



DEPARTMENT OF THE NAVY

BUREAU OF MEDICINE AND SURGERY

2300 E STREET NW

WASHINGTON DC 20372-5300

Canc frp: May 2004

IN REPLY REFER TO

BUMEDNOTE 5212

BUMED-M3M

30 May 2003

BUMED NOTICE 5212

From: Chief, Bureau of Medicine and Surgery
To: Ships and Stations Having Medical or Dental Department
Personnel

Subj: CHANGES TO NAVY'S RECORD DISPOSITION SCHEDULE

Ref: (a) SECNAVINST 5212.5D
(b) NARA Records Disposition Authority, N1-330-01-2 dated
30 Jan 2002 (NOTAL)

Encl: (1) Interim Guidance for Medical and Dental Records
Disposition

1. Purpose. To forward interim guidance to medical and dental facilities pending revision of reference (a).

2. Background. Reference (b) provides new guidelines for the disposition (archiving and destruction) of medical and dental records. Military Treatment Facilities (MTFs), Dental Treatment Facilities (DTFs) or deployed medical units/hospitals without access to CHCS must contact the point of contact listed in paragraph 4 below for retiring records in paragraphs 1 and 2 of enclosure (1).

3. Action. Use the guidance contained in enclosure (1) when archiving or destroying medical or dental records.

4. Point of Contact. Questions may be referred to Ms. Ciel Lazo, BUMED-M3M, at cvlazo@us.med.navy.mil, (202) 762-3145 or DSN 762-3145.

5. Cancellation Contingency. Cancel upon incorporation into reference (a).

F. ANZALONE
By direction

Available at:

<http://navymedicine.med.navy.mil/instructions/directives/default.asp>

INTERIM GUIDANCE FOR MEDICAL AND DENTAL RECORDS DISPOSITION

SECNAVINST 5212.5D - REPLACE PORTIONS OF CHAPTER 6 WITH THE
INTERIM GUIDANCE LISTED BELOW:

1. Replace Chapter 6, page III-6-4 through page III-6-5, SSIC 6150-2a, 6150-2b, 6150-7a, 6150-7b, and 6150-7g with:

Inpatient Extended Ambulatory Records and Fetal Monitoring Strips.

Description: Information on all categories of patients receiving inpatient treatment and extended ambulatory procedures. Retire inpatient records to NPRC using the Medical Records Tracking function of CHCS. Do not prepare a SF 135, Records Transmittal and Receipt for this series of records. Navy facilities retire records to NPRC (MPR) National Personnel Record Center, 9700 Page Blvd., St. Louis, MO 63132.

Disposition: At the time of retirement, all 3 records will be filed back to back in the following order: Inpatient Record, Fetal Monitoring Strips, BAR record.

- a. Teaching Facilities: Cut off and transfer inpatient records to NPRC 5 years after the end of the calendar year of the last date of treatment. Destroy 50 years after the end of the calendar year of the last treatment.
- b. Military Treatment Facilities: Cut off and transfer inpatient records to NPRC 1 year after the end of the calendar year of the last date of treatment. Destroy 50 years after the end of the calendar year of the last treatment.
- c. Non-fixed Medical Facilities: Cut off and transfer completed inpatient records, EARs and fetal monitoring strips IAW Service directives, NLT 1 year after completion of records; or closure of MTF or rotation to another military department, whichever is first. This includes staging at in theater holding areas, return to parent unit medical record department, or direct transfer to NPRC. Destroy 50 years after the end of the calendar year of the last treatment.

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- d. Deliver records of NATO personnel and their dependents in a sealed envelope to the individual concerned on transfer to another U.S. military base or upon return of personnel to NATO countries, records are transferred to national military medical authority.

2. Replace Chapter 6, page III-6-5, paragraphs 3a through 3d, SSIC 6150-3a, 6150-3b, and 6150-3d with:

Outpatient Records of Retired/Family Members/NATO/Non-NATO Foreign National/Others. (This series includes Navy SSIC 6150.2a, 6150.2b, and 6150.2d.)

Description: Information reflecting outpatient treatment of retired members, family members, NATO, foreign non-NATO, and others not included in other record series.

Disposition:

- a. Retire outpatient records of Retired/Family Members/ Non-NATO Foreign National/Others to NPRC using the Medical Records Tracking function of the Composite Health Care System (CHCS). Do not prepare an SF 135, Records Transmittal and Receipt for this series of records. Navy facilities retire records to NPRC (MPR) National Personnel Record Center, 9700 Page Blvd., St. Louis, MO 63132.

Cut off and transfer to NPRC 2 years after the end of the calendar year of the last date of treatment.
Exception: Records of all members of a family should be retired at the same time, 2 years after the calendar year of last treatment of all eligible family members. Retire record of ineligible family member at the end of the year in which they become ineligible. Destroy 50 years after the end of the calendar year of the last date of treatment.

- b. Deliver records of NATO personnel and their dependents in a sealed envelope to the individual concerned on transfer to another U.S. military base or upon return of personnel to NATO countries, records are transferred to national military medical authority.

3. Replace Chapter 6, page III-6-6, paragraph 4a and page III-6-12, paragraph 3b, SSIC 6150-4a and 6470-3b with:

Civilian Employee Medical Folder (EMF) and Positive Occupational X-ray Films. (This series includes Navy SSIC 6150.4 and 6470.3b.)

Description: Information reflecting outpatient medical treatment and positive occupational x-rays pertaining to individual civilian employees.

Disposition: These EMF records and positive occupational x-ray films are Office of Personnel Management (OPM) records and controlled under the General Records Schedule (GRS) 1, Item 21, and 5 CFR Part 293, Subpart E, Employee Medical File System Records.

- a. Forward EMF and positive occupational x-rays of reassigned individual to the designated medical treatment facility or appropriate regional agency servicing personnel office of the gaining activity. Within the Department of Defense, the Civilian Personnel Regional Service Centers have different names. They are called Human Resource Service Centers (HRSC) in the Navy.
- b. Transfer EMF and positive occupational x-rays of separated or retired individuals to the appropriate personnel office for forwarding to the NPRC (CPR) National Personnel Record Center, 111 Winnebago Street, St. Louis, MO 63118 with the Official Personnel Folder (OPF).
- c. Oversized x-rays that will not fit in the EMF may be microfiched and put in an envelope in the EMF or retained by the MTF. If retained, the MTF should put a note in the EMF explaining how to obtain the x-ray.

4. Replace Chapter 6, page III-6-6, paragraphs 5a and 5b, SSIC 6150-5a and 6150-5b with:

Retired Military/Family Members and Non-NATO Foreign National Dental Records. (This series includes Navy SSIC 6150-5a and 6150.5b.)

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Description: Information reflecting dental treatment provided to retired military and family members and Non-NATO Foreign Nationals. Included are dental health records and corresponding x-rays for each individual.

Disposition: Cut off and destroy 3 years after the end of the calendar year of last treatment.

5. Replace Chapter 6, page III-6-6, paragraph 5c, SSIC 6150.5c with:

Civilian Employee Dental Records. (This series includes Navy SSIC 6150.5c).

Description: Information reflecting dental treatment provided civilian employees. Included are dental health records and corresponding x-rays for each individual.

Disposition: Cut off and destroy 3 years after the end of the calendar year of last treatment.

6. Military Academy Cadet/Midshipman Dental Records. **NOTE:** This series provides new guidance that will be incorporated in the revision of SECNAVINST 5212.5D. In the interim, follow:

Description: Information reflecting dental treatment provided military academy cadets/midshipmen. Included are dental health records and corresponding x-rays for each individual.

Disposition:

- a. Cadets/midshipmen who enter active duty will carry records to his or her next command.
- b. Cadets/midshipmen who do not enter active duty cut off and destroy records 5 years after separation.

7. Substance Abuse Records. **NOTE:** This series provides new guidance that will be incorporated in the revision of SECNAVINST 5212.5D. In the interim, follow:

Description: Information relating to rehabilitation of participants in the Alcohol and Drug Abuse Prevention and Control Program. Included are results of biochemical urine

analysis and other tests, individual treatment plans, observations of patient's behavior, progress during treatment, documentation by physician and other clinical personnel, and discharge disposition.

Disposition: Cut off and destroy 5 years after the end of the calendar year the case is closed or when a minor child reaches 23 years old.

8. Replace Chapter 6, page III-6-8, paragraph 3b, SSIC 6320-3b with:

Family Advocacy Case Records. (This series includes Navy SSIC 6320.3b.)

Description: Documents relating to substantiated and unsubstantiated cases of child or spouse maltreatment under the provisions of the Family Advocacy Program. Included are Child/Spouse Abuse Incident Report, DD Form 2404 (Child/Spouse Abuse Report), Standard Form 600 (Chronological Record of Medical Care), case management summary, record of referral, extract of pertinent information from the policy report, CID report, and other pertinent investigative reports and supportive data, evaluation of case, record of services and counseling provided, treatment data, and related documents.

Disposition:

- a. Substantiated Cases and Unsubstantiated-Unresolved Cases: Cut off and transfer to NPRC (MPR) National Personnel Record Center, 9700 Page Blvd., St. Louis, MO 63132, 2 years after the end of the calendar year in which the case review committee determination was made or treatment ends. Destroy as a family group 25 years after the end of the calendar year in which the case review committee determination was made or treatment ends. Note: Unsubstantiated-Unresolved Cases may be transferred to social work services or other mental health treatment or continued as a voluntary at-risk case, or they may be used in combination with other "Unsubstantiated-Unresolved" reports to create sufficient information for a "Substantiated" report.

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- b. Unsubstantiated/Did Not Occur: Cut off and destroy 2 years after the end of the calendar year in which the case review committee determination was made. During the period of retention, if there is a new report on the same family within days or weeks, the record may be used to provide demographic and assessment information about the family so that the family need not be totally reassessed.

9. Replace Chapter 6, page III-6-10, paragraph 8b(1), 8b(2), and paragraph 8c, SSIC 6320-8b1, 6320-8b2, and 6320-8c with:

Mental Health Records. (This series includes SSIC 6320.8b1, 6320.8b2, and 6320.8c.)

Description: Information related to conducting psychological evaluations of individuals, and other consultations relating to mental health services, including social work case records (information related to interviews of patients and appropriate individuals to assist in the adjustment of the patient and in the evaluation of personal and social data for diagnosis and treatment).

Disposition: Cut off and destroy 5 years after the end of the calendar year the case is closed or when a minor child reaches 23 years old.

10. Replace Chapter 6, page III-6-11 through III-6-12, paragraph 1b and 1d, SSIC 6470-1b and 6470-1d with:

Entrance and Separation X-ray Films. (This series includes Navy SSIC 6470.1b and 6470.1d.)

Description: Includes all x-ray film exposed during medical examinations of civilians who are inducted, enlisted, appointed, or commissioned in the active military service or in the Reserves and National Guard. Also included are x-ray film exposed during medical examinations of military personnel who re-enlist or receive appointments as commissioned or warrant officers. Further, all x-ray film exposed during a release from active duty or separation medical examination.

Disposition: Retain x-rays, along with all additional films taken as a result of questionable anomalies that do not result in an applicant being rejected, no longer than 4 months after creation. Retire x-ray film to NPRC, 111 Winnebago Street, St. Louis, MO 63118.

11. Replace Chapter 6, page III-6-12, paragraph 1c(1), SSIC 6470.1c(1) with:

X-ray Films on Applicants Accepted by Military Academies and Preparatory Schools. (This series includes Navy SSIC 6470.1c(1).)

Description: X-ray film relating to applicants for the military academies and preparatory schools.

Disposition: Destroy 5 years after date of last film.

12. Replace Chapter 6, page III-6-12, paragraph 1e(1), SSIC 6470-1e(1) with:

X-ray Films on Applicants and Registrants Rejected for Reasons of Pulmonary Tuberculosis. (This series includes Navy SSIC 6470.1e(1).)

Description: Chest x-ray film of applicants and registrants rejected for reason of pulmonary tuberculosis.

Disposition: Offer the film to the State health officer of the rejected person's home state. Transfer to State health office according to instructions from the State. Destroy film of rejected person immediately if not required by the State health officer of the rejected person's home state.

13. Replace Chapter 6, page III-6-12, paragraph 1e(2), SSIC 6470-1e(2) with:

X-ray Films on Applicants and Registrants Rejected for Other Medical Reasons. (This series includes Navy SSIC 6470.1e(2).)

Description: Chest x-ray film of applicants and registrants rejected for medical reasons other than pulmonary tuberculosis.

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Disposition: Destroy after results have been entered on physical examination form.

14. Replace Chapter 6, page III-6-12, paragraph 1c(2), SSIC 6470-1c(2) with:

X-ray Films on Applicants and Registrants Rejected for Other Than Medical Reasons. (This series includes Navy SSIC 6470.1c(2).)

Description: X-ray film of applicants and registrants rejected for other than medical reasons.

Disposition: Destroy immediately.

15. Routine Employment X-ray Films (not related to occupational illness, injury, or accident) on Civilian Employees. **NOTE:** This series provides new guidance that will be incorporated in the revision of SECNAVINST 5212.5D. In the interim, follow:

Description: X-rays (not related to occupational illness, injury, or accident) of civilian employees.

Disposition: Cut off and destroy 5 years after date of last film.

16. Replace Chapter 6, page III-6-12, paragraph 2a, SSIC 6470-2a with:

Diagnostic X-ray Films. (This series includes Navy SSIC 6470.2a.)

Description: Includes x-ray and cardiac catheterization film exposed during diagnosis and treatment of patients at hospitals and dispensaries, and x-ray film exposed during periodic physical examinations, examinations for flight, promotion, or other special training. Not included are entrance or separation x-rays.

Disposition: Cut off and destroy x-rays 5 years after the end of the calendar year in which the last film was taken.

17. Replace Chapter 6, page III-6-12, paragraph 2a, SSIC 6470-2a with:

Negative Military Occupational Illness X-ray Films. (This series includes Navy SSIC 6470.2a.)

Description: Negative Military Occupational Illness X-ray Films taken for medical surveillance of personnel exposed to toxic substances or harmful physical agents in their work environment where no evidence of occupational illness has been found.

Disposition: Cut off and destroy 5 years after the end of the calendar year of the date of the last x-ray.

18. Replace Chapter 6, page III-6-12, SSIC 6470-2e with:

Mammograms/Breast Ultrasound. (This series includes Navy SSIC 6470.2e.)

Description: X-rays and ultrasounds taken of breast tissue for the purpose of detecting breast disease.

Disposition: Cut off and destroy 10 years after the end of the calendar year of the last film.

19. Replace Chapter 6, page III-6-12, paragraph 2a, SSIC 6470-2a with:

Radiation Oncology Films. (This series includes Navy SSIC 6470.2a.)

Description: Radiation oncology films produced during radiation treatment.

Disposition: Cut off and destroy 15 years after the end of the calendar year in which the last medical treatment was given.

20. Radiation Oncology/Therapy Records. **NOTE:** This series provides new guidance that will be incorporated in the revision of SECNAVINST 5212.5D. In the interim, follow:

Description: Information reflecting outpatient or inpatient radiation oncology/therapy or observation pertaining to Navy and Marine Corps, active and retired military personnel, Reserve,

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midshipmen of the US Military Academies, dependents of active and retired uniformed services personnel, employees of the Federal Government, personnel of the US Merchant Marine, and civilians treated in an emergency. Included are all diagnostic information, historical data, physical examinations, pathological reports, radiation treatment plans, field diagrams, dosimetry, special and routine physics calculations and data, daily treatment and dose details, acute and late effects information, and related documents.

Disposition: Withdraw and retire to NPRC (MPR) National Personnel Record Center, 9700 Page Blvd., St. Louis, MO 63132 as follows:

- a. Active radiation oncology clinics/services: 15 years after the end of the year in which the 1st medical treatment was given. Destroy after 50 years.
- b. Closing radiation oncology clinics/services: At termination of radiation oncology services. Destroy after 50 years.

21. Materials Prepared Using Electronic Media (e.g., word processing applications or e-mail). **NOTE:** This series provides new guidance that will be incorporated in the revision of SECNAVINST 5212.5D. In the interim, follow:

Disposition: Materials are to be printed and included in the official jackets. The electronic version is to be deleted when file copy is generated or when no longer needed for reference or updating.