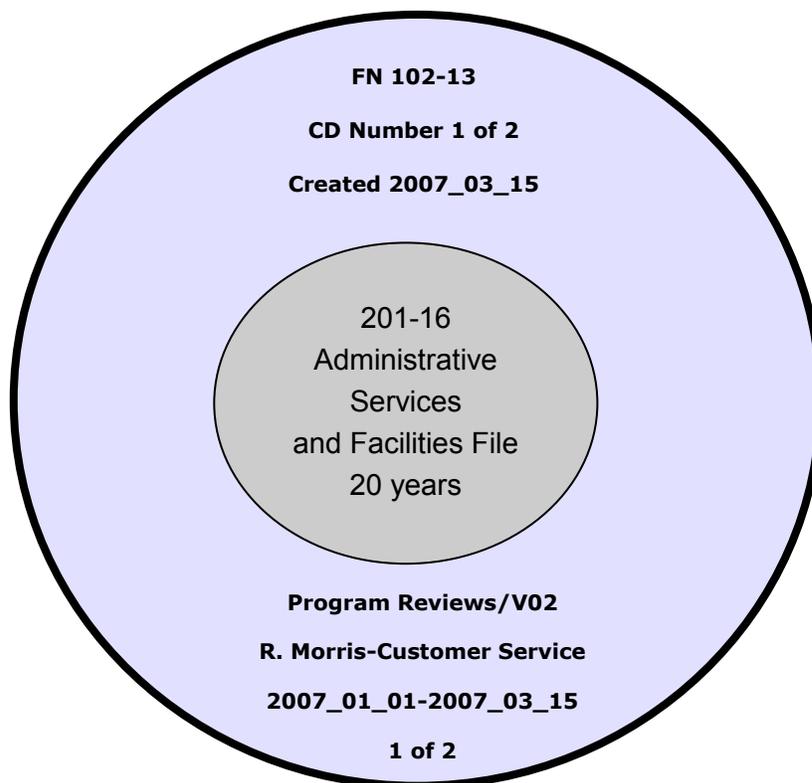
5. When labeling reference publications, include the reference material description, the series number, series title, and disposition:

<p>Administrative Instruction No. 15</p> <p>102-01</p> <p>Reference Publication Files</p> <p>DEST when superseded, obsolete, or NLN for reference</p>

7. Use the following chart when labeling CDs, DVDs, and other electronic material:

Name Elements	Example	Description of Need or Use
1. File Series Number	102-13	Facilitates document search and displays like documents in logical order
2. Title	Program Reviews	Facilitates document search and displays like documents in logical order
3. Version Number	V.02	Facilitates document search and displays like documents in logical order
4. Date (publication date, version date)	2007_03_15	Facilitates document search and displays like documents in logical order
5. Author or Creator	R. Morris	Identifies the controller of the document
6. Office Name	Customer Service	Identifies the controller of the document
7. Type (report, memo)	Memo	Identifies the controller of the document
8. Information Protection	Privacy Act Protected	Identifies documents with restrictions
9. Software Version	Microsoft 2003	Software and version used to create record
10. File Extension	.doc	Provided by application

Example:



HA/TMA Files Plan

Fill out the files plan accordingly:

- **Office of Record:** Your office or division
- **Name and Signature of Custodian:** Your name and signature
- **Initial Plan:** Check this box if you have NOT previously submitted a files plan
- **Supersedes Plan:** Check this box if you submitted a files plan the previous year and include the date of the last files plan
- **Date Prepared:** Date you prepared the files plan
- **HA/TMA Records Management Officer Approval and Date:** Leave blank
- **Series and Title:** The series numbers kept in your files, and their titles
- **Location:** The file station number, drawer number, or the shared drive location of the series
- **Media:** Check the box which most accurately describes the records
- **Vital Records:** Check if the records are vital (a vital record is any record critical to the operation of your day-to-day business that must be reproduced within the first two days after a disaster)
- **PHI or PII:** Check one or both boxes if applicable

HA/TMA Files Plan

Health Affairs/TRICARE Management Activity (HA/TMA) Files Plan

Office of Record: Administrative Records Office	Initial Plan: <input type="checkbox"/> (Does not replace previous plan)	Supersedes Plan: <input checked="" type="checkbox"/> Date: 3/1/2011	Date Prepared 03/18/2012
Name and Signature of Custodian: Ms. Cruz Riera		Date: 3/20/2012	
HA/TMA Records Management Officer Approval:			
Series and Title: 101-05 Office Record Locator File			
Location (if electronic, list drive location): Official File Station 1, Drawer 1			
Media: <input checked="" type="checkbox"/> Paper	<input type="checkbox"/> Electronic	<input type="checkbox"/> Other	Vital Records: <input type="checkbox"/> Yes
Records Contain: <input type="checkbox"/> PHI - Protected Health Information <input type="checkbox"/> PII - Personally Identifiable Information			
Series and Title: 101-07 Security Container Record Files			
Location (if electronic, list drive location): Official File Station 1, Drawer 1			
Media: <input checked="" type="checkbox"/> Paper	<input type="checkbox"/> Electronic	<input type="checkbox"/> Other	Vital Records: <input type="checkbox"/> Yes
Records Contain: <input type="checkbox"/> PHI - Protected Health Information <input type="checkbox"/> PII - Personally Identifiable Information			
Series and Title: 101-15 Office Service and Supply Files			
Location (if electronic, list drive location): Official File Station 1, Drawer 1			
Media: <input checked="" type="checkbox"/> Paper	<input type="checkbox"/> Electronic	<input type="checkbox"/> Other	Vital Records: <input type="checkbox"/> Yes
Records Contain: <input type="checkbox"/> PHI - Protected Health Information <input type="checkbox"/> PII - Personally Identifiable Information			
Series and Title: 102-05 Policy and Precedent Files			
Location (if electronic, list drive location): Official File Station 1, Drawer 1			
Media: <input checked="" type="checkbox"/> Paper	<input type="checkbox"/> Electronic	<input type="checkbox"/> Other	Vital Records: <input type="checkbox"/> Yes
Records Contain: <input checked="" type="checkbox"/> PHI - Protected Health Information <input checked="" type="checkbox"/> PII - Personally Identifiable Information			
Series and Title: 102-07 Non-policy Administration Files			
Location (if electronic, list drive location): Official File Station 1, Drawer 1			
Media: <input checked="" type="checkbox"/> Paper	<input type="checkbox"/> Electronic	<input type="checkbox"/> Other	Vital Records: <input type="checkbox"/> Yes
Records Contain: <input type="checkbox"/> PHI - Protected Health Information <input type="checkbox"/> PII - Personally Identifiable Information			

Records Transmittal & Receipt (SF-135)

Fill out the SF-135 accordingly:

- **Item 1:**

Aurora, TRICARE Regional Office (TRO)-West and TRO-South use the following address: Federal Records Center, Bldg 48, Denver Federal Center, Denver, CO 80225

Falls Church and TRO-North use the following address: Washington National Records Center, 4205 Suitland Road, Suitland, MD 20746-8001

- **Item 2:** OSD Records Administrator

- **Item 3:** The records custodian's information

- **Item 4:** Leave blank

- **Item 5:**

Aurora, TRICARE Regional Office (TRO)-West and TRO-South use the following address: Department of Defense, TRICARE Management Activity, Attn: Records Management, 16401 E. Centretech Parkway, Aurora, CO 80011

Falls Church and TRO-North use the following address: DoD/Washington Headquarters Services, Directives and Records Branch, 1155 Defense Pentagon, Washington, DC 20301-1155

- **Item 6:**

- a. The NARA record group number assigned to the records of the agency making the transfer
- b. The last two digits of the current fiscal year
- c. To be filled by the HA/TMA Records Management Support Team
- d. Total number of boxes (a standard-size box equals one cubic foot)
- e. Range of number of boxes (i.e., 1-5)
- f. The series description allows Records Center personnel to verify compliance with your records schedule. Include the series title, the closing date of the records, the organizational component that created the records, detailed box list, and disposition instructions. Indicate if the series of records is subject to the Privacy Act. The series description should not be subject to the Privacy Act since SF-135s are public records.

Records Transmittal & Receipt (SF-135)(cont)

- g. Code Restrictions
- Q** Security classification
 - T** Top Secret security classification
 - S** Secret security classification
 - C** Confidential security classification
 - R** Restricted use—witnessed disposal *not required* (specify in column (f))
 - W** Restricted use—witnessed disposal *required* (specify in column (f))
 - N** No restrictions
- h. The appropriate schedule identifier and item number in your agency records schedule, job number, or the General Records Schedule (GRS). For accountable officers' records, cite the appropriate item from GRS 6. Also, use the General Records Schedules (36 CFR 1228.42) when dealing with records common to most offices, including contracts, civilian personnel records, and travel and transportation records.
- Unscheduled Record Series:* Consistent with 36 CFR 1228.154(c)(vii), records centers can accept unscheduled record series that have a Request for Records Disposition Authority (SF-115) registered and pending with NARA's Life Cycle Management Division (NWML). Agencies should cite the pending job number, the date it was submitted to NARA, and the series item that corresponds to the transfers. Type "pending" in block 6h and attach a copy of the pending job number with the SF-135.
- i. Follow the instructions on your record schedule to compute the disposition date. Because disposal occurs quarterly (January, April, July, and October), advance the date to the beginning of the next calendar quarter to obtain the actual date of disposal. Permanent records are offered to NARA on an annual basis; no month is shown in the disposition date field. Place "P" after the offer year.
- Example:
- Records from FY 2005 with a five year retention:
- 9/2005 (date of record) + 5 years = 9/2010
- NARA does not destroy records in September, so adjust the date to the beginning of the next disposal month, which is October. The disposal date for this record is 10/2010.
- September 2005 (date of record)
- + 5 (retention period)
-
- September 2010 —> October 2010
- j. through m. To be completed by the Records Center

Creating a Box List

- When preparing records for shipment, create a box list for every accession of records
- Describe all folders in the accession by copying the "description" section of their file labels
- Create the list in the same order as the folders' placement in the boxes (alphabetical, chronological, numerical, or alphanumeric)
- Number the pages starting with #2, as the SF-135 will be #1

Example:

List each file folder by name/subject or date order

Box 1

1. Adams
2. Brooks
3. Carter
4. Davis
5. Dillard

or

Box 1

1. January
2. February
3. March
4. April
5. May

Box 2

1. Evans
2. Farrow
3. Gooden
4. Harris
5. Ignatius
6. Jackson
7. Keller

or

Box 2

1. June
2. July
3. August
4. September
5. October
6. November
7. December

After Shipment

Filing the SF-135

- The originating office prints out and staples together the SF-135 and box list and files both papers under “101-05 Office Record Locator Files”

Requesting Shipped Records

- If you need information from records that your office previously shipped to the WNRC, you have the option of recalling entire accessions, specific boxes, or specific folders
- Submit your request via email to: RecordsManagement@tma.osd.mil
- Request must include: Accession number, box number, file number, and file title
- If you choose to withdraw a file or box permanently, you can only return it as a new accession after submitting a new SF-135
- The WNRC will send you the requested material within 24—72 hours

Conclusion

- Thank you for taking the time to understand the integral components of records management
- Please remember that as a Federal employee or contractor, you are responsible for creating and maintaining trustworthy records in accordance with the Federal rules and regulations that govern records management
- Should you need any assistance, please contact the HA/TMA Records Management Support team via email at: RecordsManagement@tma.osd.mil or via phone at: (703) 921-1648 or (303) 676-3559