

PERSONNEL EVALUATIONS METAEVALUATION CHECKLIST

(Based on *The Personnel Evaluation Standards*)

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*This checklist is for assessing the adequacy of individual personnel evaluations. It is organized according to the 21 Joint Committee Personnel Evaluation Standards, plus an additional recommended standard focused on legal viability. For each of the 22 standards the checklist includes 6 checkpoints drawn from the substance of the standard. It is suggested that each standard be scored on each checkpoint. Then judgments about the adequacy of the subject evaluation in meeting the standard can be made as follows: 0-1 Poor, 2-3 Fair, 4 Good, 5 Very Good, 6 Excellent. It is recommended that an evaluation be failed if it scores Poor on standards P1 Service Orientation, U3 Evaluator Credibility, F4 Legal Viability, A4 Valid Measurement, or A7 Bias Control. Users of this checklist are advised to consult the full text of *The Joint Committee (1988) Personnel Evaluation Standards*, Newbury Park, CA: Sage Publications.*

TO MEET THE REQUIREMENTS FOR PROPRIETY, PERSONNEL EVALUATIONS SHOULD:

P1 Service Orientation

- Assess whether the service provider is delivering high quality, principled services
- Ground the assessment in pertinent institutional/program mission and goals
- Seek clarification, as needed, of the service provider's responsibilities
- Assess the service provider's performance of job responsibilities
- Assess the service provider's contributions to meeting the assessed needs of the targeted beneficiaries
- Support personnel actions that protect the welfare of targeted beneficiaries

6 Excellent 5 Very Good 4 Good 2-3 Fair 0-1 Poor

P2 Formal Evaluation Guidelines

- Follow the provisions of pertinent personnel policies
- Be attentive to the requirements of any pertinent collective bargaining agreement
- Deliver unambiguous assessment findings
- Conform to the pertinent legal protections of the evaluatee's rights
- Be consistent and equitable considering evaluations of similar evaluatees
- Meet all pertinent ethical standards

6 Excellent 5 Very Good 4 Good 2-3 Fair 0-1 Poor

P3 Conflict of Interest

- Search out potential conflicts of interest
- Control conflicts of interest at every level of examination and judgment
- Openly and honestly address conflicts of interest, including the appearance of conflict of interest
- Show that the evaluator is not subject to an unresolvable conflict of interest
- Employ multiple data sources to examine and judge personnel performance
- Invite and append the employee's reactions to the evaluation report

6 Excellent 5 Very Good 4 Good 2-3 Fair 0-1 Poor



P4 Access to Personnel Evaluation Reports	
<input type="checkbox"/> Maintain security of the obtained information <input type="checkbox"/> Clearly identify authorized users of the evaluation report <input type="checkbox"/> Appropriately restrict access to the obtained information <input type="checkbox"/> Follow established rules for distributing evaluation reports <input type="checkbox"/> Notify the evaluatee of additions to her/his personnel file <input type="checkbox"/> Promise only those levels of confidentiality and anonymity that meet pertinent law	
<input type="checkbox"/> 6 Excellent <input type="checkbox"/> 5 Very Good <input type="checkbox"/> 4 Good <input type="checkbox"/> 2-3 Fair <input type="checkbox"/> 0-1 Poor	
P5 Interactions with Evaluatees	
<input type="checkbox"/> Develop rapport with the evaluatee <input type="checkbox"/> Address the evaluatee in a professional, considerate, and courteous manner <input type="checkbox"/> Be sensitive and responsive to the evaluatee's pertinent personal and professional needs <input type="checkbox"/> Demonstrate a genuine interest in the evaluatee as a person <input type="checkbox"/> Gear evaluative feedback to help the evaluatee strengthen performance <input type="checkbox"/> Provide feedback in a private setting	
<input type="checkbox"/> 6 Excellent <input type="checkbox"/> 5 Very Good <input type="checkbox"/> 4 Good <input type="checkbox"/> 2-3 Fair <input type="checkbox"/> 0-1 Poor	
Scoring the Evaluation for PROPRIETY Add the following: Number of Excellent ratings (0-5) _____ x 4 = _____ Number of Very Good (0-5) _____ x 3 = _____ Number of Good (0-5) _____ x 2 = _____ Number of Fair (0-5) _____ x 1 = _____ <div style="text-align: right;">Total score: _____ = _____</div>	Strength of the evaluation's provisions for PROPRIETY: <input type="checkbox"/> 19 (93%) to 20: Excellent <input type="checkbox"/> 14 (68%) to 18: Very Good <input type="checkbox"/> 10 (50%) to 13: Good <input type="checkbox"/> 5 (25%) to 9: Fair <input type="checkbox"/> 0 (0%) to 4: Poor <div style="text-align: center;">_____ (Total score) ÷ 20 = _____ x 100 = _____</div>
<i>TO MEET THE REQUIREMENTS FOR UTILITY, PERSONNEL EVALUATIONS SHOULD:</i>	
U1 Constructive Orientation	
<input type="checkbox"/> Provide timely feedback <input type="checkbox"/> Reinforce good practice <input type="checkbox"/> Provide direction for improvement <input type="checkbox"/> As appropriate, clarify needs for professional development <input type="checkbox"/> Promote professionalism, including self-evaluation <input type="checkbox"/> Promote improved organizational effectiveness through the evaluatee's improved performance	
<input type="checkbox"/> 6 Excellent <input type="checkbox"/> 5 Very Good <input type="checkbox"/> 4 Good <input type="checkbox"/> 2-3 Fair <input type="checkbox"/> 0-1 Poor	
U2 Defined Uses	
<input type="checkbox"/> Reference and address clear evaluation purposes <input type="checkbox"/> Document the authorized users <input type="checkbox"/> Reference clear understandings with the authorized users about the evaluation's intended uses <input type="checkbox"/> Note and justify the targeted evaluation questions <input type="checkbox"/> Show how the employed evaluative criteria fit the evaluation questions <input type="checkbox"/> Show how the evaluation methods and information fit the evaluation questions and intended uses	
<input type="checkbox"/> 6 Excellent <input type="checkbox"/> 5 Very Good <input type="checkbox"/> 4 Good <input type="checkbox"/> 2-3 Fair <input type="checkbox"/> 0-1 Poor	

F2 Political Viability	
<input type="checkbox"/> Provide a common focus and set of directives applicable to all of the subject evaluatees <input type="checkbox"/> Employ personnel evaluation policies and procedures that were developed collaboratively <input type="checkbox"/> Employ personnel evaluation policies and procedures that the evaluatees understand and accept <input type="checkbox"/> Employ personnel evaluation policies and procedures that have the backing of the relevant policy board <input type="checkbox"/> Faithfully carry out the established personnel evaluation policies and procedures <input type="checkbox"/> Provide for appeals and steps to rectify mistakes promptly	
<input type="checkbox"/> 6 Excellent <input type="checkbox"/> 5 Very Good <input type="checkbox"/> 4 Good <input type="checkbox"/> 2-3 Fair <input type="checkbox"/> 0-1 Poor	
F3 Fiscal Viability	
<input type="checkbox"/> Allocate adequate time for assessment, reporting, and follow-up <input type="checkbox"/> Allocate adequate resources for assessment, reporting, and follow-up <input type="checkbox"/> Use resources effectively <input type="checkbox"/> Use resources efficiently <input type="checkbox"/> Use the evaluatees' time efficiently <input type="checkbox"/> Employ findings to help the evaluatee be more effective and efficient	
<input type="checkbox"/> 6 Excellent <input type="checkbox"/> 5 Very Good <input type="checkbox"/> 4 Good <input type="checkbox"/> 2-3 Fair <input type="checkbox"/> 0-1 Poor	
F4 Legal Viability	
<input type="checkbox"/> Take into account those legal provisions that pertain to the local context <input type="checkbox"/> Engage, as needed, expert legal advice <input type="checkbox"/> Adhere to the vast body of applicable legal mandates <input type="checkbox"/> Adhere to the other standards in this set <input type="checkbox"/> Follow a legally defensible substantive due process, including definition of role and performance standards <input type="checkbox"/> Follow a legally defensible procedural due process, giving the evaluatee the right to respond and be heard	
<input type="checkbox"/> 6 Excellent <input type="checkbox"/> 5 Very Good <input type="checkbox"/> 4 Good <input type="checkbox"/> 2-3 Fair <input type="checkbox"/> 0-1 Poor	
Scoring the Evaluation for FEASIBILITY Add the following: Number of Excellent ratings (0-4) _____ x 4 = _____ Number of Very Good (0-4) _____ x 3 = _____ Number of Good (0-4) _____ x 2 = _____ Number of Fair (0-4) _____ x 1 = _____ <div style="text-align: right;">Total score: = _____</div>	Strength of the evaluation's provisions for FEASIBILITY <input type="checkbox"/> 15 (93%) to 16: Excellent <input type="checkbox"/> 11 (68%) to 14: Very Good <input type="checkbox"/> 8 (50%) to 10: Good <input type="checkbox"/> 4 (25%) to 7: Fair <input type="checkbox"/> 0 (0%) to 3: Poor <div style="text-align: center;">_____ (Total score) ÷ 16 = _____ x 100 = _____</div>
<i>TO MEET THE REQUIREMENTS FOR ACCURACY, PERSONNEL EVALUATIONS SHOULD:</i>	
A1 Defined Role	
<input type="checkbox"/> Reference a clearly defined role and set of responsibilities for the evaluatee <input type="checkbox"/> Reference the needed qualifications for fulfilling the evaluatee's role <input type="checkbox"/> Reference clear performance objectives for the evaluatee <input type="checkbox"/> Confirm that all parties to the evaluation have mutually understood the position's requirements <input type="checkbox"/> Deliberate to clarify any disagreements about performance expectations before evaluating <input type="checkbox"/> Employ performance indicators that validly reflect the evaluatee's responsibilities	
<input type="checkbox"/> 6 Excellent <input type="checkbox"/> 5 Very Good <input type="checkbox"/> 4 Good <input type="checkbox"/> 2-3 Fair <input type="checkbox"/> 0-1 Poor	

A2 Work Environment				
<input type="checkbox"/> Identify, describe, and record environmental influences on the evaluatee's job performance <input type="checkbox"/> Consider the availability of relevant resources when evaluating the incumbent's performance <input type="checkbox"/> Consider administrative support and effectiveness when assessing the incumbent's performance <input type="checkbox"/> Consider organizational climate when evaluating the incumbent's performance <input type="checkbox"/> Consider the difficulties associated with serving the evaluatee's particular clients <input type="checkbox"/> Take into account relevant societal dynamics when evaluating the incumbent's performance				
<input type="checkbox"/> 6 Excellent <input type="checkbox"/> 5 Very Good <input type="checkbox"/> 4 Good <input type="checkbox"/> 2-3 Fair <input type="checkbox"/> 0-1 Poor				
A3 Documentation of Procedures				
<input type="checkbox"/> Document the plan for evaluating the incumbent <input type="checkbox"/> Document the evaluator's qualifications <input type="checkbox"/> Invite the evaluatee and other stakeholders to evaluate the evaluation plan <input type="checkbox"/> Monitor and record the evaluation process <input type="checkbox"/> Document the evidence used to reach evaluative conclusions <input type="checkbox"/> Show that due process requirements were met				
<input type="checkbox"/> 6 Excellent <input type="checkbox"/> 5 Very Good <input type="checkbox"/> 4 Good <input type="checkbox"/> 2-3 Fair <input type="checkbox"/> 0-1 Poor				
A4 Valid Measurement				
<input type="checkbox"/> Choose measurement procedures based on the described role and intended use <input type="checkbox"/> Assemble and make available evidence on the validity of the measurement procedure <input type="checkbox"/> Verify that inferences about the evaluatee are drawn from the obtained measurements <input type="checkbox"/> Include a representative sample of job tasks in the measurement content <input type="checkbox"/> Emphasize and demonstrate that validity is the single most important issue in personnel evaluation <input type="checkbox"/> Employ the term <i>measurement</i> in the broadest sense of evaluating an individual's qualifications, performance, and/or effectiveness				
<input type="checkbox"/> 6 Excellent <input type="checkbox"/> 5 Very Good <input type="checkbox"/> 4 Good <input type="checkbox"/> 2-3 Fair <input type="checkbox"/> 0-1 Poor				
A5 Reliable Measurement				
<input type="checkbox"/> Employ procedures that provide consistent measurements of the evaluatee's performance <input type="checkbox"/> Train and calibrate observers, raters, and other data collectors <input type="checkbox"/> Attain and demonstrate consistency across different measures of the same criterion <input type="checkbox"/> Attain and demonstrate consistency across different observers of the same behavior <input type="checkbox"/> Attain and demonstrate consistency across different occasions on which a behavior is observed <input type="checkbox"/> Document the steps to secure acceptable reliability				
<input type="checkbox"/> 6 Excellent <input type="checkbox"/> 5 Very Good <input type="checkbox"/> 4 Good <input type="checkbox"/> 2-3 Fair <input type="checkbox"/> 0-1 Poor				
A6 Systematic Data Control				
<input type="checkbox"/> Monitor and control the collection of information <input type="checkbox"/> Train evaluation personnel in scoring, coding, data entry, and analysis <input type="checkbox"/> Check for accuracy at every stage of the collection, storage, and retrieval of the information <input type="checkbox"/> Maintain security of the obtained information <input type="checkbox"/> Exercise careful oversight regarding access to and retrieval of the personnel evaluation information <input type="checkbox"/> Keep the data and supporting documentation confidential				
<input type="checkbox"/> 6 Excellent <input type="checkbox"/> 5 Very Good <input type="checkbox"/> 4 Good <input type="checkbox"/> 2-3 Fair <input type="checkbox"/> 0-1 Poor				

A7 Bias Control				
<input type="checkbox"/>	Recognize and guard against the constant potential for intrusion of bias in the evaluation			
<input type="checkbox"/>	Base evaluation solely on criteria and information relevant to the evaluatee's job			
<input type="checkbox"/>	Involve the evaluatee in designing, reviewing, and strengthening the evaluation plan			
<input type="checkbox"/>	Gather information from multiple sources			
<input type="checkbox"/>	Avoid conclusions that are not grounded in valid information			
<input type="checkbox"/>	Provide review and appeal channels			
<input type="checkbox"/>	6 Excellent	<input type="checkbox"/>	5 Very Good	<input type="checkbox"/>
			4 Good	<input type="checkbox"/>
				2-3 Fair
				<input type="checkbox"/>
				0-1 Poor

A8 Monitoring Evaluation Systems				
<input type="checkbox"/>	Employ an evaluation procedure that has been subject to systematic review and validation			
<input type="checkbox"/>	Professionally investigate and appropriately follow up any complaints by the evaluatee about the evaluation			
<input type="checkbox"/>	Assess the evaluation against the full set of standards referenced in this checklist			
<input type="checkbox"/>	Assess the actual evaluation against the evaluation plan			
<input type="checkbox"/>	Assess the extent to which the evaluation achieved its purposes			
<input type="checkbox"/>	Follow up to assess and, where possible, improve the evaluation's consequences			
<input type="checkbox"/>	6 Excellent	<input type="checkbox"/>	5 Very Good	<input type="checkbox"/>
			4 Good	<input type="checkbox"/>
				2-3 Fair
				<input type="checkbox"/>
				0-1 Poor

Scoring the Evaluation for ACCURACY		Strength of the evaluation's provisions for ACCURACY		
Add the following:				
Number of Excellent ratings (0-8)	_____ x 4 = _____	<input type="checkbox"/>	30 (93%) to 32:	Excellent
Number of Very Good (0-8)	_____ x 3 = _____	<input type="checkbox"/>	22 (68%) to 29:	Very Good
Number of Good (0-8)	_____ x 2 = _____	<input type="checkbox"/>	16 (50%) to 21:	Good
Number of Fair (0-8)	_____ x 1 = _____	<input type="checkbox"/>	8 (25%) to 15:	Fair
Total score:	= _____	<input type="checkbox"/>	0 (0%) to 7:	Poor
		_____ (Total score) ÷ 32 = _____ x 100 = _____		

Summary of the Metaevaluation Judgments

Place an X in the appropriate cell to summarize the judgments reached above.

	Excellent	Very Good	Good	Fair	Poor
PROPRIETY (overall)					
P1 Service Orientation					
P2 Formal Evaluation Guidelines					
P3 Conflict of Interest					
P4 Access to Personnel Evaluation Reports					
P5 Interactions with Evaluatees					
UTILITY (overall)					
U1 Constructive Orientation					
U2 Defined Uses					
U3 Evaluator Credibility					
U4 Functional Reporting					
U5 Follow-Up and Impact					
FEASIBILITY (overall)					
F1 Practical Procedures					
F2 Political Viability					
F3 Fiscal Viability					
F4 Legal Viability					

	Excellent	Very Good	Good	Fair	Poor
ACCURACY (overall)					
A1 Defined Role					
A2 Work Environment					
A3 Documentation of Procedures					
A4 Valid Measurement					
A5 Reliable Measurement					
A6 Systematic Data Control					
A7 Bias Control					
A8 Monitoring Evaluation Systems					

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