

GUIDING PRINCIPLES CHECKLIST
for Evaluating Evaluations
in consideration of *The Guiding Principles for Evaluators*^{1,2}

prepared by Daniel L. Stufflebeam

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NOTE: This is a discussion draft. Interested persons are invited to review and/or try it out. Reactions and suggestions are welcome and should be sent to daniel.stufflebeam@wmich.edu

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This checklist is designed to apply the main ideas in the American Evaluation Association's *Guiding Principles for Evaluators*. The checklist is intended to help evaluators apply the *Principles* to plan and guide evaluations and assess evaluations. The checklist's contents generally adhere to and in some cases are taken verbatim from the *Principles*. Rewriting and/or expansion of the language in the *Principles* was done to enhance clarity and use and in some cases to extend the involved concepts. Any distortions of material drawn from the *Principles* is unintentional and the checklist developer's responsibility. Otherwise, credit for the content underlying the checklist belongs to the AEA task force members who authored the *Principles*: William Shadish, Dianna Newman, Mary Ann Scheirer, and Christopher Wye. The American Evaluation Association was not asked to endorse this checklist, and no claim is made as to the Association's judgment of the checklist. The author intends that this checklist be used to facilitate use of the *Guiding Principles* toward the aim of producing sound evaluations.

While the *Guiding Principles* were developed to guide and assess the services of evaluators, they are also advocated for use in evaluating individual evaluations. *The American Journal of Evaluation* provides space for publishing critiques and comments on previously completed evaluation studies. Contributing "meta-evaluators" are asked to "... critique the studies, by using wherever possible the existing standards and guidelines published by AEA (the 'guiding principles') and the Joint Committee (the 'evaluation standards')" This checklist is intended as a tool to assist metaevaluators to apply the *Principles* to actual studies.

The checklist is not designed as a stand-alone device for reporting metaevaluation findings. Essentially, it is a format for a metaevaluator's database. It provides the metaevaluator a means to systematically apply the *Guiding Principles*' concepts in compiling, organizing, analyzing, and formatting findings. It is intended that metaevaluators use the results from applying the checklist to prepare and deliver user-friendly reports. However, where appropriate, the completed checklist can be included in the metaevaluation's technical appendix.

AJE's advice to ground metaevaluations in both the "guiding principles" and the "evaluation standards" should be underscored. They are compatible; both have limitations; and both have valuable, unique qualities. Evaluators should employ them as complementary codes and, as appropriate, use them in concert. The "guiding principles" provide only general, although vital advice (**systematic inquiry, competence, integrity/honesty, respect for people, responsibilities for general and public welfare**) to evaluators for delivering ethical and competent service throughout their careers. They do not include details for applying the general career-oriented principles to individual studies. While the Standards focus exclusively on educational evaluations, they present detailed criteria for assessing an evaluation's **utility, feasibility, propriety, and accuracy**. Experience has shown that the Standards can be usefully adapted for assessing and guiding evaluations outside the education field. Checklists for applying the Standards are available at www.wmich.edu/evalctr/checklists/.



Evaluations Checklist Project
www.wmich.edu/evalctr/checklists/



Application Suggestions

1. As a preliminary step, characterize the target evaluation. Use Form 1 to describe the following items related to the target evaluation: client, financial sponsor, cost of the target evaluation, time frame for the target evaluation, evaluator(s), stakeholder groups, program or other object evaluated, purpose(s) of the target evaluation, key questions, methodology, reports, apparent strengths, and apparent weaknesses. Using the same form, characterize the target evaluation in a succinct paragraph.
2. Characterize the metaevaluation. Use Form 2 to describe the following items related to the metaevaluation: title of the metaevaluation; client; financial sponsor (if different from the client); other audiences; purpose(s); metaevaluation services/reports to be provided; metaevaluative questions; methods; schedule; metaevaluator(s); their relationship(s), if any, to the target evaluation; their relationship(s), if any, to the object of the target evaluation; and main contractual agreements.
3. Collect and study information needed to judge the evaluation. Applicable documents may include contracts, proposals, interim and final reports, newspaper articles, meeting minutes, correspondence, press releases, file notes, court affidavits and depositions, publications, etc. Other sources could include notes from telephone interviews and site visits. One might also provide selected stakeholders a copy of this checklist and invite them to submit information needed to arrive at the noted judgments. Use Form 3 to make a convenient list of the employed sources.
- 4a. Work through the checkpoints for each of the 5 principles (Forms 4, 7, 10, 13, and 16). Determine whether each checkpoint is applicable to the particular evaluation. Write NA on the lines to the left of the nonapplicable checkpoints. For the remaining checkpoints, place a plus (+), minus (-), or question mark (?) on the lines to the left of the applicable checkpoints. (A + means an evaluation met the checkpoint's intent, and a - means the evaluation failed to meet the checkpoint's intent.) Base your + and - conclusions on your judgment of whether the evaluation met the checkpoint's intent. Place a ? in the box if you have insufficient information to reach a judgment. Place a * in the indicated space under the column marked *minimum requirement* for any item you judge to be essential for passing the particular principle. As feasible, collect additional information needed to reach judgments about the criteria for which too little information is on hand.
- 4b. In the spaces provided (on Forms 4, 7, 10, 13, and 16), write the identifying number of each document (including applicable page numbers) or other information source (including comments as appropriate) you used to help make a judgment about each checkpoint.
- 4c. In the spaces provided at the right side of Forms 4, 7, 10, 13, and 16, record noteworthy rationales for your judgments (of +, -, NA, ?, and *).
5. When feasible (as defined below), rate the target evaluation on each principle by following the instructions for **quantitative analysis** that appear following each set of checkpoints (Forms 5, 8, 11, 14, and 17). Do this for each principle only if you have been able to assign + or - ratings as follows: 6 of the 9 checkpoints for Principle A, all 5 of the checkpoints for Principle B, 12 of the 16 checkpoints for Principle C, 9 of the 11 checkpoints for Principle D, and 10 of the 13 checkpoints for Principle E. A quantitative analysis result would be dubious for any principle or all of them collectively to the extent that many checkpoints have to be marked NA or ?. A quantitative analysis should not be done for any principle for which a checkpoint marked * (minimum requirement) is not met and should not be done overall if any checkpoint marked * is not met. Rate adherence to any principle Poor if an item marked * (minimum requirement) was not met. Consider the cut points given for making judgments of Poor, Marginal, Moderate, Good, and Excellent as general guides. Revise the cut points as you deem appropriate and provide your rationale for the revised cut points.
6. Provide an overall narrative assessment of the evaluation's satisfaction of each principle in the spaces provided for **qualitative analysis** following each set of checkpoints (Forms 6, 9, 12, 15, and 18).
7. Assess the target evaluation's sufficiency of documentation on Form 19. An evaluation should be judged Poor for any principle or overall if it contains insufficient credible evidence to support its conclusions.
8. If feasible, assign an overall rating of the target evaluation, across all 5 principles, by following the instructions for an **overall quantitative analysis** that appear in Form 20. This will be feasible only if you

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have been able—under the decision rules in 5 above—to perform quantitative analyses on all 5 principles in Forms 5, 8, 11, 14, and 17 and only if the evaluation has passed all the minimum requirement (*) items.

9. In the **qualitative analysis form** (21), briefly present your overall evaluation of the target evaluation. Do this by thoughtfully considering and synthesizing all of the information and judgments that you recorded in Forms 1 through 20.
10. **Caveat:** Temper your metaevaluation conclusions according to the **sufficiency of evidence** pertaining to the applicable checkpoints. Conclusions concerning any or all of the *Guiding Principles* should be tentative to the extent that needed evidence is lacking. However, as a general rule, evaluation comments on the target evaluation's sufficiency of documentation are appropriate. In many metaevaluations it will not be feasible to perform sensible quantitative analyses. The qualitative analyses that are always appropriate should clearly state limitations regarding such matters as the sufficiency of evidence and the feasibility of rating the evaluation by quantitative means.
11. Decide **how to report** the information in the completed checklist. Form 22 may be used to present your bottom-line judgments of the evaluation's satisfaction of each guiding principle. Sometimes the metaevaluator will employ the completed checklist only as a working document for preparing a summative evaluation report, such as an article for *AJE*. In such cases, the metaevaluator might appropriately retain and not share the completed checklist; he or she would simply use it to produce other, more user-friendly communications for clients and other stakeholders. However, sometimes it will be helpful to include the completed checklist in a technical appendix to the metaevaluation report. Determinations on these matters should be guided by considerations of how best to inform the audience and secure its interest in and use of the findings and how best to assure the metaevaluation's validity, credibility, and accountability.
12. If the metaevaluators decide to share the completed checklist, they may use Form 23 to sign and date the checklist, thereby attesting to their assessment of the target evaluation.

Form 1: Characterization of the Target Evaluation

Use this form to record basic information and initial impressions concerning the target evaluation.

Title of the target evaluation:

Client of the target evaluation:

Financial sponsor of the target evaluation (if different from the client):

Cost of the target evaluation:

Time frame for the target evaluation (e.g., from initial contract date to final report deadline):

Evaluator(s):

Stakeholder groups:

Program or other object of the target evaluation:

Purpose(s) of the target evaluation:

Key evaluative questions:

Main methods:

Key reports to be provided by those in charge of the target evaluation:

Apparent strengths of the target evaluation:

Apparent weaknesses of the target evaluation:

Brief narrative description of the target evaluation:

Form 2: Key Points Regarding the Metaevaluation

Use this form to record basic information about the metaevaluation.

Title of the metaevaluation:

Client of the metaevaluation:

Financial sponsor of the metaevaluation (if different from the client):

Other audiences for the metaevaluation:

Purpose(s) of the metaevaluation:

Key metaevaluation services/reports to be provided:

Key metaevaluative questions:

Main metaevaluation methods:

Schedule and due dates for the metaevaluation:

Title and date of the metaevaluation contract:

Metaevaluator(s):

Name:

Title:

Affiliation:

Relationship(s), if any, of the metaevaluator(s) to the target evaluation:

Relationship(s), if any, of the metaevaluator(s) to the object of the target evaluation:

Form 3: Main Documents and Other Information Sources Referenced in Judging the Target Evaluation

Rarely can a metaevaluator succeed in producing a substantive, defensible evaluation of an evaluation by simply reading the final evaluation report. In undertaking a metaevaluation it is important to collect a range of relevant documents and, as feasible, to visit with stakeholders. The information used to form metaevaluative judgments is often found in documents such as contracts, proposals, interim and final reports, technical appendices, newspaper articles, meeting minutes, correspondence, press releases, file notes, publications, etc. Beyond obtaining and studying such documents, metaevaluators should consider conducting site visits and/or telephone interviews to obtain information and judgments from the evaluation’s stakeholders. Such stakeholders include the evaluator, client, program staff, program beneficiaries, and others. It can also be useful to provide selected stakeholders with copies of this checklist and invite them to provide needed information that is otherwise unavailable. Explicitly listing and systematically referencing the documents and other sources of information on which a metaevaluation is based is not always necessary, especially in the case of small scale, formative metaevaluations. However, such documentation can be invaluable when there is a clear need to convince external audiences that the provided metaevaluation judgments are valid and credible.

Instructions: When documenting the basis for judgments, number the documents and interviews or other sources of information used to judge the target evaluation from 1 - n. Provide a label for each document or other source of information below to the right of the pertinent identification number. (When you record your judgments for each checkpoint—on Forms 4, 7, 10, 13, and 16—in the provided spaces you may record the identification number, relevant page numbers (of referenced documents), and comments concerning other information sources you used to reach your judgments.)

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Insert additional pages of references, as needed.

Form 4: Principle A—SYSTEMATIC INQUIRY

For each checkpoint, assign a NA, +, -, or ?

<p>To meet the requirements for conducting DATA-BASED, SYSTEMATIC INQUIRY, the evaluators <u>did</u>:</p>	<p>Provide the identification number(s) of information sources (from the list on Form 3) you used to reach your judgment. Provide pertinent page numbers for the referenced documents and comments, as appropriate for the other sources.</p>	<p>Place a * below for any checkpoint that you judge to be a minimum requirement, i.e., essential for meeting this principle.</p>	<p>Provide noteworthy rationales for your judgments of NA, +, -, or ?.</p>
<p>JUDGMENT</p>	<p>SOURCE</p>	<p>MINIMUM REQUIREMENT CHECKPOINTS (*)</p>	<p>RATIONALE</p>
<p>A.1</p> <p>___ Meet the pertinent technical standards for quantitative methods—so as to obtain and report accurate, credible information. Key examples are the <i>APA Standards for Educational and Psychological Testing</i> and the Accuracy section of the <i>Joint Committee Program Evaluation Standards</i>.</p>			

<p>To meet the requirements for conducting DATA-BASED, SYSTEMATIC INQUIRY, the evaluators <u>did</u>:</p>	<p>Provide the identification number(s) of information sources (from the list on Form 3) you used to reach your judgment. Provide pertinent page numbers for the referenced documents and comments, as appropriate for the other sources.</p>	<p>Place a * below for any checkpoint that you judge to be a minimum requirement, i.e., essential for meeting this principle.</p>	<p>Provide noteworthy rationales for your judgments of NA, +, -, or ?.</p>
<p>JUDGMENT</p>	<p>SOURCE</p>	<p>MINIMUM REQUIREMENT CHECKPOINTS (*)</p>	<p>RATIONALE</p>
<p>A.2</p> <p>___ Meet the pertinent technical standards for qualitative methods—so as to obtain and report accurate, credible information. The Accuracy section of the Joint Committee <i>Program Evaluation Standards</i> are applicable here.</p>			
<p>A.3</p> <p>___ Engage the <u>client</u> in exploring the limitations and advantages of a reasonable range of potential evaluation questions</p>			

<p>To meet the requirements for conducting DATA-BASED, SYSTEMATIC INQUIRY, the evaluators <u>did</u>:</p>	<p>Provide the identification number(s) of information sources (from the list on Form 3) you used to reach your judgment. Provide pertinent page numbers for the referenced documents and comments, as appropriate for the other sources.</p>	<p>Place a * below for any checkpoint that you judge to be a minimum requirement, i.e., essential for meeting this principle.</p>	<p>Provide noteworthy rationales for your judgments of NA, +, -, or ?.</p>
<p>JUDGMENT</p>	<p>SOURCE</p>	<p>MINIMUM REQUIREMENT CHECKPOINTS (*)</p>	<p>RATIONALE</p>
<p>A.4</p> <p>___ Engage an appropriate range of stakeholders in exploring the limitations and advantages of a reasonable range of potential evaluation questions</p>			
<p>A.5</p> <p>___ Engage the client in considering limitations and advantages of the evaluation methods considered to be especially applicable in the evaluation</p>			

<p>To meet the requirements for conducting DATA-BASED, SYSTEMATIC INQUIRY, the evaluators <u>did</u>:</p>	<p>Provide the identification number(s) of information sources (from the list on Form 3) you used to reach your judgment. Provide pertinent page numbers for the referenced documents and comments, as appropriate for the other sources.</p>	<p>Place a * below for any checkpoint that you judge to be a minimum requirement, i.e., essential for meeting this principle.</p>	<p>Provide noteworthy rationales for your judgments of NA, +, -, or ?.</p>
<p>JUDGMENT</p>	<p>SOURCE</p>	<p>MINIMUM REQUIREMENT CHECKPOINTS (*)</p>	<p>RATIONALE</p>
<p>A.6</p> <p>___ Explore with an appropriate range of stakeholders the limitations and advantages of evaluation methods under consideration</p>			
<p>A.7</p> <p>___ Report in sufficient detail the employed <u>approach(es)</u> and <u>methods</u> to allow others to understand, critique, and interpret the evaluation findings</p>			

<p>To meet the requirements for conducting DATA-BASED, SYSTEMATIC INQUIRY, the evaluators <u>did</u>:</p>	<p>Provide the identification number(s) of information sources (from the list on Form 3) you used to reach your judgment. Provide pertinent page numbers for the referenced documents and comments, as appropriate for the other sources.</p>	<p>Place a * below for any checkpoint that you judge to be a minimum requirement, i.e., essential for meeting this principle.</p>	<p>Provide noteworthy rationales for your judgments of NA, +, -, or ?.</p>
<p>JUDGMENT</p>	<p>SOURCE</p>	<p>MINIMUM REQUIREMENT CHECKPOINTS (*)</p>	<p>RATIONALE</p>
<p>A.8 ___ In <u>reporting</u>, make clear the limitations of the evaluation process and findings</p>			
<p>A.9 ___ In all aspects of the evaluation—from initial conceptualization to use of findings—take into account and discuss in a contextually appropriate way those values, assumptions, theories, methods, analyses, and results that will or did significantly affect the <u>interpretation</u> of the evaluative findings</p>			

Form 5: Quantitative Analysis for Principle A—SYSTEMATIC INQUIRY

Caveat: It is problematic to do any kind of precise quantitative analysis of ratings drawn from the *Guiding Principles* and this checklist, because the relative importance of different checkpoints can vary across evaluations, some checkpoints will not be applicable in given evaluations, and the authors of the *Guiding Principles* provided considerably less detail for some principles than others. There is thus no basis for defining one set of cut scores to divide such criterial concepts as Poor, Marginal, Moderate, Good, and Excellent. The following quantitative analysis procedure is provided only as a rough guide and illustration for exploring the quantitative rating matter. This procedure may be useful in some cases, but not others. Users are advised to apply the procedure with caution and where it clearly would be misleading not to apply it at all.

To apply this procedure to quantify the target evaluation’s merit in fulfilling Principle A, carry out the following steps and record your answer in the space at the right of each step.

Procedure	Answer
1. Proceed with this analysis only if all checkpoints for this principle marked * as a <u>minimum requirement</u> have been met (marked +).	
2. Determine the number of <u>applicable indicators</u> associated with Principle A by subtracting the number of Principle A indicators marked NA from the total number of Principle A indicators (9).	
3. If the number of indicators marked + or - is less than 7, <u>abort</u> the quantitative analysis and proceed to the qualitative analysis.	
4. Determine the <u>percent of Principle A applicable indicators that the target evaluation passed</u> by dividing the number of indicators marked with a plus (+) by the number of indicators <u>not</u> marked NA.	
5. Determine the <u>score for Principle A</u> by multiplying the percent of Principle A applicable indicators marked with a + by 100.	
6. Assess whether the following <u>cut scores</u> [0-24: Poor, 25-49: Marginal, 50-69: Moderate, 70-92: Good, 93-100: Excellent] ³ are acceptable and defensible for interpreting the value meaning of the score for Principle A. Indicate your decision by placing a checkmark in the appropriate space to the right. Write your rationale for your decision on this matter here:	<input type="checkbox"/> Acceptable <input type="checkbox"/> Not Acceptable
7. If you disagree with the cut scores in 6 above, provide the ones you will use here. In either case, <u>record your rating</u> of the evaluation in the space at the right. Also, provide your rationale for the new cut scores below:	

Form 6: Qualitative Summary for Principle A—SYSTEMATIC INQUIRY

Write your **overall assessment** of the evaluation’s compliance with the SYSTEMATIC INQUIRY Principle below.

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Form 7: Principle B—COMPETENCE
 For each checkpoint, assign a NA, +, -, or ?

To meet the requirements for	Provide the	Place a * below for	Provide noteworthy rationales for
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EVALUATOR COMPETENCE, the evaluators <u>did</u> :	identification number(s) and page numbers of any documents (from the list on Form 3) you used to reach your judgment.	any checkpoint that you judge to be a minimum requirement , i.e., essential for meeting this principle.	your judgments of NA, +, -, or ?.
JUDGMENT	SOURCE	MINIMUM REQUIREMENT CHECKPOINTS (*)	RATIONALE
B.1 ___ Possess (or ensure that the evaluation team possessed) the education, personal characteristics , and experience needed to establish and maintain the evaluation's <u>credibility</u>			
B.2 ___ Possess (or ensure that the evaluation team possessed) the abilities and skills needed to assure quality in all of the evaluation tasks			

<p>B.3</p> <p>— Make clear to appropriate parties any potential significant limitations of the evaluation, especially if the evaluation assignment is beyond one’s competence and cannot be declined</p>			
<p>B.4</p> <p>— Possess or acquire the special competence needed for the evaluation assignment and/or engage others who possessed the required expertise</p>			
<p>B.5</p> <p>— If needed, improve their ability to conduct the target evaluation and others like it through such means as courses, workshops, institutes, self-study, evaluations of one’s practice, and working with other evaluators to learn from their experiences and skills</p>			

Form 8: Quantitative Analysis for Principle B–COMPETENCE

Caveat: It is problematic to do any kind of precise quantitative analysis of ratings drawn from the *Guiding Principles* and this checklist, because the relative importance of different checkpoints can vary across evaluations, some checkpoints will not be applicable in given evaluations, and the authors of the *Guiding Principles* provided considerably less detail for some principles than others. There is thus no clear basis for defining one set of cut scores to divide such criterial concepts as Poor, Marginal, Moderate, Good, and Excellent. The following quantitative analysis procedures is provided only as a rough guide for exploring the quantitative rating matter. This procedure may be quite useful in some cases, but not in others. Users are advised to use the procedure with caution and where it clearly would be misleading not to use it at all.

To employ this procedure to quantify the target evaluation’s merit in fulfilling Principle B, carry out the following steps and record your answer in the space at the right of each step.

1. Proceed with this analysis only if all checkpoints for this principle marked * as a minimum requirement have been met (marked +).

2. Determine the number of applicable indicators associated with Principle B by subtracting the number of Principle B indicators marked NA from the total number of Principle B indicators (5).

3. If the number of indicators marked + or - is less than 5, <u>abort</u> the quantitative analysis and proceed to the qualitative analysis.	
4. Determine the <u>percent of Principle B applicable indicators that the target evaluation passed</u> by dividing the number of indicators marked with a plus (+) by the number of indicators <u>not</u> marked NA.	
5. Determine the <u>score for Principle B</u> by multiplying the percent of Principle B applicable indicators marked with a + by 100.	
6. Assess whether the following cut scores [0-39: Poor, 40-59: Marginal, 60-79: Moderate, 80-92: Good, 93-100: Excellent] ⁴ are acceptable and defensible for interpreting the <u>value meaning</u> of the score for Principle B. Indicate your decision by placing a checkmark in the appropriate space to the right. Write your rationale for your decision on this matter here:	<input type="checkbox"/> Acceptable <input type="checkbox"/> Not Acceptable
7. If you disagree with the cut scores in 6 above, provide the ones you will use here. In either case, <u>record your rating</u> of the evaluation in the space at the right. Also, provide your rationale for the new cut scores below:	
<p style="text-align: center;">Form 9: Qualitative Summary for Principle B—<u>COMPETENCE</u></p> <p>Write your overall assessment of the evaluation's compliance with the <u>COMPETENCE</u> Principle below.</p>	

[Empty rectangular box for student response]

Form 10: Principle C—*INTEGRITY/HONESTY*
For each checkpoint, assign a NA, +, -, or ?

<p>To demonstrate the <i>INTEGRITY and HONESTY</i> of the entire evaluation process, the evaluators <u>did</u>:</p>	<p>Provide the identification number(s) and page numbers of any documents (from the list on Form 3) you used to reach your judgment.</p>	<p>Place a * below for any checkpoint that you judge to be a minimum requirement, i.e., essential for meeting this principle.</p>	<p>Provide noteworthy rationales for your judgments of NA, +, -, or ?.</p>
JUDGMENT	SOURCE	MINIMUM REQUIREMENT CHECKPOINTS (*)	RATIONALE
<p>C.1</p> <p>___ Proactively involve the client and representative stakeholders in discussing and clarifying all important matters in the evaluation</p>			

<p>To demonstrate the <i>INTEGRITY and HONESTY</i> of the entire evaluation process, the evaluators <u>did</u>:</p>	<p>Provide the identification number(s) and page numbers of any documents (from the list on Form 3) you used to reach your judgment.</p>	<p>Place a * below for any checkpoint that you judge to be a minimum requirement, i.e., essential for meeting this principle.</p>	<p>Provide noteworthy rationales for your judgments of NA, +, -, or ?.</p>
JUDGMENT	SOURCE	MINIMUM REQUIREMENT CHECKPOINTS (*)	RATIONALE
<p>C.2</p> <p>___ Negotiate honestly and responsibly with clients and representative stakeholders concerning the questions/issues to be addressed, constraints on the study, methods to be employed, limitations of methodology, scope of anticipated results, tasks to be performed, division of responsibilities, costs, appropriate uses of results, and other important matters and <u>document the agreements</u></p>			

<p>To demonstrate the <i>INTEGRITY and HONESTY</i> of the entire evaluation process, the evaluators <u>did</u>:</p>	<p>Provide the identification number(s) and page numbers of any documents (from the list on Form 3) you used to reach your judgment.</p>	<p>Place a * below for any checkpoint that you judge to be a minimum requirement, i.e., essential for meeting this principle.</p>	<p>Provide noteworthy rationales for your judgments of NA, +, -, or ?.</p>
<p>JUDGMENT</p>	<p>SOURCE</p>	<p>MINIMUM REQUIREMENT CHECKPOINTS (*)</p>	<p>RATIONALE</p>
<p>C.3</p> <p>___ As appropriate, forewarn the client of any employed procedures or activities that likely will produce misleading evaluative information or conclusions</p>			
<p>C.4</p> <p>___ As appropriate, work with the client to prevent faulty conclusions and misinterpretation of findings</p>			

<p>To demonstrate the <i>INTEGRITY and HONESTY</i> of the entire evaluation process, the evaluators <u>did</u>:</p>	<p>Provide the identification number(s) and page numbers of any documents (from the list on Form 3) you used to reach your judgment.</p>	<p>Place a * below for any checkpoint that you judge to be a minimum requirement, i.e., essential for meeting this principle.</p>	<p>Provide noteworthy rationales for your judgments of NA, +, -, or ?.</p>
<p>JUDGMENT</p>	<p>SOURCE</p>	<p>MINIMUM REQUIREMENT CHECKPOINTS (*)</p>	<p>RATIONALE</p>
<p>C.5</p> <p>___ Facilitate the evaluation process and help remove impediments to its success</p>			
<p>C.6</p> <p>___ If compelled to do the evaluation in the face of unresolved threats to its integrity, give <u>evidence</u> of having identified and taken feasible, corrective actions (e.g., discussions at a higher level, a dissenting cover letter or appendix, refusal to sign the final document, commission of an independent metaevaluation)</p>			

<p>To demonstrate the <i>INTEGRITY and HONESTY</i> of the entire evaluation process, the evaluators <u>did</u>:</p>	<p>Provide the identification number(s) and page numbers of any documents (from the list on Form 3) you used to reach your judgment.</p>	<p>Place a * below for any checkpoint that you judge to be a minimum requirement, i.e., essential for meeting this principle.</p>	<p>Provide noteworthy rationales for your judgments of NA, +, -, or ?.</p>
JUDGMENT	SOURCE	MINIMUM REQUIREMENT CHECKPOINTS (*)	RATIONALE
<p>C.7</p> <p>___ As applicable, reach and record agreements with the client on the proper course of action before significantly changing the evaluation plan</p>			
<p>C.8</p> <p>___ As appropriate, promptly inform the client and other important stakeholders of proposed changes that would significantly affect the evaluation's scope and results</p>			

<p>To demonstrate the <i>INTEGRITY</i> and <i>HONESTY</i> of the entire evaluation process, the evaluators <u>did</u>:</p>	<p>Provide the identification number(s) and page numbers of any documents (from the list on Form 3) you used to reach your judgment.</p>	<p>Place a * below for any checkpoint that you judge to be a minimum requirement, i.e., essential for meeting this principle.</p>	<p>Provide noteworthy rationales for your judgments of NA, +, -, or ?.</p>
<p>JUDGMENT</p>	<p>SOURCE</p>	<p>MINIMUM REQUIREMENT CHECKPOINTS (*)</p>	<p>RATIONALE</p>
<p>C.9</p> <p>___ Have a record of important changes made in the approved evaluation plan, the reasons for the changes, and their likely positive and/or negative consequences</p>			
<p>C.10</p> <p>___ As appropriate, inform the client and other relevant parties to the evaluation of any interests they have in the evaluation's conduct and outcomes (including financial, political, procedural, career interests, roles and relationships to whatever is being evaluated, etc.)</p>			

<p>To demonstrate the <i>INTEGRITY and HONESTY</i> of the entire evaluation process, the evaluators <u>did</u>:</p>	<p>Provide the identification number(s) and page numbers of any documents (from the list on Form 3) you used to reach your judgment.</p>	<p>Place a * below for any checkpoint that you judge to be a minimum requirement, i.e., essential for meeting this principle.</p>	<p>Provide noteworthy rationales for your judgments of NA, +, -, or ?.</p>
<p>JUDGMENT</p>	<p>SOURCE</p>	<p>MINIMUM REQUIREMENT CHECKPOINTS (*)</p>	<p>RATIONALE</p>
<p>C.11</p> <p>___ As appropriate, take and record steps to ensure that any conflicts of interest are known and controlled (including financial, political, procedural, and career interests)</p>			
<p>C.12</p> <p>___ Identify in their evaluation reports relevant conflicts of interest and the ways and extent to which they were controlled so as not to compromise the evaluation</p>			

<p>To demonstrate the <i>INTEGRITY and HONESTY</i> of the entire evaluation process, the evaluators <u>did</u>:</p>	<p>Provide the identification number(s) and page numbers of any documents (from the list on Form 3) you used to reach your judgment.</p>	<p>Place a * below for any checkpoint that you judge to be a minimum requirement, i.e., essential for meeting this principle.</p>	<p>Provide noteworthy rationales for your judgments of NA, +, -, or ?.</p>
JUDGMENT	SOURCE	MINIMUM REQUIREMENT CHECKPOINTS (*)	RATIONALE
<p>C.13</p> <p>___ Report evaluation procedures, data, findings, and limitations of the data openly and honestly</p>			
<p>C.14</p> <p>___ As appropriate and feasible, help audiences (1) make correct interpretations and applications of the findings and (2) avoid misinterpretations and misapplications</p>			

<p>To demonstrate the <i>INTEGRITY and HONESTY</i> of the entire evaluation process, the evaluators <u>did</u>:</p>	<p>Provide the identification number(s) and page numbers of any documents (from the list on Form 3) you used to reach your judgment.</p>	<p>Place a * below for any checkpoint that you judge to be a minimum requirement, i.e., essential for meeting this principle.</p>	<p>Provide noteworthy rationales for your judgments of NA, +, -, or ?.</p>
JUDGMENT	SOURCE	MINIMUM REQUIREMENT CHECKPOINTS (*)	RATIONALE
<p>C.15</p> <p>___ As appropriate, attempt, within reasonable limits, to prevent or correct any substantial misuses of their work by others</p>			
<p>C.16</p> <p>___ Barring compelling reasons to the contrary, disclose in the evaluation report(s) <u>who requested</u> the evaluation and all sources of <u>financial support</u> for the evaluation</p>			

Form 11: Quantitative Analysis for Principle C—INTEGRITY AND HONESTY

Caveat: It is problematic to do any kind of precise quantitative analysis of ratings drawn from the *Guiding Principles* and this checklist, because the importance and applicability of checkpoints varies for different evaluations, some checkpoints will not be applicable in given evaluations, and there is no one consistent basis for setting cut scores to divide the criterial concepts of Poor, Marginal, Moderate, Good, and Excellent. The following quantitative analysis procedures is provided only as a rough guide for exploring the quantitative rating matter. This procedure may be useful in some cases, but not in others. Users are advised to apply the procedure with caution and where it clearly would be misleading not to apply it at all.

To employ this procedure to quantify the target evaluation’s merit in fulfilling Principle C, carry out the following steps and record your answer in the space at the right of each step.

1. <u>Proceed with this analysis</u> only if all checkpoints for this principle marked * as a minimum requirement have been met (marked +).	
2. Determine the number of <u>applicable indicators</u> associated with Principle C by subtracting the number of Principle C indicators marked NA from the total number of Principle C indicators (16).	
3. If the number of indicators marked + or - is less than 12, <u>abort</u> the quantitative analysis and proceed to the qualitative analysis.	
4. Determine the <u>percent of Principle C applicable indicators that the target evaluation passed by</u> dividing the number of indicators marked with a plus (+) by the number of indicators <u>not</u> marked NA.	
5. Determine the <u>score for Principle C</u> by multiplying the percent of Principle C applicable indicators marked with a + by 100.	
6. Assess whether the following <u>cut scores</u> [0-39: Poor, 40-59: Marginal, 60-79: Moderate, 80-92: Good, 93-100: Excellent] ⁵ are acceptable and defensible for interpreting the value meaning of the score for Principle C. Indicate your decision by placing a checkmark in the appropriate space to the right. Write your rationale for your decision on this matter here:	<input type="checkbox"/> Acceptable <input type="checkbox"/> Not Acceptable
7. If you disagree with the cut scores in 6 above, provide the ones you will use here. In either case <u>record the rating</u> of the evaluation in the space at the right. Also, provide your rationale for the new cut scores below:	

Form 12: Qualitative Summary for Principle C-*INTEGRITY/HONESTY*

Write your **overall assessment** of the evaluation's compliance with the *INTEGRITY/HONESTY* Principle below.

Form 13: Principle D—RESPECT FOR PEOPLE

For each checkpoint, assign a NA, +, -, or ?

<p>To meet the requirements for RESPECTING THE SECURITY, DIGNITY, AND SELF-WORTH OF THE EVALUATION’S RESPONDENTS, PROGRAM PARTICIPANTS, CLIENTS, AND OTHER STAKEHOLDERS, the evaluators did:</p>	<p>Provide the identification number(s) and page numbers of any documents (from the list on Form 3) you used to reach your judgment.</p>	<p>Place a * below for any checkpoint that you judge to be a minimum requirement, i.e., essential for meeting this principle.</p>	<p>Provide noteworthy rationales for your judgments of NA, +, -, or ?.</p>
<p>JUDGMENT</p>	<p>SOURCE</p>	<p>MINIMUM REQUIREMENT CHECKPOINTS (*)</p>	<p>RATIONALE</p>
<p>D.1</p> <p>___ Prevent or minimize risks, harms, and burdens that might be engendered to participants in the evaluation by complying with sound <u>professional ethics and standards</u>—of such associations as the American Anthropological Association, the American Educational Research Association, and the American Psychological Association</p>			

<p>To meet the requirements for RESPECTING THE SECURITY, DIGNITY, AND SELF-WORTH OF THE EVALUATION'S PROGRAM PARTICIPANTS, CLIENTS, AND OTHER STAKEHOLDERS, the evaluators <u>did</u>:</p>	<p>Provide the identification number(s) and page numbers of any documents (from the list on Form 3) you used to reach your judgment.</p>	<p>Place a * below for any checkpoint that you judge to be a minimum requirement, i.e., essential for meeting this principle.</p>	<p>Provide noteworthy rationales for your judgments of NA, +, -, or ?.</p>
<p>JUDGMENT</p>	<p>SOURCE</p>	<p>MINIMUM REQUIREMENT CHECKPOINTS (*)</p>	<p>RATIONALE</p>
<p>D.2</p> <p>___ Exercise safeguards against violating applicable professional ethics and standards by, for example, having the evaluation plan reviewed by a qualified third party, such as a human subjects review committee</p>			
<p>D.3</p> <p>___ Comply with applicable federal and state regulations on protection of human subjects</p>			

<p>To meet the requirements for RESPECTING THE SECURITY, DIGNITY, AND SELF-WORTH OF THE EVALUATION'S RESPONDENTS, PROGRAM PARTICIPANTS, CLIENTS, AND OTHER STAKEHOLDERS, the evaluators <u>did</u>:</p>	<p>Provide the identification number(s) and page numbers of any documents (from the list on Form 3) you used to reach your judgment.</p>	<p>Place a * below for any checkpoint that you judge to be a minimum requirement, i.e., essential for meeting this principle.</p>	<p>Provide noteworthy rationales for your judgments of NA, +, -, or ?.</p>
<p>JUDGMENT</p>	<p>SOURCE</p>	<p>MINIMUM REQUIREMENT CHECKPOINTS (*)</p>	<p>RATIONALE</p>
<p>D.4</p> <p>___ As applicable, meet the spirit and letter of laws and rules for informed consent for participation in the evaluation, e.g., by informing potential contributors to the evaluation of their rights to agree or decline to participate</p>			
<p>D.5</p> <p>___ As applicable, inform participants clearly and honestly about the scope and limits of confidentiality and anonymity</p>			

<p>To meet the requirements for RESPECTING THE SECURITY, DIGNITY, AND SELF-WORTH OF THE EVALUATION'S RESPONDENTS, PROGRAM PARTICIPANTS, CLIENTS, AND OTHER STAKEHOLDERS, the evaluators <u>did</u>:</p>	<p>Provide the identification number(s) and page numbers of any documents (from the list on Form 3) you used to reach your judgment.</p>	<p>Place a * below for any checkpoint that you judge to be a minimum requirement, i.e., essential for meeting this principle.</p>	<p>Provide noteworthy rationales for your judgments of NA, +, -, or ?.</p>
<p>JUDGMENT</p>	<p>SOURCE</p>	<p>MINIMUM REQUIREMENT CHECKPOINTS (*)</p>	<p>RATIONALE</p>
<p>D.6</p> <p>___ Proceed only after carefully weighing the evaluation's potential benefits and potential harms before deciding that the potential benefits significantly outweighed the disadvantages</p>			
<p>D.7</p> <p>___ Consistently perform all evaluation tasks in ways that respect the stakeholders' dignity and self-worth</p>			

<p>To meet the requirements for RESPECTING THE SECURITY, DIGNITY, AND SELF-WORTH OF THE EVALUATION'S RESPONDENTS, PROGRAM PARTICIPANTS, CLIENTS, AND OTHER STAKEHOLDERS, the evaluators <u>did</u>:</p>	<p>Provide the identification number(s) and page numbers of any documents (from the list on Form 3) you used to reach your judgment.</p>	<p>Place a * below for any checkpoint that you judge to be a minimum requirement, i.e., essential for meeting this principle.</p>	<p>Provide noteworthy rationales for your judgments of NA, +, -, or ?.</p>
<p>JUDGMENT</p>	<p>SOURCE</p>	<p>MINIMUM REQUIREMENT CHECKPOINTS (*)</p>	<p>RATIONALE</p>
<p>D.8</p> <p>___ Report any justified negative findings or critical conclusions honestly but in such a way as to avoid causing unnecessary harm</p>			
<p>D.9</p> <p>___ Take steps to maximize benefits and avoid unnecessary harm from the evaluation</p>			

<p>To meet the requirements for RESPECTING THE SECURITY, DIGNITY, AND SELF-WORTH OF THE EVALUATION'S RESPONDENTS, PROGRAM PARTICIPANTS, CLIENTS, AND OTHER STAKEHOLDERS, the evaluators <u>did</u>:</p>	<p>Provide the identification number(s) and page numbers of any documents (from the list on Form 3) you used to reach your judgment.</p>	<p>Place a * below for any checkpoint that you judge to be a minimum requirement, i.e., essential for meeting this principle.</p>	<p>Provide noteworthy rationales for your judgments of NA, +, -, or ?.</p>
<p>JUDGMENT</p>	<p>SOURCE</p>	<p>MINIMUM REQUIREMENT CHECKPOINTS (*)</p>	<p>RATIONALE</p>
<p>D.10</p> <p>— Enhance the evaluation's social equity, providing, as appropriate, contributors to the evaluation with feedback and other pertinent benefits</p>			
<p>D.11</p> <p>— Show due respect to participants concerning such matters as culture, religion, gender, disability, age, ethnicity, and sexual orientation</p>			

Form 14: Quantitative Analysis for Principle D—RESPECT FOR PEOPLE

Caveat: It is problematic to do any kind of precise quantitative analysis of ratings drawn from the *Guiding Principles* and this checklist, because some criteria are more important than others, many criteria will not be applicable in given evaluations, the importance and applicability of checkpoints vary for different evaluations, and there is no clear basis for setting cut scores to divide the criterial concepts of Poor, Marginal, Moderate, Good, and Excellent. The following quantitative analysis procedure is provided only as a rough guide for exploring the quantitative rating matter. This procedure may be useful in some cases, but not in others. Users are advised to apply the procedure with caution and where it clearly would be misleading not to apply it at all.

To employ this procedure to quantify the target evaluation’s merit in fulfilling Principle D, carry out the following steps and record your answer in the space at the right of each step.

1. Proceed with this analysis only if all checkpoints for this principle marked * as a <u>minimum requirement</u> have been met (marked +).	
2. Determine the number of <u>applicable indicators</u> associated with Principle D by subtracting the number of Principle D indicators marked NA from the total number of Principle D indicators (11).	
3. If the number of indicators marked + or - is less than 9, <u>abort</u> the quantitative analysis and proceed to the qualitative analysis.	
4. Determine the <u>percent of Principle D applicable indicators that the target evaluation passed</u> by dividing the number of indicators marked with a plus (+) by the number of indicators <u>not</u> marked NA.	
5. Determine the <u>score for Principle D</u> by multiplying the percent of Principle D applicable indicators marked with a + by 100.	
6. Assess whether the following <u>cut scores</u> [0-24: Poor, 25-59: Marginal, 60-79: Moderate, 80-92: Good, 93-100: Excellent] ⁶ are acceptable and defensible for interpreting the value meaning of the score for Principle D. Indicate your decision by placing a checkmark in the appropriate space to the right. Write your rationale for your decision on this matter here:	<input type="checkbox"/> Acceptable <input type="checkbox"/> Not Acceptable
7. If you disagree with the cut scores in 6. above, provide the ones you will use here. In either case, <u>record your rating</u> of the evaluation in the space at the right:. Also, provide your rationale for the new cut scores below:	

Form 15: Qualitative Summary for Principle D—RESPECT FOR PEOPLE

Write your **overall assessment** of the evaluation’s compliance with the **RESPECT FOR PEOPLE** Principle below.

Empty rectangular area for content.

Form 16: Principle E—RESPONSIBILITIES FOR GENERAL AND PUBLIC WELFARE

For each checkpoint, assign a NA, +, -, or ?

<p>To articulate and take into account the diversity of interests and values that may be related to the GENERAL AND PUBLIC WELFARE, the evaluators did:</p>	<p>Provide the identification number(s) and page numbers of any documents (from the list on Form 3) you used to reach your judgment.</p>	<p>Place a * below for any checkpoint that you judge to be a minimum requirement, i.e., essential for meeting this principle.</p>	<p>Provide noteworthy rationales for your judgments of NA, +, -, or ?.</p>
<p>JUDGMENT</p>	<p>SOURCE</p>	<p>MINIMUM REQUIREMENT CHECKPOINTS (*)</p>	<p>RATIONALE</p>
<p>E.1</p> <p>___ Present evaluation plans and reports that include, as appropriate, important perspectives and interests of an appropriate range of stakeholders in the program or other object being evaluated</p>			
<p>E.2</p> <p>___ Justify in their evaluation plans and reports clear reasons, if applicable, for omitting important value perspectives or the views of important groups</p>			

<p>To articulate and take into account the diversity of interests and values that may be related to the GENERAL AND PUBLIC WELFARE, the evaluators did:</p>	<p>Provide the identification number(s) and page numbers of any documents (from the list on Form 3) you used to reach your judgment.</p>	<p>Place a * below for any checkpoint that you judge to be a minimum requirement, i.e., essential for meeting this principle.</p>	<p>Provide noteworthy rationales for your judgments of NA, +, -, or ?.</p>
<p>JUDGMENT</p>	<p>SOURCE</p>	<p>MINIMUM REQUIREMENT CHECKPOINTS (*)</p>	<p>RATIONALE</p>
<p>E.3</p> <p>___ Consider in their evaluation plans and reports the broad assumptions, implications, and side effects of the program or other object being evaluated (as well as the object's structure, operations, and main effects)</p>			
<p>E.4</p> <p>___ As appropriate, give all right-to-know audiences access to the evaluative information</p>			

<p>To articulate and take into account the diversity of interests and values that may be related to the GENERAL AND PUBLIC WELFARE, the evaluators did:</p>	<p>Provide the identification number(s) and page numbers of any documents (from the list on Form 3) you used to reach your judgment.</p>	<p>Place a * below for any checkpoint that you judge to be a minimum requirement, i.e., essential for meeting this principle.</p>	<p>Provide noteworthy rationales for your judgments of NA, +, -, or ?.</p>
<p>JUDGMENT</p>	<p>SOURCE</p>	<p>MINIMUM REQUIREMENT CHECKPOINTS (*)</p>	<p>RATIONALE</p>
<p>E.5</p> <p>___ Report the evaluation process and results as clearly and simply as accuracy allowed</p>			
<p>E.6</p> <p>___ As appropriate, tailor different reports to the needs and interests of different right-to-know audiences</p>			

<p>To articulate and take into account the diversity of interests and values that may be related to the GENERAL AND PUBLIC WELFARE, the evaluators did:</p>	<p>Provide the identification number(s) and page numbers of any documents (from the list on Form 3) you used to reach your judgment.</p>	<p>Place a * below for any checkpoint that you judge to be a minimum requirement, i.e., essential for meeting this principle.</p>	<p>Provide noteworthy rationales for your judgments of NA, +, -, or ?.</p>
<p>JUDGMENT</p>	<p>SOURCE</p>	<p>MINIMUM REQUIREMENT CHECKPOINTS (*)</p>	<p>RATIONALE</p>
<p>E.7</p> <p>___ As feasible, actively disseminate the evaluation results to the right-to-know audiences</p>			
<p>E.8</p> <p>___ Make each stakeholder group aware of the existence of reports provided to other audiences and give them access to these reports as appropriate</p>			

<p>To articulate and take into account the diversity of interests and values that may be related to the GENERAL AND PUBLIC WELFARE, the evaluators did:</p>	<p>Provide the identification number(s) and page numbers of any documents (from the list on Form 3) you used to reach your judgment.</p>	<p>Place a * below for any checkpoint that you judge to be a minimum requirement, i.e., essential for meeting this principle.</p>	<p>Provide noteworthy rationales for your judgments of NA, +, -, or ?.</p>
<p>JUDGMENT</p>	<p>SOURCE</p>	<p>MINIMUM REQUIREMENT CHECKPOINTS (*)</p>	<p>RATIONALE</p>
<p>E.9</p> <p>___ Keep all reports faithful to the evaluation’s findings</p>			
<p>E.10</p> <p>___ While giving preferential treatment—as appropriate—to the client and the most important stakeholder groups, address the interests and needs of the other stakeholder groups fairly, thoughtfully, and responsively</p>			

<p>To articulate and take into account the diversity of interests and values that may be related to the GENERAL AND PUBLIC WELFARE, the evaluators did:</p>	<p>Provide the identification number(s) and page numbers of any documents (from the list on Form 3) you used to reach your judgment.</p>	<p>Place a * below for any checkpoint that you judge to be a minimum requirement, i.e., essential for meeting this principle.</p>	<p>Provide noteworthy rationales for your judgments of NA, +, -, or ?.</p>
<p>JUDGMENT</p>	<p>SOURCE</p>	<p>MINIMUM REQUIREMENT CHECKPOINTS (*)</p>	<p>RATIONALE</p>
<p>E.11</p> <p>___ As applicable, effectively identify and address conflicts of interest that posed difficulties for reporting honestly and fully to all right-to-know audiences</p>			
<p>E.12</p> <p>___ As applicable, uphold the public's right to learn about and benefit from the evaluation findings</p>			

<p>To articulate and take into account the diversity of interests and values that may be related to the GENERAL AND PUBLIC WELFARE, the evaluators did:</p>	<p>Provide the identification number(s) and page numbers of any documents (from the list on Form 3) you used to reach your judgment.</p>	<p>Place a * below for any checkpoint that you judge to be a minimum requirement, i.e., essential for meeting this principle.</p>	<p>Provide noteworthy rationales for your judgments of NA, +, -, or ?.</p>
<p>JUDGMENT</p>	<p>SOURCE</p>	<p>MINIMUM REQUIREMENT CHECKPOINTS (*)</p>	<p>RATIONALE</p>
<p>E. 13</p> <p>— Analyze and convey findings in terms of the welfare of society as a whole as well as the interests of the client and other parties</p>			

Form 17: Quantitative Analysis for Principle E—GENERAL AND PUBLIC WELFARE

Caveat: It is problematic to do any kind of precise quantitative analysis of ratings drawn from the *Guiding Principles* and this checklist, because some checkpoints are more important than others, many checklists will not be applicable in given evaluations, the checkpoints vary in importance and applicability across evaluations, and there is no one basis for setting cut scores to divide the criterial concepts of Poor, Marginal, Moderate, Good, and Excellent. The following quantitative analysis procedure is provided only as a rough guide for exploring the quantitative rating matter. This procedure may be useful in some cases, but not others. Users are advised to apply the procedure with caution and where it clearly would be misleading not to apply it at all.

To employ this procedure to quantify the target evaluation’s merit in fulfilling Principle A, carry out the following steps and record your answer in the space at the right of each step.

1. Proceed with this analysis only if all checkpoints for this principle marked * as a <u>minimum requirement</u> have been met (marked +).	
2. Determine the number of <u>applicable indicators</u> associated with Principle E by subtracting the number of Principle E indicators marked NA from the total number of Principle E indicators (13).	
3. If the number of indicators marked + or - is less than 10, <u>abort</u> the quantitative analysis and proceed to the qualitative analysis.	
4. Determine the <u>percent of Principle E applicable indicators that the target evaluation passed by</u> dividing the number of indicators marked with a plus (+) by the number of indicators <u>not</u> marked NA.	
5. Determine the <u>score for Principle E</u> by multiplying the percent of Principle E applicable indicators marked with a + by 100.	
6. Assess whether the following <u>cut scores</u> [0-24: Poor, 25-59: Marginal, 60-79: Moderate, 80-92: Good, 93-100: Excellent] ⁷ are acceptable and defensible for interpreting the value meaning of the score for Principle D. Indicate your decision by placing a checkmark in the appropriate space to the right. Write your rationale for your decision on this matter here:	<p align="center">___ Acceptable</p> <p align="center">___ Not Acceptable</p>
7. If you disagree with the cut scores in 6 above, provide the ones you will use here. In either case, <u>record the rating</u> of the evaluation in the space at the right. Also, provide your rationale for the new cut scores below:	

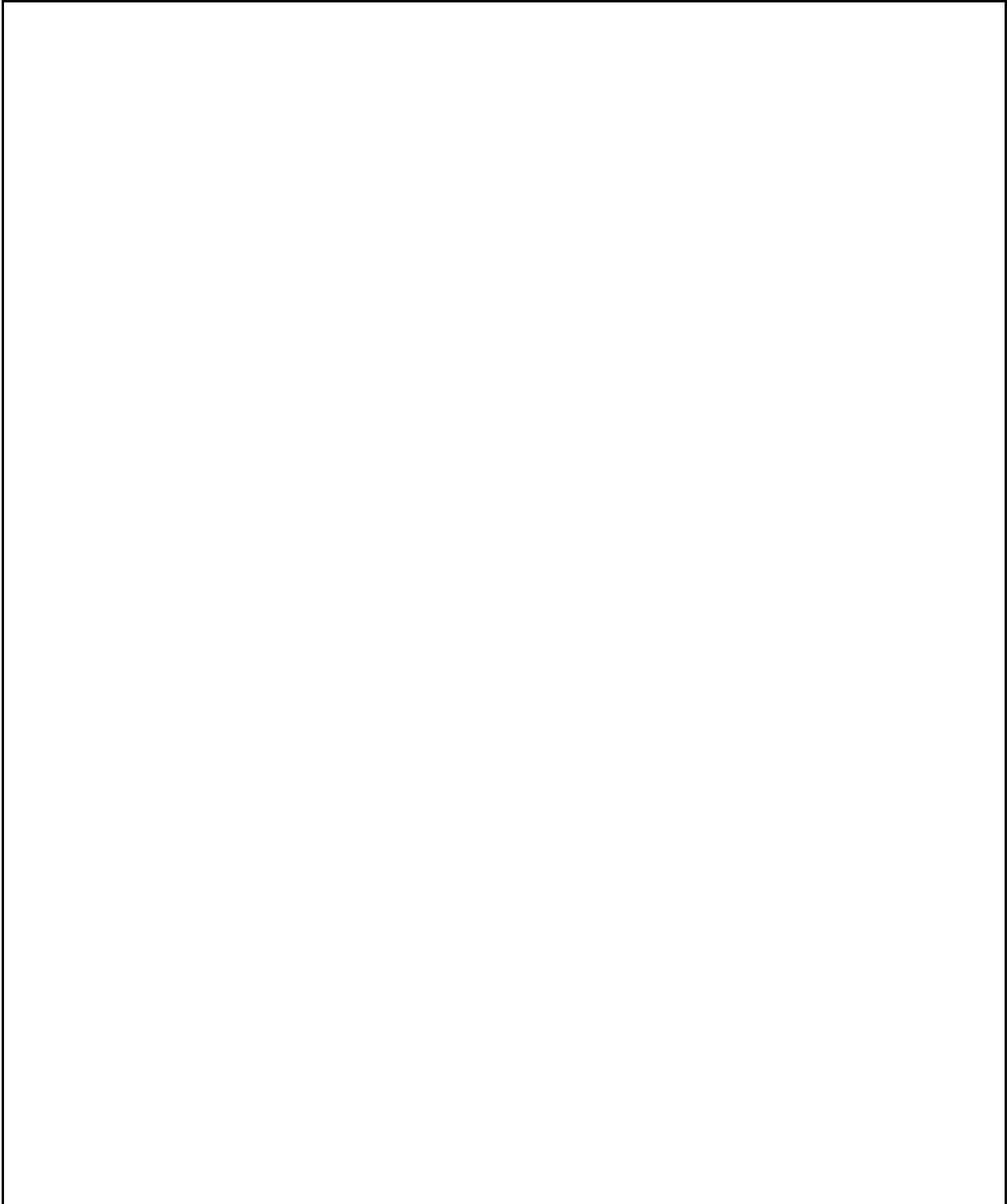
Form 18: Qualitative Summary for Principle E—RESPONSIBILITIES FOR GENERAL AND PUBLIC WELFARE

Write your **overall assessment** of the evaluation’s compliance with the **RESPONSIBILITIES FOR GENERAL AND PUBLIC WELFARE Principle** below.

Empty space for providing evaluative comments on the target evaluation's sufficiency of documentation.

Form 19: Documentation

Provide evaluative comments on the target evaluation's **sufficiency of documentation**.



Form 20: Summary Quantitative Evaluation of the Subject Evaluation

Caveat: It is problematic to do any kind of precise quantitative analysis of ratings drawn from the *Guiding Principles* and this checklist, because the relative importance of different checklists varies across different evaluations, many checkpoints will not be applicable in given evaluations, and there is no single basis for setting cut scores that divide the criterial concepts of Poor, Marginal, Moderate, Good, and Excellent. The following quantitative analysis procedure is provided only as a rough guide for exploring the quantitative rating matter. This procedure may be useful in some cases, but not others. Users are advised to apply the procedure with caution and where it clearly would be misleading not to apply it at all.

To apply this procedure to quantify the target evaluation’s merit in fulfilling all 5 AEA Guiding Principles, carry out the following steps and, as appropriate, record your answers in the space at the right of each step.

1. <u>Proceed with this analysis only</u> if you obtained ratings (in Forms 5, 8, 11, 14, and 17) for all 5 principles in accordance with the instructions given for those forms.	
2. If the target evaluation rated Poor on any principle, judge the evaluation a <u>failure</u> regardless of its ratings on the other principles.	
3. If the target evaluation rated Marginal or higher on all 5 principles, determine the evaluation’s <u>overall score</u> by summing the 5 scores and dividing by 5.	
4. Assess whether the following <u>cut scores</u> [0-24: Poor, 25-59: Marginal, 60-79: Moderate, 80-92: Good, 93-100: Excellent] ⁸ are acceptable and defensible for interpreting the value meaning of the score for the overall evaluation. Indicate your decision by placing a checkmark in the appropriate space to the right. Write your rationale for your decision on this matter here:	<p align="center">___Acceptable</p> <p align="center">___Not Acceptable</p>
5. If you disagree with the cut scores in 6. above, provide the ones you will use here. In either case, <u>record the rating</u> of the evaluation in the space at the right. Also, provide your rationale for the new cut scores below:	

Form 21: Summary Qualitative Evaluation of the Target evaluation

Assess the target evaluation’s overall merit, taking into account pertinent caveats.

[Empty box for overall summary judgment]

Form 22: Overall Summary Evaluation of the Target Evaluation

Taking account of all the preceding analyses, provide your overall summary judgment of the target evaluation by placing checkmarks in the appropriate cells below.

<u>PRINCIPLE</u>	RATINGS				
	Poor	Marginal	Moderate	Good	Excellent
A. Systematic Inquiry					
B. Competence					
C. Integrity/Honesty					
D. Respect for People					
E. Responsibilities for General and Public Welfare					

SUPPLEMENTARY COMMENTS: In the space below state any general points, caveats, etc. that readers should keep in mind as they consider the preceding bottom-line judgments.

Form 23: Attestation

To the best of my/our ability, the above analysis, judgments, syntheses, and overall assessment provide a sound evaluation of the target evaluation based on the American Evaluation Association's *Guiding Principles for Evaluators*.

Name(s) (*print*): _____

(*sign*): _____

Date: _____

(*print*): _____

(*sign*): _____

Date: _____

(*print*): _____

(*sign*): _____

Date: _____

(*print*): _____

(*sign*): _____

Date: _____

(*print*): _____

(*sign*): _____

Date: _____

1. American Evaluation Association, Task Force on Guiding Principles for Evaluators, 1995. Guiding principles for evaluators. In Shadish, Newman, Scheirer, and Wye (Eds), Guiding Principles for Evaluators, a special issue of *New Directions for Program Evaluation*, 66, 19-34, Jossey-Bass Publishers.

2. <http://www.eval.org/publications>

3. The rationale for this set of cut scores is focused mainly on the top and bottom judgment categories. Any evaluation that met less than a fourth of the checkpoints overall or for any principle would provide a poor basis for decision making. An evaluation that met 9 out of 10 criteria would be excellent, so long as the one failed is not judged to be a minimum requirement. Meeting 7 or 8 checkpoints out of 10 would seem to provide a probably good basis for decision making, again assuming that no minimum standard was missed. An evaluation that scored in the marginal and moderate ranges would not be considered good, but also not disastrous if no minimum requirement checkpoints were missed. Summative metaevaluations should seek to credit evaluations that fall in the excellent range and discourage use of those that fall in the poor and marginal ranges. Formative metaevaluations should seek to help strengthen evaluations, especially those that fall in the marginal and moderate ranges.

4. The rationale for this set of cut scores is focused mainly on the top and bottom evaluative categories. Any evaluation that met less than a fourth of the checkpoints overall or for any principle would provide a poor basis for decision making. An evaluation that met all 5 checkpoints for this principle would be excellent in the Competence category. Meeting 4 of the 5 checkpoints would seem to provide a probably good basis for decision making, again assuming that the checkpoint missed was not a minimum requirement. An evaluation that met 3 of the checkpoints would not be considered good, but also not disastrous if no minimum requirement checkpoints were missed. Summative metaevaluations should seek to credit evaluations that fall in the excellent range and discourage use of those that fall in the poor and marginal categories (0 - 3 checkpoints met). Formative metaevaluations should seek to help strengthen especially those evaluations that met 2 or 3 of the checkpoints.

5. The rationale for this set of cut scores is focused mainly on the top and bottom judgment categories. Any evaluation that met less than 40% of the checkpoints overall or for any principle would provide a poor basis for decision making. An evaluation that met 15 out of 16 checkpoints would be excellent, so long as the one failed is not judged to be a minimum requirement. Meeting 12 - 14 checkpoints out of 16 would seem to provide a probably good basis for decision making, again assuming that no minimum standard was missed. An evaluation that scored in the marginal and moderate ranges (meeting 6 to 11 checkpoints out of 16) would not be considered good, but also not disastrous if no minimum requirement checkpoints were missed. Summative metaevaluations should seek to credit evaluations that fall in the excellent range and discourage serious attention to those that fall in the poor and marginal ranges. Formative metaevaluations should seek to help strengthen especially those evaluations that fall in the moderate and good ranges.

6. The rationale for this set of cut scores is focused mainly on the top and bottom judgment categories. Any evaluation that met less than 25 percent of checkpoints overall or for any principle would provide a poor basis for decision making. An evaluation that met 10 out of 11 the checkpoints in the Respect for People category would be excellent, so long as the one failed is not judged to be a minimum requirement. Meeting 9 checkpoints out of 11 would seem to provide a probably good basis for decision making, again assuming that no minimum standard was missed. An evaluation that scored in the moderate range (meeting 7 or 8 of the 11 checkpoints) would not be considered good, but also not disastrous if no minimum requirement checkpoints were missed. Summative metaevaluations should seek to credit evaluations that fall in the excellent range and discourage use of those that fall in the poor and fair ranges (0 to 6 checkpoints met). Formative metaevaluations should seek to help strengthen especially those evaluations that fall in the moderate and good ranges.

7. The rationale for this set of cut scores is focused mainly on the top and bottom judgment categories. Any evaluation that met less than 25 percent of checkpoints overall or for any principle would provide a poor basis for decision making. An evaluation that met 12 out of 13 of the checkpoints in the General and Public Welfare category

would be excellent, so long as the one failed is not judged to be a minimum requirement. Meeting 10 or 11 checkpoints out of 13 would seem to provide a probably good basis for decision making, again assuming that no minimum standard was missed. An evaluation that scored in the moderate range (meeting 8 or 9 of the 11 checkpoints) would not be considered good, but also not disastrous if no minimum requirement checkpoints were missed. Summative metaevaluations should seek to credit evaluations that fall in the excellent range and discourage use of those that fall in the poor and marginal ranges (0 to 7 checkpoints met). Formative metaevaluations should seek to help strengthen especially those evaluations that fall in the moderate and good ranges.

8. The rationale for this set of cut scores is focused mainly on the top and bottom judgment categories. Any evaluation that met less than 25 percent of checkpoints overall would provide a poor basis for decision making. An evaluation that met 93 percent or more of the checkpoints would be excellent, so long as no checkpoint judged to be a minimum requirement was failed. Meeting 80 - 92 percent of the checkpoints would seem to provide a probably good basis for decision making, again assuming that no minimum requirement checkpoint was missed. An evaluation that scored in the moderate range (meeting 60 - 79 percent of the checkpoints) would not be considered good, but also not disastrous if no minimum requirement checkpoints were missed. Summative metaevaluations should seek to credit evaluations that fall in the excellent range and discourage use of those that fall in the poor and marginal ranges (0 - 59 percent of the checkpoints met). Formative metaevaluations should seek to help strengthen especially those evaluations that fall in the moderate and good ranges.

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