

**ILLINOIS STATE POLICE
PER-102, CODE EMPLOYEE EVALUATION**

RESCINDS: PER-102, 2012-007, revised 01-09-2012.	REVISED: 11-03-2014 2014-090
RELATED DOCUMENTS: ADM-137, PER-007, PER-101, PER-103	RELATED CALEA STANDARDS: 35.1.1 through 35.1.14

I. POLICY

The Illinois State Police (ISP) will create and maintain a climate conducive to strategically-focused high productivity and performance, personal development, and employee satisfaction by providing code employees with a clear statement of expectations, on-going coaching, and accurate feedback regarding their performance.

II. DEFINITIONS

II.A. Career Development Resource Guide (ISP 1-164) - 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 evaluations.

II.A.1. The ISP 1-164 will be used to plan for continued education, training, and experience consistent with advancing career goals of an employee, including enhancement of skills for his/her current position as well as for promotion and special assignment.

II.A.2. The ISP 1-164 is available in the ISP Document Library at <http://maphome/documentlibrary/>. (See Addendum 2 for completion instructions.)

II.B. Supervisor - the individual responsible for the oversight and performance of personnel assigned to their specific unit or section.

II.B.1. Supervisors must have been in the supervisory role for at least two months immediately prior to the end of the employee's evaluation period.

II.B.1.a. 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.

II.B.1.b. The Colonel of the affected Division may waive the two-month rule under special circumstances.

II.B.2. When available, the employee's previous supervisor will complete the evaluation when an employee has been assigned to a supervisor for less than two months immediately prior to the end of his/her evaluation period.

II.B.3. If the previous supervisor is unavailable, the supervisor will identify another supervisor or manager in the employee's chain-of-command who is familiar with the employee and is capable of conducting the performance evaluation.

III. RESPONSIBILITIES

III.A. The Public Safety Shared Services Center (PSSSC) will:

III.A.1. Administer the employee performance evaluation program for the Department.

III.A.2. Process the completed Independent Development and Performance System (for union employees), form CMS-201 and the Merit Compensation and Performance System, form CMS-201MC (both forms are available in the ISP Document Library at <http://maphome/documentlibrary/>).

III.A.3. Maintain a filing system for completed CMS-201/CMS-201MC forms and the ISP 1-164s.

III.B. The ISP Academy is responsible for providing training in career counseling.

- III.C. The Illinois Department of Central Management Services (CMS) provides training in the performance evaluation program process for code employees.
- III.D. The code employee's immediate supervisor will:
 - III.D.1. Make each employee aware of the evaluation system and furnish the employee a copy of his/her evaluation at the time it is completed. A performance evaluation is a part of the official documentation of employee performance and may be used to support a personnel transaction or disciplinary action.
 - III.D.2. Ensure the timely preparation of CMS-201/CMS-201MC forms for each employee assigned to their supervision.
 - III.D.3. Prepare and discuss the contents of the completed CMS-201/CMS-201MC form with each employee.
 - III.D.4. Review the employee's current Job Description (CMS-104) and propose and/or make changes as appropriate (see ISP directive PER-007, "Job Descriptions").
 - III.D.5. Be familiar with opportunities available for career enhancement, offer opportunities to subordinates, and use the ISP 1-164 when consulting with employees during the annual evaluation process.
 - III.D.6. Forward completed forms (CMS-201/CMS-201MC and the ISP 1-164) to the next higher level supervisor.
- III.E. The next higher level supervisor will:
 - III.E.1. Review completed CMS-201/CMS-201MC forms and ISP 1-164s for accuracy and completeness and to ensure objectives established for each employee are realistic and attainable.
 - III.E.2. Ensure all employees serving in a supervisory capacity involving evaluating and rating staff:
 - III.E.2.a. Receive training in the employee performance evaluation process and career counseling through the ISP Academy or CMS prior to evaluating the performance of subordinates.
 - III.E.2.b. Are evaluated and rated on their ability to exercise fairness and impartiality in the rating process, their ability to counsel staff, and their ability to implement the individual performance development and evaluation system for subordinate staff.
 - III.E.3. Forward completed forms through the chain-of-command to the PSSSC.

IV. PROCEDURES

- IV.A. Setting Performance Objectives
 - IV.A.1. At the beginning of each employee's evaluation year or when an employee is new to a position, individual performance objectives and professional development plans that coincide with the mission and strategic goals and objectives of the Department/Bureau/Unit will be established by the immediate supervisor with input from the employee.
 - IV.A.2. Individual performance objectives and standards of performance should be prepared only after both the immediate supervisor and employee have spent time in analysis and planning. The process is based on shared communication between the supervisor and employee during which:
 - IV.A.2.a. Standards and expectations are clarified.
 - IV.A.2.b. Performance is evaluated.
 - IV.A.2.c. Measurable objectives for the next reporting period are established.

IV.A.3. Interim reviews of performance objectives may be arranged by either the employee or supervisor as needed.

IV.B. Evaluation Forms

Individual CMS-201/CMS-201MC forms will be prepared for all employees using the following guidelines:

IV.B.1. Probationary Employees

Two written performance evaluations are required for employees serving probationary periods.

IV.B.1.a. The first report is due at the mid-point of the probationary period.

IV.B.1.b. The second report is due two weeks before the end of the probationary period.

NOTE: If a probationary employee is not meeting established goals and objectives, the supervisor should notify the PSSSC 45 days prior to the ending of the probationary period.

IV.B.2. Length of the Probationary Period

IV.B.2.a. New employee probationary period: six months

IV.B.2.b. Promotional probationary period: four months

IV.B.2.c. Promotional from Trainee to Target Title probationary period: four months

IV.B.3. Prior to the effective date of promotion, a performance evaluation is required if the current evaluation is more than 12 months old.

IV.B.4. Certified Employees

The original of each completed CMS-201/CMS-201MC form will be prepared for all certified employees on an annual basis.

IV.B.4.a. An ISP 1-164 will also be completed by the supervisor and employee at the time of the annual evaluation.

IV.B.4.b. All forms will be forwarded through the chain-of-command to the PSSSC in accordance with the due dates provided by the PSSSC.

IV.B.5. An evaluation will be prepared for an employee whenever any of the following transactions occur; however, one may be prepared at any time determined by the supervisor to be appropriate:

IV.B.5.a. Withholding service increase

IV.B.5.b. Geographical transfer (agency directed)

IV.B.5.c. Demotion

IV.B.5.d. Discharge

IV.B.5.e. Layoff

IV.B.5.f. Parallel movement

IV.B.5.g. Promotion

IV.B.5.h. Suspension for more than 30 days

IV.B.6. The content of the CMS-201/CMS-201MC forms and the ISP 1-164 must be discussed with the employee.

IV.B.6.a. Participation in the performance evaluation conference is not an option, but rather a condition of employment.

IV.B.6.b. Failure to participate in the evaluation conference is deemed an act of insubordination which may result in disciplinary action.

IV.B.6.c. Additional progress reviews will be completed when an employee's performance deteriorates to a less than satisfactory level. Supervisors should be prepared to substantiate unsatisfactory ratings through documentation demonstrating the

| employee was notified in writing of work deficiencies 90 days prior to the end of the annual rating period.

IV.B.7. CMS-201/CMS-201MC performance evaluations may be adjusted by upper levels of supervision after their completion provided that such changes are discussed with the employee, the employee is given the opportunity to comment on the changes, and the employee and the supervisor initial such changes to reflect awareness by both parties of content changes. The employee will receive a copy of the corrected form.

IV.B.8. Under no circumstances will an employee be required to sign a blank or incomplete CMS-201/CMS-201MC form.

IV.B.9. Completion instructions for the CMS-201/CMS-201MC forms are contained in Addendum 1.

IV.C. Records Retention

IV.C.1. Copies of CMS-201/CMS-201MC evaluation forms and the ISP 1-164s are maintained at the work location for the length of time the employee works at that location.

IV.C.1.a. For American Federation of State, County, and Municipal Employees union members, the supervisor's file does not follow the employee once the employee leaves that jurisdiction.

IV.C.1.b. The work location may keep such information longer if litigation is pending.

IV.C.2. Evaluations and ISP 1-164s will be maintained in hard copy form in employees' personnel files at the PSSSC while an employee is employed by the ISP. Once employment has ceased, all ISP employee records will be retained/destroyed to conform with the State Records Act, and in accordance with ISP directive ADM-137, "Records Retention/Destruction Schedules."

| Indicates new or revised items.

-End of Directive-

**ILLINOIS STATE POLICE
PER-102, CODE EMPLOYEE EVALUATION
ADDENDUM 1, INSTRUCTIONS FOR COMPLETING THE CMS 201 AND CMS
201MC**

RESCINDS: PER-102, Addendum 1, 2012-007, revised 01-09-2012.	REVISED: 11-03-2014 2014-090
RELATED DOCUMENTS: ADM-137, PER-101, PER-103	RELATED CALEA STANDARDS: 35.1.1 through 35.1.14

- I. The code employee evaluation process consists of the completion of two different forms completed by a supervisor and employee: the appropriate CMS evaluation form and the Career Development and Resource Guide, form ISP 1-164.
 - I.A. The CMS-201MC, "Merit Compensation and Performance System," is for employees in the Merit Compensation pay plan.
 - I.B. The CMS-201, "Individual Development and Performance System," is for all other code employees.

- II. The effectiveness of the employee evaluation system depends on each employee and supervisor.
 - II.A. The system attempts to minimize subjective judgment when supervisors evaluate the performance of an employee in meeting the objectives of his/her individual position.
 - II.B. To ensure the employee evaluation meeting is productive, the supervisor and employee should enter this process only after each has spent time in analysis and planning.
 - II.B.1. For the CMS-201 meeting, it is recommended both the employee and supervisor independently complete all applicable parts of the form at least two days prior to the scheduled meeting.
 - II.B.2. For the CMS-201MC meeting, it is recommended the supervisor complete all parts independently and the employee independently reviews his/her own performance and is prepared to discuss all parts of the evaluation, including new objectives.
 - II.B.3. The parties should be prepared to discuss all applicable parts and jointly initiate a final copy of the employee evaluation.
 - II.B.4. The supervisor's major function now becomes one of helping employees relate their self-appraisal, objectives, and plans to the mission and goals of the organization.

- III. HEADING
 - III.A. Block 1 - Enter the employee's full name: last, first, middle.
 - III.B. Block 2 - Enter the Department: Illinois State Police.
 - III.C. Block 3 - Enter the Division: e.g., Operations, Administration.
 - III.D. Block 4 - Enter the last four digits (**only**) of the employee's Social Security number.
 - III.E. Block 5 - Enter the employee's permanent payroll title (do not use a temporary assignment title).
 - III.F. Block 6 - On the CMS-201, enter the length of time in the current position (to the nearest month). On the CMS-201MC only, enter the working title, if applicable.
 - III.G. Block 7 - Enter the time period covered by this report. Dates will be from the last evaluation to the present month and year.
 - III.H. Block 8 - Check or specify the type of evaluation report (annual, probationary, etc.).

IV. REVIEW OF JOB DESCRIPTION (PART I, CMS-201MC ONLY)

- IV.A.1. The supervisor is required to review the employee job description prior to completing the evaluation to determine if the description accurately and directly relates to the objectives being appraised.
- IV.A.2. If the job description does not accurately relate to the current objectives of the employee, the supervisor must submit, along with the evaluation, a revised job description for the employee.

V. APPRAISAL OF OBJECTIVES (PART I, CMS-201 AND PART II, CMS-201MC)

The supervisor is to appraise the employee's progress towards completion of the objectives for which he/she was held accountable during the reporting period listed in Block 7.

- V.A. The supervisor determines if each objective was accomplished by the employee.
- V.B. The supervisor rates whether the employee accomplished each of the objectives. For the CMS-201 only, the employee's performance is indicated by the appropriate term: exceeded, met, or not met.

VI. APPRAISAL OF EMPLOYEE PERFORMANCE (PART II, CMS-201 AND PART III, CMS-201MC)

VI.A.1. The supervisor and the employee will thoroughly discuss and compare the individual ratings of employee's performance to determine if problems were incurred in attempting to accomplish the objectives.

VI.A.2. Solutions to the problems and new methods or techniques to meet the objectives will also be discussed.

VI.B. CMS-201, Part II

VI.B.1. The supervisor and employee will independently rate items one through eight. Items nine and ten are completed only when applicable.

VI.B.2. If the employee's performance is rated "needs improvement" on any of the items, the supervisor will justify the rating and determine what remedial steps will be taken and document them on the evaluation.

VI.C. CMS-201MC, Part III

VI.C.1. All nine items are to be completed by the supervisor only.

VI.C.2. If the employee is rated "exceptional" or "unacceptable" on any of the performance characteristics, the supervisor will justify each rating by providing comments in the appropriate area(s).

VII. REMARKS BY SUPERVISOR (PART III, CMS-201 ONLY)

This part will be used by the supervisor for documenting outstanding performance and achievements and/or performance deficiencies of the employee.

VII.A. The supervisor should build on the employee's strengths. If performance deficiencies are indicated, structure both remarks and recommendations positively.

VII.B. Indicate the employee's potential in positive terms. Cite specific instances or examples of outstanding performance in support of the overall rating.

VII.C. For employees whose work performance is substandard, the supervisor must document objectives not being met or needing improvement.

VII.C.1. This type of documentation is necessary should discipline concerns arise in the future from poor work performance.

VII.C.2. The details of a performance development or improvement plan should be included to assist the employee in meeting his/her established objectives.

VIII. DEVELOPMENT AND TRAINING (PART IV, CMS-201MC ONLY)

VIII.A. The supervisor reports any development or training activities the employee has completed during the reporting period.

VIII.B. Personal development activities are also noted in this area.

VIII.C. Furthermore, the supervisor notes whether the training activities were initiated by the employee or at the request of the supervisor.

IX. OVERALL PERFORMANCE RATING (PART V, CMS-201MC ONLY)

IX.A. Determine and rate the overall level of performance of the employee based on the ratings and documentation contained in Part II and Part III of the evaluation, i.e., exceptional, accomplished, acceptable, or unacceptable.

IX.B. Supervisor comments are required if the employee's performance is rated either "exceptional or unacceptable."

X. EMPLOYEE OBJECTIVES FOR THE NEXT REPORTING PERIOD (PART IV ON CMS-201, PART VII ON CMS-201MC)

The supervisor and employee will:

X.A. Use the employee position description (if it is accurate) to develop objectives at the beginning of the rating period, since it identifies the major duties and responsibilities of the position.

X.B. Develop objectives that reflect normal expectations of the job. Performance objectives should be specific, measurable, attainable, relevant, and time bound and be linked to the missions and goals of the Department/Bureau/Unit. Objectives should also be challenging to the employee and include at least one objective for personal growth.

X.C. Use these questions in the process of developing objectives.

X.C.1. What are the employee's specific responsibilities for the position? (List in order of importance.)

X.C.2. What is expected in terms of quantity and quality for each identified responsibility?

X.C.3. What is the timeline for completing each responsibility?

X.C.4. Is each objective relevant and attainable?

X.C.5. Are the objectives consistent with the Department/Bureau/Unit mission and goals?

XI. EMPLOYEE'S COMMENTS (PART V, CMS-201 AND PART VI, CMS-201MC)

XI.A. Completing this section is not required, but the employee may wish to make comments on such matters as:

- XI.A.1. Statements in the document that seem ambiguous or have led to a disagreement between the employee and the supervisor or statements in which the employee can make suggestions or comments on accomplishments achieved and/or personal development.
 - XI.A.2. The evaluation meeting and its positive or negative aspects.
 - XI.A.3. The appraisal of objectives.
 - XI.A.4. Areas of disagreement in the general appraisal of the employee's performance that are still unresolved.
 - XI.A.5. Objectives listed for the next reporting period that the employee considers unattainable or inappropriate.
 - XI.B. An employee who does not concur with the evaluation as reflected on this form should check the appropriate box in the "signatures" section and use this section for explanation. If additional space is needed, comments may be continued on an attached sheet.
- XII. SIGNATURES (PART VI, CMS-201 AND PART IX, CMS-201MC)
- XII.A. Necessary signatures will be entered in the appropriate spaces on the evaluation. The payroll title of each signer and the date signed will also be included.
 - XII.B. 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.
 - XII.C. It is not necessary in every situation to have the signature of the employee on the form, but the reason for the lack of signature must be noted. Refusal of the employee to sign does not thwart the evaluation. The evaluation will be forwarded with such refusal noted.
- XIII. QUARTERLY REVIEWS (PART VII, CMS-201 AND PART VIII, CMS-201MC)
- XIII.A. The employee and supervisor are urged to meet quarterly to review and discuss progress toward established objectives.
 - XIII.A.1. Additional meetings can be arranged by either employee or supervisor and scheduled as required.
 - XIII.A.2. In the appropriate area on the form indicate the date of meeting, initial accordingly, and set the date for the next review period.
 - XIII.A.3. Quarterly review sessions should also be used to:
 - XIII.A.3.a. Develop plans for overcoming any problems.
 - XIII.A.3.b. Reevaluate all objectives for priority and relevance.
 - XIII.A.3.c. Reassess plans for achieving objectives.
 - XIII.A.3.d. Add, delete, or revise objectives when necessary.
 - XIII.B. Any revisions to employee objectives should be made on the employee's and supervisor's copies of the evaluation and should be kept in the employee and work location files.

-End of Addendum-

**ILLINOIS STATE POLICE
PER-102, CODE EMPLOYEE EVALUATION
ADDENDUM 2, INSTRUCTIONS FOR COMPLETING THE ISP 1-164, CAREER
DEVELOPMENT RESOURCE GUIDE**

RESCINDS: PER-102, Addendum 2, 2011-087, revised 12-13-2011.	REVISED: 11-03-2014 2014-090
RELATED DOCUMENTS: ADM-137, PER-101, PER-103	RELATED CALEA STANDARDS: 35.1.1 through 35.1.14

- I. The effectiveness of the Career Development Resource Guide, form ISP 1-164 (the guide is available in the ISP Document Library at <http://maphome/documentlibrary/>), depends on each employee and supervisor.
 - I.A. The ISP 1-164 provides information, through the supervisor to the employee, regarding career development and training opportunities available to department personnel.
 - I.B. The ISP 1-164 engages personnel in self-assessment and planning for successful job performance and future plans and goals for career advancement.
 - I.C. The Illinois State Police (ISP) acknowledges that continuous learning for all employees throughout their careers leads to a more successful and productive workplace and positively supports the mission and goals of the Agency.

- II. PROCEDURES

Completion of the ISP 1-164

 - II.A. Completion of the ISP 1-164 is mandatory and is completed during the supervisor and employee annual evaluation consultation.
 - II.B. Prior to meeting with the employee, the supervisor should:
 - II.B.1. Analyze the career needs and preferences of the employee.
 - II.B.2. Review and understand the ISP 1-164.
 - II.B.3. Familiarize himself/herself with the programs, training, courses, and resources listed on the guide.
 - II.B.4. Contact the Academy or the Division Training Coordinator with any questions regarding the program and availability of resources listed on the ISP 1-164.
 - II.B.5. Access the Career Development Intranet web site (located at <http://home.statepolice.il/careerdev/cdhome.htm>.) for additional career development information.
 - II.C. Page one of the ISP 1-164 is a listing of programs, training, courses, and resources offered through the ISP and is to be used by the supervisor as a resource to educate the employee.
 - II.D. Page two of the ISP 1-164 provides instructions to complete the supervisor-employee career counseling session.
 - II.D.1. Any comments regarding the counseling session may be documented in the Career Counseling Review box.
 - II.D.2. The supervisor will indicate in the appropriate box(es) which directives have been discussed with the employee at the counseling session (PER-005, PER-012, PER-014, and PER-102).
 - II.D.3. The counseling session is documented by the employee and supervisor affixing their signatures on the form.

- II.D.4. Copies of the ISP 1-164 will be maintained at the workplace by the supervisor and employee. The original ISP 1-164 must be dated and forwarded to the Public Safety Shared Services Center along with the evaluation for the employee's file.

-End of Addendum-