

ILLINOIS STATE POLICE DIRECTIVE PER-005, INTEGRATED STRATEGIC PERFORMANCE

RESCINDS: PER-005, 2013-051, revised 05-21-2013.	REVISED: 04-14-2017 2017-044
RELATED DOCUMENTS: PER-048, PER-061, PER-102	RELATED CALEA STANDARDS: 33.8.1, 33.8.3, 34.1.1, 34.1.2, 34.1.3, 35.1.1, 35.1.2, 35.1.4 thru 35.1.8

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.

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 at <http://maphome/documentlibrary/>) - 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.
- 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. 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.E.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.E.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.F. 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.
- III.B. The Public Safety Shared Services Center (PSSSC) is responsible for:
 - III.B.1. Maintaining completed summary sheets for:
 - III.B.1.a. Job Performance (Part II)
 - III.B.1.b. Promotional Skills Evaluation (Part III)
 - III.B.2. Maintaining completed resource guides returned with the Part II Summary Sheet(s)

- III.C. The ISP Academy is responsible for conducting training in the Integrated Strategic Performance Rating System and use of the ISP 1-164.
- III.D. Each employee is responsible for actively participating in the Integrated Strategic Performance process with his/her immediate supervisor by:
 - III.D.1. Discussing the content of the forms
 - III.D.2. Offering suggestions for objectives development
 - III.D.3. Sharing in open dialogue
- III.E. The employee's supervisor is responsible for:
 - III.E.1. The timely preparation of the following forms, as needed:
 - III.E.1.a. Integrated Strategic Performance Part I - Planning and Review Process, form ISP 1-133 (available in the ISP Document Library at <http://maphome/documentlibrary/>), for each employee. New objectives will be established for a transferring or promoted employee within 45 days of the transfer or promotion.
 - III.E.1.b. Integrated Strategic Performance Part II - Job Performance for each employee (the following forms are available in the ISP Document Library at <http://maphome/documentlibrary/>).
 - III.E.1.b.1) ISP 2-410, Part II, Job Performance - Trooper
 - III.E.1.b.2) ISP 2-410a, Part II, Job Performance - Special Agent
 - III.E.1.b.3) ISP 2-410b, Part II, Job Performance - Sergeant
 - III.E.1.b.4) ISP 2-410c, Part II, Job Performance - Master Sergeant
 - III.E.1.b.5) ISP 2-410d, Part II, Job Performance - Lieutenant
 - III.E.1.c. Integrated Strategic Performance Part III - Promotional Skills Evaluation (the following forms are available in the ISP Document Library at <http://maphome/documentlibrary/>).
 - III.E.1.c.1) ISP 2-411 - Special Agent/Trooper to Sergeant; Part III, Promotional Skills Evaluation
 - III.E.1.c.2) ISP 2-411a - Sergeant to Master Sergeant; Part III, Promotional Skills Evaluation
 - III.E.1.c.3) ISP 2-411b - Master Sergeant to Lieutenant; Part III, Promotional Skills Evaluation
 - III.E.1.c.4) ISP 2-411c - Lieutenant to Captain; Part III - Promotional Skills Evaluation
 - III.E.2. Providing career development counseling to employees during annual ratings using the ISP 1-164.
 - III.E.3. Gathering pertinent documentation and consulting with other supervisors, etc.
 - III.E.4. Preparing and discussing the contents of the completed forms with the evaluated employee.
 - III.E.5. Forwarding the completed summary sheets and the completed ISP 1-164 to the next higher level supervisor.
 - III.E.6. Alerting any acting supervisor about which evaluations, interim and/or final, are due during the supervisor's absence.

- III.F. The employee's next higher level supervisor is responsible for:
 - III.F.1. Reviewing the completed summary sheets and the ISP 1-164 to ensure accuracy and completeness.
 - III.F.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.G. The work unit supervisor is responsible for:
 - III.G.1. Reviewing objectives established for each employee to ensure they are reasonable and attainable.
 - III.G.2. Reviewing the final job performance evaluation(s) (Part II forms) and/or promotional skills summary sheet(s) (Part III forms) to ensure accountability of the supervisor(s) and the performance level of unit employees.
 - III.G.3. Providing rater/ratee information to the work unit coordinator for data entry.
 - III.G.4. Forwarding completed summary sheets and the ISP 1-164 to OHR.
 - III.G.5. Ensuring all supervisors who have officers under their command receive Integrated Strategic Performance Evaluation Training.

IV. PROCEDURES

- IV.A. Part I - Performance Planning and Review Process
 - IV.A.1. Annually, the supervisor and employee will establish three to five objectives that coincide with the mission and 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 form ISP 1-133 and jointly initiate a final copy.
 - 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. Probationary Troopers will not complete objective setting forms until their Field Training Program is completed.
 - IV.A.2.d. 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. Part II - Evaluation of Job Performance
 - IV.B.1. An evaluation of job performance for the previous year will be completed for all employees annually, preferably on their anniversary date. If a promotion occurs, the officer's anniversary date will be adjusted to the promotion date and annual evaluations will be completed in conjunction with the new promotion date. Officers serving in Commander, Captain, Lieutenant Colonel/Assistant Deputy Director, Colonel, or First Deputy Director positions are exempt from this requirement as they are subject to evaluation on a daily basis.
 - IV.B.1.a. OHR will forward a list of Troopers, Special Agents, Sergeants and Lieutenants to be evaluated during the month to the work unit coordinator.

- IV.B.1.b. Using the ISP 1-164, employees will be counseled on such career development topics as advancement, specialization, or training appropriate for the employee's position.
- IV.B.1.c. Part II Job Performance Evaluations for Master Sergeants shall be completed by December 31 of the corresponding year of the evaluation.
- IV.B.2. The content of the evaluation will be discussed with the employee. Under no circumstances will an employee be required to sign a blank or incomplete evaluation form.
- IV.B.3. Annual evaluations on the appropriate Part II instrument (see paragraph III.E.1.b.) will be prepared by the supervisor for all employees.
 - IV.B.3.a. Each employee who participates in Part II instrument evaluations will be furnished a copy of the evaluation at the time it is presented by his/her supervisor.
 - IV.B.3.b. A copy of the completed summary sheet (with the work unit commander's signature), along with the completed ISP 1-164, will be forwarded through the chain-of-command to OHR.
 - IV.B.3.c. OHR will forward the completed summary sheet, along with the completed ISP 1-164, to PSSSC.
 - IV.B.3.d. A Job Performance Evaluation for Master Sergeants will be completed and reviewed prior to being given to the employee.
- IV.B.4. At any time during the evaluation period, an interim review should 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. Employee's Comments

Completion of this section is not required, but the employee may wish to make comments on such matters as:

 - IV.B.6.a. Statements in the document that seem ambiguous or have led to a disagreement between the employee and the supervisor.
 - IV.B.6.b. The evaluation meeting and its positive and negative aspects.
 - IV.B.6.c. Areas of disagreement in the general evaluation of the employee's performance that are still unresolved.

IV.B.7. Supervisor's Comments

IV.B.7.a. Supervisor's comments will be provided when employees are rated "Needs Improvement" or "Exceeds Expectations" in their performance.

IV.B.7.a.1) The details of a performance development or improvement plan may be included, if appropriate.

IV.B.7.a.2) Comments supporting a "Meets Expectation" rating may also be included, along with suggestions for improvement that would serve as a guide for those who wish to perform at an "Exceeds Expectations" level.

IV.B.7.b. Supervisor's comments are used to support and justify recommendations for promotions, demotions, discharges, transfers, and suspensions.

IV.B.7.b.1) Provide information regarding specific instances of above standard performance including times and dates of exceptional work performance.

IV.B.7.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.8. Signatures

IV.B.8.a. The employee and higher level personnel should be certain that entries have been made in all applicable parts of the form before signing. No employee or supervisor will sign an incomplete or blank form.

IV.B.8.b. When alterations or additions to the summary sheet are made, the supervisor must discuss them with the employee and return the summary sheet to the employee for approval and initials. The employee will receive a copy of the corrected summary sheet.

IV.B.8.c. Refusal of the employee to sign the summary sheet does not thwart the evaluation. The evaluation will be forwarded with such refusal noted in the "Supervisor's Comments" section.

IV.C. Part III - Promotional Skills Evaluation

IV.C.1. The promotional skills evaluation instrument focuses on the major skills and abilities required to attain the next rank.

IV.C.2. The promotional skills evaluation will be conducted on an annual basis or as required by the ISP Merit Board promotional cycle. Employees:

IV.C.2.a. Must meet the eligibility requirements outlined by the ISP Merit Board

IV.C.2.b. Will be evaluated by their supervisor

IV.C.2.b.1) 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.

IV.C.2.b.2) The non-ISP supervisor and the ISP supervisor will jointly participate in evaluating the employee.

IV.C.3. 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.C.4. Transfers or temporary assignments affect supervisor assignments. Any employee who has been transferred or on temporary duty for:
- IV.C.4.a. Two or more months prior to the end of the evaluation period will be evaluated by his/her temporary duty chain-of-command.
 - IV.C.4.b. Less than two months prior to the end of the evaluation period will be evaluated by his/her previous chain-of-command.
- NOTE:** Officers serving as Cadet Class Counselors will **not** be rated by the ISP Academy but by their permanent work location supervisor.
- NOTE:** Officers serving in a temporary duty assignment for cross-training purposes only will not be rated by their temporary duty chain-of-command, but 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.C.5. 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 (this form is available in the ISP Document Library at <http://maphome/documentlibrary/>), and forward the form through his/her next level supervisor in the chain-of-command.
- IV.C.5.a. The OHR will:
 - IV.C.5.a.1) Act as the reviewing authority for challenges involving supervisor/employee rater challenges.
 - IV.C.5.a.2) Make recommendations to the appropriate Colonel on all such challenges.
 - IV.C.5.a.3) The Colonel will review these recommendations and issue the final decision within ten working days of receipt.
- IV.C.6. Each officer will be given an Evaluation Challenge form, ISP 2-389 (this form is available in the ISP Document Library at <http://maphome/documentlibrary/>), at the time the supervisor meets with the officer to review the evaluation. If an officer elects to challenge the evaluation, this challenge must be submitted to the work unit supervisor within five working days after meeting with the supervisor.
- IV.C.6.a. The next level supervisor will write a summary memorandum, including a recommendation, and forward it through the chain-of-command to be received by the appropriate Colonel no later than the predetermined date set.
 - IV.C.6.b. The Colonel will:
 - IV.C.6.b.1) Make the final decision based on the preponderance of the evidence as the standard of proof.
 - IV.C.6.b.2) Forward a copy of the decision, along with all corresponding documents, to the OHR no later than the predetermined date set of each year so an adjustment can be made, if necessary.
 - IV.C.6.b.3) Provide a written response to the employee and the employee's chain-of-command outlining the decision no later than the predetermined date set.
- IV.C.7. The evaluation will be conducted from the bottom up (lowest to highest rank).
- IV.C.7.a. Supervisors will be evaluated after the employee evaluation process is complete.
 - IV.C.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.C.8. To ensure supervisory accountability, the supervisor will complete the evaluation and review it with the unit supervisor before discussing the evaluation with the employee.

IV.C.9. All forms are to be completed, discussed with the employee, and signed no later than the predetermined date set.

IV.C.10. The OHR will monitor the evaluation process.

IV.C.10.a. The OHR will act as the reviewing authority for challenges involving supervisor/employee selections and assignments and any operational problems that arise during the evaluation period.

IV.C.10.a.1) The OHR will make recommendations to the appropriate Colonel on all such challenges.

IV.C.10.a.2) The Colonel will review these recommendations and issue the final decision.

IV.C.10.b. Any comments or questions pertaining to the promotional evaluation process will be forwarded through the chain-of-command to:

Office of Human Resources
Office of the Director
801 South Seventh Street, Suite 1000-A
Springfield, Illinois 62703-2487

IV.D. Records Retention

IV.D.1. Integrated Strategic Performance instruments and ISP 1-164s will be maintained at the work location for two years plus the current year. The Integrated Strategic Performance instruments may be kept longer if litigation is pending.

IV.D.2. The summary sheets for Part II instruments will be maintained in hard copy form at PSSSC for one year and then may be microfilmed. Once microfilmed, the hard copy will be destroyed and the microfilm will be kept indefinitely by PSSSC.

IV.D.3. The summary sheets for Part III instruments will be maintained in hard copy form in OHR for one year at which time they will be transferred to the personnel files at PSSSC.

IV.D.3.a. The Part III instruments may then be microfilmed.

IV.D.3.b. Once microfilmed, the hard copy will be destroyed and the microfilm will be kept indefinitely by PSSSC.

| Indicates new or revised items.

-End of Directive-