

PERSONNEL EVALUATION SYSTEMS METAEVALUATION CHECKLIST

(Based on *The Personnel Evaluation Standards*)

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*This checklist is for assessing the adequacy of personnel evaluation systems. 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, EVALUATION SYSTEMS SHOULD:

P1 Service Orientation

- Assess whether each service provider is delivering high quality, principled services
- Assure that all assessments are grounded in pertinent institutional/program mission and goals
- Assure that all service providers' responsibilities are clear
- Assure that all service providers are assessed in relation to their job responsibilities
- Assure that all service providers are assessed for their contributions to meeting the pertinent 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

- Be grounded in pertinent personnel policies
- Be consistent with the requirements of any pertinent collective bargaining agreement
- Assure that all evaluators deliver unambiguous assessment findings
- Conform to the pertinent legal protections of all the evaluatees' rights
- Assure that evaluations are consistent and equitable considering evaluations of similar evaluatees
- Assure that all the personnel evaluations meet all pertinent ethical standards

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

P3 Conflict of Interest

- Provide concrete procedures for searching out potential conflicts of interest
- Include provisions for controlling conflicts of interest at every level of examination and judgment
- Provide for honestly addressing conflicts of interest, including the appearance of conflict of interest
- Engage only those evaluators who are not subject to an unresolvable conflict of interest
- Assure that evaluators employ multiple data sources to examine and judge personnel performance
- Provide for inviting and appending each 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"/> Provide for maintaining security of the obtained information <input type="checkbox"/> Provide for clearly identifying authorized users of each evaluation report <input type="checkbox"/> Provide for appropriately restricting access to each set of obtained information <input type="checkbox"/> Provide clear rules for distributing evaluation reports <input type="checkbox"/> Provide for notifying each 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"/> Require and provide guidelines for the evaluator to develop rapport with the evaluatee <input type="checkbox"/> Require that each evaluatee be addressed in a professional, considerate, and courteous manner <input type="checkbox"/> Instruct evaluators to be sensitive and appropriately responsive to each evaluatee's 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 System 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 system'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, EVALUATION SYSTEMS <u>SHOULD</u>:</i>	
U1 Constructive Orientation	
<input type="checkbox"/> Assure that evaluatees receive timely feedback <input type="checkbox"/> Assure that evaluators and supervisors reinforce good practice <input type="checkbox"/> Assure that evaluatees are provided direction for improvement as appropriate <input type="checkbox"/> Assure that evaluatees' needs for professional development are assessed <input type="checkbox"/> Assure that evaluation practices promote professionalism, including self-evaluation <input type="checkbox"/> Assure that evaluations help improve organizational effectiveness through an 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"/> Assure that evaluations reference and address clear evaluation purposes <input type="checkbox"/> Assure that the authorized users for each evaluation are clearly identified <input type="checkbox"/> Assure that the authorized users clearly understand the evaluation's intended and sanctioned uses <input type="checkbox"/> Assure that each evaluation is targeted on clear and appropriate evaluation questions <input type="checkbox"/> Assure that each evaluation shows how the employed evaluative criteria fit the evaluation questions <input type="checkbox"/> Assure that 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	

U3 Evaluator Credibility	
<input type="checkbox"/> Assure that evaluators have the requisite training, skills, sensitivity, and authorization <input type="checkbox"/> Assure that evaluators are trained in the institution's specific evaluation policies and procedures <input type="checkbox"/> Provide clear, public definitions of evaluators' authority and responsibility <input type="checkbox"/> Assure that all evaluations are conducted professionally <input type="checkbox"/> Clearly state that evaluations are intended to promote and assist improvement <input type="checkbox"/> Require evaluators to justify their data, conclusions, and recommendations	
<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	
U4 Functional Reporting	
<input type="checkbox"/> Require and assist evaluators to issue clear reports <input type="checkbox"/> Assure that evaluation reports, including interim reports, are issued in a timely manner <input type="checkbox"/> Provide safeguards to assure that reports are accurate <input type="checkbox"/> Stress that reports must be focused on the evaluation's purposes and the employee's duties <input type="checkbox"/> Stress that reports should include documented strengths and weaknesses <input type="checkbox"/> Provide each evaluatee opportunities for response, appeal, and use of findings to improve 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	
U5 Follow-Up and Impact	
<input type="checkbox"/> Instruct evaluators to encourage and assist evaluatees to apply the findings <input type="checkbox"/> Instruct evaluators to help each evaluatee understand the results <input type="checkbox"/> Instruct evaluators to meet with each evaluatee to review strengths and weaknesses <input type="checkbox"/> Provide ways and means of reinforcing outstanding performance <input type="checkbox"/> Provide ways and means to help employees, as needed, develop professional growth plans <input type="checkbox"/> Provide for using evaluation findings to terminate hopelessly incompetent or irresponsible employees	
<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 System for UTILITY 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 = _____ Total score: = _____	Strength of the evaluation system's provisions for UTILITY <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 _____ (Total score) ÷ 20 = _____ x 100 = _____
<i>TO MEET THE REQUIREMENTS FOR FEASIBILITY, EVALUATION SYSTEMS SHOULD:</i>	
F1 Practical Procedures	
<input type="checkbox"/> Specify procedural steps in direct and familiar language <input type="checkbox"/> Employ efficient procedures <input type="checkbox"/> Require that evaluators provide useful feedback without impeding staff performance <input type="checkbox"/> Provide procedures and constraints designed to minimize disruption to the organization <input type="checkbox"/> Provide procedures designed to minimize cost <input type="checkbox"/> Instruct evaluators to avoid collecting new information that duplicates existing information	
<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 in writing 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"/> Assure that the evaluatees understand and accept the personnel evaluation policies and procedures <input type="checkbox"/> Employ personnel evaluation policies and procedures that have the backing of the relevant policy board <input type="checkbox"/> Assure that evaluators 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"/> Assure that resources are used effectively <input type="checkbox"/> Assure that resources are used frugally <input type="checkbox"/> Assure that evaluation processes are efficient in using each evaluatee's time <input type="checkbox"/> Assure that findings are employed 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 all applicable professional standards <input type="checkbox"/> Require a legally defensible substantive due process, including definition of role and performance standards <input type="checkbox"/> Require a legally defensible procedural due process, giving evaluatees 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 System 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 system'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, EVALUATION SYSTEMS SHOULD:</i>	
A1 Defined Role	
<input type="checkbox"/> Require that evaluations reference a clearly defined role and set of responsibilities for each evaluatee <input type="checkbox"/> Require that evaluations reference the needed qualifications for fulfilling the evaluatee's role <input type="checkbox"/> Require that evaluations reference clear performance objectives for each evaluatee <input type="checkbox"/> Instruct evaluators to assure that all involved parties mutually understand the position's requirements <input type="checkbox"/> Provide for deliberation to clarify any disagreements about performance expectations before evaluating <input type="checkbox"/> Require evaluators to employ performance indicators that validly reflect each 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"/> Provide for identifying, describing, and recording environmental influences on job performance <input type="checkbox"/> Require consideration of the availability of needed resources when evaluating job performance <input type="checkbox"/> Require consideration of administrative support and effectiveness when assessing job performance <input type="checkbox"/> Require consideration of organizational climate when evaluating the incumbent's performance <input type="checkbox"/> Require consideration of the difficulties associated with serving the evaluatee's particular clients <input type="checkbox"/> Require consideration of 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"/> Require documentation of the plan for evaluating each employee <input type="checkbox"/> Require documentation of the evaluator's qualifications <input type="checkbox"/> Provide for each evaluatee and other stakeholders to have an opportunity to evaluate the evaluation plan <input type="checkbox"/> Include regular monitoring and recording of the evaluation process <input type="checkbox"/> Require documentation of the evidence used to reach evaluative conclusions <input type="checkbox"/> Provide for showing 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"/> Require use of measurement procedures based on described role and intended use <input type="checkbox"/> Require that evidence on the validity of the measurement procedures be assembled and made available <input type="checkbox"/> Require verification that inferences about an evaluatee are drawn from the valid measurements <input type="checkbox"/> Instruct evaluators to 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"/> Require procedures that provide consistent measurements of each evaluatee's performance <input type="checkbox"/> Provide for training and calibrating observers, raters, and other data collectors <input type="checkbox"/> Require evaluators to demonstrate consistency across different measures of the same criterion <input type="checkbox"/> Require evaluators to demonstrate consistency across different observers of the same behavior <input type="checkbox"/> Require demonstration of consistency across different occasions when observing a behavior <input type="checkbox"/> Require documentation of the steps followed 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"/> Provide for monitoring and controlling the collection of information <input type="checkbox"/> Provide for training evaluation personnel in scoring, coding, data entry, and analysis <input type="checkbox"/> Provide for checking accuracy at every stage of collecting, storing, and retrieving the information <input type="checkbox"/> Provide for maintaining security of personnel evaluation information <input type="checkbox"/> Provide for careful oversight regarding access to and retrieval of the personnel evaluation information <input type="checkbox"/> Provide for keeping personnel evaluation 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 provide safeguards against the constant potential for biases in evaluations <input type="checkbox"/> Require that evaluations be based solely on criteria and information relevant to the evaluatee's job <input type="checkbox"/> Provide for involving evaluatees in designing, reviewing, and strengthening evaluation plans <input type="checkbox"/> Encourage collection of information from multiple sources <input type="checkbox"/> Direct evaluators to ground conclusions 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"/> Subject evaluation procedures to periodic and systematic review and validation <input type="checkbox"/> Professionally investigate and appropriately follow up any complaints by evaluatees about evaluations <input type="checkbox"/> Periodically assess evaluations against the full set of standards referenced in this checklist <input type="checkbox"/> Periodically assess evaluations against the pertinent evaluation plans <input type="checkbox"/> Periodically assess the extent to which the personnel evaluations are achieving their purposes <input type="checkbox"/> Provide for following up and improving the consequences of personnel evaluations	
<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 System for ACCURACY	Strength of the evaluation system'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					
<i>F4 Legal Viability</i>					
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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