



DEPARTMENT OF THE NAVY

BUREAU OF MEDICINE AND SURGERY  
WASHINGTON D C 20372-5120

IN REPLY REFER TO

BUMEDINST 5370.2  
BUMED-00L  
18 Jan 91

BUMED INSTRUCTION 5370.2

From: Chief, Bureau of Medicine and Surgery

Subj: FINANCIAL DISCLOSURE REPORTING

Ref: (a) SECNAVINST 5370.2J

Encl: (1) Positions Requiring Submission of DD 1555

1. Purpose. To provide guidance to Bureau of Medicine and Surgery (BUMED) personnel on financial reporting requirements per reference (a).

2. Background. Reference (a) establishes three separate, but similar requirements of private interest disclosure systems. These systems permit supervisors and other responsible Department of the Navy (DON) officials to determine whether there is an actual or apparent conflict of interest between members' and employees' present and prospective official duties and their non-Federal affiliations and financial interests. One system is based on DD 1555, Confidential Statement of Affiliations and Financial Interests, Department of Defense (DoD) Personnel; one on SF 278, Financial Disclosure Report; and the last on DD 1787, Report of DoD and Defense Related Employment. This instruction augments guidance found in reference (a) concerning the first two reports.

3. Confidential Statement of Affiliations and Financial Interests (DD 1555)

a. Personnel Required to File

(1) Paragraph 1007b of reference (a) requires commanding officers (COs) and heads of activities to review position and billet descriptions to identify individuals required to submit DD 1555s. Enclosure (1) contains the list of positions which must file a DD 1555. COs of selected BUMED subordinate commands also appear on the list and are required to file a DD 1555 with BUMED per this instruction. Personnel who are not on the list, but who suspect they should be included must notify the BUMED Special Assistant for Medico-Legal Affairs (MED-00L) as soon as possible.

(2) COs of each command in the BUMED chain of command must conduct a similar review and ensure compliance with reference (a).



0510LD0553130

b. BUMED Notification and Filing Requirements

(1) Initial Filing Requirement. Director, Headquarters Administration (MED-09B) is responsible for ensuring the position descriptions listed in enclosure (1) contain a statement that the incumbent must file a DD 1555. Affected individuals must submit an initial DD 1555, with information current as of the filing date, to their appropriate supervisor before assuming duties requiring the submission of such statements. Upon transfer or reassignment from one position to another which requires the filing of a statement, individuals must submit a current statement to the appropriate supervisor of the new position. Completed forms must be reviewed and forwarded in the same manner as annual reports discussed below. Report control symbol DD-SECNAV 5370-1 covers these reporting requirements.

(2) Annual Filing Requirement. MED-00L will notify in writing, by 30 September of each year, all BUMED personnel required to file a DD 1555. MED-00L will furnish a DD 1555. MED-00L will maintain a log to ensure all required statements have been completed and returned by 31 October, or as otherwise specified when MED-00L grants an extension.

(a) DD 1555s must be forwarded to individuals via their appropriate supervisor and returned to MED-00L via that supervisor. The supervisor must review the form and ensure the form is complete and signed. The supervisor must determine whether any interests, positions, or affiliations disclosed on the form conflict with or appear to conflict with the submitter's official duties. Supervisors are not required to audit the report to determine whether the disclosures are correct; disclosures are taken at "face value" unless there is a patent omission or ambiguity or the official has independent knowledge of matters outside the report. Supervisors must record their evaluations in the appropriate block on the form and forward it to MED-00L for review.

(b) MED-00L will review the form and the supervisor's determination. If MED-00L agrees with the supervisor's evaluation, MED-00L will note concurrence on the statement and dispose following reference (a). If MED-00L disagrees with the supervisor's evaluation, MED-00L will forward a recommendation for appropriate resolution to Chief, BUMED. If Chief, BUMED disagrees with MED-00L and cannot reconcile the difference, Chief, BUMED will append comments and recommendations and forward the report to the Deputy Judge Advocate General for final resolution.

(c) Local review and resolution of actual or apparent conflicts of interests disclosed in annual statements must be

accomplished by 31 December of each year, within 60 days after filing in cases where an extension has been granted, or the report is the initial report.

(3) All commands subordinate to BUMED must ensure compliance with reference (a) and monitor compliance by their own subordinate commands. Naval healthcare support offices are not responsible for medical and dental treatment facilities that are in the line chain of command. Refer such facilities having questions about compliance with reference (a) to their responsible line commander.

c. Status Report. MED-00L will prepare the status report required by paragraph 1007f of reference (a). COs of subordinate commands must ensure that the information required for the report is received by MED-00L by 20 January.

d. Disposition. MED-00L will retain all DD 1555s and complete records of all action taken thereon for BUMED personnel for 6 years.

#### 4. Financial Disclosure Reports (SF 278)

a. Filing Requirements. The Office of the Judge Advocate General is responsible for notifying all individuals who are required to file SF 278s. In general, all civilian Presidential appointees and all flag officers and their civilian equivalents must submit SF 278. New entrant reports must be submitted when an individual assumes a covered rank or position; annual reports anytime after 1 January, but before 1 May; and termination reports no sooner than 15 days before, but no later than 30 days after terminating employment or duty in a covered position. Paragraph 1008 of reference (a) should be consulted for additional information.

b. Report Submission. Report control symbol DD-SECNAV 5370-2 covers the following reporting requirements:

(1) Civilian filers (other than Presidential appointees) must submit their reports to the Assistant General Counsel (Ethics) via their appropriate supervisor and MED-00L.

(2) Civilian Presidential appointees must file directly with the General Counsel.

(3) Military filers must submit their reports to the Judge Advocate General via their appropriate supervisor and MED-00L.

c. Position and Billet Descriptions. Submitters must ensure that an unclassified position or billet description is forwarded with the SF 278.

BUMEDINST 5370.2  
18 Jan 91

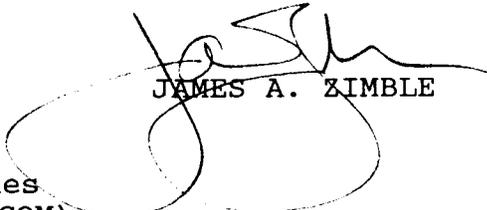
d. Review and Disposition. MED-00L will coordinate the collection and review of the reports on behalf of Chief, BUMED.

e. Time Limits. Action must be completed and annual reports forwarded as outlined in paragraph 4b, as appropriate, within 30 days of submission, but no later than 20 May.

5. Forms

a. SF 278 (1-87), Financial Disclosure Report, NSN 7540-01-070-8444, is available from the Federal Supply System through normal supply procurement procedures.

b. DD 1555 (3-87), Confidential Statement of Affiliations and Financial Interests, Department of Defense Personnel, S/N 0102-LF-015-5500 and DD 1787 (3-87), Report of DoD and Defense Related Employment, S/N 0102-LF-025-5091, is available from the Navy Supply System and may be requisitioned per NPFC P-2002D.



JAMES A. ZIMBLE

Distribution:

All Internal BUMED Codes  
SNDL, FH4 (NAVMEDLOGCOM)  
FH14 (HSETC)  
FH18 (NAVAEROSPMEDINST)  
FH19 (NAVMEDRSCHDEVCOM)  
FH21 (NAVOPTHALSUPTRACT)  
FH24 (NAVMEDATASERVICEN)  
FH26 (NAVENVIRHLTHCEN)  
FH30 (SFMC SAN FRANCISCO CA)  
FH36 (HLTHCARE SUPPO)  
FH38 (MEDDEN AFFAIRS)

Stocked:

CO, NAVPUBFORMCEN  
5801 Tabor Ave.  
Phila., PA 19120-5099

POSITIONS REQUIRING SUBMISSION OF DD 1555

Personnel in the following positions must file a DD 1555 unless excused because they are required to file an SF 278.

1. Internal BUMED Positions

<u>Code</u>	<u>Title</u>
09B	Director, Headquarters Administration/Commanding Officer Enlisted Staff
09M	Director, Headquarters Management Information Systems Branch
09B5	Head, Fiscal and Supply Branch
03	Assistant Chief for Healthcare Operations
03B	Deputy Assistant Chief for Healthcare Operations
31	Director, Direct Medical Care Division
311	Head, Healthcare Support Branch
312	Head, Healthcare Program Execution
313	Head, Alternative Healthcare Branch
04	Assistant Chief for Logistics
04B	Deputy Assistant Chief for Logistics
41	Director, Health Service Contracting Division
42	Director, Logistics Division
43	Director, Facilities Division
43B	Deputy Director, Facilities Division

2. Subordinate Commanders Required to File

CO, Naval Medical Logistics Command  
CO, Naval Health Sciences Education and Training Command  
CO, Naval Medical Research and Development Command  
CO, Naval Medical Data Services Center