



CC351.01
EFFECTIVE DATE: 9 November 2010

By Order of the Assistant Secretary for Health:

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SUBJECT: Commissioned Officers' Effectiveness Report

1. PURPOSE: This Instruction prescribes the policy for the evaluation of officers in the Commissioned Corps of the U.S. Public Health Service (Corps). The annual Commissioned Officers' Effectiveness Report (COER) is 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, while providing an instrument to evaluate officership and leadership.
2. APPLICABILITY: This Instruction applies to all Corps officers serving on extended active duty, except for individuals outlined in Subsection 6-2.
3. AUTHORITY:
 - 3-1. [42 USC 202](#), "Administration and Supervision of Service"
 - 3-2. [42 USC 216](#), "Regulations"
 - 3-3. [68 FR 70507](#), "Office of Public Health and Science; Statements of Organizations, Functions, and Delegations of Authority"
4. PROPONENT: The proponent of this Instruction is the Assistant Secretary for Health (ASH). The responsibility for assuring the day-to-day management of the Corps is the Surgeon General (SG).
5. SUMMARY OF REVISIONS AND UPDATES: This is the first issuance of this Instruction within the Commissioned Corps Issuance System (CCIS) and replaces Commissioned Corps Personnel Manual (CCPM) CC25.1.1 dated 15 December 1987. Substantive changes include:
 - 5-1. Revision of the rating instrument to identify areas that need improvement and reflect areas of strength for each officer to increase the likelihood that an officer will be rated fairly;
 - 5-2. Updates to accommodate Web-based submissions; and
 - 5-3. Updates to glossary references.

6. POLICY: Corps officers are evaluated annually on their performance and effectiveness. Raters/supervisors should review and discuss the officer's performance with the officer on an ongoing basis throughout the evaluation year, which is October 1 - September 30. The COER is the primary tool used to identify an officer's accomplishments and areas in need of development. The COER serves as the evaluation instrument that becomes a part of the officer's Official Personnel Folder (OPF). An officer may be required to develop a Performance Management Appraisal Program (PMAP) or performance contract for internal use by his/her Operating Division (OPDIV), Staff Division (STAFFDIV) or non-HHS organization. Such instruments are not incorporated in the OPF.
- 6-1. For purposes of this Instruction, the definitions listed at <http://dcp.psc.gov/eccis/CCISGlossary.aspx> shall apply.
- 6-2. Annual COERs are required of all extended active duty officers with the following exceptions:
- a. officers called to active duty on or after 1 July of the COER cycle;
 - b. officers retiring prior to 1 July of the COER cycle;
 - c. officers who transfer on or after 1 July of the COER cycle may perform a Transfer COER, which will serve as the Annual COER (see Subsection 6-6.d.);
 - d. medical students enrolled at the Uniformed Services University of the Health Sciences (USUHS);
 - e. the Assistant Secretary for Health (ASH) (if he/she is a Corps officer);
 - f. the Surgeon General (SG); and
 - g. non-career and career political appointees.
- 6-3. An officer detailed to non-HHS organizations shall be evaluated as indicated in the Memorandum of Agreement.
- 6-4. An officer may provide a written rebuttal concerning information entered on the COER, if the officer is in disagreement with the contents of the document. The written rebuttal becomes a part of the officer's OPF.
- 6-5. The Rater is encouraged to discuss the Annual COER with the officer in a formal manner at least once annually and more frequently, if appropriate.
- 6-6. Types of COERs (See <http://dcp.psc.gov/eccis/CCISGlossary.aspx> for complete descriptions):
- a. Annual COER. The Annual COER is a Web-based process accessed from the Commissioned Corps Management Information System (CCMIS) at <http://dcp.psc.gov>. Each year an electronic notice is provided to all Corps officers with instructions to complete Sections 1 and 2 of form PHS-838, "Commissioned Officers' Effectiveness Report," and submit the form to their supervisor not more than 2 weeks later. Form PHS-838 contains Section 1 and Section 2, which are required narratives to be completed by the officer and Rater. Section 3 consists of the Rater's evaluation. The Annual COER is submitted in an electronic format but a written hard copy of the Manual COER may be substituted, when appropriate (see Subsection 6-6.c).

- b. Interim COER. An Interim COER is initiated by the officer or the Rater to document performance during the COER cycle when the Annual COER is not yet available or required. An officer may initiate an Interim COER for the purposes of special pays, promotion, or to fill in gaps in his/her evaluation period. Raters may initiate an Interim COER to document performance for the purposes of remedial or disciplinary action.
- c. Manual COER. A paper-based document used for Transfer and Interim COERs or to replace missing or late Annual COERs when the electronic version is no longer available.
- d. Transfer COER. An optional COER initiated by the officer. The Transfer COER is completed at the time of an officer's transfer to another post to document performance at the previous post. It may also be completed at the time of transfer/separation/retirement of an officer's Rater prior to that supervisor's departure. The Rater/Reviewing Official/Liaison at the previous post must complete the Transfer COER. A Narrative COER is a type of Transfer COER that can be used when the Rater has supervised the officer for less than 6 months. In the case of a Narrative COER, the Performance Evaluation (Section 1) and Rater's Comments (Section 2) of the COER are completed, but not Section 3.

7. RESPONSIBILITIES:

- 7-1. The ASH is responsible for establishing policies related to the COER.
- 7-2. The SG is responsible for the day-to-day management of the Corps. The SG is responsible for establishing Personnel Operations Memorandums (POM) through the CCIS. The POM establishes the instructions, guidelines, and deadlines for the COER.
- 7-3. Officer. The officer shall be responsible for:
 - a. Initiating the Annual COER submission process, to include confirmation of the billet and officer comments, when required;
 - b. Updating contact information as necessary;
 - c. Submitting the COER to the Rater within the specified time frame; and
 - d. Signing the COER, even if there is non-concurrence.
- 7-4. Rater. The Rater should provide input based upon the period of observed job performance, excluding periods of approved absences or extensive illness. The Rater is encouraged to communicate performance issues relative to the COER with the officer throughout the year. Documented counseling sessions should be used in the preparation of the annual COER. The Rater shall be responsible for:
 - a. Ensuring that all officers under his/her supervision transmit the COER within the specified time frame;
 - b. Reviewing any comments submitted by the officer;
 - c. Reviewing billet descriptions for accuracy;
 - d. Updating his/her contact information, as necessary;

- e. Evaluating the officer's performance using the full scale of the instrument to objectively rate the officer for the evaluative period; and
 - f. Submitting the document to the Reviewing Official within the specified time frame.
- 7-5. Reviewing Official. The Reviewing Official shall be responsible for:
- a. Ensuring that all officers and Raters submit the COER within the specified time frame;
 - b. Reviewing the COER for completeness and providing concurrence;
 - c. Completing and submitting the COER within his/her specified time frame; and
 - d. Updating his/her contact information, as necessary.
- 7-6. Liaisons. The Liaison shall be responsible for:
- a. Monitoring the status of the COER for all officers within their Operating Division (OPDIV), Staff Division (STAFFDIV) or non-HHS organization;
 - b. Assigning the most appropriate Rater and/or Reviewing official if, due to unique operational circumstances, the officer is unable to designate a Rater;
 - c. Verifying the completeness of COER submissions under their jurisdiction; and
 - d. Ensuring the punctual return of COER submissions to OCCO in the final file format.
- 7-7. Rights of Officers.
- a. Rebuttal. An officer may rebut a COER in accordance with Section 6-4 of this policy.
 - b. Redress. An officer may file for redress to a COER in accordance with [CCI211.04](#), "Complaints and Redress."
 - c. Board for Correction. An officer may apply to the Board for Correction of Records regarding his/her COER in accordance with [CC49.9.1](#), "Board for Correction of PHS Commissioned Corps Records".
8. PROCEDURES: Completed COERs become a part of the OPF and 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 in compliance with the Privacy Act of 1974.
9. HISTORICAL NOTES: This is the first issuance of this Instruction within the Commissioned Corps Issuance System (CCIS) and replaces Commissioned Corps Personnel Manual (CCPM) CC25.1.1 dated 15 December 1987.