DEPARTMENT OF THE NAVY
BUREAU OF MEDICINE AND SURGERY
7700 ARLINGTON BOULEVARD
FALLS CHURCH, VA 22042

IN REPLY REFER TO
6150
Ser M3B13/AT-0259204
7 Jan 2013

MEMORANDUM FOR COMMANDER, NAVY MEDICINE NATIONAL CAPITAL AREA
COMMANDER, NAVY MEDICINE EAST
COMMANDER, MEDICINE WEST

Subj: PROPER TRANSFER OF HEALTH SERVICE TREATMENT RECORDS OF TRANSITIONING SERVICE MEMBERS TO THE VETERANS ADMINISTRATION RECORDS MANAGEMENT CENTER AND NATIONAL PERSONNEL RECORDS CENTER

Ref: (a) BEC Summit meeting of 10 Nov 12
(b) BUMED memo 6000 Ser M3/AT-11183 of 23 Jun 08
(c) DODI 6040.45 of 28 Oct 10
(d) BUMED memo 6150 Ser M3/5HCS4/AT-74265 of 18 Nov 10

Encl: (1) Updated Health Service Treatment Records Disposition and Transfer Guidelines Step by Step Checklist
(2) Certification Letter Template to Transfer Service Treatment Records
(3) Certification Letter Template to Transfer Dental Treatment Records

1. During reference (a), the Benefit Executive Council Medical Records Working Group briefed that the Services had agreed to certify all Service Treatment Records (STRs) being transferred to the Veterans Administration Records Management Center (VARMC).

2. Reference (b) provided Regional Commanders interim guidance on the proper disposition of STRs and loose flowing medical documents transferred from medical treatment facilities (MTFs) via the Personnel Support Detachments (PSDs) or separating activities. Reference (c) assigned responsibilities for STR and non-STR life cycle management. Reference (d) provided Regional Commanders a checklist itemizing the tasks necessary to ensure a complete STR and any late flowing and loose documentation are correctly transferred.

3. Navy Medicine Regional Commanders, MTF Commanders, Commanding Officers and Officers in Charge must ensure compliance with the requirements and guidelines as outlined in references (b) through (d). Navy MTFs will continue to certify STR completion and availability of all loose and late flowing documentation in the STR jacket as of the time of transfer to VA, and in the event additional documentation is discovered, it will be immediately forwarded to the VARMC for utilization in potential claims processing. I expect all Regional Commanders to reinforce this policy. Enclosure (1) is an updated checklist intended to provide standard procedures for STRs and loose flowing documents to ensure their proper and accurate disposition to the VARMC and National Personnel Records Center. Enclosure (2) is the certification letter template for use when transferring STRs to the VARMC. Enclosure (3) is the certification letter template for use when transferring dental treatment records to the VARMC.

Subj: PROPER TRANSFER OF HEALTH SERVICE TREATMENT RECORDS (MEDICAL AND DENTAL) OF TRANSITIONING SERVICE MEMBERS TO THE VETERANS ADMINISTRATION RECORDS MANAGEMENT CENTER AND NATIONAL PERSONNEL RECORDS CENTER

4. My points of contact are Dr. Joseph Ronzio, at (703) 681-5522 or Joseph.Ronzio@med.navy.mil or Ms. Freda Eastman at (703) 681-9192 or Freda.Eastman@med.navy.mil.

M. L. NATHAN

Updated Health Service Treatment Record Disposition and Transfer Guidelines
Step by Step Checklist

Retirement of Active Duty and Reserve Medical and Dental Outpatient Service Treatment Records

The below guidance applies to Medical and Dental Outpatient Active Duty Service Treatment Records (STRs) from the following:

Medical Treatment Facilities (MTF)
Dental Treatment Facilities (DTF)
Reserves Records Centers (Reserve Records)
United States Marine Corps
* Ships' Outpatient Records

* Ships without Personnel Offices should work with their local Personnel Support Detachments (PSDs) following the procedures outlined below.

☐ 1. A list of all projected retiring and separating Active Duty Service members is generated by the PSD and transmitted to the MTF monthly.

☐ 2. For each of the upcoming retirees, 5 working days prior to transfer or retirement (or sooner), print copies of all known patient documentation. Include:
- CHCS I
- AHLTA
- Patient encounters
- Prescription histories
- Essentris (including lab and radiology and all other ancillary services)
- Any other electronic health record system

☐ 3. Request dental records from the DTF. The dental record for each Service member must be bundled together with the individual outpatient record for final disposition.

☐ 4. Also collect any of the Service member's stray or loose documents and make sure the Service member's identification information is present on both sides of each page of loose documentation. Some examples to be included are:

- Laboratory records
- Ancillary reports
- Reports from other providers outside of MTFs

☐ 5. Each STR must be bundled (via rubber band) with the appropriate Dental record and held for 30 days after Service member's separation (Per BUMED memo 6000 Ser M3/AT-11183 of 23 Jan 08), to allow time for loose documents that are circulating through "the system" to catch up with the rest of the record. Use this 30 day holding period to consolidate and file all the printed items and any loose documentation that has been collected into one STR jacket for that member.

*** A memo will be provided to the Service member attesting the MTF's responsibility to forward the STR to the PSD after the 30 days hold. This will allow the Service members to pick up their DD214 from the PSD without the STR.**

☐ 6. The STR jacket must be complete prior to transfer, including the full social security number and first and last names (and middle initial) of the Service member.

☐ 7. When the STR is completely consolidated (including all known loose documentation), complete a *Certification Letter to the Veterans Affairs* (see enclosure (2)).

☐ 8A. **For Navy Active Duty and Reserves with STRs at the MTF:** Forward the completed STR (with both medical and dental records bundled together) and all the accompanying loose documentation that has been collected to the appropriate Personnel Support Detachment. PSDs will then forward the completed STR to the Veterans Affairs Records Management Center (VAMRC) according to the instructions in MILPERSMAN 6150-010, chapter 8, pages 1 through 6. (It is important that any dental records be consolidated with the STRs before they are sent off to the PSD for final disposition to the VARMC.)

☐ 8B. **For U.S. Marine Corps Service Members:** Forward the completed STR (with both medical and dental records bundled together) and all the accompanying loose documentation that has been collected to the *Marine Corps Manpower Office*. (It is important that any dental records be consolidated with the STRs before they are sent to the Marine Corps Manpower Office.)

☐ 9. It is not uncommon for loose documentation to come to the MTF's attention after transfer of the packet to the PSD. MTFs are nevertheless responsible for processing these loose documents and forwarding them to the PSD. MTF personnel will ensure all late flowing and loose documentation contain the Service member's identification and will place the documents into a fully completed medical record jacket along with a new completed *Certification Letter to the Veterans Affairs* (enclosure (2)) attesting again to the STR's completeness. The packet is then transferred to the appropriate PSD for forwarding to the VARMC.

☐ 10. Service member's dental records are sometimes located after the STR has already been forwarded to the PSD. If this happens, the *Certification Letter to Transfer of Dental Record* (enclosure (3)) and *Certification Letter to the Veterans Affairs* (enclosure (2)) attesting to the STR's completeness, must be completed and submitted along with the dental records in a fully completed medical record jacket.

☐ 11. MTFs will maintain an audit trail of all STRs forwarded to the PSD. MTF medical records staff should establish a working point of contact at the local PSD to ensure STRs are properly managed and a record of records forwarded to the VARMC is maintained to establish a tracking system.

☐ 12. MTFs are responsible for maintaining a tracking system to track the number of medical, dental, and mental health records transferred, and their identification and locations for accountability purposes.

Retirement of Non-Service Treatment Records (NSTR) to the National Personnel Record Center (NPRC)

The below guidance applies to NSTR records include the following:

Inpatient Record (IREC)
Outpatient Record (OREC)
Extended Ambulatory Record (EAR)
Fetal Monitor Strip (FMS)

☐ Retire inpatient records of all personnel to NPRC address:
National Personnel Records Center Annex
1411 Boulder Boulevard, Valmeyer, IL 62295

- Retire ***inpatient*** records within **2 years** after the end of the calendar year of the last date of treatment and **5 years** after end of the calendar year of the last date of treatment for teaching MTFs.
- Retire ***outpatient*** records within **2 *years*** after end of the calendar year of the last date of treatment.

☐ 1. ***Tracking System.*** The MTF will use the CHCS Medical Records Tracking (MRT) system to monitor those inpatient NSTRs that have had no activity in 2 years (5 years for teaching hospitals).

☐ 2. **Medical Record Tracking, Retirement and Retrieval (*MRTR²) Instructions.*** Process files and prepare shipment indices per instructions in the MRTR² User Guide. (See retirement flow below.)

☐ 3. ***MTFs that are Teaching Facilities.*** For MTFs that are Graduate Medical Education ***Teaching Facilities***, transfer inpatient records to NPRC ***5 years*** after the end of the calendar year of the last date of treatment.

☐ 4. ***MTFs that are <u>not</u> Teaching Facilities.*** For MTFs that are ***not*** Graduate Medical Education Teaching Facilities, transfer inpatient records to NPRC ***2 year***s after the end of the calendar year of the last date of treatment.

☐ 5. ***EAR and FMS.*** The process for retirement of Extended Ambulatory Records (EAR) and Fetal Monitor Strips (FMS) is the same as those for IRECs.

- ☐ Retire the EAR folder to NPRC along with the inpatient records and any applicable fetal monitoring strips (i.e., in the same box).
- ☐ Place the EAR folder behind any fetal monitoring strips for that patient, or behind the applicable inpatient record folder if there are no fetal monitoring strips.
- ☐ If the patient does not have an inpatient record but does have an EAR, the EAR is still included in the shipment of inpatient records.

☐ 6. **Transferred/Separated Family Members' Found Documents.** When outpatient records (ORECS) or loose documents belonging to a sponsor's family member are found after the sponsor has transferred to a new duty station, separated, or retired, follow the procedure detailed below to forward the documents to the primary treating MTF for the family members.

- ☐ Check the Defense Enrollment Eligibility and Reporting System (DEERS) to see if the dependents are enrolled with a new Primary Care Manager (PCM) at an MTF. If enrolled, forward the OREC or loose documents with the DEERS sheet attached.
- ☐ If not found in DEERS, check the NPRC Medical Registry System (MRS) to see if an OREC has been archived. If one has, recall the OREC, file the loose documents or combine the volumes and return to NPRC. Do not change or alter the record folder.
- ☐ If no OREC has been archived at NPRC, create an OREC volume and archive when the record becomes eligible for retirement.

☐ 7. ***Ships with Inpatient Records.*** MTFs will work with Ships that have inpatient records to assist with records retirement within their AOR retiring inpatient records via the MRTR^2 system to the NPRC. **Retirement Process from MRTR^2 User Guide is included below for reference.**

☐ 1. Create index

☐ 2. Print index

☐ 3. Pull records

☐ 4. Edit index list

☐ 5. Reconcile CHCS list and box records

☐ 6. Identify Box # in CHCS

- ☐ 7. Reprint index
- ☐ 8. Complete shipment file
- ☐ 9. MTF CHCS transmits to NPRC
- ☐ 10. NPRC sends accession number notification to MTF, and/or problems noted
- ☐ 11. MTFs make corrections (if needed)
- ☐ 12. Prepare boxes for shipment
- ☐ 13. Ship to NPRC
- ☐ 14. NPRC receives records
- ☐ 15. NPRC sends shipment receipt notification, and/or problems noted to MTF
- ☐ 16. NPRC shelves records

CERTIFICATION LETTER TEMPLATE TO TRANSFER SERVICE TREATMENT RECORDS

(Use Official Letterhead)

6150
Ser Code/
Date

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

1. These documents are forwarded via the Military Service Personnel Out-Processing Centers to the Department of Veterans Affairs for utilization in potential claims processing.

2. The Service Treatment Record (STR) for the Service member identified within has been forwarded from the final servicing Medical Treatment Facility (MTF) to the Personnel Support Detachment (PSD) per the Manual of the Medical Department, Chapter 16. A thorough review of all known record systems was accomplished as directed by the aforementioned instruction. As such, other than the records enclosed herein, it has been concluded that no further records exist and the STR for the Service member is complete as of the date received by the PSD. In the event additional documentation is discovered, it will be immediately dispatched to the PSD to be forwarded to the Veterans Affairs Records Management Center for utilization in potential claims processing.

3. The MTF point of contact is _____ (insert appropriate point of contact name), and can be reached at DSN XXX-XXXX or commercial (XXX) XXX-XXXX (insert contact phone number and e-mail address for the point of contact listed above).

4. 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.

Signature Block

Enclosure (2)

CERTIFICATION LETTER TEMPLATE TO TRANSFER DENTALTREATMENT RECORDS

(Use Official Letterhead)

6150
Ser Code/
Date

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

FROM: (Insert MTF Name and Complete Mailing Address)

SUBJECT: Transfer of Dental Record Only

1. We have performed a comprehensive search of all available databases, to include the Veteran Affairs' SHARE database. Our research revealed that the veteran's medical record is located within the Veterans Affairs _____ (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 and e-mail address for the point of contact listed above).

Signature Block