

Note: November 2022.

This Directive may no longer be current. Please check with the program office responsible for this Directive to determine if there are any updates or if the Directive is no longer in use.



COMDTINST 6150.4
16 SEP 2014

COMMANDANT INSTRUCTION 6150.4

Subj: DISPOSITION OF HEALTH RECORDS

- Ref: (a) Military Personnel Data Records (PDR) System, COMDTINST M1080.10 (series)
 (b) Coast Guard Information and Life Cycle Management Manual, COMDTINST M5212.12 (series)
 (c) Service Treatment Record (STR) and Non-Service Treatment Record (NSTR) Life Cycle Management, DoDI 6040.45
 (d) U.S. Coast Guard Postal Manual, COMDTINST M5110.1 (series)
 (e) U.S. Coast Guard Security and Information Assurance Manual, COMDTINST M5500.13 (series) [To obtain a copy of this reference contact Commandant (CG-65) at 202-475-3637]

- PURPOSE. This Instruction describes policy for the Coast Guard community regarding the life cycle management of health records for active duty and reserve members, dependents, retirees, and civilian employees upon separation or retiring including the health records of those members applying for VA Benefits Delivery at Discharge (BDD).
- ACTION. All Coast Guard unit commanders, commanding officers, officers-in-charge, deputy/assistant commandants, and chiefs of Headquarters staff elements shall comply with the provisions of this Instruction. Internet release is authorized.
- DIRECTIVES AFFECTED. None.
- DISCUSSION. The Health, Safety, and Work-Life Service Center (HSWL SC) Central Cell collects medical records and manages the processing and transfer of Service Treatment Records (STRs) to the National Archives and Records Administration (NARA) for separated service members. This is a distinct process separate from the management of Official Military Personnel Files (OMPFs), as outlined in reference (a). To ensure the appropriate disposition of a health record, HSWL SC representatives shall comply with all applicable federal and Coast Guard regulations. Representatives shall inspect all STRs of separated, discharged, and end of active obligated service members to ensure the records are in compliance with NARA's regulations.

DISTRIBUTION – SDL No. 165

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NON-STANDARD DISTRIBUTION:

5. DISCLAIMER. This guidance is not a substitute for applicable legal requirements, nor is it itself a rule. It is intended to provide operational guidance for Coast Guard personnel and is not intended to, nor does it impose legally-binding requirements on any party outside the Coast Guard.
6. MAJOR CHANGES. None.
7. ENVIRONMENTAL ASPECT AND IMPACT CONSIDERATIONS.
 - a. The development of this Instruction and the general policies contained within it have been thoroughly reviewed by the originating office in conjunction with the Office of Environmental Management, and are categorically excluded (CE) under current USCG CE #33 from further environmental analysis, in accordance with Section 2.B.2. and Figure 2-1 of the National Environmental Policy Act Implementing Procedures and Policy for Considering Environmental Impacts, COMDTINST M16475.1 (series). Because this Instruction contains guidance on, and provisions for, compliance with applicable environmental mandates, Coast Guard categorical exclusion #33 is appropriate.
 - b. This directive will not have any of the following: significant cumulative impacts on the human environment; substantial controversy or substantial change to existing environmental conditions; or inconsistencies with any Federal, State, or local laws or administrative determinations relating to the environment. All future specific actions resulting from the general policies in this Instruction must be individually evaluated for compliance with the National Environmental Policy Act (NEPA), Council on Environmental Policy NEPA regulations at 40 CFR Parts 1500-1508, DHS and Coast Guard NEPA policy, and compliance with all other environmental mandate.
8. DISTRIBUTION. No paper distribution will be made of this Instruction. An electronic version will be located on the following Commandant (CG-612) web sites.
Intranet: <http://cgweb.comdt.uscg.mil/CGDirectives/Welcome.htm>
Internet: <http://www.uscg.mil/directives/> and
CGPortal: <https://cgportal2.uscg.mil/Pages/main.aspx>.
9. RECORDS MANAGEMENT CONSIDERATIONS. This Instruction has been evaluated for potential records management impacts. The development of this Instruction has been thoroughly reviewed during the directives clearance process, and it has been determined there are records scheduling requirements, in accordance with Federal Records Act, 44 U.S.C. 3101 et seq., NARA requirements, and reference (b). This policy does not have any significant or substantial change to existing records management requirements.
10. RESPONSIBILITIES.
 - a. Commandant (CG-11). Provides technical expertise to the Commandant for the disposition of CG health records of patients obtaining care in Coast Guard and other health care facilities including DoD and other purchased care.
 - b. Commandant (CG-112). Develops policy and delegates broad oversight responsibility for Health Record Disposition to the Health, Safety and Work-Life Service Center (HSWL SC). Aligns Coast Guard policy with reference (c).

- c. Health, Safety, and Work-Life Service Center (HSWL SC). HSWL SC will ensure shipping and validation of Service Treatment Records (STRs) to NARA and will oversee all health record dispositions. For military personnel (active duty and reserve) health records, refer to Enclosure 1. For retirees/dependents health records, refer to Enclosure 2. For civilian employee health records, refer to Enclosure 3. Upon receiving the health record from the servicing clinic, the HSWL SC Central Cell shall inspect the records for errors, missing patient information, DD Form 214, Certificate of Release or Discharge from Active Duty, discharge or retirement certificate for reserve, and Service Treatment Record (STR) Certification, DD Form 2963 (Enclosure 4). Once all errors are corrected, the health record shall be transferred within 15 business days after receipt from the servicing clinic or unit to the NARA via traceable means, at the following address:

NPRC ANNEX BLVD
1411 BOULDER BLVD
VALMEYER IL 62295

HSWL SC Central Cell will update the HSWL SC Central Cell tracking spreadsheet (Enclosure 5). The email address for the HSWL SC Central Cell is:
D05-SMB-HSWLCentralCell@uscg.mil.

- d. Health Service Administrators (HSA). Will ensure implementation of this Instruction. The servicing clinic has the responsibility of locating and replacing lost, damaged or destroyed records. Found STRs will be processed as per this Instruction. The servicing clinic also has the responsibility of mailing the original STRs of other Uniformed Services members to the members' servicing Central Cell (see Enclosure 6). The servicing clinic will also generate a memo authorizing the service member to transfer the STR to the Veterans Administration Regional Office (VARO) (Enclosure 7) as discussed in Enclosure 1. The servicing clinic will also complete Records Transmittal and Receipt, SF-135 (Enclosure 8) as discussed in Enclosure 2.

11. DEFINITIONS.

- a. Service Treatment Record (STR): Health records containing chronology of medical, dental, and mental health care received by military service members during the course of their military career on an outpatient basis. Inpatient records are not considered part of the STR. Inpatient records are sent to the Veterans Affairs (VA) Records Management Center and only a copy of the admission or discharge summary of the inpatient admission is included in the STR. The STR is the official record and used to support clinical care and the administrative, business-related, and evidentiary needs of the Department of Homeland Security (DHS), Department of Defense (DoD), NARA, and the individual.
- b. Military Service Out-Processing Center: The Coast Guard out-processing site for health records is the HSWL SC Central Cell.
- c. Record life cycle: The management concept that records pass through three stages: creation, maintenance and use, and disposition.

- d. VA Benefits Delivery at Discharge (BDD): BDD allows a service member to submit a claim for disability compensation 60 to 180 days prior to separation, retirement, or release from active duty or demobilization. BDD can help service members receive VA disability benefits sooner, with a goal of within 60 days after release or discharge.
 - e. Servicing Clinic: A Coast Guard clinic responsible for all direct and indirect units that fall under the Clinic Responsibility List as determined by HSWL SC.
 - f. Shipping by traceable means: Shipping items through an agency or company that provides tracking numbers to account for delivery of items. IAW reference (d), any items containing sensitive personally identifiable information (SPII) or Personally Identifiable Information (PII) must be shipped in appropriate containers to protect the information from unintentional disclosure.
12. FORMS/REPORTS. The forms referenced in this Instruction are available in USCG Electronic Forms on the Standard Workstation or on the Internet:
<http://www.uscg.mil/forms/>, CGPortal at <https://cgportal.uscg.mil/delivery/Satellite/uscg/References>; and Intranet at <http://cgweb.comdt.uscg.mil/CGForms>. Department of Defense forms (DD) are available at : <http://www.dtic.mil/whs/directives/infomgt/forms/index.htm>. Standard Forms (SF) are available at: <http://www.gsa.gov/portal/forms/type/TOP>.
13. REQUEST FOR CHANGES. Units and individuals may recommend changes by writing via the chain of command to:

COMMANDANT (CG-112)
U.S. COAST GUARD STOP 7907
2703 MARTIN LUTHER KING JR AVE SE
WASHINGTON DC 20593-7907

Maura K. Dollymore /s/
Rear Admiral, U.S. Coast Guard
Director, Health, Safety & Work-Life

- Encl:
- (1) Military Personnel (active duty and reserve) Health Record Disposition
 - (2) Retiree/Dependent Health Record Disposition
 - (3) Civilian Employee Health Record Disposition
 - (4) Example of DD Form 2963 (dated Mar 2014)
 - (5) Sample HSWL SC Central Cell Tracking Spreadsheet
 - (6) Uniformed Services Central Cell List
 - (7) Sample release of STR and DD FORM 214 memo
 - (8) Example of RECORDS TRANSMITTAL AND RECEIPT, SF-135

MILITARY PERSONNEL (ACTIVE DUTY AND RESERVE) HEALTH RECORD
DISPOSITION

1. CLOSING MILITARY PERSONNEL STRs.

- a. Upon retirement, discharge, or end of obligated service, the servicing clinic closing out the health record will be responsible for inspecting the STR and completing the following:
 - (1) Ensure there is a current version of the STR jacket.
 - (2) Correct all errors.
 - (3) Fill in any omissions. If documentation is missing, it is the responsibility of the servicing clinic to find and file the missing documentation into the STR. If missing information cannot be obtained, an explanatory note must be documented on a Chronological Record of Medical Care, SF-600 documenting what is missing.
 - (4) Ensure patient identification information is complete on all forms. Any forms/reports misfiled in the STR belonging to another member will be removed and filed in the correct health record.
 - (5) Cite the reason for separation on the reverse side of the Chronological Record of Service, Form CG-4057 to close out the service treatment record.
 - (6) If the member is from another Uniformed Service, mail the original STR to the member's servicing Central Cell (Enclosure 6).
 - (7) If the member is a Public Health Service (PHS) officer, mail the original STR to the PHS Medical Affairs Branch (Enclosure 6).
- b. If the STR is not kept at the servicing clinic but instead at the unit, then the field Health Record Custodian (i.e.: XO/XPO or Independent Duty Health Services Technician (IDHS)) must send the record via traceable means within two days of the member separating from the Coast Guard to the servicing clinic.

2. ACTIVE DUTY AND RESERVE MEMBERS APPLYING FOR VA BDD.

- a. To file a claim under BDD prior to separation, retirement, or release from active duty or demobilization, service members need to complete one of the following:
 - (1) Submit an application online using eBenefits on the VA's website and follow the instructions about where to submit STRs, or
 - (2) Complete the VA Form 21-526C, Pre-Discharge Compensation Claim, and submit it with the service member's STR (originals or certified copies) to the VA location nearest to the service member, or

- (3) Call the VA toll free at 1-800-827-1000 to have the claim form mailed to the service member, or
 - (4) Visit the local VA regional office. For the VA regional office nearest to the service member, call VA toll-free at 1-800-827-1000.
- b. The service member shall contact the servicing clinic to obtain a memo authorizing the service member to transfer the STR to the VARO (Enclosure 7).
 - c. The servicing clinic will forward a copy of the memo (Enclosure 7) and email the completed HSWL SC Central Cell tracking spreadsheet (Enclosure 5) to the HSWL SC Central Cell. Emails containing PII/SPII or PHI shall be safeguarded in accordance with reference (e).

3. HEALTH RECORD TRANSFER.

a. ACTIVE DUTY AND RESERVE MEMBERS BEING DISCHARGED OR RETIRED FROM COAST GUARD SERVICE

- (1) The STRs of active duty members who immediately affiliate with the SELRES shall have their STR transferred to the servicing clinic of the receiving command.
- (2) The servicing clinic shall follow steps in paragraph 1.a. to close out the STR. After the STR is properly closed, the servicing clinic will complete the following:
 - (a) Upon retirement, discharge, or end of active obligated service of the service member, the servicing clinic shall transfer a complete STR to the HSWL SC Central Cell if the service member does not participate in VA BDD. The HSWL SC Central Cell is responsible for shipping the STR to the National Archives and Records Administration (NARA).
 - (b) The servicing clinic shall insert a completed Service Treatment Record (STR) Certification, DD Form 2963 (Enclosure 4) and DD Form 214, Certificate of Release or Discharge from Active Duty, or discharge or retirement certificate for reserve, in each STR before shipping the health record to the HSWL SC Central Cell. The process to properly fill out the Service Treatment Record (STR) Certification, DD Form 2963 (Enclosure 4) is as follows:
 - 1) Block 1. Date of Certification (YYYYMMDD) – Enter date of certification.
 - 2) Block 2. From (Sending Organization and Complete Mailing Address) – Enter sender's or Command's address.
 - 3) Block 3. Service Member's Information.
 - a) Block 3.a. Name (Last, First, Middle Initial). Enter service member's legal name.

- b) Block 3.b. SSN (Last 4 digits)/ DOD ID No. Enter the last four (4) digits of the service member's SSN, or DOD Identification Number.
- 4) Block 4. Certification.
 - a) If certifying a complete paper health record, select "Complete STR (Medical and Dental)." Enter comments as needed. Note: Select Complete STR (Medical and Dental) if the paper health records are consistent with requirements for an STR as directed by reference (c). If the separating member has served less than 180 days, enter "Entry Level Separation" in the comments area.
 - b) If certifying a paper medical record only, select "Medical Record". Enter comments as needed. If the separating member has served less than 180 days, enter "Entry Level Separation" in the comments area.
 - c) If certifying a paper dental record only, select "Dental Record". If the separating member has served less than 180 days, enter "Entry Level Separation" in the comments area.
- 5) Block 5. Office of Primary Responsibility is HSWL SC Central Cell. Enter the following information for the HSWL SC Central Cell.
 - a) Block 5.a. Enter name and address of the HSWL SC Central Cell.

COMMANDING OFFICER
HSWL SERVICE CENTER
ATTN CENTRAL CELL
300 E MAIN ST STE 1000
NORFOLK VA 23510-9109
 - b) Block 5.b. To be filled out by the HSWL SC Central Cell.
 - c) Block 5.c. To be filled out by the HSWL SC Central Cell.
 - d) Block 5.d. To be filled out by the HSWL SC Central Cell.
- (3) Within 30 business days after the member's discharge or retirement from the Coast Guard, the servicing clinic will also complete the HSWL SC Central Cell tracking spreadsheet (Enclosure 5) and e-mail it to the HSWL Central Cell, and ship the STR via traceable means to:

COMMANDING OFFICER
HSWL SERVICE CENTER
ATTN CENTRAL CELL
300 E MAIN ST STE 1000
NORFOLK, VA 23510-9109

Emails containing PII/SPII or PHI shall be safeguarded in accordance with reference (e).

b. ACTIVE DUTY AND SELECTED RESERVE (SELRES) MEMBERS TRANSFERRING TO THE INDIVIDUAL READY RESERVE (IRR), ACTIVE STATUS LIST (ASL), OR INACTIVE STATUS LIST (ISL).

- (1) Follow steps in paragraph 1.a. to close out the STR.
- (2) The service member will contact his/her servicing clinic to obtain a memo (Enclosure 7) authorizing the service member to transfer a certified copy of the STR to the VARO if the service member is participating in BDD.
- (3) The service member's original STR is sent to HSWL SC Central Cell.

COMMANDING OFFICER
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ATTN CENTRAL CELL
300 E MAIN ST STE 1000
NORFOLK, VA 23510-9109

- (4) The servicing clinic will also follow the steps in paragraph 3.a. and will e-mail it to the HSWL Central Cell. Emails containing PII/SPII or PHI shall be safeguarded in accordance with reference (e).
- (5) Upon the service member transferring to the IRR, ASL, or ISL, the member's command will send the original STR to the losing command's respective servicing clinic.
- (6) HSWL SC Central Cell will log the original STR onto the HSWL SC Central Cell tracking spreadsheet (Enclosure 5) and will do the following:
 - (a) HSWL SC Central Cell shall transfer a complete STR to NARA.
 - (b) HSWL SC Central Cell shall insert a completed Service Treatment Record (STR) Certification, DD Form 2963 (Enclosure 4) and DD Form 214, Certificate of Release or Discharge from Active Duty in each health record before shipping the health record to NARA. The process to properly fill out the DD 2963 is as follows:
 - 1) See pages 2 and 3 for completing Blocks 1-4.
 - 2) Block 5. Office of Primary Responsibility. Enter the following:
 - a) Block 5.a. Enter name and address for HSWL SC Central Cell.
 - b) Block 5.b. Enter point of contact name at HSWL SC Central Cell.

- c) Block 5.c. Enter email address of point of contact at HSWL SC Central Cell.
 - d) Block 5.d. Enter telephone number for point of contact at HSWL Central Cell.
- (7) HSWL SC Central Cell will also complete the HSWL SC Central Cell tracking spreadsheet (Enclosure 5) and will ship the STR to NARA via traceable means to:

NATIONAL PERSONNEL RECORDS CENTER ANNEX
1411 BOULDER BOULEVARD
VALMEYER, IL 62295

- (8) NARA will scan the STR into the appropriate VA database.
- (9) If CGRC or PSC-RPM needs to retrieve the archived record from NARA, they will complete the Request Pertaining to Military Records, SF-180, and submit it to NARA. When requesting STR from NARA, sufficient lead time should be allowed for the STR to be returned as it can take 10 days or longer for NARA to respond.

4. DEATH OF SERVICE MEMBER.

- a. Follow steps in paragraph 1.a. to close out the health record.
- b. The servicing clinic will send the STR to the HSWL SC Chief of Operational Medicine for review.
- c. Once HSWL SC Chief of Operational Medicine has no further need for the STR, the HSWL SC Chief of Operational Medicine will send the STR to the HSWL SC Central Cell.
- d. The servicing clinic will also complete the HSWL SC Central Cell tracking spreadsheet (Enclosure 5) noting that the STR was sent to the HSWL SC Chief of Operational Medicine and will e-mail the spreadsheet to the HSWL SC Central Cell.

5. DESERTION.

- a. The servicing clinic will enter an explanatory note on a Chronological Record of Medical Care, SF-600.
- b. The cognizant SPO will notify the health record custodian to forward the STR to PSC-PSD-MR.
- c. The servicing clinic will also complete the HSWL SC Central Cell tracking spreadsheet (Enclosure 5) and will e-mail it to the HSWL Central Cell.

6. LATE FLOWING AND LOOSE STR DOCUMENTATION.

Enclosure (1) to COMDTINST 6150.4

- a. The Veterans Affairs and the HSWL SC Central Cell will not accept loose documentation and both require that any late flowing and loose documentation for service members must be placed in a STR jacket. Late flowing and loose documentation containing member's identification information will be filed in the current version of the STR jacket and will be forwarded to the HSWL SC Central Cell.
- b. The servicing clinic shall insert a completed Service Treatment Record (STR) Certification, DD Form 2963 (Enclosure 4) and DD Form 214, Certificate of Release or Discharge from Active Duty, or discharge or retirement certificate for reserve, before transferring the health record to the HSWL SC Central Cell.
- c. The servicing clinic will also complete the HSWL SC health record tracking spreadsheet (Enclosure 5) and e-mail it to the HSWL SC Central Cell and ship the health record via traceable means to the HSWL SC Central Cell.

COMMANDING OFFICER
HSWL SERVICE CENTER
ATTN: CENTRAL CELL
300 E. MAIN ST STE 1000
NORFOLK VA 23510-9109

Emails containing PII/SPII or PHI shall be safeguarded in accordance with reference (e).

- d. PSC-RPM will scan and email any late flowing and loose STR documentation they receive for IRR, ASL, and ISL members to the HSWL SC Central Cell. PSC-RPM will ensure the email also includes a completed Service Treatment Record (STR) Certification, DD Form 2963 (Enclosure 4) and DD Form 214, Certificate of Release or Discharge from Active Duty, or discharge or retirement certificate for reserve, and an appropriately completed HSWL SC health record tracking spreadsheet (Enclosure 5).
- e. HSWL SC Central Cell will place late flowing and loose STR documentation from PSC-RPM into the current version of the STR jacket and will complete the steps in paragraphs 3.b.(6) and 3.b.(7) to send the STR documentation to NARA.

RETIREE/DEPENDENT HEALTH RECORD DISPOSITION

1. CLOSING RETIREE/DEPENDENT HEALTH RECORDS

- a. The servicing clinic closing out the health record will be responsible for inspecting the health record and completing the following:
 - (1) Ensure that there is a current version of the retiree/dependent health record jacket.
 - (2) Correct all errors.
 - (3) Fill in any omissions. If documentation is missing, it is the responsibility of the servicing clinic to find and file the missing documentation into the health record. If missing information cannot be obtained, an explanatory note must be documented on a Chronological Record of Medical Care, SF-600 documenting what is missing.
 - (4) Ensure patient identification information is complete on all forms. Any forms/reports misfiled in health record belonging to another member will be removed and filed in the correct health record.
 - (5) Close the health record four years after the last record entry and keep the health record in the clinic for an additional two years after the date the health record was closed.
 - (6) Make an entry on the Chronological Record of Medical Care, SF-600 explaining the circumstances under which the record was closed.
 - (7) Transfer the health record to HSWL SC Central Cell six years after the last date of treatment.
- b. Health Record Transfer.
 - (1) The servicing clinic shall place the health records for retirees in a separate box from the dependent health records. The health records shall be placed in a standard size record box (14 3/4" x 12" x 9 1/2") for legal or letter size files (NSN 8115-00-1178249). The boxes shall not be overpacked. A one to two inch space shall be left in each box.
 - (2) The servicing clinic shall prepare the Records Transmittal and Receipt, SF-135 (Enclosure 8).
 - (3) The servicing clinic shall complete the HSWL SC Central Cell tracking spreadsheet and e-mail it the HSWL Central Cell and ship the health record via traceable means to HSWL SC Central Cell.

COMMANDING OFFICER
HSWL SERVICE CENTER
ATTN: CENTRAL CELL
300 E MAIN ST STE 1000
NORFOLK VA 23510-9109

Enclosure (2) to COMDTINST 6150.4

- (4) Upon receiving a box of retiree or dependent health records, the HSWL SC Central Cell will inspect the box and Records Transmittal and Receipt, SF-135 for any errors.
- (5) The completed Records Transmittal and Receipt, SF 135 shall be submitted to the National Personnel Records Center (NPRC) Annex via fax to 618-935-3014 for approval to ship the health records.
- (6) Once approval is received from the NPRC Annex to ship the health records. The boxes shall be shipped via traceable means to the NPRC Annex.

NPRC-ANNEX BLVD
1411 BOULDER BLVD
VALMEYER, IL 62295

- (7) The HSWL SC Central Cell will update the HSWL SC Central Cell tracking spreadsheet (Enclosure 5).

CIVILIAN EMPLOYEE HEALTH RECORD DISPOSITION

1. CLOSING CIVILIAN EMPLOYEE OCCUPATIONAL HEALTH RECORDS

Upon termination of employment, the servicing clinic closing out the occupational health record will be responsible for inspecting the health record and completing the following:

- a. Ensure there is a current version of the civilian employee occupational health record jacket.
- b. Correct all errors.
- c. Fill in any omissions. If documentation is missing, it is the responsibility of the servicing clinic to find and file the missing documentation into the health record. If missing information cannot be obtained, then an explanatory note must be documented on a Chronological Record of Medical Care, SF-600 documenting what is missing.
- d. Ensure patient identification information is complete on all forms. Any forms/reports misfiled in the health record belonging to another member will be removed and filed into the correct health record.

2. HEALTH RECORD TRANSFER

- a. The servicing clinic will also complete the HSWL SC Central Cell tracking spreadsheet (Enclosure 5) and email it to the HSWL Central Cell and ship the health record via traceable means to:

COMMANDING OFFICER
HSWL SERVICE CENTER
ATTN CENTRAL CELL
300 E MAIN ST STE 1000
NORFOLK VA 23510-9109

- b. After the health record is properly closed, the servicing clinic will complete the following:
 - (1) The occupational health record shall be closed six years after the last record entry.
 - (2) The servicing clinic shall make an entry on the Chronological Record of Medical Care, SF-600 explaining the circumstances under which the record was closed, date employment ended and if the civilian employee was exposed to any physical agents such as hazardous noise or to any hazardous compounds such as asbestos, benzene, etc.
 - (3) All occupational health records shall be transferred to the HSWL SC Central Cell six years after the last date of medical activity.
- c. Civilian employee health records comprising of any Occupational Medical Surveillance and Evaluation Program (OMSEP) surveillance forms, work related injuries,

Enclosure (3) to COMDTINST 6150.4

correspondence, and related papers documenting employee medical history will be stored at the HSWL SC Central Cell for 30 years after employment ends.

Example of DD Form 2963 (dated Mar 2014)

SERVICE TREATMENT RECORD (STR) CERTIFICATION <i>(Read Instructions on back before completing form.)</i>	
TO: Veterans Benefits Administration, VA Regional Office	1. DATE OF CERTIFICATION (YYYYMMDD)
2. FROM <i>(Sending Organization and complete mailing address)</i>	
<p>This information is made available to Department of Veterans Affairs (VA) for utilization in potential claims processing. Please utilize information as appropriate.</p> <p>The information herein is For Official Use Only (FOUO) and must be protected under the Privacy Act of 1974 and the Health Insurance Portability and Accountability Act (HIPAA). These records should be handled with confidentiality to ensure the veteran/patient's privacy. Unauthorized disclosure or misuse of this personal information may result in criminal and/or civil penalties.</p>	
3. SERVICE MEMBER IDENTIFICATION	
a. NAME <i>(Last, First, Middle Initial)</i>	b. SSN <i>(Last 4 digits)/DoD ID NO.</i>
4. CERTIFICATION <hr style="border: 0.5px solid black;"/> <p style="text-align: center;"><i>(Insert type of document.)</i></p> <p>A thorough review of all known DoD or United States Coast Guard (USCG) systems, as appropriate, has been accomplished as directed by DoDI 6040.45. As such, other than the records being enclosed herein, it has been concluded that no further records exist for the service member as of the certification date of this form. In the event additional documentation is discovered, it will immediately be made available to VA for utilization in potential claims processing.</p> <p>COMMENTS: **NOTE: If separating member has served less than 180 days, enter "Entry Level Separation" in comments area below.</p>	
5. OFFICE OF PRIMARY RESPONSIBILITY	
a. OFFICE NAME AND ADDRESS	
b. POINT OF CONTACT NAME <i>(Last, First, Middle Initial)</i>	
c. EMAIL ADDRESS	d. TELEPHONE NUMBER <i>(Include Area Code/DSN)</i>

**INSTRUCTIONS FOR COMPLETING DD FORM 2963,
SERVICE TREATMENT RECORD (STR) CERTIFICATION**

(See DoDI 6040.45)

BLOCK 1. DATE OF CERTIFICATION (YYYYMMDD).

Enter date of certification.

BLOCK 2. FROM (Sending Organization and Complete Mailing Address).

Enter sender's or Command address.

BLOCK 3. SERVICE MEMBER INFORMATION.

3.a. NAME (*Last, First, Middle Initial*). Enter Service member's legal name.

3.b. SSN (*Last 4 digits*)/DoD ID No. Enter the last 4 digits of Service member's SSN, or DoD Identification Number.

If Certifying a Complete STR:

BLOCK 4. CERTIFICATION. Select "Complete STR (Medical and Dental)".

COMMENTS. Enter comments as needed.

NOTE: Select Complete STR (Medical and Dental) if the records are consistent with requirements for an STR as directed by DoDI 6040.45.

If Certifying Medical Records Only:

BLOCK 4. CERTIFICATION. Select "Medical Record".

COMMENTS. Enter comments as needed.

NOTE: If separating member has served less than 180 days, enter "Entry Level Separation" in Comments area.

If Certifying Dental Records Only:

BLOCK 4. CERTIFICATION. Select "Dental Record".

COMMENTS. Enter comments as needed.

NOTE: If separating member has served less than 180 days, enter "Entry Level Separation" in Comments area.

BLOCK 5. OFFICE OF PRIMARY RESPONSIBILITY.

Enter requested information of the Office of Primary Responsibility or Point of Contact (POC):

5.a. Enter name and address of Medical Treatment Facility (MTF) or Dental Treatment Facility (DTF).

5.b. POINT OF CONTACT NAME (*Last, First, Middle Initial*). Enter POC name.

5.c. EMAIL ADDRESS. Enter POC email address.

5.d. TELEPHONE NUMBER (*Include Area Code*). Enter commercial telephone number of MTF or DTF.

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UNIFORMED SERVICES CENTRAL CELL LIST

ARMY & AIR FORCE

AMEDD RECORD PROCESSING CENTER
3370 NACOGDOCHES RD STE 116
SAN ANTONIO TX 78217-3371

MARINE CORPS

HEADQUARTERS US MARINE CORPS
MANPOWER INFORMATION DIVISION
JAMES WESLEY MARSH CENTER
3280 RUSSELL RD
QUANTICO VA 22134-5103

COAST GUARD

COMMANDING OFFICER
HSWL SERVICE CENTER
ATTN CENTRAL CELL
300 E MAIN ST STE 1000
NORFOLK VA 23510-9109

USPHS – U.S. Public Health Service

OFFICE OF COMMISSIONED CORPS SUPPORT SERVICES
MEDICAL AFFAIRS BRANCH
8455 COLESVILLE RD STE 910
SILVER SPRING MD 20910-3319

NOAA – National Oceanic and Atmospheric Administration

NATIONAL OCEANIC AND ATMOSPHERIC ADMINISTRATION
COMMISSIONED PERSONNEL CENTER
CHIEF, MEDICAL ADMINISTRATION BRANCH
8403 COLESVILLE RD STE 500
SILVER SPRING MARYLAND 20910-6333

NAVY

Mail Navy STRs to the nearest Navy MTF:

Navy MTFs West Region

<p>NAVAL HOSPITAL CAMP PENDLETON BOX 555191 CAMP PENDLETON CA 92055-5191 760-725-1288</p>	<p>NAVAL HOSPITAL OKINAWA PSC 482 FPO AP 96362-1600 011-81-98-971-7555</p>
<p>ROBERT E BUSH NAVAL HOSPITAL NAVAL HOSPITAL ATTN HEALTH RECORDS MAGTFTC MCAGCC BOX 788250 TWENTYNINE PALMS CA 92278-8250 760-830-2190</p>	<p>NAVAL HOSPITAL YOKOSUKA PSC 475 BOX 1 FPO AP 96350-1600 046-816-7144 or DSN: 243-7144</p>
<p>NAVAL HOSPITAL LEMOORE 937 FRANKLIN AVE LEMOORE CA 93246-4700 559-998-4481</p>	<p>NAVAL HOSPITAL GUAM PSC 490 BOX 7606 FPO AP 96538-1600 671-344-9340</p>
<p>NAVAL MEDICAL CENTER SAN DIEGO-BALBOA 34800 BOB WILSON DR SAN DIEGO CA 92134-5000 619-532-6400</p>	<p>BRANCH HEALTH CLINIC KANEOHE BAY 3089 D ST MARINE CORPS BASE HAWAII HI 96863 808-257-3365</p>
<p>NAVAL HOSPITAL BREMERTON ONE BOONE RD BREMERTON WA 98312-1894 360-475-4000</p>	<p>NAVAL HOSPITAL OAK HARBOR 3475 N SARATOGA ST OAK HARBOR WA 98278-8800 360-257-9500</p>
<p>NAVAL BRANCH HEALTH CLINIC EVERETT 2000 W MARINE VIEW DR EVERETT WA 98207-0001 425-304-4060</p>	

Navy MTF EAST Region

<p>NAVAL HOSPITAL BEAUFORT 1 PINCKNEY BLVD BEAUFORT SC 29902-6122 (843) 228-5600</p>	<p>US NAVAL HOSPITAL NAPLES PSC 827 BOX 16 FPO AE 09617-0001 011-(39)-081-811-6330/6331/4132</p>
<p>NAVAL HOSPITAL LEJEUNE 100 BREWSTER BLVD CAMP LEJEUNE NC 28547-2538 910-450-3230</p>	<p>US NAVAL HOSPITAL ROTA PSC 819 BOX 18 FPO AE 09645-0001 (34)-956-82-3552/3530</p>
<p>NAVAL HOSPITAL JACKSONVILLE 2080 CHILD ST JACKSONVILLE FL 32214-5000 904-542-7300</p>	<p>NAVAL MEDICAL CENTER PORTSMOUTH 620 JOHN PAUL JONES CIR PORTSMOUTH VA 23708-2111 757-953-2610</p>
<p>NAVAL HOSPITAL PENSACOLA 6000 W HIGHWAY 98 PENSACOLA FL 32512-0001 850-505-6601</p>	<p>NAVAL HEALTH CLINIC CHERRY POINT PSC BOX 8023 BLDG 4389 CHERRY POINT NC 28533-0023 252-466-0266</p>
<p>U.S. NAVAL HOSPITAL GUANTANAMO BAY PSC 810 BOX 185 FPO AE 09589-0002 011-53-99-72280</p>	<p>NAVAL HEALTH CLINIC NEWPORT 43 SMITH RD NEWPORT RI 02841-1006 401-841-3771</p>
<p>US NAVAL HOSPITAL SIGONELLA PSC 836 BOX 2670 FPO AE 09636-2670 (39)-095-56-4848/4635</p>	<p>CAPTAIN JAMES A. LOVELL FEDERAL HEALTH CARE CENTER 3001 GREEN BAY RD NORTH CHICAGO IL 60064-3048 800-941-4501</p>
<p>NAVAL HEALTH CLINIC CHARLESTON 110 NNPTC CIR GOOSE CREEK SC 29445-6314 (843) 794-6000</p>	<p>NAVAL HEALTH CLINIC CORPUS CHRISTI 10651 E ST BLDG H100 CORPUS CHRISTI TX 78419-5130 361-961-2688</p>

Navy MTFs NCA Region

NAVAL HEALTH CLINIC PATUXENT RIVER 47149 BUSE RD BLDG 1370 PATUXENT RIVER MD 20670-1540 301-342-1418	NAVAL HEALTH CLINIC ANNAPOLIS 250 WOOD RD ANNAPOLIS MD 21402-1257 410-293-2273
NAVAL HEALTH CLINIC QUANTICO 3259 CATLIN AVE QUANTICO VA 22134-5109 703-784-1725 or 888-784-1802	WALTER REED NATIONAL MILITARY MED CTR 8901 WISCONSIN AVE BETHESDA MD 20889-0005 301-295-4611

SAMPLE RELEASE OF STR AND DD FORM 214 MEMO

U.S. Department of
Homeland Security

United States
Coast Guard



Commander
U.S. Coast Guard
Base Good Health

40 QA Record Blvd.
Nice Place, Virginia 12345
Staff Symbol: (rm5)
Phone: (123) 456-7890
Fax: (012) 345-6789

1000
01 January 2014

MEMORANDUM

From: A.B. Samson, CWO2, USCG
Clinic Administrator

To: J.C. Smith, CWO2, USCG
CG Base Good Health

Subj: RELEASE OF SERVICE TREATMENT RECORDS (STR)

1. CWO John C. Smith (DoD EDIPN) has submitted VA Form 21-526, Veteran's Application for Compensation and/or Pension, through the Benefits Delivery Discharge (BDD) program. In a pre-arranged agreement between the Department of Homeland Security (DHS) and the Department of Veterans Affairs (DVA), it has been approved to release the original or certified copy of service medical and dental records to service members who have filed a VA Form 21-526C, Pre-Discharge Compensation Claim.
2. The BDD program is a result of a joint DHS and DVA agreement to provide transition services to separating service members. The BDD early intervention claims process should begin 60 to 180 days prior to separation to help avoid lengthy delays in receipt of benefits. These records are needed to process the claim for compensation. The DVA must receive these records **between 60 to 180 days** prior to separation or retirement from the military in order to process the claim under BDD.
3. These records may be delivered by hand carrying the records directly to the servicing VA Regional Office (VARO). The service member shall bring the service medical record, dental record, and a copy of the DD Form 214 Worksheet, Certificate of Release or Discharge from Active Duty, or Discharge or Retirement Certificate if Reserve to the designated DVA representative at the servicing VARO.
4. Direct receipt to the BDD office will avoid lengthy routing between these activities. The DVA will be the custodian of these records once submitted, and the service member is advised to retain a complete certified copy of their STR.
5. It is highly recommended that the service member retains a copy of this letter for their files. If there are any questions regarding the BDD process, please contact the DVA at (757) 858-6148 or 1-800-827-1000.

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EXAMPLE OF RECORDS TRANSMITTAL AND RECEIPT, SF-135

RECORDS TRANSMITTAL AND RECEIPT		Complete and send original and one copy of this form to the appropriate Federal Records Center for approval prior to shipment of records. See specific instructions on reverse.			PAGE 1	OF PAGES	
1	TO	(Complete the address for the records center serving your area as shown in 36 CFR 1228.150.) <p style="text-align:center;">Federal Records Center NPRC-Annex 1411 Boulder Blvd Valmeyer, IL 62295</p>			5 FROM (Enter the name and complete mailing address of the office retiring the records. The signed receipt of this form will be sent to this address.) <div style="border: 1px solid black; padding: 10px; text-align: center;"> Commanding Officer HSWL SERVCEN ATTN: Central Cell 300 E. Main St, Suite 1000 Norfolk, VA 23510 </div>		
2	AGENCY TRANSFER AUTHORIZATION	TRANSFERRING AGENCY OFFICIAL (signature and title)	DATE				
3	AGENCY CONTACT	TRANSFERRING AGENCY LIAISON OFFICIAL (Name, office and telephone No)	DATE				
4	RECORDS CENTER RECEIPT	RECORDS RECEIVED BY (Signature and Title)	DATE				
		Completed by HSWL SC Central Cell					
		Completed by HSWL SC Central Cell					
		Completed by Federal Records Center					

Fold Line ↘

6 RECORDS DATA												
ACCESSION NUMBER			VOLUME <i>(cu. ft.)</i>	AGENCY BOX NUMBERS	SERIES DESCRIPTION <i>(with inclusive dates of records)</i>	RESTRIC- TION	DISPOSAL AUTHORITY <i>(schedule and item number)</i>	DISPOSAL DATE	COMPLETED BY RECORDS CENTER			
RG	FY	NUMBER							LOCATION	SHELF PLAN	CONT. TYPE	AUTO. DISP.
<i>(a)</i>	<i>(b)</i>	<i>(c)</i>	<i>(d)</i>	<i>(e)</i>	<i>(f)</i>	<i>(g)</i>	<i>(h)</i>	<i>(i)</i>	<i>(j)</i>	<i>(k)</i>	<i>(l)</i>	<i>(m)</i>