



# Department of Defense INSTRUCTION

NUMBER 6040.45  
October 28, 2010

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USD(P&R)

**SUBJECT:** Service Treatment Record (STR) and Non-Service Treatment Record (NSTR) Life Cycle Management

**References:** See Enclosure 1

1. PURPOSE. This Instruction:

a. Establishes policy and assigns responsibilities for STR and NSTR life cycle management in accordance with the authority in DoD Directive (DoDD) 5124.02 (Reference (a)).

b. Prescribes procedures for implementation of media-neutral STR and NSTR life cycle management (i.e., the creation, maintenance, use, and disposition) in the Department of Defense in accordance with chapters 29, 31, and 33 of title 44, United States Code (U.S.C.) (Reference (b)).

2. APPLICABILITY. This Instruction:

a. Applies to OSD, the Military Departments (including the Coast Guard at all times, including when it is a service in the Department of Homeland Security by agreement with that Department), the Office of the Chairman of the Joint Chiefs of Staff and the Joint Staff, the Combatant Commands, the Office of the Inspector General of the Department of Defense (IG DoD), the Defense Agencies, the DoD Field Activities, and all other organizational entities within the Department of Defense (hereafter referred to collectively as the "DoD Components").

b. Supersedes all conflicting guidance on STR and NSTR life cycle management within the Department of Defense.

3. DEFINITIONS. See Glossary.

4. POLICY. It is DoD policy that media-neutral STR and NSTR life cycle management requirements described in Reference (b), DoD Directive 5015.2 (Reference (c)), and References

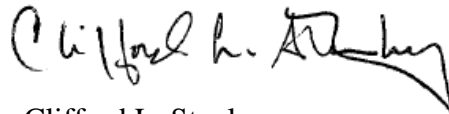
(d) through (x) are adhered to in addition to the DoD-specific requirements outlined in this Instruction.

5. RESPONSIBILITIES. See Enclosure 2.

6. PROCEDURES. The STR and NSTR life cycle management shall be a DoD Component responsibility. The detailed implementation requirements pertaining to the STR and NSTR life cycle management are provided in Enclosure 3.

7. RELEASABILITY. UNLIMITED. This Instruction is approved for public release and is available on the Internet from the DoD Issuances Website at <http://www.dtic.mil/whs/directives>.

8. EFFECTIVE DATE. This Instruction is effective upon its publication to the DoD Issuances Website.



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1. References
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ENCLOSURE 1

REFERENCES

- (a) DoD Directive 5124.02, "Under Secretary of Defense for Personnel and Readiness (USD(P&R))," June 23, 2008
- (b) Chapters 29, 31, and 33 and section 2901 of title 44, United States Code
- (c) DoD Directive 5015.2, "DoD Records Management Program," March 6, 2000
- (d) DoD 5015.2-STD, "Electronic Records Management Software Applications Design Criteria Standard," April 25, 2007
- (e) DoD 6025.18-R, "DoD Health Information Privacy Regulation," January 24, 2003
- (f) DoD Directive 5400.07, "DoD Freedom of Information Act (FOIA)," January 2, 2008
- (g) DoD Directive 5400.11, "DoD Privacy Program," May 8, 2007
- (h) DoD Instruction 6200.05, "Force Health Protection (FHP) Quality Assurance (QA) Program," February 16, 2007
- (i) DoD Instruction 6040.43, "Custody and Control of Outpatient Medical Records," June 10, 2004
- (j) Memorandum of Understanding Between Department of Defense (DoD) and Department of Veterans Affairs (VA), October 1995
- (k) Public Law 93-579, "The Privacy Act of 1974," as amended
- (l) Standard Form 115, N1-330-01-02, "Request for Records Disposition Authority," NARA, as approved January 30, 2002
- (m) DoD Instruction 5010.40, "Managers' Internal Control Program (MICP) Procedures," July 29, 2010
- (n) Public Law 110-181, "The National Defense Authorization Act for Fiscal Year 2008," January 28, 2008
- (o) Joint Publication 1-02, "Department of Defense Dictionary of Military and Associated Terms," as amended
- (p) DoD 8580.02-R, "DoD Health Information Security Regulation," July 12, 2007
- (q) DoD 5400.11-R, "Department of Defense Privacy Program," May 14, 2007
- (r) Administrative Instruction 15, "Office of the Secretary of Defense (OSD) Records Management Program – Administrative Procedures," April 18, 2008
- (s) Parts 1234 and 1228 of title 36, Code of Federal Regulations
- (t) Parts 160, 162, and 164 of title 45, Code of Federal Regulations
- (u) DoD Instruction 6025.18, "Privacy of Individually Identifiable Health Information in DoD Health Care Programs," December 2, 2009
- (v) DoD Instruction 1300.24, "Recovery Coordination Program," December 1, 2009
- (w) DoD Instruction 8260.04, "Military Health System (MHS) Support to DoD Strategic Analysis," December 18, 2009
- (x) DoD 7750.7-M, "DoD Forms Management Program Procedures Manual," May 14, 2008
- (y) DoD Directive 5136.01, "Assistant Secretary of Defense for Health Affairs (ASD(HA))," June 4, 2008
- (z) DoD Directive 5136.12, "TRICARE Management Activity (TMA)," May 31, 2001

ENCLOSURE 2

RESPONSIBILITIES

1. UNDER SECRETARY OF DEFENSE FOR PERSONNEL AND READINESS (USD(P&R)). The USD(P&R) shall:

- a. Prescribe the policies, requirements, and responsibilities for media-neutral STR and NSTR information life cycle management and the release of STR and NSTR information from the Department of Defense to other Federal agencies where records are shared or transferred, such as the Department of Veterans Affairs and other organizations authorized by law.
- b. Oversee the implementation of and compliance with this Instruction.

2. ASSISTANT SECRETARY OF DEFENSE FOR HEALTH AFFAIRS (ASD(HA)). The ASD(HA), under the authority, direction, and control of the USD(P&R), shall:

- a. Oversee the Director, TRICARE Management Activity, in the execution of programmatic and operational responsibilities in accordance with DoDD 5136.01 (Reference (y)).
- b. Develop and coordinate joint policy guidance and implementation instructions as needed.
- c. Facilitate transfer of STR information and/or data from the Military Services by granting system access to enterprise-wide systems to trusted agencies in support of Service members' and veterans' entitlement and benefits processing.
- d. Coordinate improvement and reengineering of STR and NSTR information management processes with the Secretaries of the Military Departments to enable efficient and effective business practices within the Department of Defense as needed.
- e. Ensure Director, DoD Medical Exam Review Board (DoDMERB) implements life cycle management of the medical qualification records, and/or medical information related to the Military Services accessions in accordance with the procedures detailed in Enclosure 3 of this Instruction.
- f. Participate in all existing interagency work groups to identify and address emerging issues associated with STR/NSTR management.

3. DEPUTY UNDER SECRETARY OF DEFENSE FOR MILITARY PERSONNEL POLICY (DUSD(MPP)). The DUSD(MPP), under the authority, direction, and control of the USD(P&R), shall ensure that the Commander, U.S. Military Entrance Processing Command, implements life cycle management of the medical qualification records, STR data (prior military

service), and/or medical information related to the Military Services accessions in accordance with the procedures detailed in Enclosure 3 of this Instruction.

4. IG DoD. The IG DoD, in addition to the responsibilities in section 5 of this enclosure, shall:

a. Monitor DoD Components' compliance with this Instruction and conduct inspections as deemed appropriate on the STR and NSTR life cycle management.

b. Provide inspection findings to the USD(P&R) and the Heads of the DoD Components.

5. HEADS OF THE DoD COMPONENTS. The Heads of the DoD Components shall establish an STR and/or NSTR Information Management Program that adheres to the standards prescribed in References (c) and (g) and procedures detailed in Enclosure 3 of this Instruction and include the following requirements to:

a. Create, maintain, use, and preserve STR and NSTR information and/or data regardless of media to support routine DoD business operations and mission.

b. Establish inventory, tracking, and access control with respect to STR and NSTR information and/or data in accordance with this Instruction and References (b), (c), and (d) through (u).

c. Institute security, ethical use, internal control, and accountability standards with respect to STR and NSTR information and/or data.

d. Retire STR and NSTR information and/or data to the National Archives and Records Administration (NARA) in accordance with the approved disposition schedules.

e. Ensure electronic systems containing STR and NSTR data and/or information have NARA-approved disposition schedules.

f. Provide resources; implement training and education to include proliferation of information on existing sources (paper and electronic) with respect to the STR and NSTR creation, maintenance, use, transfer and/or access, and disposition. The Health Insurance Portability and Accountability Act (HIPAA) pursuant to Reference (e) and Reference (k) (also known as and hereby referred to as "the Privacy Act") must be part of this training, to include the Military Service Out-Processing Centers.

6. SECRETARIES OF THE MILITARY DEPARTMENTS. The Secretaries of the Military Departments, in addition to the responsibilities in section 5 of this enclosure, shall:

a. Update the respective Military Service regulations in accordance with this Instruction.

- b. Ensure routine life cycle management of the STR and NSTR information and/or data within the Military Departments, including military academies, preparatory schools, supporting DoDMERB detachments, and Military Entrance Processing Stations in accordance with this Instruction and Reference (c).
- c. Make available copies of, or grant access to, the STR information and/or data upon written request by the Service member and other authorized users in accordance with References (e), (f), (g), and (k).
- d. Establish and resource to function as a liaison with other Federal agencies, including Department of Veterans Affairs, for STR and NSTR requests (active, reserve, National Guard, medical, dental, personnel).
- e. Standardize the use of the terms “Service Treatment Record” and “Non-Service Treatment Record” throughout the Military Service publications and forms.
- f. Review requests for transfer of ownership of STR information and/or data related to persons of exceptional prominence earlier than the cut-off in accordance with the NARA-approved disposition schedules.

7. DIRECTOR, TRICARE MANAGEMENT ACTIVITY. The Director, TRICARE Management Activity shall establish a centralized Patient Administration (PAD) office to implement a formal joint STR/NSTR Management Program in coordination with the Military Departments to monitor performance and compliance with, and containing the minimum core elements in accordance with Reference (c) and DoD Directive 5136.12 (Reference (z)).



ENCLOSURE 3

PROCEDURES

1. STANDARD STR CONTENT. The standard STR content list included in Tables 1 and 2 in the appendix to this enclosure are not all-inclusive. All essential medical, dental, and mental health documentation required to ensure continued medical, dental, and mental health care given to a Service member during their military service should remain in the STR. Mental health assessment instruments and process notes may be kept in a restricted mental health record. Medical X-ray films and associated radiology results are considered to be part of the standard STR content; however, due to storage concerns, the medical X-ray films will be forwarded to National Personnel Records Center (NPRC) for storage. The integrity of the STR information will remain intact where stored, even though the X-ray films are stored separately. Dental radiographs that are films or have been printed out will remain stored in the dental record portion of the STR. As enterprise-wide systems become available in the Department of Defense, the STR information will be in electronic format with global access to documents and images generated during the health care delivery process. Sample Defense Department (DD), Standard Forms (SF), and Service-specific forms are provided in the appendix to this enclosure.

2. STR AND NSTR LIFE CYCLE MANAGEMENT. The STR and NSTR shall be created, maintained, used, transferred, and disposed in compliance with References (b), (c), (d) through (x), any other applicable NARA disposition schedules, and the joint STR/NSTR Management Program. The standard information content of the STR shall contain applicable documents, forms, and/or their electronic equivalents and serve as the minimum core set of STR information. The information content of the NSTR shall be in accordance with the respective Military Service instructions and References (b), (e), (f), (g), and (l). The requirements for handling health records shall be in accordance with References (b), (c), (d) through (x) and procedures and requirements outlined in this Instruction. The standard STR set of documentation is identified in Tables 1 and 2 of this enclosure. The NSTR content shall be governed in accordance with Service-specific instructions.

a. STR and NSTR Initiation Requirements

(1) The STRs shall be created by the sponsoring Military Service's Reception/Training Center using the Applicants' Record Packet (with the entrance physical examination) after accession and transferred to the member's servicing medical treatment facility (MTF) at his or her permanent duty station.

(2) The initiated STR shall contain at a minimum: an entrance physical examination, vaccination records, DD Form 2766, "Adult Preventive and Chronic Care Flowsheet," SF 600, "Medical Record - Chronological Record of Medical Care," SF 603, "Medical Record - Dental," and SF 603A, "Medical Record - Dental - Continuation."

(3) The NSTR shall be created at the first treatment facility where a non-Service member receives treatment.

b. STR and NSTR Maintenance Requirements

(1) The STR and NSTR shall be maintained in compliance with Service-specific regulations and retained in a secure location with access granted only to authorized personnel in compliance with requirements in accordance with References (b), (c), (d), (e), (g), (h), (i), (k), (p) through (x), and respective Service-specific regulations.

(2) All outpatient records (STRs and NSTRs) shall be reviewed for completeness and compliance with this enclosure. All records shall be reviewed for quality assurance and control in accordance with requirements in Reference (h) and applicable Service-specific regulations.

(3) Periodic evaluation of the records' reviews shall also be conducted to ascertain effectiveness and efficiency of review operations per Service-specific regulations.

(4) All loose and late flowing documentation shall contain adequate patient identification information and be integrated with the original STRs and NSTRs as quickly as possible and at least on a monthly basis.

(5) Annual reviews by the Military Departments, to include their respective Guard and Reserve Components, shall be conducted with the Service member to ensure completeness of their STR (e.g., Military Service's Reception/Training Center, first duty station, permanent change of station (PCS) or assignment, unit changes, deployment, mobilization, demobilization, and retirement, discharge, or end of active obligated service as applicable).

(6) Procedures shall be in place to prevent backlogs and to clear any backlog accumulations that do occur (STRs, NSTRs, and late flowing and loose documentation) at each MTF or any other location within 30 business days after identification of the backlog.

c. Accountability and Audit Trail Requirements

(1) Accountability Mechanisms

(a) All MTFs and dental treatment facilities (DTFs) shall track the availability and movement of the STR and NSTR (e.g., Composite Health Care System I (CHCS I) Medical Record Tracking). A manual tracking mechanism (or electronic equivalent) shall be established in the absence of a system at the treatment facility for inventory. Performance measures for the availability of records are established in Reference (h). Associated business practices and processes shall provide accountability and be transparent and accessible for strategic analysis in accordance with Reference (w).

(b) The military personnel community shall regularly provide a roster of all assigned personnel to the MTFs and DTFs for validating availability of records of all accountable individuals at an installation and in support of annual records reviews by the MTFs and DTFs.

(c) All MTFs and DTFs shall conduct annual records reviews for internal control, accuracy, and accountability for paper records.

(d) Other inspections from the IG DoD and/or the Services' Inspector Generals shall be conducted as deemed appropriate to review the STR and NSTR life cycle management processes and recommend improvements as needed.

(2) Audit Trail Requirements

(a) A standard charge-out form (or electronic equivalent) shall be used to track the physical location and/or possession of the medical, dental, and mental health records.

(b) In the event of system downtime, a charge-out form (or electronic equivalent) shall be used to track and account for records transfer and/or movement to other affiliated clinics.

d. STR and NSTR Metrics Requirements

(1) MTFs and DTFs shall maintain monthly statistics and compute monthly averages by using the applicable system (e.g., CHCS I Overdue Records List report) or other like method to determine accountability of medical, dental, and mental health records for each records room and aggregate the overall MTF/DTF average.

(2) MTFs and DTFs shall maintain metrics on numbers of medical, dental, and mental health records (including STRs and NSTRs) transferred along with their identification, and the transfer locations for accountability purposes.

(3) Procedures shall be implemented to prevent backlog accumulations and to clear any backlog accumulations (medical, dental, and mental health records, STRs, NSTRs, and associated late flowing and loose documentation) that do occur within 30 business days after identification of the backlog. MTFs and DTFs shall maintain metrics on the numbers of medical, dental, and mental health records and loose elements merged and/or cleared (if backlogs exist) on a monthly basis.

(4) The Military Service Personnel Out-Processing Centers (or a designated equivalent entity by the Service) shall implement procedures to track the date of transfer of STRs, the location to which the STRs are transferred, and receipt data. This tracked record shall be maintained so long as the record exists.

(a) Pre- Transfer Requirements

1. MTF, DTF, and branch clinics personnel shall conduct checks to ensure completeness of medical, mental health, and dental records at the MTFs and DTFs respectively in preparation for transfer. Quality control checks shall be conducted to ensure completeness via a MTF/DTF level checklist prior to transfer.

2. Prior to transfer, all records shall be confirmed subject to annual records reviews to ensure documentation from all encounters during the member's life cycle (Military Service Reception/Training Centers, PCS or unit assignment changes, deployment, mobilization, demobilization, and prior to retirement/discharge or end of obligated service) is included.

3. All TRICARE civilian doctor consult results documentation shall be included in the member's STR within industry standards.

4. DTFs shall provide the member's complete dental records to the appropriate Military Service Personnel Out-Processing Centers (or a designated equivalent entity by the Service) within 30 business days of member's retirement, discharge, or end of active obligated service.

5. MTFs and DTFs shall implement procedures to ensure STRs contain a complete history of documented healthcare, including healthcare documented from the EHR (CHCS I, AHLTA) systems, TRICARE network, and dental system of record prior to transfer.

6. Such procedures shall remain in use until electronic information accesses are established among the Department of Defense, Department of Veterans Affairs (VA), and NARA.

7. MTF personnel shall provide a copy of the STR in response to a written request by the member.

8. MTF and DTF personnel shall certify (using certification letter, see the template provided) that attempts have been made to ensure the STR is as complete as possible and includes the minimum forms listed in subparagraph 2.a.(2) of this enclosure. MTF personnel shall transfer the complete STR to the Military Service Personnel Out-Processing Center (or a designated equivalent entity by the Service), no later than 30 business days after the member's retirement, discharge, or end of active obligated service.

9. MTF personnel shall validate whether the member has separated from the Service before officially transferring the STR along with the loose and late flowing medical documentation to the Military Service Personnel Out-Processing Centers (or a designated equivalent entity by the Service).

(b) Transfer Requirements

1. The MTFs/DTFs shall not transfer any original STR or components thereof directly to the VA.

2. The Military Service Personnel Out-Processing Centers (or a designated equivalent entity by the Service) shall transfer the MTF and DTF certified as complete as possible STRs to VA.

3. In general, with the advent of electronic health records (EHRs) and associated data storage, the electronic data (a beneficiary's EHR/STR/NSTR) may exist in: a) a central data repository; or b) may be distributed among a series of databases either regional or national. The need to formally close out and transfer the electronic information may not be applicable with respect to PCS moves, and other applicable trigger points in the case of EHRs. In the case of EHRs, if the gaining facility has the means to view and enter the beneficiary's data into the EHR, then the requirement to close out the beneficiary's EHR/STR/NSTR will be limited to those items not in the EHR.

(5) STR Transfer

(a) Upon PCS of the active duty member, the STR and NSTR of family members (if accompanying and as applicable) shall be forwarded to the MTF at the gaining installation, within the continental United States (CONUS) and outside the continental United States (OCONUS) locations. MTF staff shall implement procedures to ensure only complete medical and dental records or components thereof will be incorporated into the complete STR. Upon PCS, the late flowing loose documentation will also be forwarded to the gaining MTF of the Service member and family member.

(b) Upon retirement, discharge, or end of active obligated service of the active duty member, the MTF and DTF shall transfer a certified complete STR packet to the applicable Service's Military Personnel Out-Processing Centers (or a designated equivalent entity by the Service), which are responsible for final transfer of the STRs to VA.

(c) The Military Service Personnel Out-Processing Centers (or a designated equivalent entity by the Service) shall insert a copy of DD Form 214, "Certificate of Release or Discharge from Active Duty" (and DD Form 215, "Correction to DD Form 214, Certificate of Release or Discharge from Active Duty," if applicable) or an approved separation document and use a standard DoD transmittal sheet (see Figure 1 in the Appendix to this enclosure) to transfer the complete STR based on MTF and DTF certification.

(d) Upon retirement, discharge, or end of active obligated service, and no later than 15 business days after receipt from the MTF and DTF, the Military Personnel Out-Processing Centers (or a designated equivalent entity by the Service) shall transfer the Service member's STR to the VA at the VA Records Management Center (VA RMC), St. Louis, Missouri, if the member is not applying for VA benefits. If the member has applied or plans to apply for VA benefits, then the STR of the member shall be transferred to the Veterans Affairs Regional Office (VARO) of jurisdiction in relation to the member's residence after retirement, discharge, or end of active obligated service.

(e) In the case of the Reserve Component member who does not separate from Service, but applies or plans to apply for VA benefits, a copy of the STR shall be sent to the VARO of jurisdiction in relation to the member's residence. The original STR shall be maintained at their Permanent Duty Station, Reserve, or Guard unit as applicable.

(f) The Military Service Personnel Out-Processing Centers (or a designated equivalent entity by the Service) shall receive VA acknowledgement of receipt of shipment.

e. Requirements for Transferring Late Flowing and Loose STR Documentation

(1) MTF personnel are responsible for ensuring all late flowing and loose documentation containing member's identification information be placed in a medical records jacket and certified as complete as of the date of transfer of the STR documentation, that the Service member has separated from the Service, and that the certified STR is transferred to the relevant Military Service Personnel Out-Processing Centers (or a designated equivalent entity by the Service).

(2) A cover letter certifying the enclosed late flowing and loose documentation shall be inserted into each medical records jacket per samples provided in Figures 2 through 7 of the Appendix to this enclosure.

(3) The box and/or envelope containing the medical records jacket with the late flowing and loose STR documentation, the cover letter, and the standard transmittal sheet (see Figure 8 of the Appendix to this enclosure) shall be transferred to VA RMC by the Military Service Personnel Out-Processing Center (or a designated equivalent entity by the Service) as follows:

(a) If the STR documentation is sent via courier service, the address to be used is:

Department of Veterans Affairs  
Records Management Center  
4300 Goodfellow Boulevard, Building 104N  
St. Louis, MO 63120

(b) If the STR documentation is sent via United States Postal Service, the address to be used is:

Department of Veterans Affairs  
Records Management Center  
P.O. Box 5020  
St, Louis, MO 63115

(c) If the STR was originally sent to a VARO, then the associated late flowing and loose STR documentation shall be sent to the VARO where the veteran's claim is being processed.

f. Transfer of NSTR to the NPRC

(1) The NSTR shall be transferred to the NPRC, Valmeyer, Illinois, after an index is created via the applicable system (e.g., CHCS I).

(2) All member and other beneficiaries' inpatient and/or clinical records (treatment documentation related to care received in a MTF/DTF with an overnight stay; not STR and NSTR) shall be transferred to the NPRC, Valmeyer, Illinois, by all DoD Components (see Table 6 of the Appendix to this enclosure).

(3) The NSTR shall be transferred to the NPRC 2 years after the end of the calendar year of the last date of treatment.

(4) The NSTRs of retirees, foreign nationals, contractors (supporting contingency operations), civilian humanitarian, disenrollees from Reserve Officer Training Corps (ROTC), and civilian employees (supporting contingency operations) shall be transferred per Reference (l).

g. Requirements Specific to the Transition of Recovering Service Members

(1) Services shall establish procedures for transmittal of records and any other required information from the Department of Defense to the VA on each transitioning recovering Service member in accordance with requirements in section 1614 of Reference (n) and Reference (v).

(2) Services shall establish a process for the transitioning Service member (or an individual legally recognized to make medical decisions on behalf of the Service member) to authorize the transfer of the member's medical records from the Department of Defense to the VA.

(3) Services shall establish a process to ensure that a meeting regarding the transmittal of records and other information occurs among the Service member, appropriate family members of the Service member, representatives from the member's Military Service, and the VA with at least 30 business days advance notice of the meeting given to the Service member unless the Service member waives the advance notice requirement to accelerate transmission of the Service member's records and other information to the VA.

h. Requesting STRs From the VA

(1) Military Services mobilization commands, personnel commands, medical commands, and recruiters may directly request original STRs from the VA in accordance with the agreed-upon time in the memorandum of agreement. Requests shall be made directly to the VA via the VA Web site or in writing with a signed authorization (DD Form 2870, "Authorization for Disclosure of Medical or Dental Information") from the veteran for release of information.

(2) The requestor shall specify clearly on the request as "Medical Evaluation Board (MEB)/Physical Evaluation Board (PEB)" request for records, or other records review, or other reason, as applicable.

i. Requirements for Decedent STR Transfer From CONUS and OCONUS Areas and Contingency Operations

(1) A deceased Service member's original STR shall be transferred to the Armed Forces Medical Examiner System (AFMES) at Dover, Delaware, when the decedent is autopsied at the Dover Port Mortuary or by an Armed Forces Medical Examiner within CONUS or OCONUS. The original STR is used to facilitate forensic investigations.

(2) The AFMES shall transfer the decedent STR to the VA RMC within 60 business days after the receipt of the STR. STRs received by the AFMES after the autopsy case has been finalized will be transferred to the VA RMC within 2 weeks of receipt.

(3) In case of decedents where the autopsy is not performed at the Dover Port Mortuary or by an Armed Forces Medical Examiner, the original STR currently goes to the Casualty Affairs office, which eventually transfers the records to the VA RMC.

j. Requirements for STR Documentation Transfer From Theater and Contingency Operations

(1) The Military Services shall develop, publish, and implement procedures to integrate the medical, dental, and mental health care documentation generated at all theaters of operation and contingency operation locations with the member's medical, dental, and mental health records (and STR, if applicable) located at their permanent duty station, Reserve, and Guard units.

(2) Any paper medical, dental, and/or mental health records generated at all theaters and contingency operation locations shall be collected and transferred to the Deployment Medical Records Processing Center, Patient Administration Systems and Biostatistics Activity, Fort Sam Houston, Texas, for scanning and made available as images in the short term. The paper elements shall also be integrated with the member's medical, dental, and mental health records (and STR, if applicable) located at their permanent duty station, and Reserve, and Guard units until the record is accessible in electronic medium.

k. Requirements for Transfer of Medical X-Ray Films. The MTF personnel shall transfer the medical X-ray films in accordance with the NARA-approved disposition schedule.

l. Requirements for Transfer of STRs From the VA When VA No Longer Has a Business Need. Once the VA no longer has a business need for the STR, the STRs shall be transferred in accordance with the NARA-approved disposition schedule.

m. Requirements for Communication Between the Military Services and VA RMC

(1) The Military Services shall participate in the VA RMC-requested teleconferences to facilitate resolution of STR issues.

(2) The Military Services and the VA shall send and receive acknowledgements each time STR shipments are sent and received, identifying the list of STRs sent to the VA.



APPENDIX TO ENCLOSURE 3DOCUMENTATION REQUIREMENTS AND SAMPLESTable 1. Standard STR Content-Medical

MEDICAL RECORDS AND ELECTRONIC EQUIVALENTS	DESCRIPTION
DD Form 689	Individual Sick Slip
DD Form 741	Eye Consultation
DD Form 771	Eyewear Prescription
DD Form 792	Twenty-Four Hour Patient Intake and Output Worksheet
DD Form 877	Request for Medical/Dental Records or Information
DD Form 1141	Record of Occupational Exposure to Ionizing Radiation
DD Form 1289	Prescription Form
DD Form 1380	U.S. Field Medical Card
DD Form 2005	Privacy Act Statement – Health Care Records
DD Form 2064	Certificate of Death Overseas
DD Form 2214	Noise Survey
DD Form 2214C	Noise Survey (Continuation Sheet)
DD Form 2215	Reference Audiogram
DD Form 2216	Hearing Conservation Data
DD Form 2239	Consent for Medical Care and Transportation in the Aeromedical Evacuation System
DD Form 2341	Report of Animal Bite – Potential Rabies Exposure
DD Form 2482	Venom Extract Prescription
DD Form 2489	Farnsworth Lantern and Red/Green Color Vision Tests
DD Form 2492	DoD Medical Examination Review Board Report of Medical History
DD Form 2493-1	Asbestos Exposure, Part 1
DD Form 2493-2	Asbestos Exposure, Part 2
DD Form 2541	Diagnostic Evaluation Program for the Handicapped
DD Form 2569	Third Party Collection Program – Record of Other Health Insurance (needed for DoD business only)
DD Form 2813	DoD Active Duty/Reserve Forces Dental Examination

Table 1. Standard STR Content-Medical, Continued

MEDICAL RECORDS AND ELECTRONIC EQUIVALENTS	DESCRIPTION
DD Form 2161	Referral for Civilian Medical Care
DD Form 2697/SF 78	Report of Medical Assessment (Separation Physical Examination)
DD Form 2766	Adult Preventive and Chronic Care Flowsheet
DD Form 2766C	Adult Preventive and Chronic Care Flowsheet – Continuation Sheet
DD Form 2770	Abbreviated Medical Record (a copy as a narrative summary of hospital short stay and same day surgery filed)
DD Form 2872-1 Test	Health Survey
DD Form 2795	Pre-Deployment Health Assessment Questionnaire
DD Form 2796	Post-Deployment Health Assessment
DD Form 2807-1	Report of Medical History
DD Form 2807-2	Medical Prescreen of Report of Medical History
DD Form 2808	Medical Record – Report of Medical Examination
DD Form 2871	Request for Restriction of Information
DD Form 2870	Authorization for Disclosure of Medical and Dental Information
DD Form 2900	Post-Deployment Health Reassessment
SF 502	Medical Record – Narrative Summary
SF 503	Medical Record – Autopsy Protocol
SF 509	Medical Record Progress Notes/(when used as a discharge summary); ‘copy’ included
SF 513	Medical Record Consultation Sheet
Electronic	Laboratory Reports (Clinical Record)
SF 515	Medical Record – Tissue Examination
SF 516	Clinical Record – Operation Report
SF 525	Medical Record – Radiation Therapy Summary
SF 528	Medical Record – Muscle Function by Nerve Distribution: Face, Neck
SF 529	Medical Record – Muscle Function by Nerve Distribution: Trunk and Lower Extremity
SF 530	Medical Record – Neurological Examination
SF 543	Contributor’s List of Pathologic Material
OF 517	Clinical Record – Anesthesia
SF 519B	Radiologic Consultation Request/Report (Radiology/Nuclear Medicine/Ultrasound/Computed Tomography Examinations)

Table 1. Standard STR Content-Medical, Continued

MEDICAL RECORDS AND ELECTRONIC EQUIVALENTS	DESCRIPTION
SF 522/OF 522	Medical Record – Request for Administration of Anesthesia and Performance of Operations and Other
SF 523	Medical Record – Authorization for Autopsy
SF 527	Medical Record – Group Muscle Strength, Joint R.O.M. Girth and Length Measurements
SF 531	Medical Record – Anatomical Figure
SF 533	Medical Record – Prenatal and Pregnancy
SF 541	Medical Record – Gynecologic Cytology
SF 550	Medical Record – Urinalysis
SF 551	Medical Record – Serology
SF 557	Medical Record – Miscellaneous
SF 558	Medical Record – Emergency Care and Treatment (Rev 9-96)
SF 559	Medical Record – Allergen Extract Prescription New and Refill
SF 600	Medical Record – Chronological Record of Medical Care
SF 601/PHS-731 (CG)	Immunization Record
SF 602	Medical Record – Serology Record
OF 275	Medical Record Report
OF 520	Electric Cardiographic Record
OF 523B	Medical Record – Authorization for Tissue Donation
Other	Medical documentation from civilian care as deemed necessary

Table 2. Standard STR Content-Dental

Dental Records and Electronic Equivalents	Description
DD 200	Financial Liability Investigation of Property Loss
Not Applicable	Dental Panographs
DD Form 689	Individual Sick Slip
DD Form 2005	Privacy Act Statement – Health Care Records
DD Form 2322	Dental Laboratory Work Authorization

Table 2. Standard STR Content-Dental, Continued

<b>Dental Records and Electronic Equivalents</b>	<b>Description</b>
DD Form 2813	Department of Defense Active Duty/Reserve Forces Dental Examination
SF 509	Medical Record – Progress Report (Discharge only)
SF 513	Medical Record – Consultation Sheet
SF 515	Medical Record – Tissue Examination
OF 517	Medical Record – Anesthesia
SF 522/OF 522	Request for Administration of Anesthesia and for Performance of Operations and other procedures
SF 603	Medical Record – Dental
SF 603A	Medical Record – Dental Continuation
Other	Dental documentation from civilian care as deemed necessary

Table 3. Standard STR Content-Cancelled or Obsolete

<b>Cancelled/Obsolete Medical Records</b>	<b>Description</b>
DD Form 2368	DoD Medical Examination Review Board Service Academy/ROTC Medical Qualification
DD Form 2369	DoD Medical Examination Review Board Cytoplegic Refraction
DD Form 2370	DoD Medical Examination Review Board Three Day Blood Pressure and Pulse Check
DD Form 2371	DoD Medical Examination Review Board Update of Applicant's Medical Examination
DD Form 2372	DoD Medical Examination Review Board Statement of Present Health
DD Form 2373	Notification of Failure to Appear for Service Academy/ROTC Medical Examination (PAS)
DD Form 2374	DoD Medical Examination Review Board Heart Murmur Evaluation
DD Form 2375	DoD Medical Examination Review Board Pulmonary Function Studies
DD Form 2376	DoD Medical Examination Review Board Supplemental Statement of Medical History

Table 3. Standard STR Content-Cancelled or Obsolete, Continued

Cancelled/Obsolete Medical Records	Description
DD Form 2377 (replaced by 2489)	DoD Medical Examination Review Board Red/Green Color Vision Test
DD Form 2378	DoD Medical Examination Review Board Statement of History Regarding Headaches
DD Form 2379	DoD Medical Examination Review Board Statement of History Regarding Head Injury
DD Form 2380	DoD Medical Examination Review Board Statement of History Regarding Sleepwalking
DD Form 2381	DoD Medical Examination Review Board Statement of History Regarding Motion Sickness
DD Form 2382	DoD Medical Examination Review Board Statement of History Regarding Allergies
DD Form 2383	DoD Medical Examination Review Board Statement of Use Regarding Medication
DD Form 2404	DoD Child and Spouse Abuse Report
DD Form 2480	DoD Medical Examination Review Board Report of Dental Examination (PAS)
DD Form 2486	Child/Spouse Abuse Incident Report
SF 88	Report of Medical Examination
SF 89	Report of Medical History
SF 93	Report of Medical History
SF 514	Laboratory Reports (Clinical Record)
SF 519	Medical Record – Radiographic Reports
SF 519A	Radiographic Report
SF 524	Medical Record – Radiation Therapy
SF 545	Laboratory Report Display
SF 546	Chemistry I
SF 547	Chemistry II
SF 548	Chemistry III (Urine)
SF 549	Hematology
SF 552	Parasitology
SF 553	Microbiology I
SF 554	Microbiology II
SF 555	Spinal Fluid
SF 560	Medical Record – Electroencephalogram Request and History
<p>The forms in Table 3 have been CANCELLED, ARE OBSOLETE, or are currently not used for routine business operations. The cancelled, obsolete, or not used forms will continue to be part of the Service member's STR over time since the paper STR is a chronological record. In addition to the DD and SF, the Service-specific forms in Table 4 are used by each Service and retained in the STR. *Some of these forms may no longer be used, but may be retained in older STRs.</p>	

Table 4. Standard STR Content-Medical Records by Service

Service	Medical Records	Description
Army	Department of the Army (DA) Form 3349	Physical Profile
	DA Form 3365	Authorization for Medical Warning Tag
	DA Form 3443	Terminal Digit-X-Ray Film Preserver
	DA Form 3443-X	Terminal Digit-X-Ray Film Negative Preserver (Loan)
	DA Form 3443-Y	Terminal Digit-X-Ray Film Negative Preserver (Insert) Repl DA Forms
	DA Form 3443-Z	Terminal Digit-X-Ray Film Negative Preserver (Report Insert)
	DA Form 3647	Inpatient Treatment Record Cover Sheet
	DA Form 3705	Receipt for Dental Records
	DA Form 3824	Urologic Examination
	DA Form 3888	Medical Record – Nursing History and Assessment
	DA Form 3888-2	Medical Record – Nursing Care Plan
	DA Form 3888-3	Medical Record – Nursing Discharge Summary
	DA Form 4006	Field Medical Record Jacket
	DA Form 4028	Prescribed Medication
	DA Form 4108	Register of Operations
	DA Form 4221	Diabetic Record
	DA Form 4256	Doctors' Orders
	DA Form 4254	Request for Private Medical Information
	DA Form 4359-R	Authorization for Psychiatric Service Treatment
	DA Form 4678	Therapeutic Documentation Care Plan (Medications)
	DA Form 4700	Medical Record-Supplemental Medical Data
	DA Form 4876	Request and Release of Medical Information to Communications Media
	DA Form 5007A	Medical Record – Allergy Immunotherapy Record
DA Form 5007B	Medical Record – Allergy Immunotherapy Record	
DA Form 5008	Telephone Medical Advice/Consultation Record	

Table 4. Standard STR Content-Medical Records by Service, Continued

Service	Medical Records	Description
	DA Form 5009	Release Against Medical Advice
	DA Form 5181	Screening Note of Acute Medical Care
	DA Form 5569	Isoniazid (INH) Clinic Flow Sheet
	DA Form 5570	Health Questionnaire for Dental Treatment
	DA Form 7095	ASAP Outpatient Discharge Summary
	DA Form 7096	ASAP Outpatient Aftercard Plan
	DA Form 7097	ASAP Outpatient Problem List and Treatment Plan Review
	DA Form 7098	ASAP Outpatient Treatment Plan and Review
	DA Form 7099	ASAP Outpatient Biopsychosocial Evaluation
	DA Form 7389	Medical Record-Anesthesia
	DA Form 8000	ASAP Triage Instrument (For Unscheduled Patients)
	DA Form 8001	Limits of Confidentiality
	DA Form 8002	ASAP Outpatient Administrative Summary
	DA Form 8003	Army Substance Abuse Program (ASAP) Enrollment
	DA Form 8004	Army Substance Abuse Program (ASAP) Outpatient Medical Records-Privacy Act Information Feb 2003 AR 40-66
	DA Form 8005	Outpatient Medical Record, Series 0-9
	DA Label 162	Emergency Medical Identification Symbol
<b>Navy</b>	Bureau of Medicine and Surgery (BUMED) 6110/1	Physical Qualification Status Letter
	BUMED 6110/2	Action Letter on Physical Examinations
	BUMED 6110/3	Medical Review Action Sheet
	OF 522	Medical Record- request for Administration of Anesthesia and For Performance of Operations
	OPNAV 5100/14	Exposure Monitoring Plan
	Navy Personnel (NAVPERS) 1000/1	Pseudofolliculitis Barbae (PFB) Shaving Waiver/Evaluation/Disposition
	Navy Medicine (NAVMED) 1300/1	Medical, Dental, and Educational Suitability Screening for Service and Family Members
	NAVMED 1300/2	Medical, Dental, and Educational Suitability Screening Checklist & Worksheet
	NAVMED 1300/3	Medical Assignment Screening
	Naval Operations (OPNAV) 5211/9	Accounting Form
	NAVMED 6000/2	Chronological Record of HIV Testing
	NAVMED 6000/3	Roster for HIV Antibody Testing

Table 4. Standard STR Content-Medical Records by Service, Continued

Service	Medical Records	Description	
Navy	NAVMED 6000/5	Medical Record – Supplemental Medical Data	
	NAVMED 6100/1	Medical Board Report Cover Sheet	
	NAVMED 6100/2	Medical Board Statement of Patient	
	NAVMED 6100/3***	Medical Board Certificate Relative to a PEB Hearing	
	NAVMED 6100/4	Medical Board Certificate Relative to Counseling on Refusal of Surgery and/or Treatment	
	NAVMED 6100/5	Abbreviated Temporary Limited Duty (TLD) Medical Board Report	
	NAVMED 6100/6	Return of a Patient to Medically Unrestricted Duty From Limited Duty	
	NAVMED 6120/1	Competence for Duty Examination	
	NAVMED 6120/2	Officer Physical Examination Questionnaire	
	NAVMED 6120/3	Annual Certificate of Physical Condition	
	NAVMED 6150/1**	Record of Physical Qualification, Special Training & Periodic Exams for Performance of Special Duty	
	NAVMED 6150/2	Special Duty Medical Abstract	
	NAVMED 6150/4	Abstract of Service & Medical History	
	NAVMED 6150/41	Authorization for Disclosure of Medical or Dental Information	
	Navy Medicine (NAVMED) 6150/4	Abstract of Service and Medical History	
		NAVMED 6200/1	Blood Lead Level Reporting Form
		NAVMED 6230/4	Adult Immunizations Record
		NAVMED 6260/5	Periodic Health Evaluation, Navy Asbestos Medical Surveillance Program History and Physical Exam
		NAVMED 6260/6	Report of Audiologic Evaluation
	NAVMED 6260/7	Periodic Health Evaluation, Navy Asbestos Medical Surveillance Program Roentgenographic Interpretation for Pneumoconiosis	
	NAVMED 6300/5	Inpatient Admission/Disposition Record	
	NAVMED 6310/2	Navy-Marine Corps CTR – Theater Medical Registry Form	
	NAVMED 6310/3	Physician Trauma Admitting Record (Theater Hospital Care)	
	NAVMED 6310/4	Joint Theater Trauma Nursing Record	
	NAVMED 6410/4	Altitude Chamber Reaction Report	



Table 4. Standard STR Content-Medical Records by Service, Continued

Service	Medical Records	Description
Navy	NAVMED 6470/1	Exposure to Ionizing Radiation
	NAVMED 6470/3	Radiation Exposure Report
	NAVMED 6470/10	Record of Occupational Exposure to Ionizing Radiation
	NAVMED 6470/11	Record of Exposure to Ionizing Radiation from Internally Deposited Radionuclides
	NAVMED 6470/13	Medical Record – Ionizing Radiation Medical Examination
	NAVMED 6490/1***	Visual Record
	NAVMED 6500/1	Report of Heat/Cold Injury
	NAVMED 6520/8**	Antarctic Assignment Questionnaire
	NAVMED 6520/9**	Psychiatric Evaluation – Operation Deep Freeze
	NAVMED 6520/10**	Psychological Evaluation – Operation Deep Freeze
	NAVMED 6550/12	Patient Profile
	NAVMED 6550/13	Patient Care Plan
	NAVMED 6550/14	Patient Data Base
	NAVMED 6570/1	Pharmacy Change Request
	NAVMED O/P 6224/1	Initial Evaluation for Positive TB Skin Test (TST)
	NAVMED O/P 6224/2	Periodic Evaluation for Patients Receiving Treatment for Latent TB Infection (LTBI)
	NAVMED O/P 6224/3	Annual Evaluation for Patients With a History of a Positive TB Skin Test
	NAVMED O/P 6230/2	Medical Record – Influenza Vaccine Administration Record of Visit
	NAVMED O/P 6410/11	Pretesting Consent Form for Performance Maintenance Stimulant
	NAVMED O/P 6230/1	Hepatitis C Virus (HCV) Antibody Screening at Separation or Retirement Physical Examination
	NAVMED O/P 6470/12	Report of Medical Examination – Ionizing Radiation

Table 4. Standard STR Content-Medical Records by Service, Continued

Service	Medical Records	Description
**These forms are obsolete and may exist as part of STRs when previously used while valid. ***This form has been cancelled.		
Service	Medical Records	Description
Marine Corps	NAVMED 6150/4	Abstract of Service and Medical History
	NAVMED 6000/2	Chronological Record of HIV Testing
	NAVMED 6230/4	Adult Immunizations Record
Air Force	Air Force (AF) Form 356	Findings and Recommended Disposition of USAF Physical Evaluation Board
	AF Form 1042	Medical Recommendation for Flying or Special Operation Duty
	AF Form 1180	Action on Physical Evaluation Board Findings and Recommended Disposition
	AF Form 1352	Hyperbaric Patient Information and Therapy Record
	AF Form 1418	Recommendation for Flying or Special Operation Duty – Dental
	AF Form 1446	Medical Examination – Flying Personnel
	AF Form 1480*	Summary of Care
	AF Form 1480A*	Adult Preventive and Chronic Care Flowsheet
	AF Form 1480B*	Adult Preventive and Chronic Care Flowsheet – Continuation sheet
	AF Form 1527;1-2	History of Occupational Exposure to Ionizing Radiation
	AF Form 1535	Physical Therapy Consult
	AF Form 1671	Detailed Hearing Conservation Data Followup
	AF Form 1721	Spectacle Prescription
	AF Form 190	Occupational Illness/Injury Report
	AF Form 2755*	Master Workplace Exposure Data Summary
	AF Form 2769*	Supplemental Data Sheet
	AF Form 348	Line of Duty Determination
	AF Form 3922	Adult Preventive Care – Flowsheet
	AF Form 422	Physical Profile Serial Report
	AF Form 560	Authorization and Treatment Statement
AF Form 565	Record of Inpatient Treatment	
AF Form 618	Medical Board Report	

Table 4. Standard STR Content-Medical Records by Service, Continued

<b>Service</b>	<b>Medical Records</b>	<b>Description</b>
<b>Air Force</b>	AF Form 745	Sensitive Duties Program Record Identifier
	AF Form 895	Annual Medical Certificate (AMC)
	AF Form 966	Registry Record
	HEAR-PCM	Health Enrollment Assessment Review for Primary Care Managers (include results from HEAR)
	Optional Form (OF) 517	Medical Record – Anesthesia
	OF 522	Medical Record – Request for Administration of Anesthesia and for Performance of Operations and Other Procedures
	OF 558	Medical Record – Emergency Care and Treatment
	OF 520	Medical Record – Electrocardiographic Record
*These forms are no longer in use for routine business operations within the Air Force. These forms will continue to remain within the STR when previously used.		
<b>U.S. Special Operations Command (USSOCOM) Coast Guard</b>	SOF TCCC Form 1	Tactical Combat Casualty Care Card
	Coast Guard (CG)-5447	History and Report of Occupation Medical Surveillance and Evaluation Program (OMSEP) Examination
	CG-5214	Emergency Medical Treatment Report (MEDEVAC Report)
	CG-3443*	Health Record Cover
	CG-6020	Medical Recommendation For Flying Duty
	CG-5447A	History and Report of OMSEP Examination
	CG-5684	Medical Board Report Cover Sheet
	CG-4057	Chronological Record of Service
*These forms are no longer in use for routine business operations within the Coast Guard. These forms will continue to remain within the STR when previously used.		
In addition to the DD and SF, the Service-specific forms in Table 4 are used by each Service and retained in the STR. *Some of these forms may no longer be used, but may be retained in older STRs.		

Table 5. Standard STR Content-Dental Records by Service

Service	Dental Records	Description
Army	DA Form 5570	Health Questionnaire for Dental Treatment
	DA Form 4410-R	Disclosure Accounting Record (on record jacket)
	DA Form 3444	Treatment Record Jacket, Series 0-9
	DD Form 2813	Department of Defense Active Duty/Reserve Forces Dental Examination
	DA Form 3444-Series (1-9)	Medical and Dental Records
Navy and Marine Corps	NAVMED 6600/12	Reserve Dental Assessment and Certification
	Unmounted Radiographs	Un-mounted radiographs in envelopes
	Radiograph mounts	Sequential bitewing radiograph mounts
	Mouth Radiographs	Panoral and full mouth radiographs
	NAVMED 6600/3	Dental Health Questionnaire
	OPNAV 5510/415	Record Identifier for Personnel Reliability Program
	OPNAV 5211/9	Record of Disclosure (imprinted inside the folder)
	NAVMED 6600/13	Oral Exam
	NAVMED 6600/14	Dental Treatment
	NAVMED 6600/15	Current Status
	NAVMED 6600/16	Oral Problem List
	NAVMED 6630/5	Orthodontic Index and Evaluation of Occlusion
	NAVMED 6630/6	Orthodontic Transfer Form Patient in Active Treatment
	NAVMED 6630/7	Special Consent to Performance of Orthodontic Treatment
	NAVMED 6660/1	Plaque Control Record
NAVMED 6660/2	Periodontal Chart	
NAVMED 6660/15	Current Status Card	
NAVMED 6150/21-30	Forensic Examination Chart	
Air Force	AF Form 745	Sensitive Duties Program Record Identifier
	AF Form 966	Registry Record
	AF Form 696	Dental Patient Medical History
	Treatment Plan	Active Treatment Plan
	Radiographs	Envelope for Radiographs. Place serial bitewing cards and flat panoramic radiographs on top of envelope.

Table 5. Standard STR Content – Dental Records By Service, Continued

	<b>Dental Records</b>	<b>Description</b>
<b>Service Air Force</b>	AF Form 422	Physical Profile Serial Report
	AF Form 490	Medical Dental/Appointment
	AF Form 1418	Recommendation for Flying or Special Operations Duty – Dental
	AF Form 570	Notification of Patient’s Medical Status
	AF Form 1417	Sedation Clinical Record – Anesthesia
	AF Form 644	Record of Dental Attendance
	AF Form 1801	Post Mortem Dental Record
	AF Form 644B	Dental Officer of the Day/Dental Charge of Quarters
	AF Form 935	Periodontal Diagnosis and Treatment Plan
	AF Form 935A	Periodontal Maintenance Record
	AF Form 935B	Plaque Index/Bleeding Point Record
	AF Form 940	Endodontic Treatment Record
	AF Form 1802	Ante mortem Dental Record
	AF Form 1803	Dental Identification Summary Report
	AF Form 85	Inventory Adjustment Voucher
AF Form 520	Record of Dental Precious Metal and Alloys	
<b>Coast Guard</b>	CG-3443-2	U.S. Coast Guard Dental Record Cover
	CG-5605	Dental Health Questionnaire
	CG-6019	Dental Procedure Form
In addition to the DD, SF, and Service-specific forms, the Service-specific forms in relation to the dental records in Table 5 are used by each Service and retained in the STR		

Table 6. Transfer Procedure

SERVICE	ORIGINAL TERM	NEW STANDARD TERM	TRANSFER DESTINATION
All Services including Reserve and Guard Components	Member's Outpatient Record/Health Treatment Record (HTR)/Medical, Dental, and Mental Health Records/Health Record	STR	VA RMC or applicable VARO
All Services	Member's Dental Record	Dental Record (ALWAYS transferred in the STR)	VA RMC or applicable VARO
Army	Outpatient Treatment Record (OTR)	NSTR	NPRC
	Inpatient Treatment Record	Inpatient Treatment/Clinical Record	NPRC
	Individual Ready Reserve (IRR)	STR	VA RMC
	Troop Program Unit (TPU)	STR	Units
	Individual Mobilization Augmentee (IMA)	STR	VA RMC
Army Reserve	OTR	NSTR	NPRC
	Inpatient Treatment Record	Inpatient Treatment/Clinical Record	NPRC
Army National Guard	OTR	NSTR	NPRC
	Inpatient Treatment Record	Inpatient Treatment/Clinical Record	NPRC

Table 6. Transfer Procedure, Continued

SERVICE	ORIGINAL TERM	NEW STANDARD TERM	TRANSFER DESTINATION
Navy & Marine Corps	Outpatient Record (OREC)	NSTR	NPRC
	Inpatient Record (IREC)	Inpatient Record	NPRC
	Clinical Record/SF 502 – Discharge Summary	Inpatient Record	NPRC
	IRR		VA RMC
Navy & Marine Corps Reserve	OREC	NSTR	NPRC
	IREC	Inpatient Record	NPRC
Air Force	Health Record	Overarching reference to medical, dental, and mental health records	
	Outpatient Record	NSTR	NPRC
	Inpatient Record	Inpatient Record	NPRC
	IRR	STR	VA RMC
	IMA	STR	VA RMC
Air Force Reserve	Outpatient Record	NSTR	NPRC
	Inpatient Record	Inpatient Record	NPRC
Air National Guard	Outpatient Record	NSTR	NPRC
	Inpatient Record	Inpatient Record	NPRC
Coast Guard	Coast Guard Medical Record Coast Guard Dental Record	STR	VA RMC
VA	STR (Medical and Dental Record)	STR	In accordance with NARA-approved disposition schedule
All Services and Components	Medical X-rays	STR	In accordance with NARA-approved disposition schedule

Figure 1. Sample Charge Out Form – Optional Form 23

**OUT**

IDENTIFICATION OF RECORD (NUMBER, TITLE AND/OR SUBJECT, DATE OF FILE OR DOCUMENT)	CHARGED TO (PERSON & OFFICE)	DATE CHARGED OUT

OPTIONAL FORM 23  
FEB 1962  
GSA Circular No. 259

**CHARGEOUT RECORD**  
5023-101

NSN: 7540-00-823-8100


**OUT**

108 PL-68T



Figure 2. Sample Standard Transmittal Sheet

<b>TRANSMITTAL SHEET</b>	1. SECURITY CLASSIFICATION	2. SHIPMENT NUMBER
3. TITLE/FILE IDENTIFICATION	4. AS OF DATE (dd/mm/yyyy)	5. SHIPMENT DATE (dd/mm/yyyy)
6. AUTHORITY FOR SHIPMENT	7. NUMBER OF RECORDS TRANSMITTED ( <b>see attached list</b> )	
8. PERSON TO CONTACT (Name and telephone)	9. TYPE OF MEDIA TRANSMITTED (please check one below)  a) Hard Copy   b) Microfilm   c) Fiche   d) Compact Disk   e) Magnetic Disk	
10. NUMBER OF BOXES	11. NUMBER OF ITEMS	
12. METHOD OF SHIPMENT (please check one below)  a) Courier      b) First Class      c) Parcel Post      d) Express Mail      e) Registered		
13. SHIPPED TO	14. SHIPPED FROM	
<b>RETURN RECEIPT REQUIRED</b> (Sign below and return copy to Sender)		

Figure 2. Sample Standard Transmittal Sheet, Continued

15. NAME AND TITLE OF RECEIVER	16. NAME AND TITLE OF SENDER
17. SIGNATURE OF RECEIVER AND DATE	18. SIGNATURE OF SENDER
19. SPECIAL INSTRUCTIONS/REMARKS	

This sample transmittal sheet shown in Figure 2 shall be customized to Service-specific transmittal sheets for use in accordance with Reference (x).

Figure 3. Sample Certification Letter to VA

(Use MTF/DTF Letterhead)

SERVICE TREATMENT RECORD (STR) CLOSE-OUT STATEMENT

MEMORANDUM FOR THE DEPARTMENT OF VETERANS AFFAIRS RECORDS  
MANAGEMENT CENTER OR VA REGIONAL OFFICE

FROM: (Insert Sending Organization's Complete Mailing Address)

SUBJECT: Certification Letter to the Department of Veterans' Affairs (VA)

These documents are forwarded via the Military Service Personnel Out-Processing Centers to VA for utilization in potential claims processing.

The \_\_\_\_\_ (insert appropriate Medical Treatment Facility (MTF) name) has reviewed those records it has access to and has determined that this individual is discharged/retired or no longer in service. Accordingly, other than the records enclosed herein, we have concluded that no further records exist at \_\_\_\_\_ (insert appropriate MTF name) as of \_\_\_\_\_ (date).

The MTF point of contact is \_\_\_\_\_ (insert appropriate point of contact name), and can be reached at \_\_\_\_\_ (insert contact phone number for the point of contact listed above).

Signature Block

Figure 4. Sample Certification Letter To Transfer Dental Record Only

(Use Official Service Letterhead)

MEMORANDUM FOR THE DEPARTMENT OF VETERANS AFFAIRS RECORDS  
MANAGEMENT CENTER OR VA REGIONAL OFFICE

FROM: (Insert Sending Organization's Complete Mailing Address)

SUBJECT: Transfer of Dental Record Only

1. We have performed a comprehensive search of all available databases. Our research revealed that the veteran's medical record is located within the VA \_\_\_\_\_ (facility). Please interfile the dental record with the medical record.
2. All medical information is subject to the Privacy Act and the Health Insurance Portability and Accountability Act Privacy and Security Rules, where appropriate and should be handled with confidentiality to ensure patient's privacy.
3. Please refer any questions regarding this dental documentation to \_\_\_\_\_ (insert appropriate point of contact name) at DSN XXX-XXXX or commercial (XXX) XXX-XXXX (insert contact phone number for the point of contact listed above).

Signature Block

Figure 5. Sample Certification Letter to Transfer Dental Record Only – No Medical Record on File at VA

(Use Official Service Letterhead)

MEMORANDUM FOR THE DEPARTMENT OF VETERANS AFFAIRS RECORDS  
MANAGEMENT CENTER OR VA REGIONAL OFFICE

FROM: (Insert Sending Organization’s Complete Mailing Address)

SUBJECT: Transfer of Dental Record Only – No Medical Record on File at VA

1. We have performed a comprehensive search of all available databases. Our research revealed that the veteran’s medical record is located within the VA \_\_\_\_\_ (facility). Please interfile the dental record with the medical record. In addition, we have contacted the losing medical treatment facility in an effort to locate the missing medical record. We have determined an original medical record cannot be located on the retired/separated Service member as of \_\_\_\_\_ (Insert ‘Date’).
2. All medical information is subject to the Privacy Act and the Health Insurance Portability and Accountability Act Privacy and Security Rules, where appropriate and should be handled with confidentiality to ensure patient’s privacy.
3. Please refer any questions regarding this dental documentation to \_\_\_\_\_ (insert appropriate point of contact name) at DSN XXX-XXXX or commercial (XXX) XXX-XXXX (insert contact phone number for the point of contact listed above).

Signature Block

Figure 6. Sample Certification Letter for Transfer of Loose, Late Flowing Medical Document(s) for Interfile

(Use Official Service Letter Head)

MEMORANDUM FOR THE DEPARTMENT OF VETERANS AFFAIRS RECORDS  
MANAGEMENT CENTER OR VA REGIONAL OFFICE

FROM: (Insert Sending Organization's Complete Mailing Address)

SUBJECT: Transfer of Loose, Late Flowing Medical Document(s) for Interfile

1. We have performed a comprehensive search of all available databases, to include the VA's SHARE database. Our research revealed that the member's STR and/or VA claims file is on file at your facility. Please interfile the document(s) contained in this envelope.
2. All medical information is subject to the Privacy Act and the Health Insurance Portability and Accountability Act Privacy and Security Rules, where appropriate and should be handled with confidentiality to ensure patient's privacy.
3. Please refer any questions regarding this dental documentation to \_\_\_\_\_ (insert appropriate point of contact name) at DSN XXX-XXXX or commercial (XXX) XXX-XXXX (insert contact phone number for the point of contact listed above).

Signature Block

Figure 7. Sample Certification Letter for Transfer of Loose, Late Flowing Medical Document(s)  
No Medical Records on File at VA

(Use Official Service Letterhead)

MEMORANDUM FOR THE DEPARTMENT OF VETERANS AFFAIRS RECORDS  
MANAGEMENT CENTER OR VA REGIONAL OFFICE

FROM: (Insert Sending Organization's Complete Mailing Address)

SUBJECT: Transfer of Loose, Late Flowing Medical Document(s) – No Medical Records on File at the VA

1. We have performed a comprehensive search of all available databases, to include the VA's SHARE database. Our search in VA's SHARE revealed that the member's STR is not on file at any VA facility. The loose, late-flowing document(s) has been placed in a medical record jacket, annotated on the outside with the member's name and Social Security Number, for file by your office.
2. The original medical record is not available; a non-availability letter from the losing medical treatment facility and a separation document are enclosed.
3. All medical information is subject to the Privacy Act and the Health Insurance Portability and Accountability Act Privacy and Security Rules, where appropriate and should be handled with confidentiality to ensure patient's privacy.
4. Please refer any questions regarding this dental documentation to \_\_\_\_\_ (insert appropriate point of contact name) at DSN XXX-XXXX or commercial (XXX) XXX-XXXX (insert contact phone number for the point of contact listed above).

Signature Block

Figure 8. Sample Certification Letter for Transfer of Medical Record Only

(Use Official Service Letterhead)

MEMORANDUM FOR THE DEPARTMENT OF VETERANS AFFAIRS RECORDS  
MANAGEMENT CENTER OR VA REGIONAL OFFICE

FROM: (Insert Sending Organization's Complete Mailing Address)

SUBJECT: Transfer of Medical Record Only

1. We have performed a comprehensive search of all available databases, to include the VA's SHARE database. We have also contacted the losing dental treatment facility in an effort to locate the missing dental record. We have determined the original dental record cannot be located on this retired/separated member.
2. A non-availability letter from the losing dental treatment facility is enclosed along with the member's separation document.
3. All medical information is subject to the Privacy Act and the Health Insurance Portability and Accountability Act Privacy and Security Rules, where appropriate, and should be handled with confidentiality to ensure patient's privacy.
4. Please refer any questions regarding this dental documentation to \_\_\_\_\_ (insert appropriate point of contact name) at DSN XXX-XXXX or commercial (XXX) XXX-XXXX (insert contact phone number for the point of contact listed above).

Signature Block



GLOSSARY

PART I. ABBREVIATIONS AND ACRONYMS

AFMES	Armed Forces Medical Examiner System
CHCS I	Composite Health Care System I
CONUS	continental United States
DD	Defense Department
DoDD	Department of Defense Directive
DoDMERB	Department of Defense Medical Examination Review Board
DTF	Dental Treatment Facility
DUSD(MPP)	Deputy Under Secretary of Defense for Military Personnel Policy
EHR	Electronic Health Record
FRC	Federal Records Center
HIPAA	Health Insurance Portability and Accountability Act
IG DoD	Inspector General Department of Defense
MTF	Medical Treatment Facility
NARA	The National Archives and Records Administration
NPRC	National Personnel Records Center
NSTR	Non-Service Treatment Record
OCONUS	outside the Continental United States
PAD	Patient Administration
PCS	Permanent Change of Station
RMC	Records Management Center
ROTC	Reserve Officer Training Corps

SF	Standard Form
STR	Service Treatment Record
STR/NSTR	Service Treatment Record/Non-Service Treatment Record
U.S.C.	United States Code
USD(P&R)	Under Secretary of Defense for Personnel and Readiness
USSOCOM	United States Special Operations Command
VA	Department of Veterans Affairs
VARO	Veterans Affairs Regional Office

## PART II. DEFINITIONS

Unless otherwise noted, these terms and their definitions are for the purpose of this Instruction.

Armed Forces of the United States. Defined in Reference (o).

availability of records. The physical presence of the Service member's record for use at the point of service or for review.

creation. The first stage of the records life cycle in which records are made (or received) by an office.

disposition. The actions taken regarding records no longer needed for current Government business. These actions include transfer to agency storage facilities or FRCs, transfer from one Federal agency to another, transfer of permanent records to the National Archives, and disposal of temporary records. Disposition is the third stage of the records life cycle.

inventory. Records of every member assigned to a command.

maintenance and use. Any action involving the storage, retrieval, and handling of records kept in offices by, or for, a Federal agency. This is the second stage of the records life cycle.

media neutral. Record information created, used, maintained, accessed, stored, retained, or disposed of, regardless of the medium (paper and/or electronic) in which it is presented.

mental health record. Record of information related to conducting psychological evaluations of individuals, and other consultations relating to mental health services, including social work case records in support of the Service member. All mental health encounters results in an annotation in the STR regarding, at a minimum, the subjective presentation, a brief mental status report, the formal assessment to include diagnosis, and the treatment plan and/or disposition (e.g., return to duty, profiling) including medication and psychotherapy.

Military Service Personnel Out-Processing Centers. Includes the Army's transition centers, the Navy's personnel support detachments, the personnel offices in the Marine Corps, the Air Force Central Out-Processing Cell, a designated equivalent entity by the Service, the unit administrators in the Reserve and Guard Components, and the Coast Guard Personnel Command in the Coast Guard.

Military Services. The Army, the Navy, the Marine Corps, the Air Force, and the Coast Guard, including their Reserve and/or National Guard components.

NSTR. Chronology of outpatient medical, dental, and mental health care received by non-Service members and applies to anyone that does not meet the criteria for STR.

persons of exceptional prominence. Includes famous individuals such as former Presidents, military leaders, decorated military heroes, celebrities, entertainers, and professional scientists, artists, literary figures, musicians, and athletes with Military Service background.

record life cycle. The management concept that records pass through three stages: creation, maintenance and use, and disposition.

recovering Service member. A member of the Military Services, including a member of the National Guard or a Reserve Component, who is undergoing medical treatment, recuperation, or therapy and is in an outpatient status while recovering from a serious injury or illness related to the member's military service.

retire. The transfer of records to agency storage facilities or an FRC.

STR. Chronology of medical, dental, and mental health care received by Service members during the course of their military career on an outpatient basis (i.e., without admittance to a hospital, clinic, or any treatment facility). The STR is the official record used to support clinical care and the administrative, business-related, and evidentiary needs of the Department of Defense, the VA, and the individual.

transfer. The act or process of moving records from one location to another, especially from office space to agency storage facilities or FRC, from one Federal agency to another, or from office or storage space to the National Archives for permanent preservation and records involved in such relocation.