

MANUAL: Personnel  
Chapter Series CC--Commissioned Corps Personnel Manual  
Part 2--Commissioned Corps Personnel Administration

DEPARTMENT OF HEALTH AND HUMAN SERVICES  
Public Health Service

Chapter CC25--Performance Evaluation and Career Development  
Subchapter CC25.1--Performance Evaluation  
Personnel INSTRUCTION 1--Commissioned Officers' Effectiveness Report

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Section A. Purpose and Scope

This INSTRUCTION sets forth the policies related to performance evaluations of officers of the Commissioned Corps of the Public Health Service (PHS), and the use of Form PHS-838, "Commissioned Officers' Effectiveness Report," (COER).

Section B. Authority

The authority to administer the PHS Commissioned Corps is prescribed in 42 U.S.C. 216. Information concerning redelegation of this authority is set forth in Part 3 of this manual.

Section C. Purpose and Use of the COER

1. Form PHS-838 is used as a major source of information concerning each officer's Service performance and work record. It provides a continuing, documented record of an officer's assignments, duties, and proficiencies. It is the uniform appraisal form for documenting the performance of individuals in the PHS Commissioned Corps "rank-in-officer" system.
2. The COER is extensively used in the evaluation of officers for various personnel actions. All boards--including promotion, assimilation, retirement, three-year file review, and involuntary retirement and separation -- must rely on the report when evaluating officers. When important career decisions concerning assignments, training, or utilization are made about an officer, the effectiveness reports should be reviewed.
3. The COER is also basic to fulfilling an important supervisory responsibility, that of the discussion of an officer's performance with him/her. Such discussions provide officers with an opportunity to assess their strong and weak points, and overcome perceived performance and/or attitudinal deficiencies, in order to increase their value to the Service. The Division of Commissioned Personnel (DCP), Office of the Surgeon General (OSG), will follow up immediately on officers who have low COER ratings. It is PHS policy that an officer's evaluation must be discussed with him/her in a formal manner at least once annually, and more frequently, if appropriate. In all instances, the officer's immediate supervisor must discuss the evaluation with the officer. If the reviewing official enters remarks or statements on the officer's COER, he/she must discuss the evaluation with the officer if the officer requests a discussion. This should be accomplished as part of the processing of the COER or an explanation appended as to why this is not appropriate.
4. Moreover, the COER is utilized by DCP as an adjunct in processing both positive and adverse actions that are initiated by program officials. Therefore, it is imperative both to the officer and to the Service that reports be candid and objective. Since COERs are often the basis for personnel actions involving assignment, promotion, and retention, raters are reminded that it is expected that problems and/or difficulties shall be documented. Raters who consistently rate high, probably indicative of over-rating, in effect discount the value of their ratings, since ratings should be given objectively across the spectrum of the rating scale.

Section D. Definitions

For purposes of this INSTRUCTION, the following definitions shall apply:

1. Supervisor (Rating Official). The immediate supervisor is the first-line supervisor of one or more officers. Supervisory functions include a range of duties and responsibilities for planning, organizing, and reviewing work; administering personnel matters; and dealing effectively with employees about employee/management concerns.

2. Manager. An official who (1) directs the work of an organization; (2) is held accountable for the success of specific line or staff programs; (3) monitors the progress of the organization toward achievement of goals; (4) periodically evaluates and makes appropriate adjustments; and (5) makes substantial policy decisions.
3. Reviewing Official. In most cases, the reviewing official is the immediate supervisor of the officer's supervisor. There may be exceptions in the case of officers detailed to non-PHS organizations. See Section H of this INSTRUCTION.

#### Section E. Responsibilities and Procedures

It is the duty and responsibility of supervisors and reviewing officials to promptly complete and forward a COER when due. Failure to submit a properly completed COER is disadvantageous to the officer being evaluated and may result in insufficient evidence for consideration for promotion or reassignment.

#### 1. Officer

- a. The officer on active duty will complete Section I of the COER and deliver it to his/her immediate supervisor in accordance with the Manual Circular in effect at the time the COER is completed. Only the original of the form is furnished.
- b. Annual COERs are required irrespective of the fact that a COER was recently submitted for some other purpose. The date the report was completed must appear on the form.
- c. The officer being rated shall be given the opportunity to sign and date the block provided in Section V, Item 1, following the supervisor's discussion. The signature is an acknowledgement of the discussion with the supervisor, receipt of a copy, and concurrence or disagreement with the rating. If the officer indicates disagreement, he/she may provide a rebuttal in the space provided in Section V of the COER form, attach comments to the COER form, or comment directly in writing to the Director, DCP. If a written rebuttal to his/her rating is made by the officer, that rebuttal will be placed in the officer's official personnel file (OPF) and will be appended to all copies of the COER.

Section V, Item 1 shall also be used to comment on or rebut remarks or statements entered on the COER by the reviewing official. The officer may provide rebuttal in the space provided, attach comments to the COER form, or comment directly in writing to the Director, DCP. If a written rebuttal to the reviewer's comments or statements is made by the officer, that rebuttal will be appended to all copies of the COER.

2. Supervisor (Rating Official)

- a. The first responsibility of the supervisor is to ensure that each officer under his/her supervision delivers the COER to him/her timely with Section I completed.
- b. The supervisor will complete Sections II through IV of the COER in accordance with the instructions in the Manual Circular in effect at the time the form is completed. Discussions with the officer being rated should, when feasible, follow the supervisor's receipt of an informal concurrence in the evaluation from the reviewing official. The supervisor must provide the officer with a reproduced copy of the completed COER after he/she has completed the interview with the officer.

3. Reviewing Official

- a. The first responsibility of reviewing officials is to ensure that all supervisors under their jurisdictions deliver to them timely, completed COERs on all officers under their jurisdictions.
- b. Reviewing officials shall not make any changes in the letter designations made by the rating officer. Comments should be made in the spaces provided for comments in Section V, Item 2. Additional sheets may be attached to the COER form if more space is needed. Comments made by the reviewing official must be legibly signed and dated, and a copy of any comments must be provided to the rated officer. The reviewing official must discuss his/her comments with the rated officer if the officer indicates disagreement and requests a meeting to discuss the comments.
- c. Reviewing officials should verify that all A and E ratings have narrative comments. If comments are missing, the COER must be returned to the supervisor for completion.
- d. If the reviewing official (or program policy) indicates that further program line or staff review of the COER is warranted, a copy should be made for this purpose and the original submitted directly to DCP without delay (See 3.f., below) The reviewed copy, clearly marked "COPY" must be sent to DCP for inclusion in the officer's OPF if it includes significant additional comments.
- e. Comments made at all review levels must be legibly signed and dated, and a copy of any comments must be provided to the rated officer by the reviewing official in a meeting with him/her to discuss the comments entered on the COER at additional review levels. If this is not practicable, the comments will be given to the rated officer by his/her immediate supervisor who will discuss them with the rated officer. Review copies must be handled confidentially in compliance with 3.g., below.

- f. Reviewing officials will complete Section V, Item 2 of all COER forms submitted to them and mail the signed original only, no later than the date specified in the current Manual Circular directly to:

Division of Commissioned Personnel, OSG  
Attn: OSB - ADMINISTRATIVE-CONFIDENTIAL  
Room 4-35 Parklawn Building  
Rockville, MD 20857

- g. To comply with the Privacy Act of 1974, completed COERs must be handled and transmitted as confidential information which may be disclosed within the Department only to individuals who have an official need to know. The Department's General Administration Manual, Chapter 45-13-70 (Paragraphs C and D), specifies the provisions for storage requirements and the transfer of records. Disclosures to individuals outside the Department may be made only in accordance with the routine uses stated in the system notice, 09-37-0002, "PHS Commissioned Corps Personnel Records, HHS/OASH/OM," or as otherwise permitted by the Act. For information on the Privacy Act, see INSTRUCTION 7, Subchapter CC26.1, of this manual.
- h. Many officers are assigned to positions where a results-oriented appraisal process has been initiated. Where such a performance appraisal process is applicable to a commissioned officer, it should be used to support the supervisor's decision for several elements on the COER. The supporting material should not be submitted with the COER, but it should be used by supervisors in preparing the narrative section of the COER to supplement or support the quantitative ratings.

#### 4. Program Officials

- a. Program officials are responsible for assuring the punctual return of completed COERs and making followup inquiries on those which are not submitted in a timely fashion and/or are incomplete, after notification by DCP.
- b. If authorized and directed by written policy, an agency head may establish a single review and logging point through which original COERs are sent to DCP.

#### Section F. Description of the Report

##### 1. Section I (filled out by the officer being rated)

This section identifies the officer being rated and enables him/her to furnish current assignment data. The officer should be careful to provide accurate information. The officer's PHS serial number and Social Security number must be included in the appropriate spaces in this section. Both the officer being rated and the supervisor should check each item in this section for accuracy.

2. Section II (filled out by supervisor)

This section identifies the supervisor and indicates the duration of the period of supervision. This section also includes the supervisor's professional field and whether other supervisors contributed to the COER.

3. Section III (filled out by supervisor)

This section consists of 15 five-level rating scales covering abilities, motivation, interests, and other characteristics considered most pertinent to the officer's performance in the Service. To provide supervisors with standards, five descriptive levels are furnished to evaluate each characteristic. The supervisor indicates the level which most nearly describes the officer on the line to the left of the item number. The supervisor should rate each item independently without reference to any other one. All A and E ratings require narrative comments. Letter F is used if the item is not applicable to the officer being rated.

4. Section IV (filled out by supervisor)

This section furnishes promotion and assimilation recommendations, and covers effectiveness, utilization, and professional development of the rated officer. When deemed necessary, the supervisor can use this section to discuss additional matters. In answering the questions, the supervisor is urged to furnish detailed comments with specific examples of the rated officer's behavior. This information will be of great assistance to board members and others who evaluate the officer. All A and E ratings require narrative comments. Letter F is used if the item is not applicable to the officer being rated. Items 9 and 10 are completed only for officers in supervisory or managerial positions.

5. Section V (Item 1 filled out by officer being rated and item 2 filled out by reviewing official)

Item 1 is to be used by the officer being rated to concur or nonconcur with the evaluation. Any specific disagreements or agreements with evaluations by the supervisor may be stated. Item 2 is to be used by the reviewing official to indicate agreements or disagreements with the supervisor's evaluation. Item 2 also is to be used by the officer being rated to concur or nonconcur with any comments entered on his/her COER by the reviewing official. Any specific disagreements or agreements with any comments by the reviewing official may be stated. Also, reviewing officials must assure that all A and E ratings have narrative comments before signing and forwarding the COER.

Section G. Types of COERs

1. Annual

Each year, on or about September 1, a Commissioned Corps Personnel Manual Circular will be issued to all commissioned officers providing them with a

copy of the Form PHS-838 with instructions to complete Section I and submit the form to their supervisors not later than September 30.

2. Transfer

- a. A copy of the Form PHS-838 will be mailed by DCP to each officer being transferred under permanent change of station orders along with copies of the official personnel order. Immediately upon receipt, the officer being transferred is required to complete Section I of the form and deliver the form to his/her immediate supervisor at the old duty station.
- b. Supervisors will complete the form as prescribed in Section E of this INSTRUCTION.
- c. Every effort should be made to complete the rating process including review and signature by the rated officer prior to the officer's departure. If this is not possible, such notation should be made in Section V, Item 1 by the supervisor and a copy furnished to the rated officer.

3. Reassignment of Rating Officer

When the immediate supervisor of one or more commissioned officers is to be reassigned to another position, either within the duty station or on a change of duty station, the supervisor will require all officers under his/her immediate supervision to promptly initiate COERs and submit them to the supervisor. In Section I in the block entitled "Type of Report" check "other" and enter the words "Reassignment of Rating Official."

4. Special Request

Action to obtain special request COERs will be initiated by DCP or the PHS agency concerned. The request will be sent to the appropriate rating official who will complete the COER. The rating official will route the form to the appropriate reviewing official and it shall be returned directly to the requesting office. Both the rating officer and the reviewing official will observe the time schedule identified in the request.

- a. DCP. DCP will request that a COER be completed when an officer is subject to a three-year file review, requests assimilation, or is being considered for involuntary retirement or other nonroutine action.
- b. PHS Agencies. PHS agency heads or their designees are authorized to request that a COER be completed in connection with any appropriate personnel matter.

Section H. Officers Detailed to Non-PHS Organizations

1. For those officers who are detailed to State, county, and local health organizations, other Federal agencies, and international organizations, the immediate supervisor of the officer in the organization to which the officer is detailed shall be the rating official. If the terms of the detail specify PHS supervision, the head of the PHS program from which the officer is detailed, or his/her designee, shall function as the reviewing official.
2. If the terms of the detail do not specify PHS supervision, as in the case of the Environmental Protection Agency and the Health Care Financing Administration, the rating official shall be the immediate supervisor of the officer and the reviewing official shall be the immediate supervisor of the rating official in the agency to which the officer is detailed.
3. An officer detailed to a non-PHS organization is subject to the personnel policies of the PHS Commissioned Corps regarding his/her COER.

EXHIBIT I

COMMISSIONED OFFICERS' EFFECTIVENESS REPORT

(Ref to Commissioned Corps Personnel Manual)  
Subchapter CC25.1

PHS-638  
Rev. 4/84

PLEASE READ PRIVACY ACT NOTIFICATION STATEMENT on last page before completing this form.

INSTRUCTIONS FOR FILLING OUT THE COMMISSIONED OFFICERS' EFFECTIVENESS REPORT

The Commissioned Officers' Effectiveness Report (COER) is the official mechanism for reporting an officer's performance, and is a critical part of the commissioned personnel system. This report is fully compatible with and supplements established work planning procedures. It is expected that an officer's success in meeting a work plan has already been reviewed and information collected regarding specific aspects of the officer's performance. The COER has four major purposes:

1. To provide a formal framework for informing the officer and corps management of the supervisor's assessment of the officer's performance and goals.
2. To provide information for promotion boards and retention decisions.
3. To inform those who may need an officer's services of the strengths and weaknesses which that officer has shown.
4. To permit more effective planning for training and assignments to assure that officers reach their maximum potential.

The rating system is designed to reflect the range of possible strengths and weaknesses. Almost every officer will be above average in some areas and below average in others even if the officer's overall performance is good or very poor. Very few officers should receive ratings which are uniform across all items. Both in fairness to the officer and in fairness to the corps, it is important to identify the weaknesses of excellent officers and the strengths of very weak officers. Be sure to specify the rating period in Section I and to rate officers on performance only for this period.

Although the items have explanations for each rating level, raters should consider the following overall guidelines carefully:

- A. This rating on any item requires a narrative comment and counselling. This level indicates seriously impaired performance. At this overall level, unimproved performance would lead to adverse action. A rating at this level in two or more categories, if unimproved, is usually incompatible with promotion.
- B. This level indicates a weakness which may require counselling. A narrative comment is in order.
- C. This level indicates fully acceptable performance. Most officers, including many successful candidates for promotion, should fall within this group.
- D. This level indicates above average performance. An officer functioning at this overall level will be a leader in his/her unit, will progress faster than his/her colleagues, and is a strong candidate for honor awards nominations. A narrative comment is in order.
- E. This rating on any item requires a narrative comment. This level indicates outstanding performance. Officers performing at this overall level should almost always be nominated for honor awards.

SECTION I — TO BE FILLED OUT BY OFFICER REPORTED ON

NAME (Last)	(First)	(Middle Initial)	PHS Serial No. _____ SSAN: _____	Type of Report 1. <input type="checkbox"/> Annual    2. <input type="checkbox"/> 3-yr. File Review    3. <input type="checkbox"/> Other If Other, specify reason: _____	
Station During Period Covered by Report		Health Agency 1. <input type="checkbox"/> OASH    2. <input type="checkbox"/> FDA    3. <input type="checkbox"/> NIH 4. <input type="checkbox"/> ADAMHA    5. <input type="checkbox"/> HRSA    6. <input type="checkbox"/> CDC 7. <input type="checkbox"/> Other _____		Date Reported To Station (Mo. and Yr.) ____/____	Date of Report (Mo. and Yr.) ____/____
Period Covered by Report			Present Position/Billet Title	Category	Temporary Grade
			Date Submitted to Supervisor Mo.    Day    Year ____/____/____		

Describe your duties, accomplishments, and goals for future assignments. Try to be brief, but you may use attachments.

SECTION II — TO BE FILLED OUT BY OFFICER'S SUPERVISOR

Are you the officer's supervisor? 1. <input type="checkbox"/> YES    If NO, explain your relationship to the officer and why you are doing the rating: 2. <input type="checkbox"/> NO	How long have you supervised this officer? _____ years _____ months
NAME OF SUPERVISOR (or other Reporting Individual) (Type or Print):	
SIGNATURE OF SUPERVISOR: _____	
SUPERVISOR'S TITLE: _____	
SUPERVISOR'S PHS SERIAL NO.: _____	
SUPERVISOR'S PROFESSIONAL SPECIALTY: _____	
Are you the only supervisor of this officer? <input type="checkbox"/> YES    If not, have comments of other supervisors been considered? <input type="checkbox"/> YES <input type="checkbox"/> NO	

## EXHIBIT I (continued)

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## SECTION III—TO BE FILLED OUT BY OFFICER'S SUPERVISOR

NOTE: Comments are required for all A. and E. responses.

1. QUANTITY OF WORK:  
 A. Consistently produces less than is expected.  
 B. Sometimes falls below productivity standards.  
 C. Meets standards consistently.  
 D. Usually exceeds standards of productivity.  
 E. Exceptionally productive; accomplishes far more than is expected.  
 Comments:
2. QUALITY OF WORK:  
 A. Regularly produces work which does not meet standards of quality.  
 B. Occasionally produces work which does not meet standards.  
 C. Produces work that consistently meets standards.  
 D. Produces above average work.  
 E. Produces exceptional work. Officer seen as a model.  
 Comments:
3. PUNCTUALITY OF WORK:  
 A. Regularly misses deadlines.  
 B. Is sometimes behind schedule.  
 C. Is almost always on time with assigned work.  
 D. Can be relied upon to meet all deadlines and is sometimes ahead of schedule.  
 E. Is exceptionally prompt and usually ahead of schedule.  
 Comments:
4. INITIATIVE, CREATIVITY, AND JUDGMENT:  
 A. Often fails to take obviously necessary actions or takes wrong ones.  
 B. Sometimes fails to take steps that would solve or head off usual problems.  
 C. Deals effectively with usual problems and challenges.  
 D. Moves creatively to meet program objectives and solve somewhat unusual problems.  
 E. Routinely recognizes and solves unusual problems.  
 Comments:
5. COMMITMENT TO PROGRAM GOALS:  
 A. Seems exclusively concerned with own convenience, welfare, and advancement to detriment of program.  
 B. Too often puts personal concerns ahead of program.  
 C. Is generally able to balance personal and program concerns.  
 D. Has worked out a relationship between personal and work responsibilities which allows satisfactory resolution of almost all conflicts.  
 E. Has achieved such an integration of personal and program interests that conflicts rarely arise.  
 Comments:
6. ABILITY TO WORK WITH OTHERS:  
 A. Is not effective when work requires cooperative efforts.  
 B. Performance is sometimes impaired if it requires working with others.  
 C. Satisfactorily achieves objectives when working with others is required.  
 D. Is able to cooperate with others in a manner that helps produce better work than any one member of the group could produce.  
 E. Works with others in ways which maximize the contributions of each person and consistently produces excellent results.  
 Comments:
7. ABILITY TO EXPRESS SELF VERBALLY AND IN WRITING:  
 A. Often does not get the desired response even to routine material because the message is not understood.  
 B. Failure to communicate clearly sometimes causes problems.  
 C. Communication failures rarely cause problems.  
 D. Gets message across even when material is complex.  
 E. Expresses complex and controversial material in such a lucid and persuasive way that achievement of objectives is materially aided.  
 Comments:
8. PLANNING AND ORGANIZING:  
 A. Needs continual supervision to determine priorities, resource needs and time to be allotted for even routine tasks.  
 B. Sometimes is lax in determining and adhering to priorities, available resources, and schedules.  
 C. Sets and adheres to priorities, available resources, and schedules under most circumstances.  
 D. Skilled planner and organizer. Grasps problems well and works out overall and detailed solutions.  
 E. Exceptional skills in planning and organizing. Anticipates subtle and difficult issues and deploys resources imaginatively.  
 Comments:
9. RESPONSE TO CRISES:  
 A. In crises, performance is ineffective.  
 B. In crises, performance is somewhat less effective than at other times.  
 C. Performance in crises is as effective as at other times.  
 D. Rises to the occasion in crises.  
 E. Emerges as a superior performer and leader in crises.  
 Comments:
10. ABILITY TO ANALYZE PROBLEMS:  
 A. Often asks questions or presents solutions that evidence a lack of understanding of routine matters.  
 B. Sometimes asks questions or presents solutions which complicate the management of routine problems.  
 C. Almost always evidences understanding of routine and many more complex matters.  
 D. Usually understands and presents good solutions to new and particularly difficult problems.  
 E. Is a person to whom others look for creative and thorough analyses of the most difficult problems.  
 Comments:

EXHIBIT I (continued)

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SECTION III—CONTINUED

11. PROFESSIONAL SKILLS IN PRESENT ACTIVITY:

- A. Cannot be trusted in situations when professional judgment is required.
- B. Sometimes makes professional judgments that are not supportable.
- C. Consistently makes professional judgments that are supportable and appropriate.
- D. Is looked to by others for professional advice.
- E. Is recognized by people outside his/her program as an expert in the application of professional skills.

Comments:

12. SUPERVISORY SKILLS:

- A. Frequently causes problems as a supervisor which require intervention.
- B. Sometimes makes supervisory decisions which complicate management problems.
- C. Handles most supervisory problems without difficulty.
- D. Resolves problems and improves employee's performance.
- E. Solves even difficult problems and gets the most out of even deficient employees.
- F. Officer has no supervisory responsibility.

Comments:

13. GROWTH IN SKILLS DURING RATING PERIOD:

- A. Performance has deteriorated.
- B. Has shown little, if any, improvement.
- C. Showed steady growth.
- D. Progressed more rapidly than most of his/her peers.
- E. Showed much more growth than almost all of his/her peers.
- F. Reporter has not known officer long enough to judge this ability (use this only if you have known officer less than 6 months).

Comments:

14. RESPONSIVENESS TO SUPERVISION:

- A. Usually rejects supervisory guidance without considering its merits.
- B. Sometimes rejects supervisory guidance without considering its merits.
- C. Usually considers supervisory guidance carefully and is usually able to apply it.
- D. Works with supervisory guidance constructively.
- E. Knows when to seek supervisory guidance and is highly creative in implementing recommendations.

Comments:

15. OVERALL JOB PERFORMANCE:

This rating should *not* be an average of items above. It should reflect actual effectiveness in the job which this officer is doing. This rating should be consistent with the officer's performance under his/her work plan.

- A. Inadequate. This officer is a hindrance rather than an asset.
- B. Marginal. This officer is sometimes less effective than can be reasonably expected.
- C. Competent: This officer is fully effective in performing his/her job.
- D. Well above average. This officer has made a significant contribution and has enhanced the position he/she holds.
- E. Exceptional. This officer's performance is far better than can be reasonably expected and has brought credit on the officer and the organization.

Comments:

SECTION IV

NOTE: Comments are required for A. and E. responses in 1, 2, 3 and 10.

1. WOULD YOU RECOMMEND THIS OFFICER FOR PROMOTION IN RANK?

- A.No.
- B.Only with additional supporting reasons.
- C.This officer is fully qualified for promotion.
- D.This officer should be promoted before most of his/her peers.
- E.This officer should have an exceptional capability promotion.
- F.Officer is currently at the permanent Director Grade (0-6).

Comments:

2. WOULD YOU RECOMMEND THIS OFFICER FOR ASSIMILATION INTO THE REGULAR CORPS? (Assimilation gives the officer career status).

- A.No.
- B.Only with additional supporting reasons.
- C.This officer is fully qualified for assimilation.
- D.This officer should be assimilated before most of his/her peers.
- E.This officer should be assimilated immediately.
- F.Officer is currently in the regular corps.

Comments:

3. IN AN OPEN COMPETITION, WOULD YOU EXPECT TO SELECT THIS OFFICER FOR HIS/HER PRESENT POSITION?

- A. No.
- B. Possibly.
- C. This officer would be a good competitor for this job.
- D. This officer would be one of the very best candidates.
- E. Very much doubt we could find anyone else as good.

Comments:

4. SHOULD THIS OFFICER BE DIRECTED TO THE SAME OR A DIFFERENT FUTURE ASSIGNMENT? IF TO A DIFFERENT ASSIGNMENT, EXPLAIN. (PLEASE CONSIDER OFFICER'S RESPONSE IN SECTION I).

- A.  Same
- B.  Different

Explanation:

5. IF YOU HAVE RECOMMENDED A DIFFERENT ASSIGNMENT, IS THIS OFFICER READY FOR IT?

EXHIBIT I (continued)

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SECTION IV—CONTINUED

6. CONSIDERING YOUR ANSWERS TO "4" AND "5," WHAT FORMAL TRAINING, SKILLS ENHANCEMENT OR INTERIM ASSIGNMENT WOULD YOU RECOMMEND FOR THIS OFFICER?

7. DOES THIS OFFICER HAVE ANY LIMITATIONS NOT IDENTIFIED ABOVE WHICH MIGHT LIMIT HIS/HER EFFECTIVENESS?

8. DOES THIS OFFICER HAVE ANY STRENGTHS NOT IDENTIFIED ABOVE WHICH ENHANCE HIS/HER EFFECTIVENESS?

Complete the following items (items 9 and 10) on officers in supervisory or managerial positions.

9. Does this officer have EEO goals as a part of his/her work plan? A. Yes B. No

10. Ability to accomplish EEO/Affirmative Action (AA) goals: A. Usually does not meet EEO/AA goals. B. Only partially meets EEO/AA goals. C. Meets established EEO/AA goals. D. Takes initiative in meeting and sometimes exceeding EEO/AA goals. E. Actively goes beyond meeting established EEO/AA goals.

Comments:

SECTION V

1. TO BE FILLED OUT BY OFFICER BEING REPORTED ON:

I have read this evaluation and had an opportunity to discuss it and retain a copy.

A. I concur with this evaluation.

B. I disagree with this evaluation in the following ways:

Comments (Add attachment if necessary):

2. TO BE FILLED OUT BY REVIEWING OFFICIAL

Name (Type or print): Title:

I have read this evaluation.

A. I concur with this evaluation in all respects.

B. Although this evaluation is reasonable, this rater is a somewhat more demanding rater than most.

C. Although this evaluation is reasonable, this rater is a somewhat less demanding rater than most.

D. I disagree with this evaluation in the following ways:

Comments:

NOTE: Before signing, make certain that your supervisor has provided comments for all A. and E. level ratings.

Signature of Rated Officer

Date

IF ANY REVIEWING OFFICIAL DOES NOT CONCUR FULLY, IT IS HIS/HER RESPONSIBILITY TO PROVIDE THE RATED OFFICER WITH A COPY OF THIS PAGE.

Are you the rater's immediate supervisor?

A. YES

B. NO If not, what is your relation to the rater and why are you the reviewer?

Comments:

Signature of Reviewing Official

Date

Privacy Act Statement for Form PHS-838 "Commissioned Officers' Effectiveness Report"

This statement is provided pursuant to the Privacy Act of 1974 (5 U.S.C. 552a). Our authority to collect this information from you is 42 U.S.C. 202 et seq. Principal Purpose and Routine Uses: The information you provide in Section I of this form will be used to identify you, your present assignment, and your future assignment interests. The remainder of the form will be completed by others, documenting your proficiencies, assignments, and duties. This information enables us to assess your strengths, to evaluate and take actions to improve your performance, and identify the steps necessary to further your professional growth and career development. Evaluations obtained on this form may be employed in various personnel actions such as promotion, assimilation, and assignment. This information will be used only as necessary in personnel administration processes carried out in accordance with established regulations and published notices of systems of records. Copies of these systems of records may be obtained by contacting the office to which you submit this form.

Information Regarding Disclosure of Your Social Security Account Number: Disclosure of your Social Security Account Number (SSAN) is mandatory under provisions of Executive Order 9397 to obtain benefits and services as a commissioned officer. Your SSAN is also used to distinguish your record from those of commissioned officers who may have similar names and dates of birth.

Effects of Non-Disclosure: You must disclose your Social Security Number as explained above. If you do not provide the information requested on this form commissioned corps boards will have no information about your current assignment and future interests, therefore, cannot consider these things when reviewing your qualifications for promotion or other actions.