

**U.S. IMMIGRATION AND CUSTOMS ENFORCEMENT
ENFORCEMENT AND REMOVAL OPERATIONS
ICE HEALTH SERVICE CORPS**

MIDTERM PERFORMANCE REVIEW FOR UNIFORMED SERVICE

**IHSC Directive: 01-45
ERO Directive Number:11800.4
Federal Enterprise Architecture Number: 306-112-002b
Effective Date: April 29, 2020**

By Order of the Assistant Director
Dr. Stewart D. Smith, DHSc, FACHE STEWART D SMITH

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Date: 2020.04.29 11:29:12 -04'00'

1. **PURPOSE:** The purpose of this issuance is to set forth policy and procedures for midterm performance review for uniformed service.

2. **APPLICABILITY:** This directive applies to all U.S. Public Health Service (PHS) Commissioned Corps officers detailed to the U.S. Immigration and Customs Enforcement (ICE) Health Service Corps (IHSC), their supervisors, and collaborators.

3. **AUTHORITIES AND REFERENCES:**

3-1. Memorandum of Agreement between the Department of Homeland Security and the U.S. Department of Health and Human Services U.S. Public Health Service.

3-2. Electronic Commissioned Corps Issuance System (eCCIS). Book: 3, Chapter: 5, Section 1, Instruction: 01 – Effectiveness Report.

3-3. eCCIS: Book: 8, Chapter: 1, Section 1, Instruction: 14 – Change in Rating Period for COER.

3-4. eCCIS. Book: 8, Chapter: 1, Section 1, Instruction: 44 – Annual COER.

4. **POLICY**

4-1. IHSC Officer Midterm Feedback and Effectiveness Report reviews the ratee's performance at the midterm period with the rater. As applicable, for positions requiring collaborator input, the IHSC Commissioned Officers' Effectiveness Report (COER) Supplemental Form reviews the ratee's performance at the midterm period with the collaborator. The midterm evaluation period begins October 1st and ends March 31st.

- 4-2.** All ratees must complete an IHSC Officer Midterm Feedback and Effectiveness Report except when:
 - 4-2.1** Ratee is called to active duty on or after January 1 of the midyear cycle;
 - 4-2.2** Ratee or rater transferred on or after January 1 of the midyear cycle;
 - 4-2.3** Ratee retires prior to July 1 of the COER cycle; or
 - 4-2.4** Ratee is a Junior and Senior Commissioned Officer Student Training and Extern Program (COSTEP) participant.
- 4-3.** As applicable, for positions requiring collaboration, all ratees must complete an IHSC COER Supplemental Form except when:
 - 4-3.1** Ratee is called to active duty on or after January 1 of the midyear cycle;
 - 4-3.2** Ratee or collaborator transferred on or after January 1 of the midyear cycle;
 - 4-3.3** Ratee retires prior to July 1 of the Commissioned Officers' Effectiveness Report (COER) cycle; or
 - 4-3.4** Ratee is a Junior and Senior Commissioned Officer Student Training and Extern Program (COSTEP) participant.
- 4-4.** Performance review rating system.
 - 4-4.1** The rating system ranges from 1 to 7 and includes four performance categories: unsatisfactory, adequate, effective, and exceptional.
 - 4-4.1.a** 1 = unsatisfactory.
 - 4-4.1.b** 2 to 3 = adequate.
 - 4-4.1.c** 4 to 5 = effective.
 - 4-4.1.d** 6 to 7 = exceptional.
 - 4-4.2** The rater must provide written feedback for all evaluations. Written justification must correspond with the score. The standard expectations which the rater must consider for each performance category are stated in the Midterm Feedback and Effectiveness report form.

4-4.3 Collaborators must provide written input to inform evaluations for positions that require collaboration. Written justification must correspond with the score.

4-5. Performance Review Expectations

4-5.1 Performance evaluation is an ongoing process. At a minimum, a rater must formally evaluate a ratee's performance twice per year: IHSC Officer Midterm Feedback and Effectiveness Report and the annual COER.

4-5.2 Discussions about performance discrepancies and accomplishments are not limited to midterm and annual performance reviews. Raters may address performance discrepancies and accomplishments as they occur; and, if necessary, provide counseling.

4-5.3 In October, the rater and ratee discuss the ratee's performance expectations for the new performance appraisal period.

4-5.4 In April, the rater and ratee use the IHSC Officer Midterm Feedback and Effectiveness Report to evaluate the ratee's performance. As applicable, for positions requiring collaboration, the ratee, rater, and collaborator use the IHSC COER Supplemental Form to evaluate the ratee's performance.

4-5.5 If a review disagreement occurs, the rater must notify the reviewing official. The reviewing officer provides mediation regarding the review.

4-5.6 Performance evaluations remain in the supervisory work folder. Staff must not submit midterm performance evaluations to Commissioned Corps Headquarters.

5. Responsibilities

5-1. Ratee

5-1.1 Reviews the current IHSC Rater/Reviewer Table and identifies their rater.

5-1.2 Initiates the IHSC Officer Midterm Feedback and Effectiveness Report.

5-1.3 Submits the IHSC Officer Midterm Feedback and Effectiveness Report to the rater within the specified time frame.

5-1.4 Reviews the performance expectations of his or her duties at the beginning of the annual evaluation period in October.

5-2. Rater

5-2.1 Ensures their assigned ratee(s) receive or can access the IHSC Officer Midterm Feedback and Effectiveness Report.

5-2.2 Requests all ratees under rater's supervision to submit the IHSC Officer Midterm Feedback and Effectiveness Report with ratee input within the specified time frame.

5-2.3 Objectively evaluates the ratee's performance using the full scale of the instrument for the evaluated period, excluding periods of approved absence or due to illness.

5-2.4 Communicates performance issues relative to the IHSC Officer Midterm Feedback and Effectiveness Report with the ratee throughout the year.

5-2.5 Uses documented performance reviews to prepare the IHSC Officer Midterm Feedback and Effectiveness Report.

5-2.6 Reviews the current IHSC Rater/Reviewer Table.

5-2.7 Reviews any comments submitted by the ratee.

5-2.8 Reviews position descriptions for accuracy.

5-2.9 Completes the IHSC Officer Midterm Feedback and Effectiveness Report within the specified time frame.

5-2.10 Notifies the collaborator to complete the COER Supplemental Form for disciplines that require collaboration, as noted in the Rater/Reviewer Table.

5-2.11 Stores employee performance information, and other considered performance-related data, in a supervisory work folder. Stores supervisory work folder(s) in a secure location to prevent unauthorized disclosure.

5-2.12 Destroys supervisory work folder(s) when the employee leaves the organization.

5-3. Collaborator

5-3.1 Provides input to the IHSC COER Supplemental Form and submits input to rater within the specified time frame.

5-3.2 Objectively evaluates the ratee's performance using the full scale of the instrument for the evaluative period, excluding periods of approved absences or extensive illness.

5-3.3 Reviews the current IHSC Rater/Reviewer Table.

5-3.4 Reviews any comments submitted by the ratee.

5-4. IHSC

5-4.1 Provides specific time frames to complete IHSC Officer Midterm Feedback and Effectiveness Report and IHSC COER Supplemental Form.

5-5. IHSC Executive Governing Board

5-5.1 Approves the IHSC Rater/Reviewer Table.

6. PROCEDURES

6-1. Detailed procedures related to this directive are found in IHSC 01-45 G-1, *Midterm Counseling Guide*.

7. HISTORICAL NOTES

7-1. This directive replaces Operations Memorandum 15-004, effective April 1, 2015.

8. DEFINITIONS

8-1. **Collaborator** is the individual who provides input, as noted in the Rater/Reviewer Table, on the IHSC COER Supplemental Form.

8-2. **Commissioned Officers' Effectiveness Report (COER)** is the standard appraisal form used for documenting the performance of a PHS officer's (ratee) assignments, duties, and proficiencies. The document reflects the ratee's performance only during the current rating period.

8-3. **IHSC Executive Governing Board** is a collaborative decision-making body that advises the Assistant Director on all IHSC strategic, administrative, and operational matters. The EGB comprises IHSC senior leaders who oversee and ensure IHSC operates in a safe and efficient manner; sustain the IHSC health care system by providing crucial elements that are effective and within regulatory standards and statutory requirements; and ensure the agency has the critical capabilities necessary to achieve its objectives and obligations.

- 8-4. **IHSC COER Supplemental Form** is the standard appraisal form used for documenting the performance of a PHS officer's (ratee) assignments, duties, and proficiencies by a collaborator. The document reflects the ratee's performance only during the current rating period.
- 8-5. **IHSC Officer Midterm Feedback and Effectiveness Report** is the standard IHSC appraisal form used for documenting the performance of a ratee's assignments, duties, and proficiencies midyear (i.e., six months). The information provided in this report reflects evaluation of the ratee's performance only during the current rating period.
- 8-6. **IHSC Rater/Reviewer Table**. A table identifying IHSC positions, a position's rater, and a position's reviewing official. The IHSC Executive Governing Board reviews and approves the table for each fiscal year. The IHSC Executive Governing Board, through IHSC Personnel Unit (IPU), publishes and stores the table(s) in the IPU Document library.
- 8-7. **Ratee**. PHS officer whose performance is evaluated on the IHSC Officer Midterm Feedback and Effectiveness Report.
- 8-8. **Rater**. PHS officer's supervisor.
- 8-9. **Reviewing Official**. Individual identified as the reviewer official per the IHSC Rater/Reviewer Table.
- 8-10. **Supervisory Work Folder**. Supervisors maintain a work folder on each employee. Documents typically contained in the work folder include a copy of the current performance work plan, notes related to discussions of employee performance, and other data that can be considered performance-related such as informal notes or comments related to employee performance, production/activities/work records or reports, work samples, and quality control records or similar records used to track employee performance during the rating period. Supervisors must store work folders in a secure location to prevent unauthorized disclosure. Work folders are destroyed when the employee leaves the organization.

9. **APPLICABLE STANDARDS:** None

10. **RECORDKEEPING:**

- 10-1. Ratees may keep copies of performance reviews.
- 10-2. Raters maintain a supervisory work folder on each employee. Folder contains performance reviews and other performance-related documents. Supervisors must store work folders in a secure location to prevent unauthorized disclosure. Work folders are destroyed when the employee leaves the organization.

10-3. IPU does not store the IHSC Office Midterm Feedback and Effectiveness Report, and as applicable, the IHSC COER Supplemental Form in a ratee's personnel file.

11. NO PRIVATE RIGHT STATEMENT: This directive is an internal directive statement of IHSC. It is not intended to, and does not create any rights, privileges, or benefits, substantive or procedural, enforceable against the United States; its departments, agencies, or other entities; its officers or employees; or any other person.

12. POINT OF CONTACT

12-1. Ratees, raters, collaborators, and reviewing officials may address questions or comments about this directive to their assigned IHSC Personnel Unit personnel management officer.