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NAVADMIN 116/26

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SUBJ/GUIDANCE FOR ARCHIVING HEALTH SERVICE TREATMENT RECORDS FOR ALL UNITED STATES NAVY ACTIVE/SELECTED RESERVE SERVICE MEMBERS//

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REF/G/DOC/DHA-PM 6040.45/23NOV21//
REF/H/DOC/DODI 6025.18/13MAR19//
REF/I/DOC/DODI 5200.48/6MAR20//
REF/J/DOC/OPNAV 5400.45A/11NOV22//

NARR/REF A IS NAVADMIN 173/17, GUIDANCE FOR TRANSFERRING SERVICE TREATMENT RECORDS FOR UNITED STATES NAVY ACTIVE AND SELECTED RESERVE COMPONENT SERVICE MEMBERS.

REF B IS NAVADMIN 181/17, GUIDANCE FOR ACCESS AND ECHELON RESPONSIBILITIES FOR TRACKING SERVICE TREATMENT RECORDS FOR ALL UNITED STATES NAVY ACTIVE/SELECTED RESERVE SERVICE MEMBERS.

REF C IS ALNAV 066/16, GUIDANCE FOR ARCHIVING AND REPORTING ON SERVICE TREATMENT RECORDS FOR ALL ACTIVE/SELECTED RESERVE SERVICE MEMBERS.

REF D IS DODI 6040.45, DOD HEALTH RECORD LIFE CYCLE MANAGEMENT.

REF E IS DHA-PM 6040.45 DOD HEALTH RECORD LIFECYCLE MANAGEMENT, VOL. 2: OUTPATIENT RECORD COMPONENTS AND DENTAL RECORDS.

REF F IS MANUAL OF THE MEDICAL DEPARTMENT, CHAPTER 16.

REF G IS DHA-PM 6040.45, DoD HEALTH RECORD LIFECYCLE MANAGEMENT, VOL. 1: GENERAL PRINCIPLES, CUSTODY AND CONTROL, AND INPATIENT RECORDS.

REF H IS DODI 6025.18, IMPLEMENTATION OF THE HEALTH INSURANCE PORTABILITY AND ACCOUNTABILITY ACT (HIPAA) PRIVACY RULE IN DOD HEALTH CARE PROGRAMS.

REF I IS DODI 5200.48, CONTROLLED UNCLASSIFIED INFORMATION (CUI).

REF J IS OPNAVINST 5400.45A, STANDARD NAVY DISTRIBUTION LIST.//

POC/BUMED/HEALTHCARE ADMINISTRATION (N10C1) NAVY MEDICAL RECORDS ACTIVITY (NMRA) ST. LOUIS (202) 445-0503 email: usn.ncr.bumedfchva.mbx.nmra-navy-str@health.mil.//

RMKS/1. This NAVADMIN cancels references (a) and (b). Reference (c) remains in effect. Note: the shipping address for retiring Navy service treatment records (STR) to the Navy STR central cell has changed.//

2. This NAVADMIN provides updated Navy processes for the proper transfer of medical and dental records, hereafter known as STRs, to the Department of Veterans Affairs (VA). Per reference (c), Department of the Navy (DON) shall

comply with the timeliness standards and make records available to the VA within 45 calendar days from the separation or retirement date from active duty.

3. STR Oversight and Administration.

a. Per references (d) through (g), STRs are the property of the Department of War (DoW). STR availability for command medical and dental departments is critical to medical readiness reporting and administrative processing.

b. Commanding Officers (CO) and Officers in Charge (OIC) are responsible for all aspects of their command STR process and have a responsibility to ensure STRs within their cognizance are safeguarded.

c. References (e) and (g) provide Defense Health Agency (DHA) guidance when Navy commands or individual Sailors maintain STRs at a DHA-managed medical treatment facility (MTF) not affiliated with a Navy Medicine Readiness and Training Command (NMRTC) or Unit (NMRTU).

d. STRs of Navy members attached to Marine Corps units are processed via Navy procedures. NMRA is the reporting command for STRs of Navy personnel originating from Marine Corps units. STRs of Marine Corps members attached to Navy units are processed according to the guidelines in reference (e).

e. Appellate Leave Personnel. Per reference (e), STRs must remain in the custody of the medical and dental department where the Service member receives care. If the Service member is processed for separation, the STR must be mailed to NMRA NLT 5 calendar days after the separation date by the medical or dental department that maintains custody of the records.

f. Confined Personnel. Per reference (f), the individual STR must not accompany a Service member to the brig. Upon Sailors' release from the brig and separation from the Navy, the STR must be mailed to NMRA NLT 5 calendar days after the separation date by the medical or dental department maintaining custody of the records.

g. Reserve Component Personnel. For Reserve Component Members (RCMs) filing VA benefits claims, the STR must be available within the specified timelines upon notification by the VA of a pending claim. RCMs leaving active duty and returning to drill status are not considered separating for purposes of the STR disposition process. If an RCM is not separating but is filing a claim with the VA, the command must send a clear and accurate copy of the STR to NMRA using the NMRA contractor manifest system NLT 5 calendar days following notification by the VA of a pending claim. Additionally, subsequent VA claims do not require a full copy of the STR; only new documentation must be copied and provided.

h. Individual Ready Reserve (IRR) Active Status Pool (ASP). STRs of Service members transferring into the Navy IRR ASP must be dispositioned per the instructions outlined in para 5. Note: Transfer into the Voluntary Training Unit (VTU) is not an STR submission occasion, and those members must continue to have their STR maintained at their unit's parent activity until retirement or separation.

i. Unplanned Separations. The parent command must expedite completing and documenting the separating Service member's Separation Health

Assessment. Commands must ensure the STR disposition timeline process is followed.

j. Deceased Service Member. Immediately following an active Service member's death, the Senior Medical Department Representative (SMDR) will make proper closing entries in the STR and add a copy of the death certificate. Per reference (f), process the request if the STR is requested by an office, such as Casualty or Mortuary Affairs. If not requested by any office, the original STR will be sent to NMRA within 30 calendar days of notification of the Service member's death.

4. Lost or Missing STR Due Diligence Process.

a. Commands must maintain thorough STR check-in and out-processing procedures per reference (e) through (g) to minimize lost or missing STRs.

b. Medical and dental departments must conduct due diligence before declaring a lost or missing STR from the command. For instances where due diligence steps determined that neither paper medical or dental record could be located, document due diligence utilizing the Record Manager Search Verification Checklist within enclosure (6) of reference (g) and email a copy of the completed due diligence memorandum via DoD SAFE to NMRA at <https://safe.apps.mil>, to usn.ncr.bumedfchva.list.nmra-coordination@health.mil. For instances where DoD SAFE cannot be accessed, send the memorandum via certified mail to NMRA physical address notated in 6.b. within this NAVADMIN.

c. Lost or missing STRs are considered reportable breaches only after due diligence is performed. DD Form 2959, "Breach of Personally Identifiable Information (PII) Report," must be submitted as stipulated in references (g) and (h) to notify appropriate DHA and DON Privacy and Civil Liberty Offices: dha.ncr.pcl.mbx.pii-phi-breach@health.mil, don.privacy.fct@navy.mil, and usn.ncr.bumedfchva.list.bumed-pii-rpt@health.mil or via DoD Privacy Information Management Systems (DPIMS) utilizing <https://dpims.disa.mil/eCasePortal>.

5. STR Certification Process.

a. A complete paper STR for disposition includes Service-provided medical and dental documentation, civilian-provided medical and dental documentation, and DD Form 2963, "Service Treatment Record Certification." STRs shall not contain printed pages from the Armed Forces Health Longitudinal Technology Application Web Print (AWP) or DoD electronic health record (EHR) Military Health System GENESIS (MHS GENESIS) unless they uniquely contain pen and ink notes from the provider.

(1) To certify STRs as complete, the command will fill out and sign all relevant fields of the DD 2963 in Section 4. Select "Complete STR (Medical and Dental)" in the drop-down box before including it in the paper STR.

(2) If an STR is incomplete, i.e., missing the medical or dental record parts, do not select "Complete STR (Medical and Dental)" in Section 4 of the DD Form 2963. Select the record on hand and state due diligence steps are being performed for the missing STR component.

b. NMRA is responsible for the final STR certification, digitization, and electronic upload to the Health Artifact Imaging Solution

(HAIMS). The VA leverages data from HAIMS as part of its adjudication process for benefit claims. Per reference (e), DHA-managed MTFs are responsible for generating a MHS GENESIS Master Report (or other templates designated by DHA) for separating or retiring Service members and uploading them into HAIMS.

6. Mailing Process.

a. Shore-based commands must utilize the NMRA contractor scanning manifest process. Detailed guidance and training are available via the BUMED NMRA SharePoint site at:

<https://esportal.med.navy.mil/bumed/rh/m3/M31/nmra/default.aspx>. Upon manifest process completion, the STRs shall be mailed to the NMRA STR scanning contractor's physical address, located on the NMRA SharePoint site beneath the heading "Scanning vendor address for Shore commands".

b. Operational platforms or units with limited internet bandwidth connectivity should use the NMRA contractor scanning manifest process to the greatest extent practicable to improve STR arrival timeliness, but are not required to utilize the manifest system. Mail all non-manifested STRs to the NMRA physical address:

Navy Medicine Records Activity (NMRA)
Robert A. Young Federal Building
1222 Spruce St., Room 9.308
St. Louis, MO 63103

c. STRs can be sent to NMRA individually or as a bundle (a bundle includes multiple members' STRs and volumes in one package). Commands must not retain individual STRs for bundling and must meet timeline requirements.

d. Shipping boxes. Utilize the National Archives and Records Administration (NARA) compliant standard white record disposition boxes (e.g., National Stock Number "NSN" 8115-00-117-8249), or another same-sized box explicitly constructed for shipping. Box liners such as plastic bags must be used to double wrap the STRs when shipping. The inner package must be marked per reference (i). CONUS commands with access to the NMRA contractor manifest system may request that supplies be shipped directly to them. Commands without access to the manifest system must contact NMRA to obtain supplies.

e. Shipping Envelopes. Used if an individual STR or the STR bundle easily fits into an envelope. Envelopes must be tear-resistant (e.g., polyester, fiber, or cloth-like construction such as Tyvek), and the inner package must be marked per reference (i).

7. Shipment Timeframe Mandates.

a. Continental United States (CONUS) - STRs must be mailed no earlier than the start of terminal leave and NLT 5 business days after separation or retirement date. Any paper medical documentation created or located after mailing the STR must be uploaded into HAIMS.

b. Outside Continental United States (OCONUS) - STRs must be mailed no earlier than the start of terminal leave and NLT 30 calendar days prior to separation or retirement date. Any paper medical documentation created or located after mailing the STR must be uploaded into HAIMS.

8. STR Shipment Tracking Process.

a. All packages or envelopes must have shipment tracking numbers. The command must conduct due diligence if any STR is reported lost in transit. If all locating attempts have been exhausted, the command must conduct breach response procedures as required per reference (h).

b. The DHA paper record tracker (PRT) application is mandated to track DoD STR shipments per reference (e). Commands who do not yet have access to the PRT application must complete the Bureau of Naval Personnel Form (NAVPERS 5000/64 Records Transmittal) and place it in the shipping package or envelope. If multiple packages or envelopes are used, separate NAVPERS 5000/64 forms must be completed for each package or envelope.

9. Navy Standard Integrated Personnel System (NSIPS) STR Tracking Tool leverages the personnel information already contained within NSIPS and provides an automated solution to identify trends in compliance and the necessary steps to bring non-compliant STRs into compliance. NSIPS STR Tracking Tool training is available via the BUMED NMRA SharePoint site at: <https://esportal.med.navy.mil/bumed/rh/m3/M31/nmra/default.aspx>.

a. Commands that do not have access to the BUMED NMRA SharePoint should contact the NMRA training coordinator by phone number 667-892-3445 or via email at usn.ncr.bumedfchva.mbx.nmra-navy-str@health.mil. Commands must submit DD Form 2875, "System Authorization Access Request-Navy (SAAR-N)." Submit a designation letter signed by the CO or delegated authority and SAAR-N to NMRA at usn.ncr.bumedfchva.mbx.nmra-navy-str@health.mil.

b. Echelon 2 and 3 commands, as identified in reference (j), must appoint an STR point of contact (POC), at each subordinate echelon command. The command STR POC is responsible for managing and submitting the NSIPS STR tracking and reporting tool reports. Email current POC information to NMRA at usn.ncr.bumedfchva.mbx.nmra-navy-str@health.mil.

c. Instances where command STRs are maintained at a DHA-managed MTF that does not utilize NSIPS require the Navy tenant command to provide the DHA managed MTF with monthly NSIPS projected separation reports.

10. Single Point of Entry (SPOE) and Veterans Lifetime Electronic Records (VLER) Requests. The SPOE and VLER reports consist of priority requests from the VA for STRs. The SPOE requires a copy of the STRs to be sent to NMRA or the NMRA scanning contractor for processing. The VLER requires the original STRs to be sent to NMRA or the NMRA scanning contractor for processing. NMRA must distribute these reports weekly to echelon 2 and 3 commands. Echelon 2 and 3 commands must act on SPOE reports by tasking subordinate commands to locate and ship STRs to NMRA promptly.

11. Navy Medicine will continue to provide a weekly STR compliance report to the Office of the Under Secretary of Defense for Personnel and Readiness.

12. Released by RADM R. Freedman, Acting Surgeon General of the Navy, OPNAV N093.//

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