I. POLICY

The Illinois State Police (ISP) will build and maintain a climate conducive to strategically-focused high productivity and performance, personal development, and employee satisfaction by providing sworn employees with a clear statement of expectations, on-going coaching, and honest, accurate feedback. The ISP further strives to ensure rating evaluation sessions are conducted in a consistent fashion that is objective, fair, and transparent.

II. DEFINITIONS

II.A. Career Counseling - counseling that addresses the future goals of an employee regarding such topics as advancement, specialization, or training appropriate for the employee's position as outlined in the Career Development Resource Guide.

II.B. Career Development Resource Guide, form ISP 1-164 (available in the ISP Document Library - a guide that lists programs, courses, training, and resources available to enhance an ISP employee's career development and is used by supervisors during employee ratings and/or evaluations. This form will also be available within the SPEAR365 system.

II.C. Facility Employee File - work records maintained at the employee's work facility. Refer to ISP Directive PER-061, "Employee Files," for additional information.

II.D. Non-ISP supervised position - a full-time position under the administrative and/or operational direction of a non-ISP entity when so designated by the Director. The incumbent may be on the ISP payroll, subject to an intergovernmental agreement, or on a leave of absence. (See ISP Directive PER-048, "Non-Illinois State Police Supervised/Detached Service Position.")

II.E. Strategic Performance Evaluation Applications for Results (SPEAR365) – SPEAR365 is an on-line web application designed to improve the ISP Integrated Strategic Performance process. The SPEAR365 system will ensure performance evaluations are conducted in a consistent fashion that is objective, fair, and transparent.

II.F. Supervisor - for purposes of completing the Integrated Strategic Performance instruments, "supervisors" are limited to ISP officers with the permanent rank of Master Sergeant, and above, and ISP code supervisors approved by the Director.

II.F.1. Supervisors must have been in the supervisory role for at least two months immediately prior to the end of the evaluation period. This stipulation ensures each employee is evaluated by a supervisor in the direct chain-of-command who is qualified to evaluate the employee based upon knowledge of the employee's performance. The Director may waive the two-month rule under special circumstances.

II.F.2. The employee's previous supervisor will complete the evaluation when an officer has had a supervisor for less than two months immediately prior to the end of his/her evaluation period.

II.G. Work Unit Supervisor - the supervisor responsible for the control and performance of all personnel assigned to the specific work unit.

III. RESPONSIBILITIES

III.A. The Office of Human Resources (OHR) is responsible for administering the Integrated Strategic Performance process, including:

III.A.1. Maintaining within SPEAR365, completed summary sheets for:
III.A.1.a. Individual Goals and Performance Objectives
III.A.1.b. Job Performance Evaluations
III.A.1.c. Promotional Skills Evaluation


III.A.3. Acting as the reviewing authority for challenges involving supervisor/employee selections and assignments and any operational problems that arise during the evaluation period.
   III.A.3.a. The OHR will make recommendations to the appropriate Deputy Director on all such challenges.
   III.A.3.b. The Deputy Director will review these recommendations and issue the final decision.

III.A.4. Receiving any comments or questions pertaining to the promotional evaluation process, which shall be forwarded through the chain-of-command to:

   Office of Human Resources
   Office of the Director
   801 South Seventh Street, Suite 700-A
   Springfield, Illinois 62703-2487

III.B. The ISP Academy is responsible for conducting training in the Integrated Strategic Performance Rating System and use of the form ISP 1-164.

III.C. Each employee is responsible for actively participating in the Integrated Strategic Performance process with his/her immediate supervisor by:
   III.C.1. Completing training through SPEAR365 for the Integrated Strategic Performance Rating process and use of the SPEAR365 system.
   III.C.3. Discussing the content of the documents with their supervisor.
   III.C.4. Offering suggestions for individual goals and performance objectives development.
   III.C.5. Sharing in open dialogue.

III.D. The employee’s supervisor is responsible for:
   III.D.1. The timely preparation of the following material within SPEAR365, as needed:
      III.D.1.a. Individual Goals and Performance Objectives Planning and Review Process for each employee. New objectives will be established for a transferring or promoted employee within 45 days of the transfer or promotion.
   III.D.2. Providing career development counseling to employees during annual ratings using the ISP 1-164, or equivalent, within SPEAR365.
   III.D.3. Gathering pertinent documentation and consulting with other supervisors, etc.
   III.D.4. Preparing and discussing the contents of the completed forms with the evaluated employee.
   III.D.5. Forw arding within SPEAR365 the completed summary sheets and the completed ISP 1-164 to the next higher-level supervisor.
III.D.6. Alerting any acting supervisor about which evaluations, interim and/or final, are due during the supervisor's absence.

III.E. The employee's next higher-level supervisor is responsible for:

III.E.1. Reviewing the completed summary sheets and the ISP 1-164 to ensure accuracy and completeness.

III.E.2. Forwarding the completed summary sheets and the ISP 1-164 to the work unit supervisor (if different from the next higher level supervisor).

III.F. The work unit supervisor is responsible for:

III.F.1. Reviewing individual goals and performance objectives established for each employee to ensure they are reasonable, attainable, and directly correlate to performing the mission and achieving the Agency goals in the ISP Strategic Plan.

III.F.2. Reviewing the final job performance evaluation(s) and/or promotional skills summary sheet(s) to ensure accountability of the supervisor(s) and the performance level of unit employees.

III.F.3. Ensuring all supervisors who have officers under their command receive Integrated Strategic Performance Evaluation Training.

III.G. Each division Chief of Staff, or designee, will serve as the division SPEAR365 Liaison. The Division SPEAR365 Liaison is responsible for:

III.G.1. Running reports from SPEAR365 for work unit commanders.

III.G.2. Ensuring SPEAR365 timelines are followed and notify work unit commanders of delinquencies.


IV. PROCEDURES

IV.A. Individual Goals and Performance Objectives Planning and Review Process

IV.A.1. Annually, between April 1 and May 31, the supervisor and employee will establish three to five objectives that coincide with performing the mission and achieving goals of the Department, Division, and work unit.

IV.A.2. Individual performance objectives and standards of performance should be prepared only after the supervisor and employee each have spent time in analysis and planning.

IV.A.2.a. The parties should be prepared to discuss all applicable parts of the My Goals section of SPEAR365, and the employee will enter their individual goals and performance objectives.

IV.A.2.b. The process is based on shared communication between the supervisor and employee during which:

IV.A.2.b.1) Standards and expectations are clarified
IV.A.2.b.2) Performance is evaluated
IV.A.2.b.3) Objectives for the next rating period are mutually established

IV.A.2.c. Individual Goals and Performance Objectives will be incorporated into the Job Performance Evaluation by SPEAR365.

IV.A.2.d. Probationary Troopers will not complete objective setting forms until their Field Training Program is completed.

IV.A.2.e. A review will be completed 90 days or more prior to the annual evaluation when the employee's supervisor deems the employee's performance to be
unsatisfactory. The supervisor will notify the employee in writing and provide written objectives to improve performance.

IV.B. Job Performance and Promotional Skills Evaluations

IV.B.1. The evaluation period for Job Performance and Promotional Skills will be from April 1 through March 31. An evaluation of job performance for the previous evaluation period will be completed for all employees annually, during the month of April. The Promotional Skills Evaluation for all employees who are interested in promotional consideration will be completed annually during the Job Performance Evaluation. The promotional skills evaluation focuses on the major skills and abilities required to attain the next rank. The ISP SPEAR365 system will be used for performance and promotional evaluations.

IV.B.1.a. OHR will forward a list of Troopers, Special Agents, Sergeants, Master Sergeants, and Lieutenants to be evaluated to the work unit coordinator.

IV.B.1.b. Work unit commanders will coordinate with OHR and the Division SPEAR365 Liaison to ensure all supervisors and subordinates are properly assigned.

IV.B.1.c. Using the ISP 1-164, or equivalent in SPEAR365, employees will be counseled on such career development topics as advancement, specialization, or training appropriate for the employee’s position.

IV.B.2. The Job Performance Evaluation and the Promotional Skills Evaluation will be conducted simultaneously within SPEAR365. Employees electing not to participate in the promotional process will still participate in the Job Performance Evaluation. Employees participating in the promotional process must meet the eligibility requirements outlined by the ISP Merit Board.

IV.B.3. Employees will be evaluated by their supervisor.

IV.B.3.a. In position(s) where the supervisor is not an employee of the ISP, the employee will be evaluated by the first ISP supervisor of equal or higher rank in his/her respective chain-of-command.

IV.B.3.b. The non-ISP supervisor and the ISP supervisor will jointly participate in evaluating the employee.

IV.B.3.c. Some variations may arise due to shift rotation and/or special assignment where an employee may work for a supervisor in more than one chain-of-command. In such cases, both supervisors will jointly participate in evaluating the employee.

IV.B.3.d. Transfers or temporary assignments affect supervisor assignments. Any employee who has been transferred or on temporary duty assignment for:

IV.B.3.d.1) Three or more months prior to the end of the evaluation period will be evaluated by his/her temporary duty assignment chain-of-command.

IV.B.3.d.2) Less than three months prior to the end of the evaluation period will be evaluated by his/her previous chain-of-command.

IV.B.3.e. Officers serving in a temporary duty assignment as a Cadet or Recruit Class Coordinator, Counselor, or T.A.C. Officer will not be rated by the ISP Academy. These officers will be rated before by their permanent work location supervisor and will appear on their permanent work location list.

IV.B.3.f. Officers serving in a temporary duty assignment for cross-training purposes only will not be rated by their temporary duty assignment chain-of-command. These officers will be rated before by their permanent work location supervisor and will appear on their permanent work location list. All other officers serving in a temporary duty assignment will be rated by their temporary duty chain-of-command and will appear on their permanent work location list.

IV.B.3.g. If an employee believes the selected supervisor in the direct chain-of-command should not evaluate him/her, the employee will notify the OHR using the Challenge of Rater form, ISP 2-389a, and forward the form through his/her next level supervisor in the chain-of-command. The OHR will:
IV.B.3.g.1) Act as the reviewing authority for challenges involving supervisor/employee rater challenges.
IV.B.3.g.2) Make recommendations to the appropriate Deputy Director on all such challenges.
IV.B.3.g.3) The Deputy Director will review these recommendations and issue the final decision within ten working days of receipt.

IV.B.4. At any time during the evaluation period, an interim review may be completed between the employee and supervisor to review the standards of performance, determine progress, provide feedback, and revise objectives.

IV.B.4.a. Additional reviews may be initiated by either the employee or supervisor as needed.
IV.B.4.b. Any revisions in objectives will be indicated on both the employee’s and the supervisor’s copy of the evaluation forms.
IV.B.4.c. A review will be completed 90 days or more prior to the annual evaluation when the employee’s supervisor deems the employee’s performance to be unsatisfactory. The supervisor will notify the employee in writing and provide written objectives to improve performance.

IV.B.5. An interim evaluation report may also be prepared for the affected employee whenever the following transactions occur:

IV.B.5.a. Geographical transfer
IV.B.5.b. Demotion
IV.B.5.c. Discharge
IV.B.5.d. Layoff
IV.B.5.e. Leave of absence

IV.B.6. Supervisors will evaluate employees within the SPEAR365 system using evaluation dimensions based upon the employee’s rank and duty assignment.

IV.B.6.a. Each dimension will contain specific job-related scoring criteria.
IV.B.6.b. Each dimension may be weighted differently for calculating final evaluation scores.

IV.B.6.b.1) Dimensions may be weighted differently for the Job Performance Evaluation and the Promotional Skills Evaluation.
IV.B.6.b.2) Dimensions may be used to evaluate only job performance or only to evaluate promotional skills. The promotional skills dimensions focus on the major skills and abilities required to attain the next rank.
IV.B.6.b.3) The SPEAR365 system will clearly identify the weighted value of each evaluation dimension for both Job Performance and Promotional Skills Evaluations.

IV.B.7. The evaluation will be conducted from the bottom up (lowest to highest rank).

IV.B.7.a. Supervisors will be evaluated after the employee evaluation process is complete.
IV.B.7.b. The supervisor’s rating will include the fairness and impartiality of the ratings given to subordinates, and on their ability to carry out the rater’s role in the evaluation process.

IV.B.8. Employees will complete a self-assessment within SPEAR365 for each evaluation dimension. Employees will provide a narrative and will upload supporting documentation into SPEAR365 to justify their self-assessment.

IV.B.9. The content of the evaluation will be reviewed by the supervisor and discussed with the employee.
IV.B.10. The supervisor will complete the employee evaluation in SPEAR365. The supervisor will provide a narrative and may upload additional supporting documentation to justify the evaluation scores.

IV.B.10.a. Supervisor’s comments and justification will be provided in addition to the employee’s narrative for all evaluation dimensions.

IV.B.10.a.1) If appropriate, the details of a performance development or improvement plan may be included.
IV.B.10.a.2) Suggestions for improvement that would serve as a guide for those who wish to perform at an increased level may also be included.

IV.B.10.b. Supervisor’s comments are used to support and justify recommendations for promotions, demotions, discharges, transfers, and suspensions.

IV.B.10.b.1) Provide information regarding specific instances of above standard performance including times and dates of exceptional work performance.
IV.B.10.b.2) Provide a documented history of previous counseling warnings, reprimands, and incident reports including times and dates. Additional written documentation regarding substandard performance will lend support to the case, i.e., violation of directives, rules, etc.

IV.B.11. Each employee who declines to participate in the promotional process and participates in only the Job Performance evaluation will be furnished a copy of the evaluation in SPEAR365 at the time it is completed by his/her supervisor.

IV.B.11.a. Employees may make comments prior to approving the evaluation in SPEAR365. Employee comments are not required, but the employee may wish to make comments on such matters as:

IV.B.11.a.1) Statements in the document that seem ambiguous or have led to a disagreement between the employee and the supervisor.
IV.B.11.a.2) The evaluation meeting and its positive and negative aspects.
IV.B.11.a.3) Areas of disagreement in the general evaluation of the employee’s performance that are still unresolved.

IV.B.11.b. A copy of the completed summary sheet, along with the completed ISP 1-164, will be retained in SPEAR365 by the OHR.

IV.B.12. Each employee who participates in the promotional process will have the results of Job Performance and Promotional Skills evaluations released to them in SPEAR365 by his/her supervisor upon conclusion of the facilitated sworn rating session.

IV.B.12.a. Employees shall review the evaluation in SPEAR365, including:

IV.B.12.a.1) Type of Evaluation Results being released
IV.B.12.a.2) Total Score(s) for Evaluation
IV.B.12.a.3) Results for each evaluation dimension

IV.B.12.a.3a) Score for each dimension
IV.B.12.a.3b) Dimension weights
IV.B.12.a.3c) Additional dimension information (Ratee and Rater Summary Bullet Points, Detailed Justifications, Supporting Documentation, and adjustments from Collaboration Session when applicable)

IV.B.12.a.4) Approve or Challenge evaluation results
IV.B.12.b. Evaluation Challenge Procedure

IV.B.12.b.1) Facilitator receives the Evaluation Challenge from the ratee via SPEAR365.

IV.B.12.b.2) Facilitator relays Challenge information to the employee's work unit commander.

IV.B.12.b.3) Work unit commander confers with rater to gather the facts.

IV.B.12.b.4) Work unit commander writes a summary memo to the Deputy Director which includes his/her recommendation. (A copy of the summary memo should be attached within SPEAR365 by the facilitator upon Deputy Director's final determination).

IV.B.12.b.5) Work unit commander forwards the summary memo to the Major/Assistant Deputy Director.

IV.B.12.b.6) Major/Assistant Deputy Director reviews the summary memo and makes a recommendation, or the Major/Assistant Deputy Director could ask the work unit commander for additional information before making a recommendation.

IV.B.12.b.7) Major/Assistant Deputy Director forwards recommendation along with the work unit commander's recommendation to the Deputy Director no later than July 15.

IV.B.12.b.8) The Deputy Director makes the final decision based on the preponderance of the evidence as the standard of proof and communicates that to the respective Collaboration Session Facilitator and Ratee. The Facilitator will advise the work unit commander and rater of the decision.

IV.B.12.b.9) By August 15, a copy of the Deputy Director's decision must be attached to the challenged dimensions within SPEAR365 via the respective Collaboration Session by that session's Facilitator as well as capturing any adjustments and justifications necessary within SPEAR365.

NOTE: For Target Exempt Collaboration Sessions, recommendation is to be made by Division Deputy Director with final determination to be made by First Deputy Director (FDD)/Director's Office.

IV.B.13. Upon conclusion of all rating sessions and challenges, the Division SPEAR365 Liaison will forward each work unit commander within the Division a report detailing the final evaluation scores for personnel within the work unit.

IV.C. Sworn Rating Sessions

IV.C.1. Rating Sessions will be conducted based upon the employee's target promotional list. The OHR will distribute rating session dates, times, and location information to all supervisors.

IV.C.2. A command officer holding the rank of Major or higher will be assigned to facilitate the rating session.

IV.C.3. To ensure rating evaluation sessions are conducted in a consistent fashion that is objective, fair, and transparent, ISP supervisors participating in rating evaluation sessions of sworn ISP personnel will adhere to the guidelines in Addendum 1 of this directive.

IV.D. Records Retention

IV.D.1. Job Performance and Promotional Skills Evaluations and ISP 1-164s will be maintained in SPEAR365 for a total of three years. The Job Performance and Promotional Skills Evaluations may be kept longer if litigation is pending.

IV.D.2. The summary sheets for Job Performance and Promotional Skills Evaluations will be maintained in SPEAR365 for one year at which time they will be transferred to the personnel files at OHR. The summary sheets will be kept indefinitely by OHR.
Indicates new or revised items.

-End of Directive-
I. The Illinois State Police (ISP) will enhance the sworn selection process by ensuring rating evaluation collaboration sessions are conducted in a consistent fashion that is objective, fair, and transparent.

II. The rating collaboration session amongst supervisory peers extends the individual supervisor performance evaluation to a group setting in order to ensure similar standards, in alignment with the scoring dimensions, are applied to all employees. The session also ensures ratings are supported by evidence material and therefore, assists in identifying and correcting potential rating biases or errors.

III. ISP supervisors participating in rating evaluation collaboration sessions of sworn ISP personnel will adhere to the following guidelines:

   III.A. Facilitators will communicate with raters well in advance of the rating session to ensure timelines are being followed and expectations of the rating process are clear. The facilitator will ensure the ground rules are established and the raters are accountable to the ground rules.

   III.B. The Facilitator will ensure that the raters are aware that if they are listed as a rater and will not be attending the session, a Certification of Acknowledgment of Ratings Presenter Proxy (ISP 2-652) is required to be submitted through the chain-of-command (to the respective Region) as soon as possible for approval by the respective Deputy Director.

   III.C. All raters will view the Objectives Evaluation video and associated ratings guidelines documents annually, or they will not be allowed to participate. The video and associated documents are located inside the training materials link within the Strategic Performance Evaluation Applications for Results (SPEAR365) application.

   III.D. The SPEAR365 application allows for remote rating processes. Individual facilitators will assess the upcoming rating collaboration session, and consideration should be given to the fact that face-to-face evaluation collaboration sessions allow for enhanced communication.

   III.E. The facilitator will ensure the discussion during the rating process is focused and efficient. Should the facilitators find rating collaboration sessions getting side-tracked, they are expected to bring the session back on center.

   III.F. The facilitator will ensure communication and input is received from the evaluation team (supervisor raters).

   III.G. The facilitator will administer the rating collaboration session. If the group cannot come to a consensus, the facilitator will evaluate the facts for the respective dimension and serve as the final opinion.

   III.H. Raters will approach the rating collaboration session as a management team. The goal is to establish consistency in determining the subordinate’s strengths and areas of improvement based on demonstrated behaviors and provide feedback to the subordinate to build skills that are consistent with the skills applicable at the next rank of said employee.

   III.I. Facilitators and other participating raters will ensure that extreme outlier evaluation scores are discussed at the rating collaboration session. It is the duty of all raters to input discussion indicators into the SPEAR365 system prior to the rating collaboration session to discuss outliers or challenges.

   III.J. Raters will recognize their performance and conduct within the rating collaboration session directly reflect their performance as a supervisor. Raters arriving with insufficient material, inaccurate categorization of material, and rating scores that are NOT in alignment with work product will be clearly exposed in
SPEAR365 sessions due to the transparency of the process. Raters will be appropriately prepared and accurate in their evaluations.

III.K. Raters will arrive to rating collaboration sessions prepared. The rating process allows full transparency for all raters to pre-screen and flag discussion points for respective dimensions PRIOR to the evaluation collaboration session.

III.L. Raters will ensure adherence to the dimension scoring criteria outlined in SPEAR365 for each respective category. It is the responsibility of those being rated, as well as the rater, to ensure that submitted examples fall within the parameters of each dimension.

III.M. Prior to the ratings collaboration session, evaluators will be aware of the concepts of unconscious bias and their potential impacts on a ratings collaboration session. The fact that a rater is self-aware, safeguards the integrity of the evaluation process. All raters are required to view the Objective Evaluation training video which contains information pertaining to unconscious biases annually.

III.N. Raters will listen actively. Listening actively will shed light on understanding of different colleague perspectives. Any anecdotal evidence provided must be supported by evidence.

III.O. The spirit of the rating process does not allow for the comparison of individuals. Raters will hold true to the ratings dimensions for each respective individual, focusing on the individual dimension and the examples provided to ensure integrity in the ratings process.

III.P. Evaluators will keep material current to the applicable rating timeframe. If the action did not occur during the rating period, it cannot be considered.

III.Q. While keeping an open mind, raters will challenge their colleagues about their expectation levels and their interpretations of employee performance.

III.R. Raters will focus on fairness.

III.S. Information about specific employee performance can be shared with the supervisory team so that expectations and ratings can be applied consistently and fairly. Supervisors will share only what is necessary. All participants are required to maintain confidentiality. Information will not be shared outside of the rating discussions. Any changes in scores will be documented to ensure transparency.

III.T. A rating collaboration session will be postponed if it is determined an evaluator cannot attend, is not prepared, or other circumstances necessitate the postponement as deemed necessary by the facilitator.

IV. Attendance at rating collaboration sessions is restricted to the facilitator and evaluators. Acting supervisors who are not eligible to evaluate but are directly supervising employees being evaluated are authorized to attend. Acting supervisors are only to speak when called upon to provide insight about the respective employee(s) they are supervising. The work unit Commander is authorized to attend as well as representatives from Senior Command Staff, EEO, Ethics Office, Labor, and ISP Legal, EEO, Ethics Officer, and Labor will serve as observers during sample rating collaboration sessions and report back to the Office of the Director (OOD) after completion. Any additional requests must be forwarded through the chain-of-command for authorization by the OOD. An Acting Supervisor is NOT authorized to attend a rating collaboration session in which he or she is being rated in.

-End of Addendum-