

RESEARCH OFFICERS GROUP PROMOTION BENCHMARKS

PY 2016 Guidance Regarding Promotion Precepts and Benchmarks for Commissioned Corps Officers

Officers competing for promotion are rated on the five Promotion Precepts described in the electronic Commissioned Corps Issuance System (eCCIS) Instructions 331.01 (old CCPM 23.4.1) "Permanent Grade Promotions", and 332.01 (old CCPM 23.4.2) "Temporary Grade Promotions", and noted below. To assist officers in better understanding the Promotion Precepts, the Precepts are described in terms of Factors. Each Factor has a Benchmark, which is a level of achievement for the officer given the category and grade.

The purpose of this Guidance is to inform officers and promotion boards of the levels of achievement per Promotion Precept generally considered to describe the "best qualified" officer for a specific category at a specific grade. This document can also benefit the officer in setting some personal long term goals for his or her career advancement.

The Chief Professional Officers (CPO) and Professional Advisory Committee (PAC) Chairs, in consultation with their constituent category members, revise the Guidance annually to reflect the ever changing missions and policies of the Corps. All five Promotion Precepts are identical for all categories, as are the Benchmarks for Promotion Precepts 1, 4 and 5. The Benchmarks for Promotion Precepts 2 and 3 are category-specific.

The benchmarks for Precepts 1 to 5 are levels of achievement and/or standards of excellence that describe the "best-qualified" officer. They serve as a basis by which officers can be measured within each category. No Officer is expected to meet all the standards for Precepts 1 to 5. Many promoted officers will have achievements that exceed the factors for one or two precepts, but may not meet all the factors for others. Therefore these Benchmarks should not be considered a checklist of activities that must be completed in order to be promoted. Quality and impact of an officer's service is far more important than the quantity of activities in which they participate.

The individual factors within each Precept are not listed in priority order. The importance of each factor is left to the discretion of the Promotion Boards. The members of the Promotion Boards review the service records of each officer under consideration for promotion and each assigns a score for the specific Promotion Precept. Promotion Board members exercise their professional judgment and discretion in the review and rating of each record.

There is no time period that limits which of the officer's activities and accomplishments are eligible for consideration. However, activities and accomplishments subsequent to an officer's last promotion should receive priority consideration.

The Promotion Precepts are weighted as follows:

1. Performance Rating and Reviewing Official's Statement (Performance)	40%
2. Education, training, and professional development	20%
3. Career progression and potential	25%
4. Professional contributions and services to the PHS Commissioned Corps (Officership)	15%
5. Basic Readiness	0%***

IMPORTANT NOTE:

Although the Readiness precept no longer carries any weight with regard to numerical score for promotion, basic readiness remains one of the several administrative checks for promotion. Officers in a "not ready" status at the 31 Dec RedDOG status report prior to the promotion year will receive an automatic Board Not Recommend. In addition, officers in a "not ready" status at the subsequent 31 March RedDOG status report, who were otherwise successful, will be removed from the successful list. Officers are advised to maintain basic readiness at all times.

Promotion Board members examine many documents in the officer's electronic Official Personnel Folder (eOPF) during the promotion review. Examples of these documents include, but are not limited to: Commissioned Officers' Effectiveness Report (COER); Promotion Information Report (PIR); curriculum vitae; the Officer's and Reviewing Official's Statements; award narratives; and letters of appreciation. The most recent COERs (e.g., the last 3-5 years) are generally given the most consideration by Promotion Board members, although earlier COERs may also be reviewed.

Career development resources (e.g., Curriculum Vitae (CV) reviews, mentoring, internet training tools, career development seminars, fellow officers, serving in similar roles, etc.) provided by the PACs, agency liaisons, Division of Commissioned Corps Personnel and Readiness (DCCPR), and the CPOs should be explored and fully utilized by all officers.

The Benchmarks will change as the Commissioned Corps continues to evolve. Any comments or suggestions that you have on the Benchmarks may be submitted to your PAC Chair, and will be carefully considered for incorporation into the next annual revision.

PY 2016 FACTORS and BENCHMARKS FOR PROMOTION PRECEPTS

1. Performance Rating and Reviewing Official's Statement (Performance)				
Factor	Benchmarks P-O2*	Benchmarks T-O4/P-O3*	Benchmarks T-O5/P-O4	Benchmarks T-O6/P-O5/P-O6
<p>• Commissioned Officers' Effectiveness Report (COER)</p> <p>Based on information contained in the Officer's Statement, separate from the Reviewing Official's Statement, the officer will be rated on promotion readiness as it relates to:</p> <ul style="list-style-type: none"> ○ Progression of responsibility ○ Achievement and contributions to the agency mission ○ Personal accountability for developing skills and leadership effectiveness 	<p>The primary focus in reviewing the COER should be on the accompanying narrative rather than on the indicated value.</p> <p>Secondary assessment will include a review of the COER score, in the context of the officer's performance trends.</p> <p>Guidance provided as needed/requested to complete assignments of moderate complexity and impact. Skill development reflects potential for leadership and willingness/ability to assume increasing levels of responsibility.</p> <p>Completes assigned duty-related mandatory training and elective training to complement mandatory training.</p> <p>Supporting information that professional development contributes to the agency missions.</p> <p>The officer demonstrates they efficiently and effectively work at their current grade.</p>	<p>The primary focus in reviewing the COER should be on the accompanying narrative rather than on the indicated value.</p> <p>Secondary assessment will include a review of the COER score, in the context of the officer's performance trends.</p> <p>Guidance provided as needed/requested to complete assignments of moderate complexity and impact. Skill development reflects potential for leadership and willingness/ability to assume increasing levels of responsibility. Completes assigned duty-related mandatory training and elective training to complement mandatory training.</p> <p>Supporting information that professional development contributes to the agency missions.</p> <p>The officer demonstrates they efficiently and effectively work at a higher level than their current grade.</p>	<p>The primary focus in reviewing the COER should be on the accompanying narrative rather than on the indicated value.</p> <p>Secondary assessment will include a review of the COER score, in the context of the officer's performance trends.</p> <p>Evidence of independent performance of complex tasks requiring developed proficiency and higher responsibility with positive impact on the program. Demonstrated leadership of program teams or projects.</p> <p>Completes assigned duty-related mandatory training and elective training to complement mandatory training.</p> <p>Supporting information that professional development contributes to the agency missions.</p> <p>The officer demonstrates they efficiently and effectively work at a higher level than their current grade.</p>	<p>The primary focus in reviewing the COER should be on the accompanying narrative rather than on the indicated value.</p> <p>Secondary assessment will include a review of the COER score, in the context of the officer's performance trends.</p> <p>Independent initiative, evidenced by development, oversight, coordination and/or leadership of projects of exceptional difficulty with an expected level of expertise. Assumption of overall personal accountability for the involved program or project.</p> <p>Completes assigned duty-related mandatory training and elective training to complement mandatory training.</p> <p>Supporting information that professional development contributes to the agency missions.</p> <p>The officer demonstrates they efficiently and effectively work at a higher level than their current grade and should currently occupy an O-6 billet.</p>

1. Performance Rating and Reviewing Official's Statement (Performance)

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Factor	Benchmarks P-O2*	Benchmarks T-O4/P-O3*	Benchmarks T-O5/P-O4	Benchmarks T-O6/P-O5/P-O6
<p>• Award History**</p> <p>Progression of awards, relevance to mission, quality, as well as quantity, across the career is assessed:</p> <ul style="list-style-type: none"> ○ PHS Individual and Unit Honor Awards (e.g., PHS Citation Medal, Outstanding Service Medal, Unit Commendation) ○ Other Awards & Recognition ○ PHS Service Awards (e.g., Isolated Hardship Service Award, Special Assignment Service Award) 	<p>There should be a record of awards across the career. Officers should strive for increasing levels of achievement including team or unit participation, which may result in individual or unit awards (e.g., a PHS Citation Medal or Unit Commendation).</p> <p>Division, Institute, and Agency (including non-DHHS agencies), and professional organization awards, and recognition such as letters of commendation.</p> <p>Service should clearly reflect the impact(s) that evolve from responsibility and performance of the officer.</p>	<p>There should be a record of awards across the career. Officers should strive for increasing levels of achievement that reflects superior efforts, including team or unit participation, which may result in individual or unit awards (e.g., an Achievement Medal or Unit Commendation).</p> <p>Division, Institute, and Agency (including non-DHHS agencies), and professional organization awards, and recognition such as letters of commendation.</p> <p>Service should clearly reflect the impact(s) that evolve from responsibility and performance of the officer.</p>	<p>There should be a record of awards across the career. Officers should strive for levels of achievement that are distinctly greater than expected and which should result in progressively higher individual awards or unit recognition (e.g., a Commendation Medal or Unit Commendation).</p> <p>Division, Institute, and Agency (including non-DHHS agencies), and professional organization awards, and recognition such as letters of commendation.</p> <p>Service should clearly reflect the impact(s) that evolve from responsibility and performance of the officer.</p>	<p>There should be a record of awards across the career. Officers should strive for levels of achievement that reflects exceptional leadership and which should result in progressively higher individual awards or unit recognition (e.g., an Outstanding Service Medal or Outstanding Unit Citation).</p> <p>Division, Institute, and Agency (including non-DHHS agencies), and professional organization awards, and recognition such as letters of commendation.</p> <p>Service should clearly reflect the impact(s) that evolve from responsibility and performance of the officer.</p>
<p>• Reviewing Official's Assessment for Promotion Readiness</p> <p>Based on information contained in the Reviewing Official's Statement (separate from the Officer's Statement), the Officer will be rated on promotion readiness as it relates to:</p> <ul style="list-style-type: none"> ○ Current Leadership Role in Command/ Agency ○ Progression of Leadership Potential ○ Contribution to the 	<p>Exhibits Leadership Qualities</p> <p>Recognizing junior officers with the potential and inspiration to influence.</p> <p>For example: <i>As assessed in ROS, candidate excels:</i></p> <p>a) In attributes that serve the leadership in a group, team, committee, or branch work and with the potential for team leadership or management role.</p> <p>and/or</p>	<p>Exhibits Leadership Qualities</p> <p>Recognizing junior officers with the potential and inspiration to influence.</p> <p>For example: <i>As assessed in ROS, candidate excels:</i></p> <p>a) In attributes that serve the leadership in a group, team, committee, or branch work and with the potential for team leadership or management role.</p> <p>and/or</p>	<p>Demonstrates Leadership Skills</p> <p>Recognizing exceptional personal leadership skill and significant potential or competence as a leader or manager.</p> <p>For example: <i>As assessed in ROS, candidate excels:</i></p> <p>a) In the contributions to and support of a management, supervisory, technical or clinical expert and/or program leadership role.</p>	<p>Accomplished Leadership Role</p> <p>Recognizing leaders who have moved into key leadership roles and have a proven record of influence and achievement (e.g., Subject Matter Expert, Program Chief/Director or equivalent).</p> <p>For example: <i>As assessed in ROS, candidate excels:</i></p> <p>a) In an executive, senior management, expert, and/or special advisory/consultant position.</p>

1. Performance Rating and Reviewing Official's Statement (Performance)

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Factor	Benchmarks P-O2*	Benchmarks T-O4/P-O3*	Benchmarks T-O5/P-O4	Benchmarks T-O6/P-O5/P-O6
Agency Missions	<p>b) As a member of a task force or similar group at, or above, the local or regional Branch or Division level.</p> <p>Other considerations <i>may</i> include:</p> <p>Authorship of publications or other written communication or oral presentations that strive for increasing impact (e.g., at, or above, the local/regional Branch, or Division level).</p>	<p>b) As a member of a task force or similar group at, or above, the local or regional Branch or Division level.</p> <p>Other considerations <i>may</i> include:</p> <p>Authorship of publications or other written communication or oral presentations that strive for increasing impact (e.g., at, or above, the local/regional Branch, or Division level).</p> <p>Engages in collateral activities that contribute to the Agency/PHS mission.</p>	<p>and/or</p> <p>b) As a member or leader of a task force or similar group at, or above, the local or regional Agency level.</p> <p>Other considerations <i>may</i> include:</p> <p>Primary or secondary authorship of publications or other written communication or oral presentations that strive for increasing impact (e.g., at or above the local or regional Agency level).</p> <p>Engages in collateral activities that contribute to the Agency/PHS mission.</p>	<p>and/or</p> <p>b) As a leader of a task force or a similar group at either the regional, national or international Agency level.</p> <p>Other considerations <i>may</i> include:</p> <p>Primary or secondary authorship of publications or other written communication or oral presentations that strive for increasing impact (e.g., at either the regional, national or international Agency level).</p> <p>Evidence that career duties and collateral activities contribute to visibility and impact of the Agency/PHS Commissioned Corps mission.</p>

* - Temporary O2 and O3 promotions for all categories and Temporary O4 promotions for the Medical and Dental Categories are determined by an administrative file review as outlined in Commissioned Corps Instruction (CCI) 332.01 (old CC 23.4.2, 6-2). Officers are encouraged to use the Factors and Benchmarks listed for T-O4/P-O2 & O3 for career development purposes.

** - Please refer to CCI 511.01 (old CC 27.1.1) Awards Program for a description of the Honor and Service Awards.

2. Education, Training & Professional Development

Officers in ROG will be evaluated based upon their training in the laboratory and clinical research. Specific training occurs in laboratory methods; clinical competencies; competencies in the conduct of research, e.g., protocol development, laboratory safety, etc.

3. Career Progression & Potential

Research assignments that increase in complexity and detail and responsibility are key in assessing this precept in ROG, as well as recognition by the assignment of collateral duties, awards, and promotions. Officers in ROG progress from fellow to tenure-track to tenured billets in carefully delineated steps. Members of the ROG demonstrate increasing independence in their research at the O-5 and O-6 level by progressing from Tenure Track to Tenure status.

<i>4. Professional Contributions & Services to the PHS Commissioned Corps (Officership)</i>				
Factor	Benchmarks P-O2*	Benchmarks T-O4/P-O3*	Benchmarks T-O5/P-O4	Benchmarks T-O6/P-O5/P-O6
<ul style="list-style-type: none"> • Honor/ Integrity/Duty As a USPHS Officer ○ Honor and integrity are the consistent regard for the highest standards of behaviors and the refusal to violate one's personal and professional codes. ○ Duty is the free acceptance of a commitment to service. 	<p>Displaying honor and integrity as an officer.</p> <p>Completes mandatory CC training</p> <p>Officer participates in personal and professional duties to meet obligations.</p> <p>No disciplinary or adverse actions; officer in good standing</p>	<p>Displaying honor and integrity as an officer.</p> <p>Completes mandatory CC training</p> <p>Officer participates in personal and professional duties to meet obligations.</p> <p>No disciplinary or adverse actions; officer in good standing</p>	<p>Displaying honor and integrity as an officer.</p> <p>Completes mandatory CC training</p> <p>Officer participates in personal and professional duties to meet obligations.</p> <p>No disciplinary or adverse actions; officer in good standing</p>	<p>Displaying honor and integrity as an officer.</p> <p>Completes mandatory CC training</p> <p>Officer participates in personal and professional duties to meet obligations.</p> <p>No disciplinary or adverse actions; officer in good standing</p>

4. Professional Contributions & Services to the PHS Commissioned Corps (Officership)

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Factor	Benchmarks P-02*	Benchmarks T-04/P-03*	Benchmarks T-05/P-04	Benchmarks T-06/P-05/P-06
<p>Officer CC Contributions Significant contributions are based on information contained in the Officer's Statement, CV, and documented in letters of appreciation. Examples may include:</p> <ul style="list-style-type: none"> o Membership/ Leadership/ Involvement in PAC and Advisory Groups (e.g., Junior Officers Advisory Group, Minority Officers Liaison Council) 	<p>Appointed member or volunteer.</p> <p>Evidence that [CC and collateral activities impact and contribute to the PHS mission at the local level.</p>	<p>Appointed member or volunteer.</p> <p>Evidence that CC and collateral activities impact and contribute to the PHS mission at the local level.</p>	<p>Appointed member or volunteer who leads subcommittee or demonstrates substantive role.</p> <p>Evidence that CC and collateral activities impact and contribute to the PHS mission at the regional level.</p>	<p>Appointed member or volunteer who serves as Chair or Vice-Chair, or leads subcommittees, or demonstrates substantive role.</p> <p>Evidence that CC and collateral activities impact and contribute to the PHS mission at the regional, national or international level.</p>
<ul style="list-style-type: none"> o Recruitment Activities 		<p>Documented recruitment activities</p>	<p>Documented recruitment activities</p>	<p>Documented recruitment activities</p>
<ul style="list-style-type: none"> o Mentoring <p>Professional contributions Commitment to professional development and officer visibility, <i>i.e while in uniform</i>. Significant contributions are based on information contained in the CV, and documented in letters of appreciation, awards, etc. Examples may include:</p> <ul style="list-style-type: none"> o Membership/ Involvement in Professional, Uniformed Service, and Specialty Organizations 	<p>Participates as a protégé in regular one-on-one or group mentoring activities</p> <p>Active member at the local, level</p>	<p>Participates as a protégé in regular one-on-one or group mentoring activities.</p> <p>Active member at the local, regional, levels.</p>	<p>Participates as a primary or supportive mentor in regular one-on-one or group mentoring activities Seeks mentors within peers or higher level</p> <p>Completes a formal mentor assignment verified via letter from PAC, Advisory Group, Agency leadership, etc.</p> <p>Recruits other mentors to support professional development of peers.</p> <p>Active member at the regional, or national, or levels.</p> <p>Serves as contributing member to the organization through a committee or subcommittee.</p>	<p>Participates as a primary mentor in regular one-on-one or group mentoring activities. Seeks mentors within peers or higher level.</p> <p>Completes a formal mentor assignment verified via letter from PAC, Advisory Group, Agency leadership, etc.</p> <p>Recruit, train, support and manage other mentors for the professional development of other officers.</p> <p>Active member at the national or international levels.</p> <p>Serves in a leadership role in the organization such as subcommittee Chair or Chair of the organization.</p>

4. Professional Contributions & Services to the PHS Commissioned Corps (Officership)

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Factor	Benchmarks P-O2*	Benchmarks T-O4/P-O3*	Benchmarks T-O5/P-O4	Benchmarks T-O6/P-O5/P-O6
Presentations and Outreach	Participation at local and regional meetings or activities of professional organizations	Presentations and/or outreach at local and regional meetings or activities of professional organizations	Presentations and/or outreach regional meetings or activities of professional organizations Evidence of greater visibility in promoting the Corps to broader audiences.	Presentations and/or outreach regional, national or international meetings or activities of professional organizations Sought out by meeting planners for presentations with evidence of greater impact in support of Corps/Agency missions.

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5. Readiness

Factor	Benchmarks P-O2	Benchmarks T-O4/P-O3	Benchmarks T-O5/P-O4	Benchmarks T-O6/P-O5/P-O6
NA	Officer meets and maintains Basic Readiness Standards.	Officer meets and maintains Basic Readiness Standards.	Officer meets and maintains Basic Readiness Standards.	Officer meets and maintains Basic Readiness Standards.

Note: Officers may submit a request for a temporary medical waiver to the Medical Affairs for medical issues that would prevent an Officer from achieving or maintaining readiness status.