


# The Personnel Evaluation Standards



How to Assess Systems for  
Evaluating Educators

The Joint Committee on Standards  
for Educational Evaluation  
Daniel L. Stufflebeam, Chair

THE JOINT COMMITTEE ON STANDARDS  
FOR EDUCATIONAL EVALUATION

*Daniel L. Stufflebeam*  
*Chair*

---

# THE PERSONNEL EVALUATION STANDARDS

*How to Assess Systems for Evaluating Educators*

## **Sponsored by**

American Association of School Administrators  
American Association of School Personnel Administration  
American Educational Research Association  
American Evaluation Association  
American Federation of Teachers  
American Psychological Association  
Association for Measurement and Evaluation in Counseling  
and Development  
Association for Supervision and Curriculum Development  
Education Commission of the States  
National Association of Elementary School Principals  
National Association of Secondary School Principals  
National Council on Measurement in Education  
National Education Association  
National School Boards Association

---



**CORWIN PRESS, INC.**  
A Sage Publications Company  
Newbury Park, California

Copyright © 1988 by Sage Publications, Inc.

All rights reserved. No part of this book may be reproduced or utilized in any form or by any means, electronic or mechanical, including photocopying, recording, or by any information storage and retrieval system, without permission in writing from the publisher.

*Distributed by Corwin Press, Inc., A Sage Publications Company*

Address inquiries and orders to:



**CORWIN PRESS, INC.**

P. O. Box 2526  
Newbury Park, CA 91319-8526

SAGE Publications Ltd.  
6 Bonhill Street  
London EC2A 4PU  
United Kingdom

SAGE Publications India Pvt. Ltd.  
M-32 Market  
Greater Kailash I  
New Delhi 110 048 India

## Library of Congress Cataloging-in-Publication Data

Main entry under title:

Joint Committee on Standards for Educational Evaluation.

The personnel evaluation standards : how to assess systems for  
evaluating educators / [developed by] the Joint Committee on  
Standards for Educational Evaluation.

p. cm.

Bibliography: p.

Includes indexes.

ISBN 0-8039-3360-6 ISBN 0-8039-3361-4 (pbk.)

1. School personnel management—United States. 2. Education-  
Standards—United States—Evaluation. I. Title.

LB2831.5.J65 1988

371.1'44—dc19

SIXTH PRINTING, 1995

88-18189  
CIP

*Book designed by Sidney Solomon*

# **THE PERSONNEL EVALUATION STANDARDS**

---

# THE JOINT COMMITTEE

---

## *Chair*

**Daniel L. Stufflebeam** (Western Michigan University)

## **Committee Members**

**James Adams** (Indianapolis Public Schools), representing the American Association of School Administrators

**Ralph Alexander** (University of Akron), representing the American Psychological Association

**Marvin C. Alkin** (UCLA), representing the American Educational Research Association (1987- )

**Beverly Anderson** (Education Commission of the States), representing the Education Commission of the States

**Esther Diamond** (Educational and Psychological Consultant), representing the Association for Measurement and Evaluation in Counseling and Development

**A. Keith Esch** (Wichita Public Schools), representing the American Association of School Personnel Administrators

**Ronald K. Hambleton** (University of Massachusetts), representing the National Council on Measurement in Education

**Philip L. Hosford** (New Mexico State University), representing the Association for Supervision and Curriculum Development

**William Mays, Jr.** (Michigan Elementary and Middle School Principals Association), representing the National Association of Elementary School Principals

**Carol Norman** (National Education Association), representing the National Education Association (1985)

**Diana Pullin** (Boston College), member-at-large

**Marilyn Rauth** (American Federation of Teachers), representing the American Federation of Teachers

**James R. Sanders** (Western Michigan University), representing the American Evaluation Association

**Sheila Simmons-Merrick** (National Education Association), representing the National Education Association (1986- )

**Scott D. Thomson** (National Association of Secondary School Principals), representing the National Association of Secondary School Principals

**JoAnn Wimmer** (National School Boards Association), representing the National School Boards Association

**Linda Winfield** (Temple University), representing the American Educational Research Association (1984-1986)

---

# CONTENTS

---

Functional Table of Contents	<i>ix</i>
Acknowledgments	1
Invitation to Users	3
Introduction	5
<i>Part 1: The Standards</i>	<i>19</i>
<b>P PROPRIETY STANDARDS</b>	<b>21</b>
P1 Service Orientation	22
P2 Formal Evaluation Guidelines	28
P3 Conflict of Interest	32
P4 Access to Personnel Evaluation Reports	36
P5 Interactions with Evaluatees	40
<b>U UTILITY STANDARDS</b>	<b>45</b>
U1 Constructive Orientation	46
U2 Defined Uses	51
U3 Evaluator Credibility	56
U4 Functional Reporting	64
U5 Follow-Up and Impact	67
<b>F FEASIBILITY STANDARDS</b>	<b>71</b>
F1 Practical Procedures	72
F2 Political Viability	75
F3 Fiscal Viability	79
<b>A ACCURACY STANDARDS</b>	<b>83</b>
A1 Defined Role	85
A2 Work Environment	90
A3 Documentation of Procedures	94
A4 Valid Measurement	98
A5 Reliable Measurement	104
A6 Systematic Data Control	109
A7 Bias Control	114
A8 Monitoring Evaluation Systems	117

<i>Part 2: Applying the Standards</i>	123
<i>Appendices</i>	155
<i>Appendix A: Development of the Standards</i>	157
<i>Appendix B: Citing the Standards</i>	171
<i>Appendix C: The Support Groups</i>	173
<i>Glossary</i>	181
<i>Indexes</i>	189
<i>Index A: Roles in Illustrative Cases</i>	191
<i>Index B: Institutions in Illustrative Cases</i>	193
<i>Index C: Purposes in Illustrative Cases</i>	195
<i>Index D: Personnel Actions in Illustrative Cases</i>	197
<i>Index E: Subject Index</i>	199
<i>Bibliography</i>	201
<i>Feedback Form</i>	208

---

# FUNCTIONAL TABLE OF CONTENTS

---

## Entry to Training

### *Most applicable standards:*

P1 Service Orientation	22
P2 Formal Evaluation Guidelines	28
P3 Conflict of Interest	32
P4 Access to Personnel Evaluation Reports	36
P5 Interactions With Evaluatees	40
U1 Constructive Orientation	46
U2 Defined Uses	51
U3 Evaluator Credibility	56
U4 Functional Reporting	64
F1 Practical Procedures	72
A3 Documentation of Procedures	94
A4 Valid Measurement	98
A5 Reliable Measurement	104
A6 Systematic Data Control	109
A7 Bias Control	114
A8 Monitoring Evaluation Systems	117

## Certification/Licensing

### *Most applicable standards:*

P1 Service Orientation	22
P2 Formal Evaluation Guidelines	28
P3 Conflict of Interest	32
P4 Access to Personnel Evaluation Reports	36
P5 Interactions With Evaluatees	40
U2 Defined Uses	51
U3 Evaluator Credibility	56
U4 Functional Reporting	64
F2 Political Viability	75
A1 Defined Role	85
A3 Documentation of Procedures	94
A4 Valid Measurement	98
A5 Reliable Measurement	104
A6 Systematic Data Control	109
A7 Bias Control	114
A8 Monitoring Evaluation Systems	117



**Defining a Role***Most applicable standards:*

P1 Service Orientation	22
P5 Interactions With Evaluatees	40
U1 Constructive Orientation	46
U3 Evaluator Credibility	56
U4 Functional Reporting	64
U5 Follow-Up and Impact	67
F1 Practical Procedures	72
F2 Political Viability	75
A1 Defined Role	85
A2 Work Environment	90
A8 Monitoring Evaluation Systems	117

**Selection***Most applicable standards:*

P1 Service Orientation	22
P2 Formal Evaluation Guidelines	28
P3 Conflict of Interest	32
P4 Access to Personnel Evaluation Reports	36
P5 Interactions With Evaluatees	40
U3 Evaluator Credibility	56
U4 Functional Reporting	64
F1 Practical Procedures	72
F2 Political Viability	75
F3 Fiscal Viability	79
A1 Defined Role	85
A2 Work Environment	90
A3 Documentation of Procedures	94
A4 Valid Measurement	98
A5 Reliable Measurement	104
A6 Systematic Data Control	109
A7 Bias Control	114
A8 Monitoring Evaluation Systems	117

**Performance Reviews***Most applicable standards:*

P1 Service Orientation	22
P2 Formal Evaluation Guidelines	28
P3 Conflict of Interest	32
P4 Access to Personnel Evaluation Reports	36
P5 Interactions With Evaluatees	40
U1 Constructive Orientation	46

U2 Defined Uses	51
U3 Evaluator Credibility	56
U4 Functional Reporting	64
U5 Follow-Up and Impact	67
F1 Practical Procedures	72
F2 Political Viability	75
F3 Fiscal Viability	79
A1 Defined Role	85
A2 Work Environment	90
A3 Documentation of Procedures	94
A4 Valid Measurement	98
A5 Reliable Measurement	104
A6 Systematic Data Control	109
A7 Bias Control	114
A8 Monitoring Evaluation Systems	117

### **Counseling for Staff Development**

#### *Most applicable standards:*

P2 Formal Evaluation Guidelines	28
P3 Conflict of Interest	32
P4 Access to Personnel Evaluation Reports	36
P5 Interactions With Evaluatees	40
U1 Constructive Orientation	46
U2 Defined Uses	51
U3 Evaluator Credibility	56
U4 Functional Reporting	64
U5 Follow-Up and Impact	67
F3 Fiscal Viability	79
A1 Defined Role	85
A2 Work Environment	90
A6 Systematic Data Control	109
A8 Monitoring Evaluation Systems	117

### **Merit Awards**

#### *Most applicable standards:*

P2 Formal Evaluation Guidelines	28
P3 Conflict of Interest	32
P5 Interactions With Evaluatees	40
U1 Constructive Orientation	46
U4 Functional Reporting	64
F1 Practical Procedures	72
F2 Political Viability	75
F3 Fiscal Viability	79

A1 Defined Role	85
A3 Documentation of Procedures	94
A6 Systematic Data Control	109
A7 Bias Control	114
A8 Monitoring Evaluation Systems	117

### **Tenure Decisions**

#### *Most applicable standards:*

P1 Service Orientation	22
P2 Formal Evaluation Guidelines	28
P3 Conflict of Interest	32
P4 Access to Personnel Evaluation Reports	36
P5 Interactions With Evaluatees	40
U2 Defined Uses	51
U3 Evaluator Credibility	56
U4 Functional Reporting	64
U5 Follow-Up and Impact	67
F3 Fiscal Viability	79
A1 Defined Role	85
A2 Work Environment	90
A3 Documentation of Procedures	94
A4 Valid Measurement	98
A5 Reliable Measurement	104
A6 Systematic Data Control	109
A7 Bias Control	114
A8 Monitoring Evaluation Systems	117

### **Promotion Decisions**

#### *Most applicable standards:*

P2 Formal Evaluation Guidelines	28
P3 Conflict of Interest	32
P4 Access to Personnel Evaluation Reports	36
P5 Interactions With Evaluatees	40
U2 Defined Uses	51
U3 Evaluator Credibility	56
U4 Functional Reporting	64
U5 Follow-Up and Impact	67
F3 Fiscal Viability	79
A1 Defined Role	85
A2 Work Environment	90
A3 Documentation of Procedures	94
A4 Valid Measurement	98
A5 Reliable Measurement	104

A6 Systematic Data Control	109
A7 Bias Control	114
A8 Monitoring Evaluation Systems	117

## Termination

### *Most applicable standards:*

P1 Service Orientation	22
P2 Formal Evaluation Guidelines	28
P3 Conflict of Interest	32
P4 Access to Personnel Evaluation Reports	36
P5 Interactions With Evaluatees	40
U2 Defined Uses	51
U3 Evaluator Credibility	56
U4 Functional Reporting	64
F2 Political Viability	75
F3 Fiscal Viability	79
A1 Defined Role	85
A2 Work Environment	90
A3 Documentation of Procedures	94
A4 Valid Measurement	98
A5 Reliable Measurement	104
A6 Systematic Data Control	109
A7 Bias Control	114
A8 Monitoring Evaluation Systems	117

---

# ACKNOWLEDGMENTS

---

The development of this document was supported by grants from the Besser Foundation, the Exxon Education Foundation, the Lilly Endowment, Inc., the Conrad N. Hilton Foundation, and the Western Michigan University Foundation. Additional support was provided by the organizations that appointed the members of the Joint Committee: American Association of School Administrators, American Association of School Personnel Administrators, American Educational Research Association, American Evaluation Association, American Federation of Teachers, American Psychological Association, Association for Measurement and Evaluation in Counseling and Development, Association for Supervision and Curriculum Development, Education Commission of the States, National Association of Elementary School Principals, National Association of Secondary School Principals, National Council on Measurement in Education, National Education Association, and National School Boards Association. Many persons assisted the Joint Committee in developing this document; the members of the various support groups are listed in Appendix C. The Joint Committee thanks those organizations and individuals who helped in developing this document. However, the Joint Committee is solely responsible for the contents of this document. The formal endorsement of the sponsoring groups has not been sought or given.

<p>Royalties from the sales of the published version of this document will be used to promote effective use of <i>The Personnel Evaluation Standards</i> and to support ongoing review and revision activities.</p>
---



---

# INVITATION TO USERS

---

*The Personnel Evaluation Standards* is the product of a collaborative effort to present educational institutions with criteria and guidelines for assessing and improving their systems for evaluating the qualifications and performances of educators. The contents have undergone extensive review and refinement. Nevertheless, the standards are subject to further examination, revision, and expansion. To ensure that future revisions of *The Personnel Evaluation Standards* build on the experience and insight of users, the Joint Committee invites those who use the standards to submit their criticisms, observations, and recommendations. To help in this process, the Committee has prepared a package of information consisting of a letter of acknowledgment, information about the review and revision process, and a supply of feedback forms with directions for their use. These forms request that the user:

- a. Describe roles and responsibilities—e.g., those of the evaluators, evaluatees, and other audiences—of persons or groups involved in the evaluation system being examined.
- b. Summarize the evaluation system in relation to each standard.
- c. Provide copies of pertinent evaluation instruments and report formats used in the system.
- d. Note any problems in applying individual standards, as well as conflicts among standards.
- e. Describe how any such conflicts were resolved.
- f. Identify limitations in individual standards and offer recommendations for refinement or revision.
- g. Identify areas not covered by the standards.

The Joint Committee has also developed a citation form, shown in Appendix B, that the user of *The Personnel Evaluation Standards* may wish to attach to evaluation plans, contracts, reports, and the like to which *The Personnel Evaluation Standards* have been applied.

Address all inquiries to:

The Joint Committee on Standards for  
Educational Evaluation  
The Evaluation Center  
Western Michigan University  
Kalamazoo, MI 49008-5178



---

# INTRODUCTION

---

This book is a guide for assessing or developing systems for evaluating education personnel. It presents and elaborates 21 standards by which to plan and assess systems for evaluating teachers, professors, administrators, counselors, and other educators. It is intended to be used (along with other materials) by board members and educators in school districts, colleges, universities, state education departments, accrediting agencies, and other educational institutions. Basically, the standards require that evaluations be proper, useful, feasible, and accurate.

The standards were developed by a Joint Committee with representatives from fourteen major professional associations concerned with education. The Joint Committee recommends that educational institutions adopt this book as their primary reference for developing, assessing, upgrading, and implementing institutional policies and procedures for evaluating education personnel.

## **The Need for Personnel Evaluation in Education**

The need for sound evaluation of education personnel is clear. In order to educate students effectively and to achieve other related goals, educational institutions must use evaluation to select, retain, and develop qualified personnel and to manage and facilitate their work.

This need has a number of important dimensions. Colleges of education and state education departments should carefully evaluate entry-level educators before certifying or licensing them to teach or advise students or to administer schools. To guide hiring decisions, faculty committees, administrators, and policy boards should conduct rigorous evaluations to identify promising job candidates and assess their qualifications to carry out particular assignments. Following hiring decisions, peer review committees, administrators, and board members should periodically assess the performance of individual educators for a host of key purposes: guiding promotion and tenure decisions, recognizing