

U.S. DEPARTMENT OF HEALTH
AND HUMAN SERVICES

PERSONNEL OPERATIONS MEMORANDUM



POM 07-006
EFFECTIVE DATE: 07 September 2007

By Order of the Surgeon General of the U.S. Public Health Service:

RADM Kenneth P. Moritsugu

TO: All Regular and Reserve Corps Officers on Extended Active Duty

SUBJECT: 2007 Annual Officers' Effectiveness Report

1. This Personnel Operations Memorandum (POM) establishes definitions, deadlines, instructions, and guidelines for the Annual Commissioned Officers' Effectiveness Reports (COER). This POM shall become effective upon the Annual COER cycle approved by the Assistant Secretary for Health (ASH) under [PPM 07-016](#). This POM supplements [MC 383](#) dated 30 June 2006.
2. The Annual COER is a Web-based performance evaluation process accessed from the Commissioned Corps Management Information System (CCMIS) Web site at: <http://dcp.psc.gov>. The annual COER rating period is for 1 year, which extends from 1 October 2006 to 30 September 2007. All officers on extended active duty are required to complete an Annual COER. Officers exempted from completing an Annual COER are listed in MC 383 and PPM 07-016.
3. The officer, [Rater](#), and [Reviewing Official \(RO\)](#) are responsible for completing and transmitting the Annual COER by the required deadlines. Failure to transmit the COER by the required deadlines is disadvantageous to the officer. If the officer does not have a completed COER by the required deadline, the officer will not be promoted or assimilated and cannot receive awards, details, or special pays. The Office of Commissioned Corps Operations (OCCO) is prohibited from issuing retroactive personnel orders that affect pay. The deadlines listed below are in effect, unless otherwise published on the CCMIS Web site:
 - a. COER is available to officers on 3 October 2007.
 - b. COER is due to Officer's Rater by 17 October 2007.
 - c. COER is due to the Officer's Reviewing Official by 7 November 2007.
 - d. COER is due to OCCO by 21 November 2007.

4. Instructions For Officer.

The officer is required to start the Annual COER by logging into the "Secure Area" of the CCMIS Web site, under the "Officer, Liaison, and Leave Maintenance Clerk" tab, then selecting the "COERs" tab on the Activity Tree (folders) on the left side of the screen. An officer who does not know his/her login or password should contact the CCMIS Help Desk at (301) 594-0961, or e-mail: CCHelpDesk@psc.gov. If the officer, Rater or Reviewing Official does not have Internet access, the officer will be required to complete the Annual COER on the prescribed [Manual COER forms](#). Contact the Commissioned Corps Liaison (Liaison) for assistance.

- a. The officer is required to review and update his/her e-mail and contact information. The officer is required to complete [Attachment 1](#). Attachment 1 should include the officer's duties, accomplishments, and goals as related to his/her billet. Activities and accomplishments evidencing officership, leadership, and force readiness should also be included.
- b. The officer is required to answer the [performance management plan/contract](#) question. The question is a radio checkbox located above Attachment 1. Check "Yes" if a performance management plan/contract is in effect, check "No" if a performance management plan/contract is not in effect. If you are unsure that a performance management plan/contract is in effect, consult your Rater.
- c. The officer is required to identify his/her Rater by clicking on the "Assign Rater" folder from the Activity Tree on the left side of the screen. The electronic COER application will prompt the officer to select "Last Years Rater" or select a new Rater. It is imperative that the e-mail address listed is correct.
- d. The officer is required to transmit the COER to the Rater no later than 17 October 2007.
- e. After the Rater completes his/her evaluation, the officer will receive an e-mail notification that the COER is available for review. The officer must login to the "Secure Area" to review the evaluation. The officer must concur or disagree with the evaluation and transmit the COER to the Reviewing Official no later than 7 November 2007.
 - (1) The officer and Rater should discuss the evaluation before the officer concurs or disagrees with the evaluation. No changes can be made after the officer concurs or disagrees with the COER.
 - (a) If there are no changes, the officer may concur or disagree with the COER evaluation.
 - (b) If changes are needed, both the Rater and the officer may modify their respective sections of the COER. The Rater must review any changes to Attachment 1 before the officer is allowed to concur or disagree with the evaluation. NOTE: The Reviewing Official will not have access to an officer's COER until the officer concurs or disagrees with the evaluation.
 - (2) If the officer disagrees with the evaluation, the officer may provide a [Rebuttal](#). The Rebuttal is submitted after the electronic COER has been transmitted to the officer's electronic Official Personnel Folder (eOPF).

- f. After the Reviewing Official has completed his/her section, the officer will receive an e-mail indicating the COER is complete. The COER will be archived in the officer's eOPF. If the COER is not in the eOPF after 1 week of receipt of the e-mail completion notification, the officer should contact phscoers@hhs.gov.

5. Instructions For The Rater.

The Rater will receive an e-mail notification when an officer has transmitted the COER for rating. The e-mail will contain instructions on how to login and access the COER.

- a. The Rater is required to ensure that all officers under his/her supervision transmit the COER for rating no later than 17 October 2007. If the officer fails to transmit the COER by the deadline, the Rater should remind the officer of the deadline. If the officer fails to transmit the COER within a reasonable time limit, the Rater is required to complete a hardcopy COER on the prescribed Manual COER forms.
 - (1) The Manual COER forms are located on the CCMIS Web site at <http://dcp.psc.gov/DCPForms.asp> or e-mail phscoers@hhs.gov for an electronic copy of the Manual COER forms.
 - (2) The Rater will complete [Attachment 2](#) and form PHS-838. The Rater may consider the officer's failure to submit the COER in a timely manner.
 - (3) The Rater will provide the COER to the officer to review and sign. If the officer refuses to sign the COER, the Rater will note the failure to sign, then forward the COER to the Reviewing Official for concurrence. The COER is then submitted to OCCO for inclusion into the officer's eOPF through the officer's Liaison.
- b. The Rater must review Attachment 1 from the officer. The Rater may ask the officer to modify Attachment 1. To access Attachment 1, login to the electronic COER application through the e-mail instructions provided. Select from the Activity Tree (folders) on the left side of the screen, then select the officer, then select "Review Att. 1."
- c. The Rater is required to enter the time he/she supervised the officer. Highlight the folder under the officer's name listed as "Time Supervised." Under the "Time Supervised" folder, the Rater may change the evaluation type from a [Detailed Evaluation](#) to a [Narrative Evaluation](#). To select or change the evaluation type, from the Activity Tree, select the officer from the list on the left side of the screen. Then select the officer, and select "Time Supervised." Then, select either "Narrative" or "Detailed," then select the "Save" button.
- d. The Rater is required to evaluate the officer's performance either as a Narrative Evaluation which consists of one performance element, overall job performance, or as a Detailed Evaluation, which consists of 18 performance elements.
 - (1) If the Rater has supervised the officer for less than 6 months, the Rater may seek input from the officer's previous supervisor.
 - (2) If the officer has been on extended periods of sick leave or intermittent periods of sick leave, the officer shall be rated on his/her performance only when present.

- (3) If any element is rated "A," the electronic COER application will prompt the Rater to provide comments specifying the reason(s) for the low rating.
 - e. The Rater is required to complete Attachment 2. Attachment 2 should include an overall description of the officer's performance during the Rating Period. Comments in Attachment 2 should reflect scores given.
 - f. The Rater is required to answer the performance management plan/contract question. The question is a radio checkbox located above Attachment 2. Check "Yes" if a performance management plan/contract is in effect; check "No" if a performance management plan/contract is not in effect.
 - g. The Rater is required to assign the Reviewing Official. The electronic COER application will prompt the Rater to select "Last Years Reviewing Official" or select a new Reviewing Official. It is imperative that the e-mail listed is correct. NOTE: Assigning the Reviewing Official does not transmit the COER to the Reviewing Official, nor does it release the COER to the officer to review.
 - h. Release the COER to the officer to concur or disagree with the evaluation. To release the COER to the officer, select the officer's name under the Activity Tree (folders), then select "Release COER to Officer."
 - i. The officer and Rater are encouraged to discuss the evaluation before the officer concurs or disagrees with the evaluation. Both the officer and Rater may make changes to his/her respective portions of the COER. Once the officer concurs or disagrees with the evaluation, no portion of the COER can be changed. The COER is then automatically transmitted to the Reviewing Official.
6. Instructions For The Reviewing Official.
- The Reviewing Official (RO) will receive an e-mail notification when an officer has transmitted the COER for review. The e-mail will contain instructions on how to login and access the COER.
- a. The RO is required to ensure that all officers under his/her charge transmit the COER no later than 7 November 2007.
 - b. The RO must review the officer's Attachment 1 and the Rater's scores and Attachment 2. The RO is encouraged to talk with the officer and the Rater regarding the scores and comments on the COER.
 - c. The RO is required to concur or disagree with the COER evaluation no later than 21 November 2007. The RO may include limited comments in a textbox; however, comments should be discussed with the officer and Rater.
7. Instructions For Commissioned Corps Liaisons.
- Liaisons will have access to status reports and missing COER reports. Liaisons are required to identify the appropriate Rater and Reviewing Official in the event there is any uncertainty or ambiguity as to who is required to fulfill these roles. Liaisons are also responsible for tracking COER status and make follow-up inquiries on COERs that are not transmitted in a timely manner.

8. Rebuttals And Other Rights Of Due Process.

The Rebuttal does not provide relief, nor does it substitute as a remedy for a formal grievance or other rights of due process. OCCO will not act on a Rebuttal other than to include it into the officer's eOPF. The officer may grieve the COER in accordance with [CC26.1.5](#) or the officer may file an Equal Opportunity (EO) complaint in accordance with [CC26.1.6](#). If the officer is not satisfied with the outcomes of the grievance or EO process, the officer may apply for relief through the Board for Corrections in accordance with [CC29.9.5](#).

- a. The Rebuttal is required to have the officer's name, rank, and serial number on the top of each page, and must be signed. The officer is encouraged to keep the number of pages submitted to less than five pages.
- b. The officer is required to submit the Rebuttal through his/her Liaison for signature. Rebuttals that are not signed by both the officer and Liaison will not be accepted. NOTE: Fax copies will not be accepted.
- c. For a Rebuttal to be available by the promotion and assimilations boards, the document must be received by OCCO no later than 31 December 2007, unless otherwise posted on the CCMIS Web site.
- d. Rebuttals are accepted for inclusion into the officer's eOPF until the first Wednesday of March.

9. Other Guidelines.

If an officer transfers to a new assignment on or after 1 July 2007, the officer may complete a [Transfer COER](#) on the prescribed Manual COER forms to take the place of the Annual COER. The Manual COER forms consist of form PHS-838, Attachment 1 and Attachment 2 and can be found the CCMIS Web site at <http://dcp.psc.gov/DCPforms.asp>. The Rater and Reviewing Official must be from the officer's previous assignment. The manual COER must be submitted to OCCO through the officer's previous Commissioned Corps Liaison.

10. Performance Management Plans/Contracts.

HHS has implemented the Performance Management Appraisal Program (PMAP) Department-wide for civilian employees in accordance with the Government Performance Results Act (GPRA), the President's Management Agenda, and other Federal performance initiatives. Corps officers are exempt from PMAP; however, officers may be required to have a performance plan to facilitate the implementation and use of PMAP.

/s/

Kenneth P. Moritsugu
RADM, USPHS
Acting Surgeon General

DEFINITIONS

Attachment 1 is a required narrative-based form, which is a part of all COER types, and is completed by the officer. Attachment 1 should include the officer's duties, accomplishments, and goals as related to his/her billet, and activities and accomplishments evidencing officership, leadership, and force readiness.

Attachment 2 is a required narrative-based form, which is a part of all COER types, and is completed by the Rater. Attachment 2 should include an overall description of the officer's performance during the Rating Period. Comments on specific ratings may also be included, but should be consistent with the rating given. Comments should reflect the accomplishments as well as level of responsibility.

Detailed Evaluation consists of all 18 elements on form PHS-838 or electronic equivalent version. Typically, the Rater completes a Detailed Evaluation if he/she has supervised the officer for 6 months or longer. The Rater indicates the level that most closely describes the officer's performance by selecting the appropriate rating. The lowest rating is "A," the highest rating is "E." An "F" rating is used to indicate that this particular element is not a part of the officer's expected performance.

Manual COER forms are generic paper-based documents used for all COER types. Manual COER forms consist of form PHS-838, Attachment 1 and Attachment 2. The Rater may complete a "Narrative Evaluation" or a "Detailed Evaluation." Manual COER forms are available on the CCMIS Web site at: <http://dcp.psc.gov/dcpforms.asp>. The officer is responsible for completing Attachment 1 and submitting it with form PHS-838 and Attachment 2 to his/her Rater. The Rater reviews Attachment 1, completes form PHS-838 and Attachment 2. The Rater may ask the officer to change any portion of Attachment 1. The Rater then forwards the COER back to the officer to concur or disagree with the evaluation. If the officer disagrees with the evaluation, the officer is encouraged to talk with his/her supervisor. The officer then forwards the completed COER to his/her assigned Reviewing Official. The Reviewing Official then forwards the completed COER back to the officer. The Manual COER forms are then submitted to OCCO for inclusion into the officer's electronic Official Personnel Folder (eOPF) through the officer's Commissioned Corps Liaison (Liaison) (see list at <http://dcp.psc.gov>, click on "About Us."). Fax copies will not be accepted.

The Rater may initiate a COER on the prescribed Manual COER forms if the officer is physically or medically unable to do so, or if the officer has not transmitted the required electronic Annual COER by the required due date. The Rater must not include any personal information related to an officer's situation or condition that prevented the officer from starting the COER, other than the reasons related to insubordination. If the officer refuses to sign the COER, the Rater must also document the refusal and forward the COER to the Reviewing Official. Upon completion of the COER, the forms are then submitted to OCCO for inclusion into the officer's electronic eOPF through the officer's Liaison. Fax copies will not be accepted.

Narrative Evaluation consists of only one performance evaluation element, "Overall Job Performance." The Narrative Evaluation is typically used when the Rater has supervised the officer for less than 6 months, or if the Rater believes that a complete performance appraisal is premature or inappropriate. On the electronic Annual COER, the Rater is only allowed to score the overall job performance as "Satisfactory" or "Unsatisfactory." On the Manual COER forms, only Element 18 can be marked. A "Satisfactory" rating corresponds to a score of "C"; an "Unsatisfactory" rating corresponds to a score of "A". A "C" score does not negatively reflect on an officer's performance nor does it detract from an officer's promotion potential.

Performance management plan/contract is an organizational measurement tool used to evaluate the efficiency, effectiveness, and performance of individuals and groups. Performance plans/contracts are designed to improve individual, team, and organizational efficiency and effectiveness as related to the organizational mission.

The **Rater** establishes performance expectations, assigns work, prioritizes tasks, administers personnel matters, and is responsible for evaluating the officer's performance of duties. The Rater evaluates the officer's performance of duties using the Annual COER.

For the Annual COER rating period, the Rater is the officer's immediate supervisor on the first Wednesday of October, regardless of the time supervised. If the officer is detailed outside of the Department of Human Services (HHS), the Memorandum of Agreement (MOA) or Memorandum of Understanding (MOU) detailing the officer will designate the Rater. If the Rater is not designated by the MOA/MOU, the Federal Supervisor named in the MOA/MOU is designated as the Rater.

A **Rebuttal** is a narrative document and pertinent documentation rebutting COER ratings, comments within Attachment 2, and Reviewing Official comments. The Rebuttal applies to all COER types. The Rebuttal must have the officer's name, rank, and serial number on the top of each page. The officer is encouraged to keep the number of pages submitted to less than five pages. The Rebuttal is submitted to OCCO for inclusion into the officer's eOPF through the officer's Liaison. The officer and Liaison must sign the Rebuttal, or it will not be processed. Fax copies will not be accepted.

The Liaison will provide a copy of the Rebuttal to the officer's Rater and Reviewing Official. The Rater may refute the Rebuttal by submitting comments and documentation to OCCO through the officer's Liaison.

The **Reviewing Official (RO)** is typically an official with review and approval authority at one level higher than the Rater, unless otherwise specified in the MOA or MOU detailing the officer outside of an HHS Operating Division (OPDIV) or Staff Division (STAFFDIV). The RO should have unique operational knowledge and understanding of the officer's assigned duties and performance expectations. In the event an RO is not identified, the Liaison may act as the RO.

A **Transfer COER** is an optional COER initiated by the officer. The Transfer COER is completed when the officer transfers to a new assignment, or if the officer's Rater transfers or retires. The officer may complete a Transfer COER in lieu of completing an Annual COER only if the officer transfers to a new assignment after 1 July but before the release date of the Annual COER. The Rater and Reviewing Official of the Transfer COER shall be from the officer's previous assignment. The Transfer COER must be completed on the prescribed Manual COER forms and submitted to OCCO through the officer's previous Liaison. If an officer does not complete a Transfer COER, the officer's new Rater then becomes the Rater for the Annual COER rating period.