DEPARTMENT OF THE NAVY
NAVAL MEDICAL COMMAND
WASHINGTON, D.C. 20372-5120

IN REPLY REFER TO
NAVMEDCOMINST 3050.1A
MEDCOM-09B
20 May 86

NAVMEDCOM INSTRUCTION 3050.1A

From: Commander, Naval Medical Command
To: All Internal COMNAVMEDCOM Codes

Subj: DUPLICATE ESSENTIAL RECORDS (DER) PROGRAM

Ref: (a) OPNAVINST 5210.18
(b) OPNAVINST 3050.18B

Encl: (1) Guidelines for Establishing a Duplicate Essential Records Program (A
(2) Suggested DER Submission Schedule (A

1. Purpose. To provide guidelines and specify responsibilities (R
for the administration of the Navy program for the protection of the command's essential records.

2. Cancellation. NAVMEDCOMINST 3050.1 and report control symbols MED 3050-1 and NAVMEDCOM 3050-1.

3. Discussion (R

a. Reference (a) promulgates the policy and assignment of responsibilities pertaining to the Navy essential records program and tasks all headquarters commands to implement a similar type program.

b. Reference (b) implements and discusses the continuity of operations program at the headquarters level.

4. Action. Addressees shall: (A

a. Identify records and correspondence they consider essential for continuing operations.

b. Enclosure (2) is forwarded for appropriate action.

c. The point of contact for this program will be the Director, Headquarters Administration.

R) 5. Reports Exemptions. The reporting requirements contained in this instruction are exempt from reports control by OPNAVINST 5214.7, part IV, paragraph G8.

J. S. CASSELLS

Copy to:
SNDL, FH4(NAVMEDMATSUPCOM)
FH30(NAVMEDCOM REG)

GUIDELINES FOR ESTABLISHING A DUPLICATE ESSENTIAL RECORDS PROGRAM

1. Introduction. The Naval Medical Command must be able to accomplish essential operations without interruption under all emergency and adverse conditions. Accordingly:

a. Records and correspondence essential to the performance of functions during and immediately following an emergency should be maintained at this command's Alternate Headquarters, from which operations may continue.

b. Records essential to the reestablishment of operations following an emergency should be safeguarded to the maximum extent possible to survive any anticipated national emergency or other disruption of command operations.

2. Definitions. The term "essential records" denotes records required for maintaining the continuity of the command's activities during and following a national emergency. This program also provides a means for storage of essential records required to maintain operations in the event of fire, water damage, or any other disruption of this headquarters activity. The duplicate essential records program includes two basic categories: emergency operating records and rights and interests records.

a. Emergency Operating Records. Copies of documents and ADP software which would be required to carry out essential functions of the command for the duration of the emergency and post emergency conditions. Included are essential directives, programs, plans, emergency action procedures, and readiness records, as well as substantive and procedural records basic to the implementation of the command's daily operations. These are the documents that would be required immediately; therefore, copies will be deposited at the Alternate Headquarters. This instruction defines the system the command follows to ensure emergency operating records are maintained in a current status. Documents should be in microfiche form to reduce filing requirements. Examples of these records include but are not limited to items as presented in enclosure (2).

b. Rights And Interest Records. Rights and interest records are those containing information on proof of ownership, citizenship, financial interests, and legal proceedings and decisions.

3. Storage of Duplicate Essential Records. Duplicate essential records shall be stored at the Alternate Headquarters or any other site identified by the Director, Headquarters Administration.

a. The Alternate Headquarters is tasked with providing adequate protection for these records and documents during an emergency and the first few days following.

b. Certain classified documents may require special space or equipment that must be approved by the Command Security Manager before shipping and storage of records begins.

c. Contact with the Alternate Headquarters is limited to the staff of the office of the Commander, Naval Medical Command and the staff of the Director, Headquarters Administration, Naval Medical Command. No other contact in regards to this program with the Alternate Headquarters is authorized.

4. Submission Procedures. A suggested submission schedule is provided in enclosure (2) of this instruction. All codes (including required items of the Geographical Naval Medical Commands) having material to forward to the Alternate Headquarters shall:

a. Submit their material to the Director, Headquarters Administration (MEDCOM-09B) with enough advance time to allow for micrographics processing of the material. If material being submitted is already in micrographic format, the microfiche should be submitted and a paper copy (Correspondence Control can provide) of the microfiche should be retained in the code. A duplicate copy of the original microfiche can be provided upon request.

b. After micrographing and review by the project officer, material will be forwarded to the Alternate Headquarters for storage.

c. An inventory sheet will be prepared in duplicate by codes submitting material. This inventory should list the Standard Subject Identification Code, date of correspondence, orginator of correspondence and a subject line. The inventory sheet should also provide the date the material is submitted and a suggested destroy date.

5. Program Management. The duplicate essential records (DERs) program shall be managed by the Director, Headquarters Administration (MEDCOM-09B), Naval Medical Command who shall:

a. Coordinate the essential records program within COMNAVMEDCOM. This includes advising codes on the selection of material for submission.

b. Serve as the point of contact between the Alternate Headquarters and COMNAVMEDCOM codes.

c. Coordinate a quarterly review of each COMNAVMEDCOM code's listing of duplicate essential material held at the Alternate Headquarters.

d. Provide micrographic support, labeling, packaging, and mailing of material.

e. Perform on site inspection of the Alternate Headquarters in regards to records and correspondence stored at the site.

f. Maintain a log showing material receipt date and mailing date to the storage site.

g. Maintain a file copy of all inventory sheets and transmittals of material recorded and forwarded to the storage site.

6. Individual Code Responsibility

a. Review the suggested submission schedule in paragraph 4 of this instruction and identify any other material requiring submission and maintenance by the Alternate Headquarters. It should be noted that the suggested submission schedule represents the minimum of required documents.

b. Using the suggested submission schedule in paragraph 4, determine if your code has an item that is required to be submitted by the Geographic Naval Medical Commands, i.e. LSMP's, listing of officer and senior enlisted personnel, etc. If your code has oversight over one of these topics it is your responsibility to prepare the tasking letter to the Geographic Naval Medical Commands and to obtain the material. While the Geographic Naval Medical Commands are included in the distribution of this instruction, the responsibility for obtaining required items rests with the COMNAVMEDCOM code having oversight of the listed topic.

c. Maintain a current inventory of all material held at the Alternate Headquarters.

7. Naval Medical Material Support Command Responsibility

a. The Commanding Officer, Naval Medical Material Support Command shall maintain a separate duplicate essential records program. An annual review is required by 30 June of each year.

b. Upon completion of the review, the report (appropriately classified) will be forwarded, in duplicate, to the Director, Headquarters Administration (MEDCOM-09B). This report shall include, the overall status of the Command's duplicate essential records program, command point of contact, and the following information:

(1) A list of the locations of the duplicate essential records.

(2) A copy of the combination of each safe containing duplicate essential records.

(3) The home addresses and home telephone numbers of all personnel authorized access to the files.

c. Any subsequent records program changes during the year shall be forwarded as they occur.

DER SUBMISSION SCHEDULE

DOCUMENT	RESPONSIBLE CODE/OFFICE	SUBMISSION DATE
Continuity of Operations Plans (COOPLANS)	MEDCOM-04 Each GeoCmd	1 Jan - yearly or as updated
LSMP - Logistics Support and Mobilization Plans for HQ's	MEDCOM-04 Each GeoCmd	1 Jan - yearly or as updated
Navy Capabilities and Mobilization Plans (NCMP) and the Base Support Annex (BSA) to the NCMP	MEDCOM-04	1 Jan - yearly or as updated
Disaster plans of COMNAVMEDCOM HQ and each GeoCmd HQ	MEDCOM-09B Each GeoCmd	1 Jan - yearly or as updated
Policy letters and agreements of COMNAVMEDCOM & GeoCmd's	MEDCOM-03 Each GeoCmd	1 Jan and 1 Jun of each year
List of most recent officers and E-7 and above personnel on active duty or retired who were assigned within the past 5 years	MEDCOM-09B for HQ & each GeoCmd	Quarterly
Rosters of military personnel and civilian employees, plus listing of skills which might be useful in each command during and after an emergency	MEDCOM-09B for HQ & each GeoCmd	Quarterly
Current listing of HQ CET (Contingency Execution Team)including home addresses and phone numbers	MEDCOM-04	Bimonthly (negative changes to be reported)
Financial records and procedural material, including copies of periodic summaries of financial status as required or directed by MEDCOM-01 Director	MEDCOM-01	First working day of each month. (negative reports required)
Microfiche copies of locator listings of all Officers and enlisted Medical Dept. personnel	MEDCOM-05	Quarterly

Microfiche copies of monthly Officer Distribution Control Reports (ODCR) and Enlisted Distribution Verification Reports (EDVR) on all activities having Medical Dept. assigned	MEDCOM-05	Fifteenth working day of each month
ADP manpower data base monthly listings	MEDCOM-01	Fifteenth working day of each month
Pertinent statistical data	MEDCOM-01	Tenth working day of each month. Negative reports required.
Pertinent command historical data and news publications	MEDCOM-00D4	First working day of each month. Negative reports are required.
Legal records as designated by MEDCOM-00D3	MEDCOM-00D3	First working day of each month.
Listing of offices with phone numbers in other HQ commands with whom MEDCOM codes do frequent business. Provide contact person name and purpose of this liaison	All EA's & Special Assistants	1 Jan and 1 Jun of each year
Copies of all COMNAVMEDCOM internally prepared forms with description of purpose, when submitted or used, to whom submitted and how completed	MEDCOM-09B3	1 Jan and 1 Jun of each year
Copy of the position description for each civilian position in COMNAVMEDCOM, provided by the code to which the position is assigned	Each EA	1 Jan of each year Submit to MEDCOM-09B for verification
Predrafted announcements & messages to be issued immediately upon onset of an emergency by the Commander or MEDCOM-03 Also includes activation of the Alternate Headquarters	MEDCOM-03 & MEDCOM-04	1 Jun of each year

Copies of all COMNAVMEDCOM originated, serialized, unclassified correspondence and pertinent incoming correspondence, up to 3 years	HQ Secretariat	Second working day of each month
Copies of all appropriate outgoing and incoming classified correspondence up to and including SECRET	MEDCOM-09B	Tenth working day of each month