

Joint Committee on Standards for Educational Evaluation

PRINCIPLES

-including-

Mission
Objectives
Joint Committee
Host Organization and Staff
Constituency and Cooperating Organization's
Transition Rule
Indemnification

Adopted: 11/21/80

Amended: 1/15/81 - Section 4.22, 4.23, 4.24
10/15/82 - Section 3.15
9/29/83 - Section 4.22 & 4.25
4/01/90 - Section 4.26
6/30/95 - Section 4.22
9/20/95 - Section 4.32

1. Introduction

1.1 Background

In 1975 the Joint Committee on Standards for Educational Evaluation, which was comprised of seventeen members from twelve professional associations (American Association of School Administrators, American Educational Research Association, American Federation of Teachers, American Personnel and Guidance Association, American Psychological Association, Association for Supervision and Curriculum Development, Council for American Private Education, Education Commission of the States, National Association of Elementary School Principals, National Council on Measurement in Education, National Education Association, and National School Boards Association), undertook the development of a set of standards for the evaluation of educational programs, projects, and materials. The organizations represented on the original Joint Committee include associations whose members commission and use educational evaluations; associations whose members conduct and disseminate educational evaluations; and, finally, associations whose members are affected by, or whose work is the subject of, evaluations.

1.2 Definitions

The diversity of interests in the evaluation process represented on the Joint Committee required that the members agree initially on a common definition of the concepts of evaluation and standards. The definition of evaluation that guided the subsequent work of the Joint Committee was that it is the systematic investigation of the worth or merit of an educational program, project, or set of materials. Standards were viewed by the Joint Committee as principles commonly agreed to by experts in the conduct and use of evaluation for the measurement of the value or quality of an evaluation. The standards were seen as

principles governing good practice, rather than commandments; as a technical guide for those conducting evaluations; and as criteria of good practice for those who receive or are affected by an evaluation.

1.3 Need for a Standard-setting Mechanism

The first edition of the Standards was completed in late 1979 and was published by McGraw-Hill in the summer of 1981. Rather than signaling an end to the work of the Joint Committee, the publication of the Standards brought a need to sustain and broaden the Committee's mission for the following reasons:

1. The Standards constitute a living set of principles rather than a static set of guidelines. As such, there is need for a mechanism to ensure that the standards are periodically and systematically updated to reflect widely shared views of what constitutes good practice in the rapidly developing field of educational evaluation.
2. Unanticipated gaps and/or problems in interpretation of various standards will come to light and will need the attention of a responsible body.
3. Various users of the Standards will seek clarification from an authoritative source of particular standards in the light of specific applications.
4. Various users will request assistance and need training in the proper use and interpretation of the Standards.
5. Other groups involved in setting standards for evaluation in related areas will need to communicate and cooperate about the Standards with some credible organization. Collaborative efforts between the Committee and these other groups should promote

shared understanding, reduce duplicative efforts, and avert the confusion that is engendered by competing sets of standards.

6. Persons who commission, conduct, or employ the results of evaluations to improve education will need to be informed about actual uses and further developments related to the Standards.
7. Some responsible body must seek out necessary funding to maintain an ongoing standard-setting process.

1.4 Establishment of the Joint Committee

In order to meet the needs outlined above, the Joint Committee decided that it should reconstitute itself as a standing committee. A set of rules and procedures that would govern the Committee's work and ensure its independence and representativeness is needed.

1.5 Overview of the Document

This document describes the mission of the Joint Committee, how it is to be organized and maintained, its relationship to the sponsoring organizations and to other external groups, and rules and procedures to govern its work in revising the Standards and in overseeing the proper use and interpretation of the Standards. In short, this document is a list of principles from which a set of bylaws has been derived.

2. Mission

2.1 Mission Statement

The mission of the reconstituted Joint Committee on Standards for Educational Evaluation is to promote concern for evaluations of high quality based on sound evaluation practices and procedures, and to meet existing and emerging needs in the field of evaluation as summarized in Section 1.3 of this document.

2.2 Rationale

The rationale for this mission statement is based on the following assumptions:

1. Lifelong education is important to individuals, institutions within society, and society itself.
2. Evaluation is an integral, inevitable feature of all aspects of education.
3. Evaluations that are properly commissioned, conducted, disseminated, and used help improve education in general and specific programs, products, and materials in particular.
4. Evaluation standards can play a vital role in upgrading and ensuring the quality of educational evaluations.

2.3 Activities

The Joint Committee's mission can best be fulfilled by concentrating its efforts, in the immediately foreseeable future, in the following four areas:

1. Provision of training and technical assistance to evaluators and trainers of evaluators, as well as to users of the results of evaluations.

2. Research and development associated with the interpretation and use of the Standards and with the emergence of hitherto unidentified issues, needs, and uses related to the Standards, as well as the development of training and other ancillary materials that can then be tested in the actual training and technical assistance processes.
3. Dissemination of and clearinghouse for information related to the Standards and their use.
4. Revision of the Standards as needed, and expansion of their use in new directions that extend beyond educational programs, projects, and materials, (e.g., evaluation of personnel and facilities).

3. Objectives

To accomplish the mission outlined above, the Joint Committee will seek to achieve certain objectives for each of the four program areas. It should be noted, however, that the Joint Committee will be guided by certain broad principles as it pursues these objectives, viz:

- * involving all relevant constituencies, including professional organizations, government agencies, stakeholders, and the general public, so as to profit from their insights, secure their support, and gain credibility and legitimation
- * attending to those fiscal, political, legal, and ethical factors, necessary to maintain continuing viability
- * maintaining a posture of flexibility to exploit new opportunities as they arise and to move into new arenas as may become appropriate
- * maintaining strict autonomy from special interests so as to ensure continuing integrity

The specific objectives that will be pursued are:

3.1 With respect to training and technical assistance

- 3.11 To promote and conduct training courses, workshops, seminars, and the like as may be needed or requested by various constituencies
- 3.12 To respond to inquiries from the field about problems arising from efforts to apply the Standards
- 3.13 To assist other agencies and organizations in working out applications of the Standards to their particular evaluation contexts
- 3.14 To render opinions and interpretations with respect to problems or issues that may arise in applying the Standards
- 3.15 To review court cases in which the Standards may be involved to determine whether or not to act as Amicus Curiae

3.2 With respect to research and development

- 3.21 To undertake basic and applied research on questions regarding the Standards, such as existence and resolution of conflicts between standards, strengths and weaknesses of the Standards in different areas of application such as personnel or facilities evaluation, costs incurred in adhering to the Standards; and the like
- 3.22 To develop training materials required to undergird the activities of the training and technical assistance program thrust

- 3.23 To develop derivative documents such as case books, handbooks, adaptations for special audiences (e.g., school boards), and the like
- 3.24 To mount a program of visiting scholars, fellows, and interns to carry out research and development activities beyond the scope of the Committee's support staff

3.3 With respect to the clearinghouse/dissemination function

- 3.31 To receive solicited feedback (citation forms, feedback forms, critiques, commentaries, etc.) from the field, and to analyze and route information from there to appropriate units (e.g., training, new ventures)
- 3.32 To maintain project archives and a project library
- 3.33 To publish newsletters and bulletins about the Standards directed to the Joint Committee's several constituencies
- 3.34 To collect and analyze certain information relating to use of Standards, such as extent of use, nature of use, responses and reactions to use, relevant court rulings, and other items that may be determined to be of interest
- 3.35 To develop and maintain liaison with the professional, governmental, stakeholding public constituencies
- 3.36 To develop and administer an information service about evaluation in general and the Standards in particular

3.4 With respect to new ventures

- 3.41 To revise and improve existing standards as may be appropriate in view of developing experience
- 3.42 To publish periodic updates and amendments to the Standards
- 3.43 To aim toward the publication at some future time (e.g. five years) of a second edition of the Standards
- 3.44 To explore new arenas in which evaluation standards may be needed, e.g., personnel and facilities
- 3.45 To develop standards in those new arenas in which such development is judged to be timely and feasible

4. The Joint Committee

The Joint Committee is the recognized professional group for setting evaluation standards and promoting their use. The Committee determines its own policy. It elects three directors, a chair, and a vice-chair. It performs its work on behalf of its constituents: i.e., persons and groups involved in educational evaluation.

This section describes the Joint Committee's responsibilities and functions. It outlines procedures for nomination, filling vacancies, and appointment of officers and supporting staff.

4.1 Objectives and Method of Appointment

4.11 Objectives

The objectives of the Joint Committee are:

1. To articulate policies by which the Joint Committee sets standards and carries out associated functions
2. To systematically obtain feedback and advice from stakeholders during the process of standard setting
3. To articulate standards (a main responsibility of the Joint Committee involving assessment of needs for standards, drafting trial standards, obtaining reactions and advice from the field, studying relevant literature, and finalizing standards)
4. To promote the sound use of the standards (through researching the use of the standards, issuing interpretations in response to pervasive issues and specific problem areas, and promoting and assisting training)
5. To ensure that the standards are appropriately evaluated (in terms of use, effects, currency, and adequacy)
6. To recruit and negotiate agreements with sponsoring and cooperating organizations, to inform and involve them in the work of the Joint Committee and to help them use and disseminate the standards
7. To obtain funds to support the work of the Joint Committee (by marketing Joint Committee products and writing and submitting grant and contract proposals)

8. To employ and direct the Director of the Staff

4.2 Size and Composition

4.21 Size

To continue the successful nature of the Joint Committee, it will be composed of a chairperson and up to 18 members. It is important that the Joint Committee be composed of an equal number of members to represent each of two perspective groups--those who are primarily responsible for conducting and reporting the results of educational evaluations (Perspective A) and those who are primarily interested in the impact or consequences of those results (Perspective B). The Joint Committee will continually attempt to maintain balance within the membership in terms of individuals whose primary perspective is either Perspective A or Perspective B. This balance is important so that the Committee is not biased toward Perspective A or Perspective B. A perception of bias in either direction is likely to jeopardize the use of the Standards when conducting evaluations, and is likely to jeopardize the credibility of an evaluation report.

Through June 1981, the original seventeen members of the Joint Committee will constitute the Joint Committee's membership. During this period, the Committee will carry out the procedures outlined in Section 4.22 to 4.27 to ensure the prescribed changes in the Joint Committee by July 1981. From July 1981 the Joint Committee should equitably reflect the major interests and concerns of Perspectives A and B. It should also reflect the range of viewpoints, specialized skills and knowledge relevant to the conduct and use of sound evaluation. The representatives of Perspectives A and B should be highly credible to all segments of the constituency and be free from conflict of interest associated with their assignment on the

committee. Collectively they must have knowledge of evaluation and education and a concern for the public interest in matters of educational evaluation.

4.22 Sponsoring Organizations

The Joint Committee will invite organizations to become Sponsoring Organizations. A Sponsoring Organization is an organization which appoints and sponsors a member of the Joint Committee.

Up to 12 Sponsoring Organizations shall be selected to appoint members which shall represent Perspective A (Technical), and up to 12 shall be selected to appoint members which shall represent Perspective B (Practitioner). Travel costs for the member to the annual meeting must be provided by the Sponsoring Organization.

4.23 At-Large Members

In the event that less than 18 organizations volunteer to become Sponsoring Organizations, the Joint Committee will appoint at-large members so as to achieve parity between Perspective A and Perspective B. The Joint Committee may or may not appoint enough at-large members to completely fill the 18 places assigned to Perspective A and Perspective B. Provided funds are available, the Joint Committee will pay the travel expenses of the at-large members.

The Joint Committee will take affirmative action to help assure that women and minorities are represented by membership on the Joint Committee, especially in its own appointments of at-large members necessary for parity in perspective.

4.24 Vacancies

In the event of a vacancy occurring in the Joint Committee, the original Sponsoring Organization will be invited to appoint a replacement to serve the remainder of the term of office (see Section 4.25). If the appointee of a Sponsoring Organization is elected Chair, the Sponsoring Organization will appoint a new member to the Joint Committee. If the Sponsoring Organization fails to nominate a replacement, or if the original member had not been nominated by a Sponsoring Organization, the Joint Committee may appoint an at-large member to fill the vacancy.

4.25 Term

The length of each member's term of office shall be determined by the Sponsoring Organization.

If "at-large" members need to be appointed, the Executive Committee will appoint persons in accordance with the following guidelines:

1. equity in representation by "perspective" organizations and members
2. no more than six new members each year (i.e., no more than three from each perspective group)
3. appointments for 1-, 2-, or 3-year terms made to closely achieve perspective equity as well as affirmative action guidelines.

4.26 Termination of Sponsorship and Membership

If the representative, or substitute, of a sponsoring organization does not attend an annual meeting, and if there is no reasonable excuse, the chairperson will inform the sponsoring organization that

if its representative, or substitute, fails to attend the next meeting of the Joint Committee then the organization, as a requirement of continuing membership, must appoint a new representative.

If an At-Large member, or substitute, does not attend the Annual Meeting, the member will be replaced after appropriate notice unless there are extenuating circumstances in the judgment of the Joint Committee.

4.3 Organization

4.31 Duties and Responsibilities of Joint Committee

The Joint Committee will:

1. Serve as the governing body
2. Carry out the objectives specified in Section 4.11
3. Select a host organization (see Section 5) and contract therewith
4. Approve an annual budget
5. Determine priorities
6. Elect directors
7. Elect a Chair, a Vice-Chair, and three members to an Executive Committee
8. Select a Staff Director
9. Delegate specific duties to the Executive Committee and to the Director of Staff

4.32 Executive Committee: Size and Composition

The Executive Committee will be composed of six members, five elected plus the Staff Director. Both the Chair and the Vice-Chair of the Joint Committee will serve as ex-officio members of the Executive Committee. Both will serve three year terms. Three other members of the Joint Committee will be elected to the Executive Committee according to procedures established by the Joint Committee. The Staff Director will serve as an ex-officio member without voting power.

The elected members of the Executive Committee will take office sixty days following the annual meeting. Vacancies will be filled by the Joint Committee according to procedures adopted by the Joint Committee.

4.33 Executive Committee: Duties and Responsibilities

The Executive Committee will:

1. Represent and act on both policy and procedural matters for the Joint Committee in the day-to-day activities and in the time intervals between meetings of the Joint Committee
2. Serve as the Board of Directors of the incorporated body
3. Perform other functions and duties as may be delegated by the Joint Committee
4. Approve changes in expenditures, the annual total not to exceed 10 percent of the budgeted expenditures from all sources

4.34 Chair: Duties and Responsibilities

The Chair will:

1. Serve as principal elected officer
2. Preside at meetings
3. Prepare an agenda of projects and assign priorities with the advice of Executive Committee
4. Establish task forces with the assistance and advice of the Executive Committee
5. Appoint task force members with the assistance and advice of the Executive Committee
6. Delegate particular functions or duties to Joint Committee members
7. Establish operating and administrative procedures for task forces
8. Supervise the Staff Director

4.35 Vice-Chair: Duties and Responsibilities

The Vice-Chair will:

1. Serve as principal elected officer in the event of the absence or resignation of the Chair and perform all duties related thereto
2. Monitor all financial transactions
3. Perform other duties as specified by the Chair or by the Joint Committee

4.36 Joint Committee Meetings

There shall be at least one meeting a year, which shall be designated the annual meeting. The time and venue of the meeting shall be announced at least ninety days prior to the meeting and the agenda shall be sent at least thirty days prior. Other meetings may be called by the Chair or the Executive Committee. A simple majority of the membership of the Joint Committee plus the Chair shall constitute a quorum for the Joint Committee.

4.37 Executive Committee Meetings

Meetings of this Executive Committee shall be called by the Chair. Notification of time and venue shall be at least 45 days prior to the date of the meeting. Three elected members including the Chair or Vice-Chair shall constitute a quorum for an Executive Committee meeting.

4.38 Voting Procedures

1. A simple majority shall be required, except as otherwise provided in this section.
2. A two-thirds vote shall be required for the adoption of:
 - a. the addition of any new standard
 - b. an authoritative interpretation of an existing standard
3. The rules of parliamentary procedures contained in Roberts Rules of Order (current edition) will govern all meetings.

4.39 Financial Structure

Funds for the Joint Committee's work shall come from (1) royalties and other income from the sale of the Standards and any ancillary documents or materials, (2) fees paid for training, (3) contracts and grants from governmental and private agencies, (4) in-kind contributions from sponsoring organizations, and (5) other sources as the Joint Committee will determine.

The Staff Director will be responsible for preparing a budget, accounting for all revenue and expenditures, and preparing such financial reports as the Joint Committee may determine. Financial decisions shall be guided by a majority of the Joint Committee and monitored by the Vice-Chair. Approval

of the budget by a majority of the Joint Committee will constitute authority to make expenditure for the designated purposes. The Executive Committee of the Joint Committee may, between meetings, authorize changes in expenditures, in annual total not to exceed 10 percent of budgeted expenditures.

5. Host Organization and Staff

5.1 Identification and Selection

The Joint Committee will identify and select a host organization which will house its personnel, records, and materials. The host organization should be a university or an independent research and development agency. Within the host organization there must be an identifiable unit whose goals and expertise lie in the areas of educational evaluation and research and whose staff has the capability, commitment, and leeway to give substantial attention to the four major charges of the Joint Committee (see Section 3).

5.2 Function and Role

The function of the host organization is to conduct those activities necessary to accomplish the four charges which are not exclusive prerogatives of the Joint Committee. The host organization shall have the capacity and willingness to:

- (1) House and maintain the Committee's archives, library, and staff
- (2) Maintain and administer the Committee's funds, maintain fiscal records, and provide for audits of the use of the funds

- (3) Consider providing temporary in-kind resources so that the work of the Committee can continue during those brief periods when grant funds and royalties from sales of Standards may not be sufficient
- (4) Honor and protect the Committee's need for independence (from the host organization) in its mission of formulating and developing evaluation standards

The host organization must be committed to serving the public interest, be financially solvent, have the capacity to prepare material for publication, possess accounting capabilities, be free from the control or domination of special interest groups, have equal allegiance to all segments of the constituency for the evaluation standards, and possess high credibility.

5.3 Formal Relationship

The Joint Committee will contract with the host organization for a period of three years, the contract to be reviewed during the year prior to its expiration. Among the criteria examined in this review will be the staffing arrangement, the nature of the support received from the host organization, and the success of the unit in accomplishing the goals set for it by the Joint Committee.

5.4 Staffing

The staff will consist of a Staff Director and such other program administrators, evaluators, researchers, and support services as are necessary to accomplish the goals of the Joint Committee. The Staff Director will be acceptable to both the host organization and the Joint Committee. Members of the staff are responsible to the Staff Director who in turn is responsible to the Chair of the Joint Committee.

5.5 Staff Director

The Staff Director will be the chief professional advisor to the Joint Committee in its efforts to achieve its goals and will plan and prepare programs to that end (see Section 3). The Staff Director will be responsible for the general supervision of all projects assigned to the staff, the fiscal management of the Joint Committee's funds, the supervision of the work of the staff members, the secretarial function of the Joint Committee, and other administrative and leadership functions as may be designated by the Joint Committee. The Staff Director will be expected to exercise initiative and leadership during the term of the appointment.

5.6 Visiting Scholars, Fellows and Interns

As funds permit, the Staff Director will have the authority to offer one year appointments to Visiting Scholars, Fellows, and Interns. Appointments may be renewed for an additional year. Such persons will be responsible to the Staff Director. Persons who are offered appointments will be expected to provide conceptual and/or technical support to the work of the Joint Committee. This support may take the form of evaluations of the use of the Standards, development of evaluation materials, provision of training services, revision of existing standards, and the development of new standards. The Staff Director or his/her designee will be responsible for providing appropriate support services to enable the Visiting Scholar, Fellow, or Intern to carry out the terms of the appointment.

6. Constituency and Cooperating Organizations

This section presents the network of constituents and supporting organizations through which the Joint Committee derives support for its work.

6.1 Constituency

The constituents of the Joint Committee include persons who commission, conduct, or employ the results of evaluations to improve education: teachers, administrators, evaluators, curriculum specialists, school board members, legislators, counselors, leaders of educational associations, parents, and others. In general, the constituents include all those who have an interest in the work of the Committee.

The Joint Committee's work in setting and promoting the use of standards should take account of, but not be dominated by, the constituents' views. The standard-setting process should be legislative in attempting to deliberate all relevant viewpoints, and the standard setters should be representative of the entire constituency. Moreover, standard-setting should include input and pre-enactment review through such means as public hearings, symposia at professional conventions, surveys newsletters, and circulation of discussion memoranda for reactions.

6.2 Cooperating Organizations

Cooperating organizations provide another means of linking the standard-setting process to the full range of constituents. These are organizations which desire to be kept informed about and be involved in the work of the Joint Committee but which are not among the Sponsoring Organizations. There is no limit to the number of Cooperating Organizations.

7. Transition Rule

Standards effective at the date of issue of these Principles and Bylaws and any revisions, whether issued prior to or after the date of issue of these Principles and Bylaws, should be considered as continuing in force with the same degree of authority except to the extent altered, amended, supplemented, revoked or superseded by one or more statements issued by the Joint Committee.

Regardless of a change in title, and regardless of changes in its composition and structure, the Evaluation Standards-Setting Project's standard-setting body remains solely responsible for issuing new standards or superseding existing standards.

This transition rule applies whenever the standard-setting body changes title or structure.

8. Indemnification

The Joint Committee may indemnify any member, officer, agent, or employee of the Joint Committee against expenses actually and necessarily incurred in connection with the defense of any action, suit, or proceeding in which the member, officer, agent or employee is made a party by reason of being or having been such member, officer, agent, or employee.