

Department of Health and Human Services Commissioned Corps of the U.S. Public Health Service <b>Commissioned Officers' Effectiveness Report</b>	Officer's SERNO

# SECTION 1. ADMINISTRATIVE DATA: Required.

## PART I. OFFICER ADMINISTRATIVE INFORMATION.

a. Name and Rank of Rated Officer (Last, First, MI, Rank):	b. Period Covered by Report (MM/DD/YY): From _____ To _____
c. Type of Report ( <i>Check only one</i> ): <input type="checkbox"/> Annual <input type="checkbox"/> Officer Transfer <input type="checkbox"/> Supervisor Transfer <input type="checkbox"/> Interim <input type="checkbox"/> Other _____	
d. HHS Division or Non-HHS Organization for Report Period:	e. Position/Billet Title for Report Period:
f. Position/Billet Grade for Report Period (check highest): <input type="checkbox"/> O - 1 <input type="checkbox"/> O - 2 <input type="checkbox"/> O - 3 <input type="checkbox"/> O - 4 <input type="checkbox"/> O - 5 <input type="checkbox"/> O - 6 <input type="checkbox"/> O - 7 <input type="checkbox"/> O - 8	g. In current billet since (MM/DD/YY): _____

## PART II. RATER'S COMMENTS AND SIGNATURE.

a. Name and Job Title of Rater (Last, First, MI, Title):	b. Phone Number:	c. Time supervising this officer _____ Years _____ Months
d. Please rate the officer's overall performance of job duties during the report period. <input type="checkbox"/> Satisfactory <input type="checkbox"/> Marginal <input type="checkbox"/> Unsatisfactory		
e. Strengths: List the areas in which the officer displays strong qualities and superior skills. (3 lines = 240 Courier New 10 pt. characters)		
f. Areas for Improvement: List the areas needed for continued growth and development. (3 lines = 240 Courier New 10 pt. characters)		
g. Signature / Date _____		

## PART III. RATED OFFICER'S SIGNATURE and CONCURRENCE / NON-CONCURRENCE.

a. Select one option.	<input type="checkbox"/> I concur with this rater's evaluation.
	<input type="checkbox"/> I disagree with this evaluation and reserve the right to file a rebuttal.
b. Signature / Date	I have read this review and have had the opportunity to discuss it. _____

## PART IV. REVIEWING OFFICIAL'S COMMENTS, SIGNATURE AND CONCURRENCE / NON-CONCURRENCE.

a. Name and Job Title of Reviewing Official (Last, First, MI, Title):	b. Phone Number:
c. Select one option.	<input type="checkbox"/> I concur with this evaluation.
	<input type="checkbox"/> Although this evaluation is reasonable, this rater is somewhat more demanding than average.
	<input type="checkbox"/> Although this evaluation is reasonable, this rater is somewhat less demanding than average.
	<input type="checkbox"/> I disagree with this evaluation.
d. Reviewing Official's Comments.	
e. Signature / Date	_____
f. Agency Liaison / Date	_____

**Commissioned Officers' Effectiveness Report**

Officer's SERNO

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**SECTION 2: OFFICER'S COMMENTS: To Be Completed by Officer.**

**OFFICER INSTRUCTIONS:** Describe your duties, goals and accomplishments during the performance period. Use the space provided. Additional pages will be discarded.

**Description.** *Describe the main duties and responsibilities in your job during the performance period. (5 lines = 400 Courier New 10 pt. characters)*

**Goals.** *List your work-related goals for the next performance period and long term career goals. (5 lines = 400 Courier New 10 pt. characters)*

**Accomplishments.** *List your accomplishments related to the elements you will be rated on in section 3. (21 lines = 1680 Courier New 10 pt. characters)*

## Commissioned Officers' Effectiveness Report

Officer's SERNO

### SECTION 3: PERFORMANCE EVALUATION: To Be Completed by the Rater. *Optional if period of supervision is less than 6 months.*

**RATER INSTRUCTIONS** : Rate the officer in relation to the needs of the position as follows: 1 = Unsatisfactory range; 2 to 3 = Adequate range; 4 to 5 = Effective range; 6 to 7 = Exceptional range. Fill in only one circle per element. To assist you, guidance for adequate, effective and exceptional performance is presented. Number ratings without narrative guidance are to be used when an Officer is performing either above or below the level specified by numbered comments, as judged by the Rater. Comments are required. Describe the action(s) upon which you based your rating. Be specific so that there is a clear connection between the Officer's actions and your rating. Use the space provided at the end to comment.

**1. Leadership** - Demonstrates and communicates vision and sense of purpose; nurtures an environment conducive to accomplishing the organization's mission.

①	②	③	④	⑤	⑥	⑦
	- Demonstrates behavior that maintains the status quo, often seeking direction in accomplishing the team's goals. - Has minimal influence on others.		- Demonstrates behavior that facilitates collaboration, fairness, and inclusiveness. - Influences others through actions, accomplishments, and team work.		- Consistently demonstrates behavior that contributes to the organization's success by fostering effective relationships, inspiring the trust of others, and nurturing group effectiveness and cohesion. - Influences others by exhibiting vision, innovation, resilience, inclusiveness, and by teaching and coaching others.	

**2. Initiative and Growth** - Recognizes and acts on programmatic and personal developmental needs, resulting in advancement of programmatic goals and growth in professional skills.

①	②	③	④	⑤	⑥	⑦
	- Needs assistance in identifying opportunities to improve work performance. - Work performance improves with regular supervisory input and detailed instructions about assignments. - Needs guidance to understand how personal decisions and actions contribute to mistakes or impedes success of individual and group projects.		- Recognizes opportunities for growth and seeks experiences to improve work performance. - Willingly incorporates new approaches and responsibilities to advance program goals. Requires minimal supervision and seeks guidance with solutions only for unexpected barriers. - Accepts responsibility for personal decisions or mistakes and learns from errors.		- Independently seeks out and completes challenging opportunities that broaden expertise, maximize job performance, and enhance value to the program. - Anticipates program needs including potential barriers. Proactively and decisively implements innovative solutions to improve work processes with impact beyond scope of assigned responsibilities. - Actively identifies personal role in a problem and contributes to the solution, enhancing the successful outcome of individual and group projects.	

**3. Communication Skills** - Conveys clear and succinct written and verbal messages that are appropriate to the audience. Listens to and understands information from others.

①	②	③	④	⑤	⑥	⑦
	- Needs assistance in expressing main thoughts clearly, both orally and in writing, and clarifying the meaning and intent of others' communication. - Uses correct spelling, grammar, and punctuation to create simple documents.		- Tailors communication (verbal and written) to the level and experience of the audience, ensuring that messages are organized, useful and accurate. - Utilizes strong listening skills to formulate direct, responsive answers to questions.		- Organizes and expresses complex ideas, both orally and in writing, to successfully inform and influence individual and managerial decisions that advance the organization's mission. - Is a confident and effective speaker, asks open-ended questions, and recognizes and accommodates a vast diversity of ideas and traditions.	

**4. Interpersonal Skills** - Facilitates relationships in a manner that motivates others to maximize their abilities, skills, and knowledge to affect the desired outcomes.

①	②	③	④	⑤	⑥	⑦
	- Prefers work activities that can be completed independently and does not require sustained interaction with individuals of differing viewpoints or opinions. - Minimally contributes to the resolution of conflicts or disagreements.		- Participates in group activities, demonstrates respect for others, and receives and offers constructive feedback, which contributes to the achievement of organizational goals. - Contributes to the resolution of conflicts.		- Promotes collaboration by demonstrating respect, friendliness, appreciation, humor, empathy, and a positive attitude. Serves as a mentor to others. - Is cognizant of the needs of others and works to ensure equal treatment of all within the work environment. Serves as mediator in resolving conflicts.	

Department of Health and Human Services Commissioned Corps of the U.S. Public Health Service <b>Commissioned Officers' Effectiveness Report</b>	Officer's SERNO <table border="1" style="width: 100%; height: 30px; border-collapse: collapse;"> <tr> <td style="width: 25%;"></td> <td style="width: 25%;"></td> <td style="width: 25%;"></td> <td style="width: 25%;"></td> </tr> </table>				

<b>5. Planning and Organization</b> - Balances workload to ensure timely completion of projects, accommodating multiple and changing priorities.
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①	②	③	④	⑤	⑥	⑦
	<ul style="list-style-type: none"> <li>- In collaboration with supervisor, sets and acts on priorities for work activities which usually results in meeting predetermined deadlines.</li> <li>- Seeks assistance in managing multiple work assignments and in identifying priority assignments.</li> </ul>		<ul style="list-style-type: none"> <li>- Determines individual work priorities based on organizational needs and acts on those priorities with minimal supervisory guidance; completes assignments on time.</li> <li>- Sets realistic deadlines, based on sound criteria; keeps supervisor and others informed of progress of activities.</li> <li>- Met written performance goals for last year as agreed upon with supervisor.</li> </ul>		<ul style="list-style-type: none"> <li>- Optimizes time and resources efficiently, and anticipates unexpected situations in order to attain the highest quality work.</li> <li>- Clearly and independently recognizes how the work of the individual relates to work of others within and outside the organization; understands the purpose of the work; and establishes realistic priorities and deadlines.</li> <li>- Develops project or work plans that set clear, well-defined desired outcomes and establishes methods of measuring progress, resulting in the advancement of the organization's mission.</li> </ul>	

<b>6. Professional Competencies</b> - Demonstrates knowledge, skills, and abilities to function successfully in the position.
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①	②	③	④	⑤	⑥	⑦
	<ul style="list-style-type: none"> <li>- Basic knowledge of subject matter required for assigned duties; demonstrates average ability to learn and apply specialized knowledge.</li> <li>- Seeks assistance in understanding issues, concepts, and situations which affect job performance.</li> <li>- Needs supervisory assistance to ensure quality work products.</li> </ul>		<ul style="list-style-type: none"> <li>- Demonstrates in depth knowledge of subjects required by assigned duties; is viewed as a competent and credible authority on specialty or operational issues.</li> <li>- Clear understanding of issues, concepts and situations and applies lessons learned to improve individual productivity.</li> <li>- Quality of work is commensurate with Officer's rank.</li> </ul>		<ul style="list-style-type: none"> <li>- Exhibits great depth and breadth of knowledge of multiple subjects; is viewed by others within and outside immediate office as a subject matter expert.</li> <li>- Excellent grasp of complex issues, concepts and situations, and applies lessons learned to improve individual and organizational productivity.</li> <li>- Consistently produces work of exceptional quality.</li> </ul>	

<b>7. Analysis, Judgment and Decision-Making</b> - Identifies and considers information in order to reach sound conclusions and take appropriate actions.
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①	②	③	④	⑤	⑥	⑦
	<ul style="list-style-type: none"> <li>- Needs guidance in analyzing facts, alternatives, and impact before making decisions.</li> <li>- Majority of judgments are relevant and correct.</li> </ul>		<ul style="list-style-type: none"> <li>- Employs sound judgment, logical reasoning, and uses resources wisely; makes timely and accurate decisions.</li> <li>- Opinions sought by others.</li> </ul>		<ul style="list-style-type: none"> <li>- Keen analytical insight and understanding of key issues and relevant information to make appropriate decisions; is sought after to resolve complex problems.</li> <li>- Consistent, superior judgment inspires the confidence of others.</li> </ul>	

<b>8. Overall Effectiveness</b> - Synthesis of Officer's performance, and impact on program in current position.
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①	②	③	④	⑤	⑥	⑦
	<ul style="list-style-type: none"> <li>- An adequately performing Officer with some potential to accept increased responsibilities and for professional growth.</li> </ul>		<ul style="list-style-type: none"> <li>- A very competent Officer making significant contributions that enhance the assigned position, respected by peers; good potential for continued growth and development.</li> </ul>		<ul style="list-style-type: none"> <li>- A distinguished Officer, recognized for expertise with impact extending beyond assigned position; serves as a role model for others in the program.</li> </ul>	

**Rater's Comments.** *Comments are required. Describe the action(s) upon which you based your ratings. Explain the impact of the action and why it was important. (16 lines = 1280 Courier New 10pt. characters)*

**INSTRUCTIONS FOR COMPLETING PHS-838 (Rev. 12--07/10)  
COMMISSIONED OFFICERS' EFFECTIVENESS REPORT (COER)**

**Privacy Provisions**

Personnel records are subject to the provisions of the Privacy Act of 1974. The applicable system of record is 09-40-0001, "PHS Commissioned Corps General Personnel Records," HHS/PSC/HRS.

**General Instructions**

For additional information see Commissioned Corps Instruction 351.01 (CC25.1.1) of the Commissioned Corps Issuance System (CCIS), located on the Commissioned Corps Management Information System (CCMIS) web page: <http://dcp.psc.gov>.

For up-to-date deadlines and announcements consult the CCMIS and the Personnel Operations Memorandum (POM) (located on the CCMIS web page).

Raters and Reviewing Officials: Officers are responsible for ensuring that the Rater and Reviewing Official have all of the information needed to complete the COER by deadlines specified in the POM.

For assistance, contact your agency's Commissioned Corps Liaison Officer (A listing of agency Liaison Officers is located on the CCMIS web page). You may also contact the COER Administrator:

Office of Commissioned Corps Operations (OCCO)  
ATTN: COER Administrator,  
1101 Wootton Parkway, PL - 100,  
Rockville MD 20852  
e-mail: [phscoers@hhs.gov](mailto:phscoers@hhs.gov)

Put your PHS Serial Number (SERNO) in the space provided at the top, right of each page.

Use only the space available; **additional pages will be discarded**. The line and character limit for the text is included in each comment box. **Note:** spaces count as characters; returns count as lines.

**Specific Instructions for Officer**

1. Complete Section 1, Part I: Officer Administrative Information. All information is required.
  - a. Section 1, Part I.g, include all time in billet including time **before** any modifications to billet grade or description.
2. Complete Section 2: Officer's Comments.
  - a. All comments are optional, but strongly recommended.
  - b. In the spaces provided, describe your duties, goals and accomplishments during the period covered by the rating period (Section 1, Part I.b).
  - c. Provide a concise listing of your accomplishments in relation to performance elements that you will be rated on in Section 3.
  - d. In specific terms describe what you did and why it was important to your job duties, career goals or both.
3. Provide the completed form to your Rater by the deadline given in the POM.
  - a. Your Rater **MUST** have your Officer Administrative Information and Officer Comments to complete the evaluation.
    - i. If you need assistance identifying a Rater, consult the references above, or contact your agency Commissioned Corps Liaison Officer.
4. After your Rater shares his/her evaluation with you, you may make changes to Section 2: Officers Comments.
  - a. Any changes must be presented to the Rater for consideration.
  - b. The Rater may change his/her evaluation during this phase as well, but must present the revised evaluation to you prior to your concurrence/non-concurrence.
  - c. Consult the references above for additional details.

**Additional instructions on next page**

5. Complete Section 1, Part III.
  - a. Indicate if you concur or disagree with the evaluation.
  - b. Sign and date the form in the space provided.
6. Provide the completed form to your Reviewing Official. If you need assistance, contact your Rater or your agency Commissioned Corps Liaison Officer.

#### **Specific Instructions for Rater**

1. Review Section 1, Part I: Officer Administrative Data. Contact the Officer to correct any inaccuracies.
2. Review Section 2: Officer's Comments.
3. Complete Section 3: Performance Evaluation. Optional if the period of supervision is less than 6 months.
4. Rate the Officer in relation to the needs of the position as follows:
  - a. 1 Unsatisfactory range
  - b. 2 - 3 Adequate range
  - c. 4 - 5 Effective range,
  - d. 6 - 7 Exceptional range
5. Fill in only one circle per element. To assist you, guidance for adequate, effective and exceptional performance is provided under ratings 2, 4 and 6.
  - a. Numbered ratings without narrative guidance are to be used when the officer is performing above or below ratings 2, 4 or 6.
    - i. For example, a score of 5 is appropriate when an officer performs above a level 4 description, but not as high as a level 6 description.
6. Rater's Comments at the end of Section 3 are required unless the Period of Supervision is less than 6 months.
  - a. Describe the action(s) upon which you base your ratings.
  - b. Be specific so that there is a clear connection between the Officer's action(s) and your rating.
7. Complete Section 1, Part II: Rater's Comments and Signature. Completion of all boxes is required unless otherwise indicated.
  - a. Provide your name and job title.
  - b. Provide your phone number and the Area Code. Outside of the U.S., include the Country Code.
  - c. Enter the amount of time supervising the Officer in years and months.
  - d. Rate the Officer's overall job performance during the Rating period.
  - e. List Strengths (Optional, but strongly encouraged).
  - f. List Areas for Improvement (Optional, but strongly encouraged).
8. Share your evaluation with the Officer and discuss performance. You may change the performance evaluation if you judge it necessary following your discussion with the Officer.
9. Once the evaluation is in final form, sign and date it in the space provided in Section 1, Part II.g.
10. Provide the completed form to the Officer.

**Additional instructions on next page**

### Specific Instructions for Reviewing Official

1. The Officer forwards the signed evaluation to you, the Reviewing Official.
2. The Reviewing Official completes Part IV, Reviewing Official's Comments, Signature, and Concurrence/Non-Concurrence.
  - a. Provide your name and job title.
  - b. Provide your phone number including the Area Code. Outside of the U.S., include the Country Code.
  - c. Review all sections for fairness and clarity.
3. Consider the following when reviewing the evaluation:
  - a. Are the ratings in Section 3 **clearly** supported by written comments on performance elements, strengths and/or areas for improvement?
  - b. Are the assigned scores for each competency supported by the Officer's comments?
  - c. Do the Rater's comments give an accurate description of the Officer and clearly support the assigned score?
  - d. Was the Rater sensitive to the Officer's grade and to any unique and significant differences in the assignment?
4. **Note:** If you are not satisfied that the ratings are well-justified, you may inform your agency Commissioned Corps Liaison Officer of your concerns.
  - a. If you agree with the evaluation you may indicate it on the form and sign, or provide comments (Optional, but strongly encouraged).
  - b. If you disagree with the evaluation, enter comments, otherwise optional.
  - c. Sign and date the evaluation.

After completing all sections of this form mail it to your agency Commissioned Corps Liaison Officer (A listing of agency Liaison Officers is located on the CCMIS web page).