



# Defense Health Agency **ADMINISTRATIVE INSTRUCTION**

**NUMBER 085**  
September 6, 2016

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HCO/CSD

**SUBJECT:** Transfer of Service Treatment Records (STRs) from National Capital Region-Medical Directorate (NCR MD) to Military Departments (MILDEPs)

**References:** See Enclosure 1

1. **PURPOSE.** This Defense Health Agency-Administrative Instruction (DHA-AI), based on the authority of References (a) through (c), and in accordance with the guidance of References (d) through (i), establishes the Defense Health Agency's (DHA) procedures to require strict compliance with Reference (d) to ensure timely management of STRs for active duty members assigned and empaneled within the NCR MD.

2. **APPLICABILITY.** This DHA-AI applies to all DHA personnel, to include: assigned, attached, or detailed Service members, federal civilians, contractors (when required by the terms of the applicable contract), and other personnel assigned temporary or permanent duties at DHA, to include regional and field activities (remote locations) and the NCR MD activities (centers, clinics, and Medical Treatment Facilities (MTFs)).

3. **POLICY IMPLEMENTATION.** It is DHA's policy, pursuant to References (d) through (f), that STRs will be created, used, maintained, and stored to ensure the maintenance of a complete and accurate health record for Service members. Additionally, in accordance with Reference (d), each MTF will ensure that records are protected against loss, unauthorized destruction, tampering, and unauthorized access or use.

4. **RESPONSIBILITIES.** See Enclosure 2


5. **PROCEDURES.** See Enclosure 3

6. RELEASABILITY. **Not cleared for public release.** This DHA-AI is available to users with Common Access Card authorization on the DHA Intranet.

7. EFFECTIVE DATE. This DHA-AI:

a. Is effective upon signature.

b. Will expire 10 years from the date of signature if it has not been reissued or cancelled before this date in accordance with DHA-Procedural Instruction 5025.01 (Reference (c)).



R.C. BONO  
VADM, MC, USN  
Director

Enclosures

1. References
2. Responsibilities
3. Procedures
4. Service Processing Centers
5. Non-Availability Letter
6. STR Processing Workflow

Glossary

ENCLOSURE 1

REFERENCES

- (a) DoD Directive 5136.01, "Assistant Secretary of Defense for Health Affairs (ASD(HA)),  
September 30, 2013
- (b) DoD Directive 5136.13, "Defense Health Agency (DHA)," September 30, 2013
- (c) DHA-Procedural Instruction 5025.01, "Publication System," August 21, 2015
- (d) DoD Instruction 6040.45, "DoD Health Record Life Cycle Management,"  
November 16, 2015
- (e) DoD Instruction 6040.43, "Custody and Control of Outpatient Medical Records,"  
June 10, 2004
- (f) DoD Instruction 5015.02, "DoD Records Management Program," February 24, 2015
- (g) DHA-AI 071, "Incident Response Team (IRT) and Breach Response Requirements,"  
September 15, 2015
- (h) DoD Instruction 6040.42, "Medical Encounter and Coding at Military Treatment  
Facilities," June 10, 2004
- (i) DoD Instruction 1332.18, "Disability Evaluation System (DES)," August 5, 2014

ENCLOSURE 2  
RESPONSIBILITIES

1. DIRECTOR, DHA. The Director, DHA, will:
  - a. Exercise authority, direction, and control over the MTFs within the NCR MD.
  - b. Ensure that the enterprise electronic systems supporting the DoD Health Record and STR is managed and sustained in accordance with Reference (f).
  - c. Develop and issue implementation and procedural guidance in accordance with Reference (h) to specify documentation management procedures for record systems that support the STR and other components of the DoD Health Record.
  - d. Ensure the STR contains the minimum core elements in accordance with References (b), (f), and (h).
  - e. Ensure that the STR archiving systems make the STR available to the Department of Veterans Affairs (VA) according to the official memoranda of agreement or understanding between the DoD and VA consistent with legal requirements.
  
2. DIRECTOR, NCR MD. The Director, NCR MD, will:
  - a. Establish an Inter-Service Liaison Officer Position to answer requests for STRs of active, Reserve, and National Guard personnel or their designated beneficiaries from the Military Services.
  - b. Establish a system for oversight and auditing of compliance with this DHA-AI.
  
3. INTER-SERVICE LIAISON OFFICER. The Inter-Service Liaison Officer will:
  - a. Serve as the liaison between NCR MD and the Military Services for no less than 1 year from date of appointment.
  - b. Work to identify process improvement initiatives.
  - c. Monitor the overall STR program's compliance with regard to the timely transfer of STRs to the MILDEPs upon their request.
  
4. NCR MD MTF DIRECTORS. The NCR MD MTF Directors will provide the Director, NCR MD, with the MTFs' audit plan and audit results to periodically monitor compliance with this DHA-AI.

5. PATIENT ADMINISTRATIVE OFFICERS. The Patient Administrative Officers will:

a. Ensure that the STR Manager, Dental STR Manager, and Record Custodians are equipped to support this DHA-AI.

b. Execute the MTFs' STR audit plan, and report audit and performance results to their MTF Director.

6. STR MANAGER/CUSTODIANS MEDICAL RECORD SECTION OFFICER-IN-CHARGE. The STR Manager/Custodians Medical Record Section Officer-in-Charge will:

a. Collaborate and coordinate with all MTFs and Dental Treatment Facilities in a timely and efficient manner in support of this DHA-AI.

b. Monitor Service Personnel Loss Reports to ensure STR requests are addressed within the prescribed Service component timelines.

ENCLOSURE 3

PROCEDURES

1. The STR

a. The chronological record of medical, dental, and mental health received by Service members during the course of their military career. It includes documentation of all outpatient appointments (i.e., without overnight admittance to a hospital, clinic, or treatment facility), as well as any summaries of any inpatient care (i.e., discharge summaries,) and care received while in a military theater of operations.

b. Includes all of the essential information necessary for continuity of care, determination of medical readiness, and determination of benefits for a member of any of the Military Services. It is a principal component record of the DoD Health Record for the Service member.

c. The STR is used for patient care, medico-legal support, benefits adjudication (including, but not limited to, disability compensation benefits payments as described in Reference (i), billing, and certain other authorized purposes.

2. PROCESSING PROCEDURES

a. The Inter-Service Liaison Officer receives a copy of the Service MTF-provided Loss Report to verify if the Service member's STR is at their facility.

b. The Inter-Service Liaison Officer forwards the Loss Report to the appropriate NCR MD MTF's point of contact.

c. The NCR MTF receiving the Loss Report will immediately provide the Service MTF with confirmation that the report was received using secure e-mail or fax and process the request within 5 business days, as follows:

(1) STR located on record shelf:

(a) Request dental records, if applicable.

(b) Request additional medical documents from all clinics.

(c) Collect all loose medical documents.

(d) Assemble all medical documents into STR.

(e) Ensure STR is complete prior to shipping to the final destination: Air Force STR Processing Center, Army Medical Department (AMEDD) Record Processing Center, Coast Guard Base NCR, or Navy Medicine Records Activity (NMRA) (See Enclosure 4). In the case of the

Marines, authorized senior medical department representatives will relinquish STRs to those separating Marines who are authorized an exception to policy, in accordance with Reference (e), to hand carry their original STRs to their local Installation Personnel Administration Center (IPAC) or Administrative Reporting Unit Code (ADMIN RUC) in order to begin separation proceedings. Throughout this process, Marines shall protect the integrity of their STRs by promptly providing them to the appropriate IPAC/ADMIN RUC as directed.

(f) Forward assembled STR to appropriate Service Processing Center (See Enclosure 4). The STR should be mailed using certified or registered mail with a tracking number. Provide tracking number to the requesting facility and the Service Processing Center.

(2) STR not located on record shelf:

(a) Check the Composite Health Care System (CHCS) or the current Electronic Health Record system to ensure that the STR was properly checked-in. If the STR is not checked into CHCS, then forward the Non-Availability Letter (Enclosure 5) to the Processing Center with the following reason, "There is no CHCS history for this patient."

(b) If the STR is flagged as missing, then forward the Non-Availability Letter to the Processing Center with the following reason, "The STR was flagged as missing on date/month/year (dd/mm/yyyy) ."

(c) If the STR is checked out, then forward the Non-Availability Letter to the Processing Center with the following reason, "The STR was checked out to XXXXX (e.g., John Doe) on dd/mm/yyyy." If the STR cannot be located, then it should be flagged as missing. If the STR is or already has been flagged as missing, and if initial search procedures are followed without success, then this discovery of a breach should be reported to the DHA Privacy and Civil Liberties Office, and other breach response procedures should be followed, in accordance with the guidance detailed in Reference (g).

(d) If the STR is transferred, then forward the Non-Availability Letter to the Processing Center with the following reason, "The STR was transferred to XXXXX (e.g., another MTF, VA Records Management Center, and National Personnel Records Center) on dd/mm/yyyy."

(e) If the STR is sequestered, then forward the Non-Availability Letter to the Processing Center with the following reason, "The STR has been sequestered pending legal action."

3. **ISSUE RESOLUTION.** All issues or disagreements will be settled between the MILDEPs and the NCR MD Inter-Service Liaison Officer. Issues that cannot be settled at this level may be taken to the Director, NCR MD Directorate for resolution. If still unresolved, the issue may be taken to the Chief, Patient Administration Office, DHA Healthcare Operations Directorate. Final issue resolution authority will rest with the Director, DHA Healthcare Operations Directorate.

ENCLOSURE 4

SERVICE PROCESSING CENTERS

1. AIR FORCE

Air Force Medical Operations Agency Records Processing Center  
3370 Nacogdoches Road, Suite 116  
San Antonio, TX 78217

2. ARMY

AMEDD Record Processing Center  
3370 Nacogdoches Road, Suite 116  
San Antonio, TX 78217

3. COAST GUARD

U.S. Coast Guard Base NCR  
2703 Martin Luther King, Jr. Ave., SE  
Washington, DC 20593  
(ATTN: Clinic Administrator)

4. MARINE CORPS

Manpower & Reserve Affairs  
ATTN: STRRCC  
3280 Russell Road  
Quantico, VA 22134-5103

5. NAVY

Navy Medicine Records Activity (NMRA)  
Bureau of Medicine (BUMED) Detachment St. Louis  
4300 Goodfellow Blvd., Bldg. 103  
St. Louis, MO 63120



ENCLOSURE 5

NON-AVAILABILITY LETTER

DATE: mm/dd/yyyy

MEMORANDUM FOR SERVICE TREATMENT RECORDS (STRs) PROCESSING CENTER

SUBJECT: Incomplete STR and Completed Verification Checklist

The STR for the member identified below is incomplete. The (**circle one**) Dental or Outpatient Medical Record is missing:

Member Full Name and Rank:

Social Security Account Number (SSAN)/Date of Birth:

Final Service Obligation Date (Use ETS): **REQUIRED**

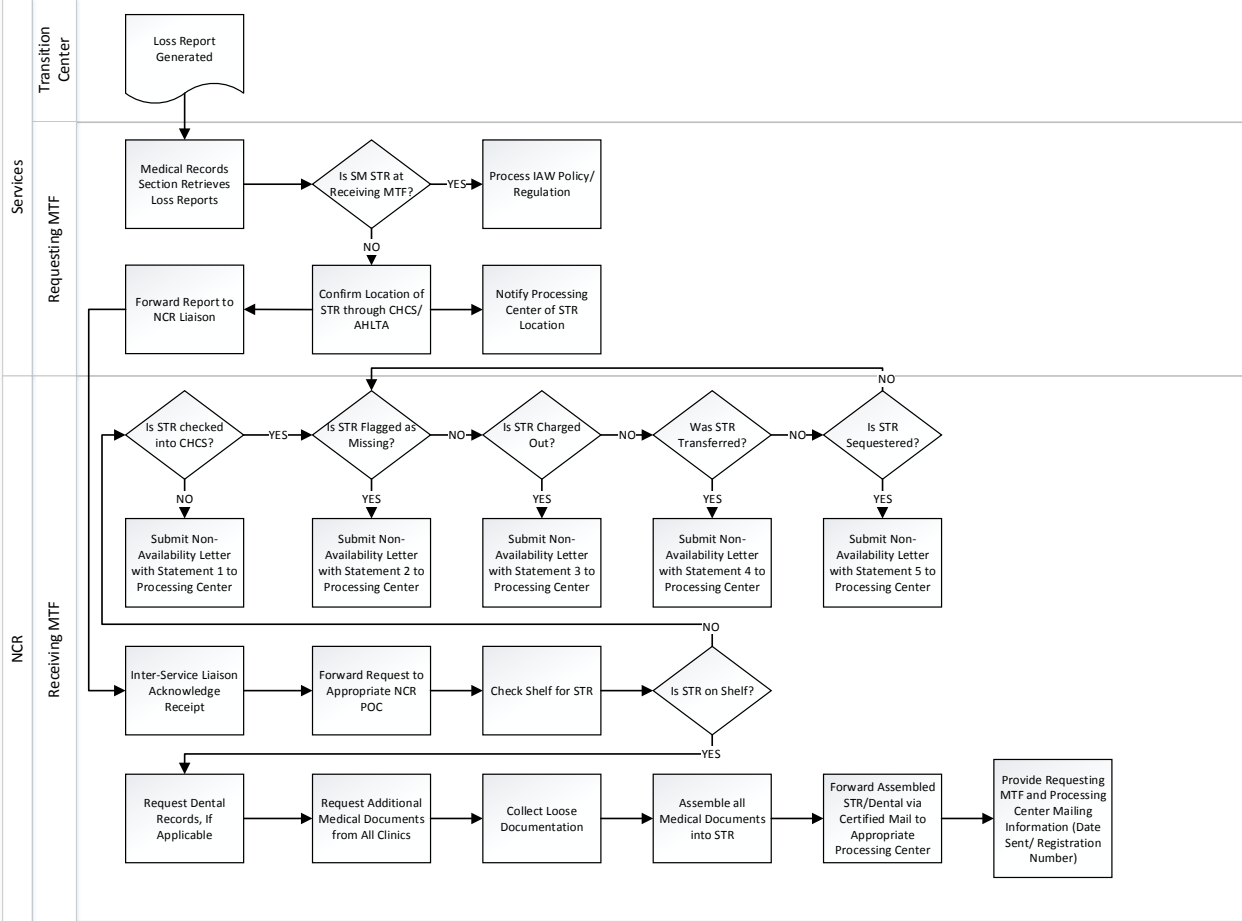
The Service member's record (volume) identified is considered missing. All search requirements outlined in DHA-AI XXX have been accomplished.

We will continue to search for the missing record and, if located, it will be mailed to the appropriate STR Cell: AFSTRPC, 3370 Nacogdoches Rd., Suite 116, San Antonio, TX 78217; AMEDD Record Processing Center, 3370 Nacogdoches Road, Suite 116, San Antonio, TX 78217; Manpower & Reserve Affairs, ATTN: STRRCC, 3280 Russell Road, Quantico, VA 22134-5103; or Navy Medicine Records Activity (NMRA) BUMED Detachment St. Louis, 4300 Goodfellow Blvd., Bldg. 103, St. Louis, MO 63120.

If you have any questions, contact the XX MTF STR Manager, SSgt John D. Doe at DSN 543-0123, or via e-mail at john.doe.mail@mail.mil.

FIRST AND LAST NAME, Colonel, USAF  
Department Head, XXX Medical Treatment Facility

ENCLOSURE 6  
STR PROCESSING WORKFLOW



GLOSSARY

PART I. ABBREVIATIONS AND ACRONYMS

|           |  |
|-----------|--|
| ADMIN RUC | Administrative Reporting Unit Code               |
| AMEDD     | Army Medical Department                          |
| CHCS      | Composite Health Care System                     |
| DHA       | Defense Health Agency                            |
| DHA-AI    | Defense Health Agency-Administrative Instruction |
| IPAC      | Installation Personnel Administration Center     |
| MILDEP    | Military Department                              |
| MTF       | Medical Treatment Facility                       |
| NCR       | National Capital Region                          |
| NCR MD    | National Capital Region-Medical Directorate      |
| NMRA      | Navy Medicine Records Activity                   |
| STR       | Service Treatment Record                         |
| VA        | Department of Veterans Affairs                   |

PART II. DEFINITIONS

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

Inter-Service Liaison Officer. A government employee assigned the responsibilities of monitoring compliance of the STR program with requirements for timely transfer of STRs.

Loss Roster. A report generated by each Service Personnel Command listing all projected losses anticipated for a given period.

Non-Availability Letter. A formal and signed memorandum stating the requested STR is not physically present within the NCR MD.

STR. The chronological record of medical, dental, and mental health received by Service members during the course of their military career. It includes documentation of all outpatient appointments (i.e., without overnight admittance to a hospital, clinic, or treatment facility), as well as any summaries of any inpatient care (i.e., discharge summaries), and care received while in a military theater of operations. The STR is the official record used to support continuity of

clinical care and the administrative, business-related, and evidentiary needs of the DoD, the VA, and the individual.