



# UNEG Evaluation Competency Framework Pilot Review

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*Submitted by Tessie Catsambas and Indu Chelliah*

*3 May 2018*



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*Report for review by UNEG's Professionalisation Group*

3 May 2018

**Team Members:**

Tessie Catsambas, Indu Chelliah

**Contact:**

Tessie Catsambas

CEO/CFO

Email: [tcatsambas@encompassworld.com](mailto:tcatsambas@encompassworld.com)

EnCompass LLC

1451 Rockville Pike, Suite 600

Rockville, MD 20852

Tel: +1-301-287-8700

# CONTENTS

## Table of Contents

<b>ACRONYMS</b> .....	<b>IV</b>
<b>EXECUTIVE SUMMARY</b> .....	<b>V</b>
<b>BACKGROUND</b> .....	<b>1</b>
1 Introduction .....	1
2 Methodology and Data Sources .....	1
2.1 <i>Phases of the Review</i> .....	1
2.2 <i>Data Sources</i> .....	2
2.3 <i>Limitations of the Data</i> .....	2
2.4 <i>Disclosure</i> .....	2
3 Context .....	3
3.1 <i>Revised Evaluation Competency Framework (ECF)</i> .....	3
3.2 <i>Creation of Pilot Projects</i> .....	3
<b>PILOT PROJECTS</b> .....	<b>5</b>
4 UN Women .....	5
5 WFP .....	6
6 UNFPA #1 .....	7
7 UNFPA #2 .....	8
8 ICAO .....	9
9 ILO .....	10
<b>FINDINGS</b> .....	<b>11</b>
10 Relevance .....	11
10.1 <i>To what extent did the pilots respond to the pre-established criteria for selection?</i> ..	11
10.2 <i>Non-Pilot Uses of the ECF</i> .....	13
11 Effectiveness .....	13
11.1 <i>ECF Usefulness, Constraints to Use and Lessons</i> .....	14
11.2 <i>Survey Findings</i> .....	18
11.3 <i>Additional Questions and Reflections on the Use of the ECF</i> .....	21
<b>CONCLUSIONS</b> .....	<b>23</b>
12 ECF Uses, Challenges and Lessons .....	23
13 Organizational level .....	23
Benchmarking and Postscript: The experience of IDEAS on its competency framework use .....	24
<b>ANNEXES</b> .....	<b>27</b>

# Table of Exhibits

## Figures

Figure 1: Timeline of the revised framework and pilots.....	4
Figure 2: Uses of the ECF to date .....	18
Figure 3: Most useful features of the ECF.....	19
Figure 4: Top barriers/challenges to ECF implementation .....	20
Figure 5: Ways to make the ECF more useful .....	21

## Tables

Table 1: Review of UNEG Pilot Criteria .....	11
Table 2: UNEG ECF Pilot Response to Pre-Established Criteria.....	12
Table 3: ECF Pilot Current Status.....	14
Table 4: Useful Features, Challenges and Lessons of ECF Application in Recruitment Pilots .....	15
Table 5: Useful Features, Challenges and Lessons of ECF Application in Training Pilots .....	16
Table 6: Useful Features, Challenges and Lessons of ECF Application in Self-Assessment Pilots .....	17

## ACRONYMS

AGM	Annual General Meeting
CEC-NY	Claremont Evaluation Center – New York
CSO	civil society organisation
ECD	evaluation capacity development (UNFPA)
ECF	Evaluation Competency Framework
FAO	Food and Agriculture Organization
HR	human resources
ICAO	International Civil Aviation Organization
IDEAS	International Development Evaluation Association
IECP	Internal Evaluation Certification Programme (ILO)
ILO	International Labour Organization
M&E	monitoring and evaluation
OPCW	Organisation for the Prohibition of Chemical Weapons
TOR	terms of reference
UN	United Nations
UNEG	United Nations Evaluation Group
UNFPA	United Nations Population Fund
UNICEF	United Nations International Children’s Fund
UNITAR	United Nations Institute for Training and Research
VOPE	Voluntary Organization of Professional Evaluators
WFP	World Food Programme

# Executive Summary

## Introduction

This is a review of the pilot projects to test potential uses of the UNEG Evaluation Competency Framework (ECF). The review was conducted by EnCompass LLC and led by Tessie Catsambas, who was also involved in the WFP pilot.

## The Approach

The review took place from March to May 2018 and involved a review of documents related to the pilots, interviews of key informants, a survey of the professionalization working group and heads of UNEG agencies that were not involved in the ECF, a group review of the first report draft with additional input and a brief benchmarking against the reported use of the IDEAS Evaluation Competency Framework.

## Findings

*The pilots were generally well designed to test different possible uses of the ECF.* All pilots were in line with the six selection criteria set by UNEG's Professionalisation of Evaluation Working Group. Several additional non-pilot uses of the ECF emerged, and these were also reviewed.

*The ECF is useful in content and structure, but further clarification of the seniority levels and how to assess proficiency in key competencies would be useful.* Pilot implementers found the ECF useful in many ways, including as a clear and approved reference of the competencies, the range of the pillars, as a guide for developing job descriptions, writing curricula, conducting a self-assessment and drafting a development plan. For some agencies, implementing the seniority levels required some adaptation. When conducting self-assessment and crafting a development plan, some users reported challenges in assessing their proficiency levels. Special challenges were mentioned regarding the application of the framework to non-evaluators, e.g. evaluation commissioners and managers. There was consensus that the ECF would be made easier to use if examples, samples, cases and further how-to-guides were provided.

*Organizational factors that contributed to successful use of the ECF include committed leadership in the agency's evaluation unit and positive relationships with an agency's human resources (HR) department.* Pilots with evaluation leadership support were implemented fully and contributed to the evaluation unit's internal learning, while those without such support were never implemented. Because competencies are traditionally seen as belonging to the purview of human resources, positive collaboration with HR departments made the integration of ECF in organizations easier, whereas the lack of such collaboration made it difficult.

*To enable UN agencies to embrace and integrate the ECF, UNEG needs to (1) openly share tools, samples and how-to-guides, (2) identify relevant, high-quality training programmes for staff to implement their development plans and (3) develop short, simple materials to communicate the purpose, use and benefits of the ECF.* The early successes in the use of the ECF through the pilots have increased demand for using the framework. This use will be made more efficient if each agency shares openly the tools, curricula, job descriptions, sample assessment plans, etc. that it develops. The successful application of self-assessment also created a demand for appropriate, high-quality evaluation learning programmes, both inside and outside the United Nations. It is important to consider capacity constraints of smaller UN agencies to develop their own evaluation training, as well as opportunities for these agencies to collaborate with larger UNEG partners to access relevant, high-quality evaluation training. In addition, there is variation in the need for evaluation training among staff—e.g. junior evaluation staff, evaluation managers and commissioners, and senior evaluation commissioners and managers who are called upon to use evaluation in program decisions. Finally, mainstreaming the framework across the United Nations will help bring into line UN evaluation leaders who have not yet prioritised it. For this, further refinement and dissemination of ECF communication materials would be helpful.

*In conclusion, there is a lot to celebrate related to the use and utility of the ECF, and UNEG is now in a position to consider more strategic questions related to the framework.* UNEG should celebrate having come to this place of consensus with an excellent framework and highly positive results from its pilot phase, in spite of some limitations. As UNEG takes steps to improve the usability and utility of the ECF, it might now also engage in further reflection on some larger questions:

- a. What are the best options for building ECF competencies – both internal and external to the UN?
- b. How might UNEG engage in a global conversation on evaluation competencies with other actors—especially VOPEs and academia, which are both key UN stakeholders? There is currently both support and resistance to the idea of working toward a common set of core global evaluation competencies.
- c. Although a 2015 study commissioned by the working group concluded that UNEG should not function as an educational or credentialing body, to what extent does UNEG have an appetite for revising that conclusion<sup>1</sup>, as opposed to working with academia and the private sector to influence offerings, or another option?

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<sup>1</sup> Given that one pilot (ILO) involved a credentialing program.

## BACKGROUND

### 1 Introduction

As part of its efforts to support the evaluation function across 47 member UN agencies, the United Nations Evaluation Group (UNEG) created an updated Evaluation Competency Framework (ECF) in 2016 to standardize the competencies required of evaluators, evaluation unit heads and evaluation commissioners and managers. UNEG's Professionalisation of Evaluation working group recognized that theoretical frameworks are often difficult to apply in practice and that it was important to develop a set of lessons and best practices. The working group therefore supported the development of six ECF pilot projects at five UN agencies between fall 2016 and spring 2017.

One year later, the working group engaged EnCompass LLC in March 2018 to conduct a review of the pilot projects. The purpose of the review was to analyse the process of piloting the new framework and to draw lessons on the usefulness of the ECF in the areas that had been piloted. In particular, UNEG hoped to answer fundamental questions about the relevance and process effectiveness of the six pilots, including key lessons learned and recommendations for the way forward.

In its scope of work, EnCompass was asked to:

- Assess the relevance of the design and structure of the pilots for testing the use of the ECF
- Assess the effectiveness of the pilots' implementation, including lessons from implementation
- Add broader reflections on the ECF's use, including any emerging good practices.

Refer to Annex 1 for the complete terms of reference (TOR) for this consultancy.

EnCompass conducted a series of review activities in March and April 2018, including desk review of relevant documents, interviews with key UNEG working group and pilot agency stakeholders and a survey to understand ECF use across the broader UNEG membership. Findings and recommendations were presented to the UNEG working group in early May 2018.

### 2 Methodology and Data Sources

#### 2.1 Phases of the Review

The pilot project review was conducted in three phases:

- 1) **Learning about the revised evaluation competency framework and pilot projects**— EnCompass conducted a desk review of provided documents related to the ECF, the background of the UNEG professionalisation working group and the pilot projects.
- 2) **Developing data collection tools**—Based on new understandings from the desk review, EnCompass prepared interview guides for stakeholders from both pilot and non-pilot UNEG agencies. Initial interviews were used to inform the construction of a survey to assess ECF use



and understanding across the broader UNEG membership. Both sets of data collection tools were shared with UNEG working group representatives prior to use.

- 3) **Data collection, analysis and report**—EnCompass analysed the results of the desk review, key informant interviews and survey response to develop an assessment of the pilots, summarize key lessons and propose recommendations.

To ensure that the review was aligned with UNEG’s needs, EnCompass engaged working group stakeholders through the following methods:

- **Input in data collection tools** —Both the interview guides and survey questions were reviewed by UNEG working group members before being used.
- **Serving as interviewees**—Working group members were key informants for the pilot projects and were able to flag important issues to keep in mind for the review.
- **Feedback session on 2 May 2018**—Comments from current and former working group members were provided during a draft review on 2 May and subsequently incorporated into the final report.

## 2.2 Data Sources

For this review, sources of data included:

- Professionalisation of evaluation and framework documents (provided by UNEG working group, see Annex 2)
- Initial pilot proposals from August and September 2016 and pilot progress reports from February and March 2017 (provided by UNEG working group)
- Twelve (12) interviews with 16 individuals at 10 organizations, including one group discussion
- A survey of 39 UNEG member representatives that was circulated from 23 to 27 April 2018 using Survey Monkey (N=20)—Response rate 51%
- Additional pilot-specific documents provided by interviewees
- A feedback session with seven members of the professionalization working group, with additional input provided by email

## 2.3 Limitations of the Data

This review has relied primarily on self-reporting. With one exception (WFP’s EvalPro, for which EnCompass is the supporting consulting team), the assessment team did not review pilot products.

## 2.4 Disclosure

Tessie Catsambas has provided design and facilitation support for WFP in one of the learning programmes submitted as pilots and is thus not independent in this respect.

## 3 Context

### 3.1 Revised Evaluation Competency Framework (ECF)

Unlike the original framework from 2008, the revised 2016 ECF was a single document that featured more enhanced competencies and closely aligned with the revision of the new Norms & Standards. It was also better able to distinguish between levels of seniority, creating three distinct levels with different expectations of competency skills based on role, and was more directly applied to programme staff who may commission or manage evaluations rather than conduct them directly.

#### Features of Revised ECF

- Single document
- Targeted for evaluators, evaluation unit heads, commissioners and managers
- Three skill levels (distinct from UN salary grades)
- Enhanced use of five competencies
- Complemented updated UNEG Norms & Standards

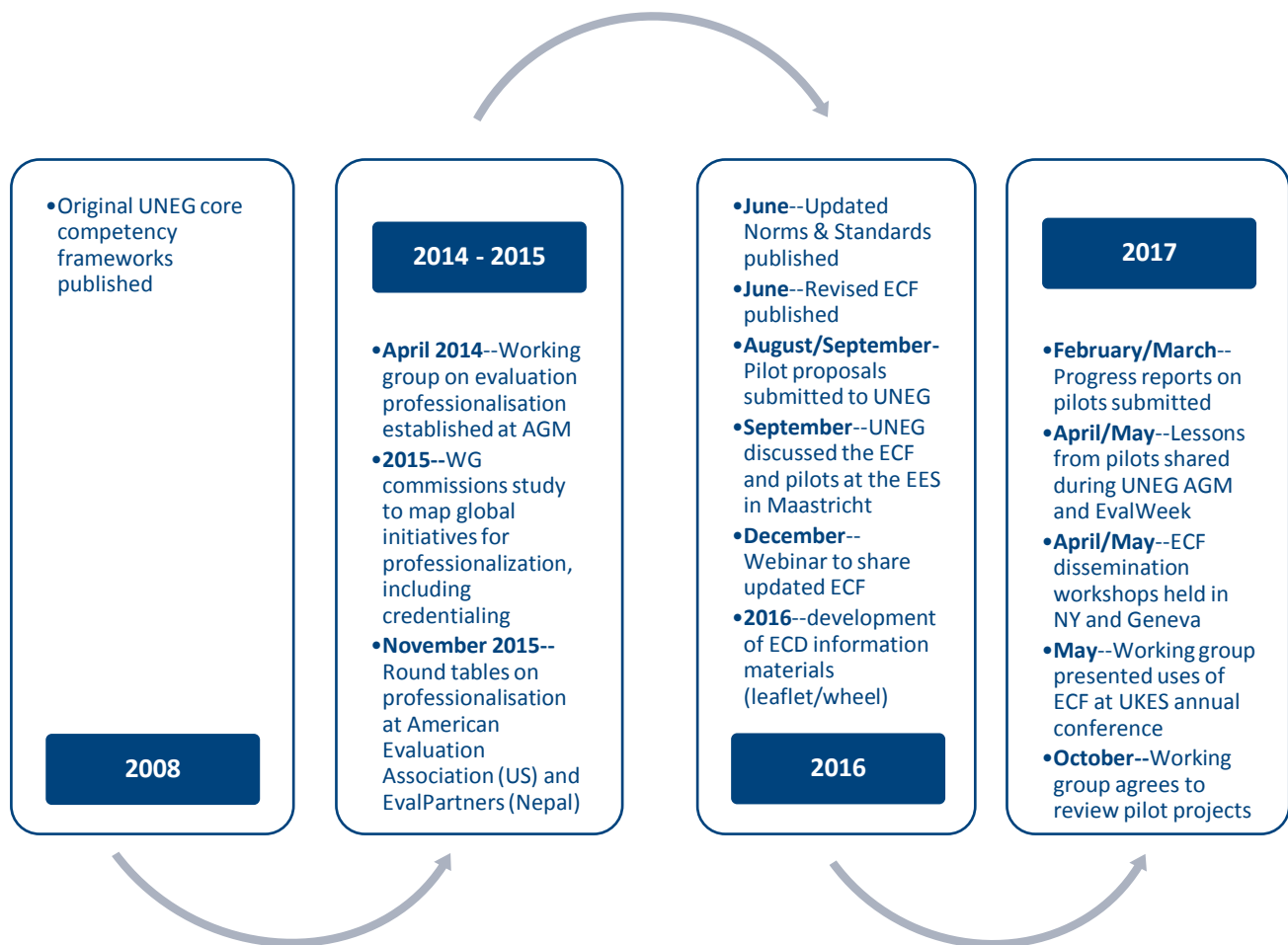
### 3.2 Creation of Pilot Projects

The working group was interested in seeing how the ECF would translate to practice and issued a call for projects within the working group to model the use of the ECF in typical evaluation processes. Five UNEG working group member agencies proposed six pilot projects in August and September 2016:

- UN Women
- World Food Programme (WFP)
- United Nations Population Fund (UNFPA) (two pilots)
- International Civil Aviation Organization (ICAO)
- International Labour Organization (ILO)

Using a set of six predetermined criteria (see Annex 3), the co-conveners of the working group approved all six pilots for implementation in October 2016 and onwards. Scores ranged from 36 to 42 on a 45-point scale, and it was determined that all pilots were distinct enough and of high enough quality to be pursued. Note that ILO was not scored at the same time as the others. Figure 1 presents the overall timeline of the ECF pilots.

**Figure 1: Timeline of the revised framework and pilots**



By March 2017, it was clear that the pilot projects had been executed with varying degrees of success. Their status was updated through interviews conducted for this review.

The following section provides summaries and an updated status for each pilot project.

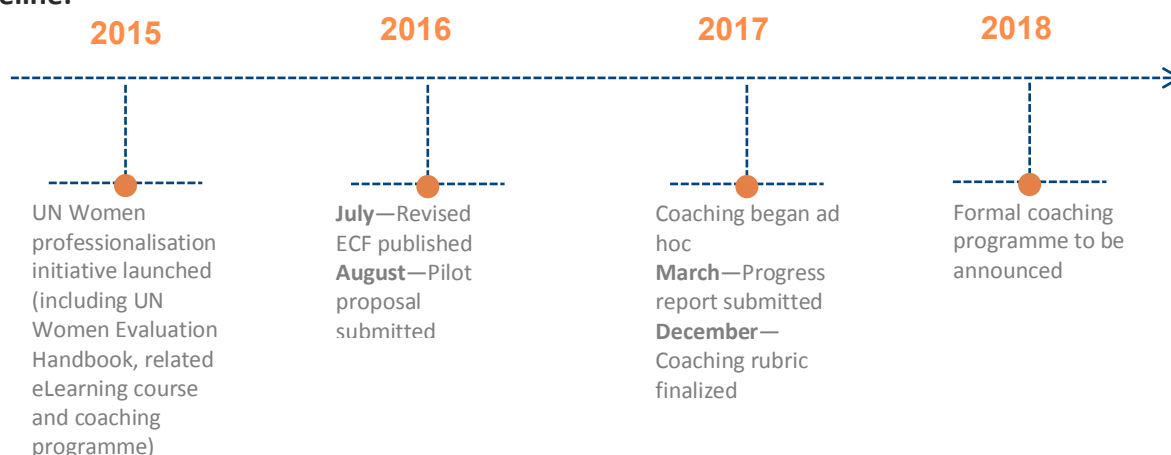
## PILOT PROJECTS

### 4 UN Women

**Title:** UN Women professionalisation initiative to strengthen the evaluation function

<b>Application type:</b>	Professional capacity development, self-assessment, recruitment
<b>Description:</b>	The pilot proposed six core activities: <ol style="list-style-type: none"> <li>(1) Update gender-responsive evaluation competencies</li> <li>(2) Integrate evaluation competencies in appropriate job descriptions (Job Dictionary)</li> <li>(3) Integration of evaluation competency- based questions in recruitment questions</li> <li>(4) Update “learning by role” to ensure links with UN Women eLearning course</li> <li>(5) Identify ways to integrate evaluation competencies in performance management system</li> <li>(6) Dedicated intranet page with core materials for effective coaching on gender-responsive evaluation</li> </ol>
<b>Origin:</b>	The pilot was part of UN Women’s efforts to institutionalize their professionalisation work (ongoing since 2015) through improved engagement with human resources. UN Women was already using the existing UNEG framework and competencies in the hiring of evaluation staff, so this pilot targeted programme staff (non-evaluators).
<b>Status:</b>	<b>Partially implemented</b> (activities 1, 2 and 6)
<b>Reason for status:</b>	The project was delayed since the primary coordinator was on maternity leave and then relocated, as well as other urgent priorities within the work plan.
<b>ECF features:</b>	<ul style="list-style-type: none"> <li>• <b>Useful:</b> ECF’s incorporation of gender and human rights competencies, its adaptability to the UN Women context and its official UNEG endorsement</li> <li>• <b>Less useful:</b> Levels of seniority (used to professionalize non-evaluation staff)</li> <li>• <b>Difficult:</b> Number of skills (decreased to 6 specific competencies at UN Women)</li> </ul>

**Timeline:**



Pilot Relevance: **High**

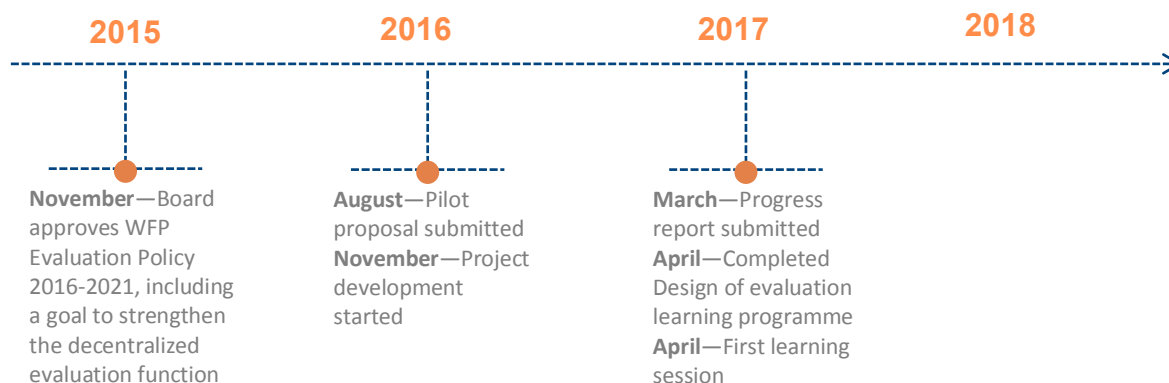
Pilot Effectiveness: **High (for elements that were implemented)**

## 5 WFP

**Title:** WFP Evaluation Learning Programme

<b>Application type:</b>	Professional capacity development
<b>Description:</b>	The WFP pilot featured an evaluation learning programme targeted at decentralised evaluation commissioners and WFP staff who manage or support evaluations, with a focus on building professional foundations and management skills. The programme (EvalPro) featured blended format modules that include online interaction, face-to-face sessions and coaching in offices.
<b>Origin:</b>	Part of a wider initiative to strengthen WFP’s decentralized evaluation function, EvalPro was developed independently from the UNEG competencies. However, several people involved in EvalPro were also involved in the development of the ECF, suggesting some continuity between the two.
<b>Status:</b>	<b>Completed</b>
<b>Reason for status:</b>	A pilot and two additional deliveries have been conducted training three cohorts of new evaluation managers.
<b>ECF features:</b>	<ul style="list-style-type: none"> <li>• <b>Useful:</b> Applicable to evaluation commissioners and managers who may not do evaluation directly, integration of gender into framework (based on progress report)</li> <li>• <b>Less useful:</b> n/a</li> <li>• <b>Difficult:</b> n/a</li> </ul>

### Timeline:



Pilot relevance: **High**

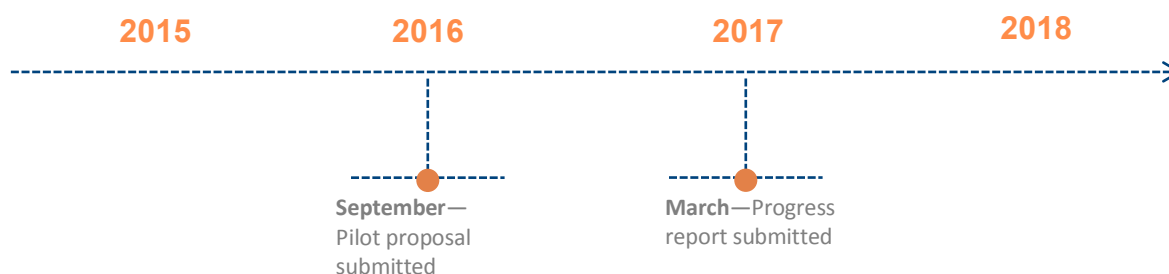
Pilot effectiveness: **High**

## 6 UNFPA #1

**Title:** Pilot the revised ECF in the recruitment of selected M&E officers

<b>Application type:</b>	Recruitment
<b>Description:</b>	UNFPA proposed to apply the ECF to different parts of the recruitment process for certain M&E staff. Specific desired outputs included: (1) UNFPA specific job description templates, (2) generic questions for competency based interviews and (3) criteria for assessing the interviewee responses. While these activities would ideally be rolled out across the organization, the pilot focused on (1) designated M&E officers and (2) M&E focal points, the latter of which have evaluation responsibilities on top of other responsibilities, as is common in small country-level teams.
<b>Origin:</b>	This pilot was envisioned as part of UNFPA's broader evaluation capacity development (ECD) strategy, whose theory of change involves seven clusters of activities. Staffing structures, recruitment procedures and introduction of new staff members constituted one cluster. Integrating the ECF into generic M&E job descriptions was deemed timely given the decentralized nature of UNFPA, allowing the organization to test generic job descriptions in collaboration with regional staff.
<b>Status:</b>	<b>Not implemented</b>
<b>Reason for status:</b>	For the human resources department, this pilot and the development of generic job descriptions and recruitment processes for M&E staff were a low priority given initial delays, staff shortages and austerity measures. In addition, support for UNFPA's comprehensive ECD strategy was disrupted during turnover in leadership at the Evaluation Office. The Evaluation Office now has an ECD action plan in place, but this initiative has yet to be implemented.
<b>ECF features:</b>	<ul style="list-style-type: none"> <li>• <b>Useful:</b> Applicable to commissioners, managers and other people who do not do evaluation directly (as is typical at UNFPA)</li> <li>• <b>Less useful:</b> n/a</li> <li>• <b>Difficult:</b> n/a</li> </ul>

### Timeline



Pilot relevance: **High**

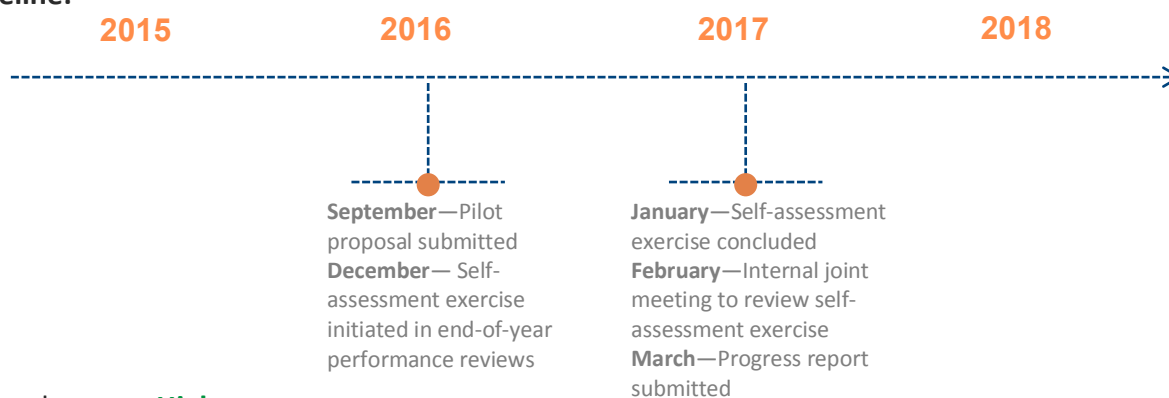
Pilot effectiveness: **Low**

## 7 UNFPA #2

**Title:** Self-assessment exercise at the Evaluation Office

<b>Application type:</b>	Self-assessment
<b>Description:</b>	<p>UNFPA adapted the self-assessment template from the ECF, with activities including:</p> <ol style="list-style-type: none"> <li>(1) Development of a UNFPA-specific template to self-assess evaluation competencies in relation to the ECF pillars and sub-pillars (for all staff in evaluation office)</li> <li>(2) All staff discuss the self-assessments with their supervisors during end-of-year performance reviews, with a goal of identifying potential capacity gaps and related professional development needs. Professional development activities would be subsequently included in the upcoming year's performance contract.</li> <li>(3) An introduction of mandatory professional development hours (not implemented)</li> <li>(4) All staff had a collective internal assessment of this self-assessment exercise to highlight pros and cons, reflecting on both the usefulness of the template and the process itself.</li> <li>(5) During the next end-of-year performance reviews, evaluate the results and achievements of the original self-assessment and resulting professional development activities (not implemented).</li> </ol>
<b>Origin:</b>	The UNFPA team also viewed this pilot as a piece of UNFPA's broader evaluation capacity development (ECD) strategy and was interested in both the self-reflection element and the exercise of adapting a template from the actual ECF to UNFPA needs.
<b>Status:</b>	<b>Partially implemented</b>
<b>Reason for status:</b>	UNFPA staff were initially successful in completing the above exercises—discussing personal development goals based on the self-assessment with the former director of the Evaluation Office. While the initial internal assessment and discussion on the need of professional development was positive, the planned follow up in the second year did not occur.
<b>ECF features:</b>	<ul style="list-style-type: none"> <li>• <b>Useful:</b> The specific template was flexible enough that the 47 UNEG agencies could pick and choose what they wanted; all five competencies were useful because they highlight that technical skills are only one aspect of evaluation</li> <li>• <b>Less useful:</b> Relevant level of skills needs discussion</li> <li>• <b>Difficult:</b> n/a</li> </ul>

### Timeline:



Pilot relevance: **High**

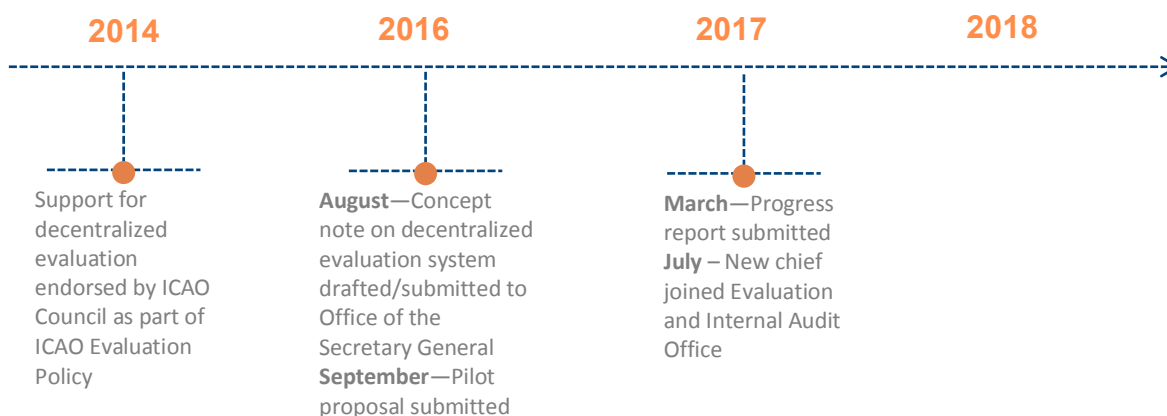
Pilot effectiveness: **Intermediate**

## 8 ICAO

**Title:** Developing a decentralized evaluation system at ICAO

<b>Application type:</b>	Professional capacity development
<b>Description:</b>	ICAO hoped to roll out a series of professional development activities to establish a fully-fledged decentralized evaluation system, one of which was this pilot. The scope of this specific project was to brief, train and guide decentralized evaluation focal points using participatory approaches such as the World Café method, webinars for training purposes, e-books, videos, discussion fora, etc. between October 2016 and February 2017.
<b>Origin:</b>	As a small agency with a centralized evaluation system and limited budget, ICAO hoped to bolster its internal evaluation capacity by developing a decentralized evaluation system.
<b>Status:</b>	<b>Not implemented</b>
<b>Reason for status:</b>	Both the pilot and a broader concept note for a decentralized evaluation system at ICAO were not endorsed by the ICAO Secretary General (no political will or priority).
<b>ECF features:</b>	<ul style="list-style-type: none"> <li>• <b>Useful:</b> The ECF competencies would have been used through awareness raising and training workshops, needs assessments and in self-assessment of competencies by decentralized evaluation focal points.</li> <li>• <b>Less useful:</b> n/a</li> <li>• <b>Difficult:</b> n/a</li> </ul>

### Timeline:



Pilot relevance: **High**

Pilot effectiveness: **Low**

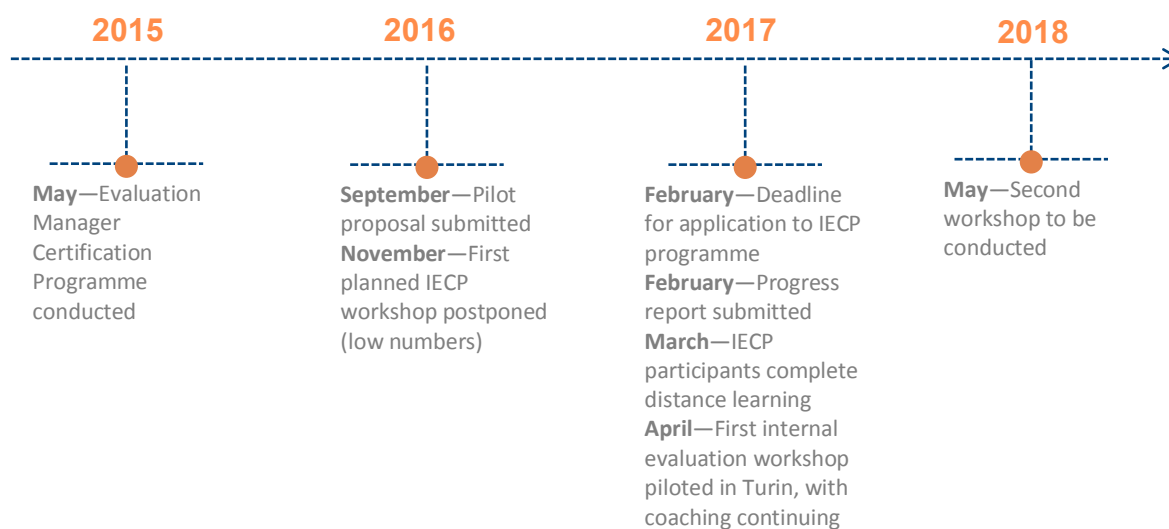


## 9 ILO

**Title:** Internal Evaluation Certification Programme (IECP)

<b>Application type:</b>	Professional capacity development
<b>Description:</b>	The pilot is a training programme to enhance the capacity of ILO staff to undertake internal project evaluations, including frequency and quality. The ECF competencies were used to develop training objectives, which in turn provided a basis for selecting and designing instructional content and procedures for delivering the content to trainees. IECP was a 22 module blended format with distance-learning modules, a face-to-face workshop and an application/coaching phase, and the first three modules were incorporated into ILO International Training Centre's E-learning platform.
<b>Origin:</b>	Mr. Russon works in the evaluation office and developed the Evaluation Manager Certification Programme to train evaluation officers. Many trainees expressed interest in further developing their capacity and asked for internal evaluations, which ILO provided. This Internal Evaluation Certification Programme started being developed at about the same time as the ECF was revised.
<b>Status:</b>	<b>Completed</b>
<b>Reason for status:</b>	Second workshop planned for May 2018
<b>ECF features:</b>	<ul style="list-style-type: none"> <li>• <b>Useful:</b> Domains of the ECF are useful for developing training programme curricula.</li> <li>• <b>Less useful:</b> The skill levels were not really relevant to this pilot. However, this does not mean that they would not be useful for a different purpose.</li> <li>• <b>Difficult:</b> n/a</li> </ul>

### Timeline:



Pilot relevance: **High**

Pilot effectiveness: **High**

## FINDINGS

### 10 Relevance

#### 10.1 To what extent did the pilots respond to the pre-established criteria for selection?

The first part of this response involves pausing to understand the selection criteria for the pilots more deeply. These criteria—laid out in full detail in Annex 3—included (1) appropriateness of topic; (2) potential for extracting lessons; (3) clear and committed design; (4) intention to produce useful tools; (5) using innovative and creative methods to engage stakeholders; and (6) a new or existing initiative, ongoing or scaled up.

Although these criteria were mostly clear and aligned with the intended goal, several issues arose in review and are laid out in Table 1 below.

**Table 1: Review of UNEG Pilot Criteria**

Criterion for Pilot Selection	Comments/Issues
<b>1. Pilot project to fit within any of the anticipated piloting areas: self-assessment exercises, performance management, professional capacity development activities, use in recruitment, use in training materials; or be examples of innovative uses of the Competency Framework.</b>	Includes a list of the most desirable intended uses of the ECF seems clear and appropriate.
<b>2. Pilot project have a potential for eliciting lesson learning on the professionalization of evaluation or for other UNEG agencies to apply similar pilot projects.</b>	Seems clear and points to the most important purpose of the pilots—to extract lessons. How these lessons were to be extracted was left up to the organization—i.e. the design could involve an experimental design with a control group, or simply trying something out and reflecting in using a consultative process (see criterion #5).
<b>3. Pilot project to represent a project with defined inputs, one or several activities, outputs, a timeline, adequate resources allocated and a project manager assigned to implement the evaluation professionalization activities.</b>	Calls for a clear design and assignments, as well as assigned resources. This criterion instructs organizations on how to organize their pilot proposal. One weakness of this criterion is that, although in case of an existing initiative (see criterion #6) assignments and resources would be clear, for new initiatives, assignments and resources would be subject to further internal agency approvals. Given the reality of UN, however, this risk could not be mitigated.
<b>4. Pilot project to intend to produce tools and/or products that may feed</b>	Seems desirable, but overly demanding. In fact, a pilot could be useful responding to stakeholder needs simply by revealing some

<p><b>in to enhanced sharing of experiences among UNEG members.</b></p>	<p>useful insights (opportunities or barriers), even if it did not result in useful tools.</p>
<p><b>5. Pilot project to use innovative and creative methods to implement and engage stakeholders.</b></p>	<p>The heart of this criterion is to ensure stakeholder engagement and avoid the trap of the lone judgement. It goes further, though, in defining the process for such stakeholder engagement—“innovative and creative.” Although it would be nice to use innovative and creative methods to engage stakeholders, this stakeholder engagement could take place using a traditional method such as group interviews, training, focus groups or survey—to list some standard examples. Thus, stakeholder engagement seems the critical piece here. This criterion might have been more directive in the types of stakeholders, or another aspect, but the modality of engagement would simply need to be appropriate to the purpose and needs of the pilot.</p>
<p><b>6. Pilot project to be either a new initiative or an existing, ongoing and/or scaled up initiative.</b></p>	<p>This does not really seem to be a criterion, except to say that any kind pilot would be acceptable—new or existing, large or small—so all pilots naturally fall into this criterion. It does not add but does not hurt to have this as a clarifying criterion.</p>

The design of pilots responded well to the pre-established criteria for selection (Table 2).

**Table 2: UNEG ECF Pilot Response to Pre-Established Criteria**

No.	Organization	Pilot Title	Type of Application	Complied
1	UN Women	UN Women professionalisation initiative to strengthen the evaluation function	Professional capacity development, self-assessment, recruitment	Yes
2	WFP	WFP Evaluation Learning Programme	Professional capacity development, training	Yes
3	UNFPA (#1)	Pilot the revised ECF in the recruitment of selected M&E officers	Recruitment	Yes
4	UNFPA (#2)	Self-assessment exercise at the Evaluation Office	Self-assessment	Yes
5	ICAO	Developing a decentralized evaluation system at ICAO	Professional capacity development	Yes
6	ILO	Internal Evaluation Certification Programme (IECP)	Professional capacity development	Yes

## 10.2 Non-Pilot Uses of the ECF

While this review focuses on assessing the set of six official pilot projects, several other examples of ECF use emerged over the course of stakeholder interviews.

Many organizations had attempted to incorporate the ECF competencies into the recruitment process, particularly through job descriptions and terms of reference (TORs) for both evaluation staff and consultants. Some of these organizations were implementing the ECF in addition to official pilot projects. For example, UN Women was already using the original UNEG competencies (2008) in the hiring of staff for their Independent Evaluation Office, which is why their pilot was largely designed to expand the competencies to programme (non-evaluation) staff. The WFP is also in the process of embedding the ECF into vacancy announcements and recruiting. However, several agencies who had *not* otherwise implemented the ECF used it as a reference document for developing TORs, including UNITAR, FAO and OPCW.

The ECF was also incorporated into the development of various training and e-learning modules. UNITAR collaborated with Dr. Deborah Rugg at Claremont Evaluation Center-New York (CEC-NY) to use the framework in a weeklong executive leadership training programme for the 2030 Sustainable Development Goals, with more of a focus on commissioners and users of evaluations than on evaluators themselves. The ECF competencies will be taken into consideration when developing UNFPA's new e-learning course, which in turn is part of the agency's broader Evaluation Capacity Development (ECD) action plan that is currently being implemented. The UN System Staff College is also working to design a new evaluation training programme for evaluation for the Agenda 2030, where the ECF will form the basis for the aspired ECD.

Finally, the WFP used the ECF for a self-assessment during the latest evaluation retreat of the Office of Evaluation. These self-assessments have been used by WFP staff to inform their learning and development plans for 2018, including access to coaching to support senior evaluation staff in the scale up of the evaluation function.

## 11 Effectiveness

Before addressing the questions on effectiveness, it is important to state that two issues: (1) not all pilots have been implemented, and pilot findings will be based only on those completed or partly completed; and (2) non-pilot users also have insights about the ECF's effectiveness, and their feedback will be incorporated later in this section.

Table 3 shows the status of pilots as of the time of this report.

**Table 3: ECF Pilot Current Status**

No.	Organization	Pilot Title	Type of Application	Status
1	UN Women	UN Women professionalisation initiative to strengthen the evaluation function	Professional capacity development, self-assessment, recruitment	Partially implemented
2	WFP	WFP Evaluation Learning Programme	Professional capacity development, training	Completed
3	UNFPA (#1)	Pilot the revised ECF in the recruitment of selected M&E officers	Recruitment	Not implemented
4	UNFPA (#2)	Self-assessment exercise at the Evaluation Office	Self-assessment	Partially implemented
5	ICAO	Developing a decentralized evaluation system at ICAO	Professional capacity development	Not implemented
6	ILO	Internal Evaluation Certification Programme (IECP)	Professional capacity development	Completed

## 11.1 ECF Usefulness, Constraints to Use and Lessons

This section will address the first set of questions on effectiveness by type of use, as follows:

- 1) *In implementing the pilot projects, what has been the usefulness of the Evaluation Competency Framework (ECF) so far? What are the lessons learnt when piloting the implementation of the ECF?*
- 2) *What were/are possible constraints to the use of the ECF? And what have been positive and negative aspects related to the achievement of expected results of the pilot projects?*

Overall, the ECF was useful both for pilot and non-pilot implementers. The key informant interviews conducted for this review showed several applications of the framework to UN evaluation processes, including implementations beyond the original six pilot projects. Several other important findings also emerged, ranging from prospective uses of the ECF to outstanding questions about applying the ECF to organizational context.

This section synthesizes findings from three different data sources, as follows:

- Findings from pilots (clearly labelled and presented in the tables embedded in this section)
- Interviews with both with pilot implementers and other working group members; non-pilot uses of the ECF are listed in the tables for quick reference
- A survey of 39 working group members and heads of evaluation offices of agencies not represented in the working group

- A two-hour feedback session of seven ECF Working Group members who, in addition to providing corrections and useful feedback, added some broader reflections on the implications of this review.

## Job Descriptions / Recruitment

The pilots in this area were quite different (see Table 4). The UN Women pilot fit into a larger collaboration between the Independent Evaluation Office and the human resources (HR) department to streamline job descriptions for evaluation staff. The UNFPA pilot, however, faced constraints in capacity of the human resources department to prioritize this effort. Organizational lessons from these pilots included the importance of investing in good relationships with HR departments and framing the initiative as an organizational priority rather than a UNEG (external) priority. Regarding the ECF content and structure, the UN Women pilot found the levels of seniority challenging when applied to non-evaluation staff. Non-pilot findings underscore the importance of navigating carefully in collaborating with HR, and also confirm a broader challenge of applying ECF levels of seniority. Those who were satisfied with the existing levels used them as a menu and made their own judgement about which specific competencies to include in particular job descriptions.

**Table 4: Useful Features, Challenges and Lessons of ECF Application in Recruitment Pilots**

Organization	Useful Features of ECF	Challenges of ECF	Lessons/Advice
UN Women (pilot)	Incorporation of gender and human rights competencies; adaptability to organizational context; official UNEG endorsement	Levels of seniority when applied to non-evaluation staff	<ul style="list-style-type: none"> <li>• Frame ECF implementation as initiative of organization rather than of evaluation office</li> <li>• Develop a good relationship with HR department (i.e. institutionalize through working group)</li> </ul>
UNFPA (pilot #1)	n/a	n/a	Capacity limitations in the Human Resources Department to prioritize this effort—it is essential to engage human resources departments in any recruitment efforts
UNITAR	Useful reference to help prepare job descriptions		
FAO	Useful reference with a menu of options for developing TORs	Levels of seniority of difficult to apply because people in organization play many roles, and work in teams not as individuals	Would be great to have more examples
OPCW	Useful single-point of reference to help prepare job descriptions		
WFP			Importance of work closely with Human Resources

## Training

All three pilots that included training—UN Women, WFP and ILO—were successful and received strong positive feedback from participants (see Table 5). The pilots had different audiences: UN Women was comprehensive and included both evaluators and non-evaluators who manage evaluation (particularly important, because UN Women reported that 90% of evaluations are managed by programme rather than evaluation staff); WFP focused on non-evaluators who were tasked with managing decentralized evaluations, i.e. new evaluation managers at country level; and ILO focused on lower-skilled evaluators. In all three pilots that were implemented, designers appreciated the five pillars and the specific competency lists and found them intuitive. For some, the levels of seniority were hard to apply, especially to non-evaluators who manage or commission evaluations. Lessons focused on how to make the training more effective, as well as ways to ensure that the competencies are reflected in the job descriptions of those who support evaluation managers and commissioners.

**Table 5: Useful Features, Challenges and Lessons of ECF Application in Training Pilots**

Organization	Useful Features of ECF	Challenges of ECF	Lessons/Advice
<b>UN Women (pilot)</b>	Incorporation of gender and human rights competencies; adaptability to organizational context; official UNEG endorsement	Levels of seniority when applied to non-evaluation staff	<ul style="list-style-type: none"> <li>• Adding a certificate after training is an effective incentive</li> <li>• Training requires a lot of staff support and should be explicitly incorporated into TORs/roles, i.e. for coordinators</li> <li>• Training should be incorporated into each individual’s formal learning plan (i.e. through the Performance Management and Development online system at UN Women)</li> <li>• Quarterly progress reporting likely enhances enrolment in eLearning</li> <li>• Think more about applications to non-evaluator staff</li> <li>• Create a self-assessment tool</li> </ul>
<b>WFP (pilot)</b>	Applicable to evaluation commissioners and managers, gender component	WFP’s pilot was a corporate initiative, and corporate priorities overshadowed explicit consideration of the ECF. Consultants used ECF in original design.	<ul style="list-style-type: none"> <li>• When staff do not do evaluation work full-time, recognize               <ul style="list-style-type: none"> <li>○ differences in base knowledge</li> <li>○ time constraints</li> <li>○ challenges of irregular evaluation engagement</li> </ul> </li> <li>• Make programmes applied and “practical”</li> <li>• Develop learning cohorts and online communities</li> <li>• Embed ECF focus in the jobs of regional evaluation managers (so ongoing support is oriented to the needs)</li> </ul>

Organization	Useful Features of ECF	Challenges of ECF	Lessons/Advice
ILO (pilot)	ECF domains/competencies	Skill levels not as relevant for this pilot	<ul style="list-style-type: none"> <li>Distance learning can be difficult when staff are busy with other tasks</li> <li>Face-to-face training is the most effective</li> </ul>
UNITAR (with CEC-NY)	Applicable to commissioners and users of evaluation	n/a	n/a

## Self-Assessment or Team Assessment

Pilots that applied the ECF to self-assessment (UN Women, UNFPA) are presented in Table 6. All five competencies were useful because they were all needed. Non-pilot applications of the ECF to self-assessment uses also confirmed that the ECF was useful.

There were some challenges in adapting the framework and making it relevant to individual cases as it involved a judgement call. One of the pilots and the non-pilot ECF use reported in interviews raised the issue that the levels of seniority were not always easy to apply to individual cases, especially in the case of evaluation managers. Use of the self-assessment in creating personal development plans seemed to create inconsistent assessment of proficiency levels (some underestimating themselves while others overestimating their proficiency, especially if linked with a performance appraisal). This, however, is a general issue with self-assessment, although further guidance on proficiency might make the application of the ECF more consistent. For example, some reported a lack of clarity about whether the competencies refer to knowing concepts (i.e. theoretical/training) or having personally applied the skills. Finally, many respondents were unclear about the best options available once the need for personal development was established, i.e. how to develop competencies moving forward. This was especially important when considering how to choose quality programmes on a limited development budget (issue raised in interviews).

**Table 6: Useful Features, Challenges and Lessons of ECF Application in Self-Assessment Pilots**

Organization	Useful Features of ECF	Challenges of ECF	Lessons/Advice
UN Women (pilot)	List easy to adapt	Can be difficult to apply to non-evaluation staff	<ul style="list-style-type: none"> <li>A UNEG self-assessment tool would be useful</li> <li>Self-assessment should be applicable to programme staff (non-evaluators)</li> </ul>
UNFPA (pilot #2)	Flexibility to organizational needs; five competencies provide balanced assessment	Harder to apply to staff who are not directly involved in the evaluation processes (e.g.	<ul style="list-style-type: none"> <li>Must link self-assessment to practical opportunities for professional development</li> <li>Balance what skills are actually needed for different types of roles</li> </ul>



Organization	Useful Features of ECF	Challenges of ECF	Lessons/Advice
		communication and administration staff)	<ul style="list-style-type: none"> <li>Recognize how individual strengths can be complemented by other staff strengths—i.e. communications can be present in the team and not held by the evaluator</li> <li>The ECF can be applied at team level</li> <li>Improve granularity of ECF self-assessment</li> <li>Make ECF easier to apply to non-evaluation staff (i.e. communications specialist)</li> </ul>
WFP	Informs both self-assessment and coaching for consistency	n/a	<ul style="list-style-type: none"> <li>Recognize personal dynamics—sometimes sharing assessments can have self-bias or produce a disincentive</li> <li>Clarify if competencies refer to knowledge or first-hand experience</li> </ul>

## 11.2 Survey Findings

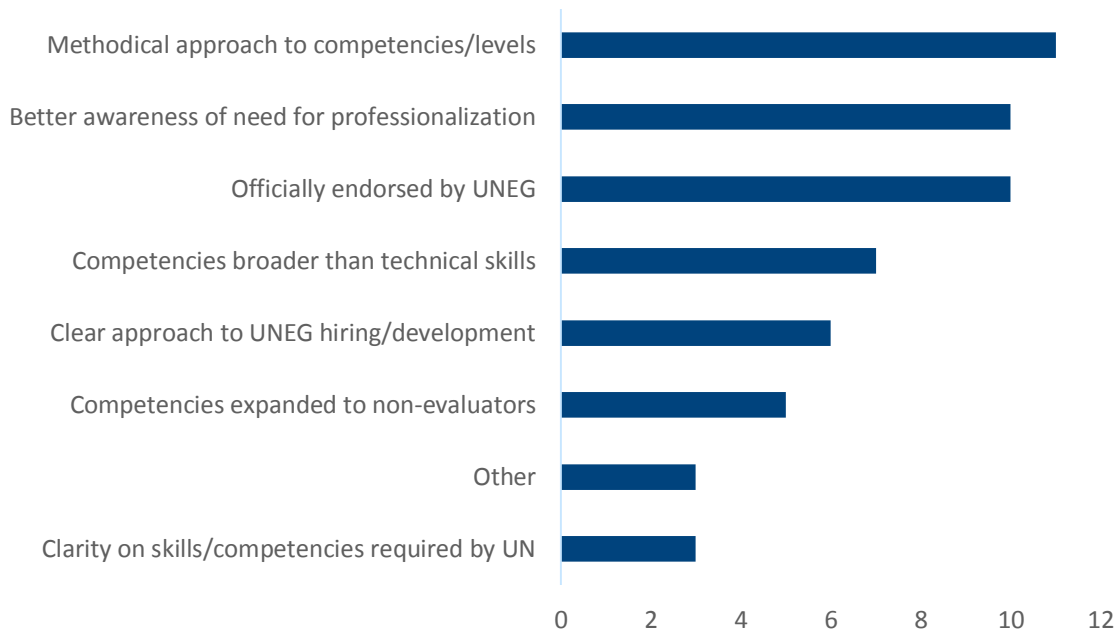
Twenty (20) responded to a survey of the 39 people including UNEG Professionalization Working Group members and heads of evaluation units not participating in the Group (51% response rate). The survey indicated that the top three uses of the ECF thus far were in organizations' evaluation guidance documents (even by reference), in job descriptions for hiring UN evaluators and for personal professional development and identifying competencies to strengthen (see Figure 2 below).

**Figure 2: Uses of the ECF to date**



Furthermore, respondents appreciated a wide range of characteristics of the ECF, with the top three being the framework’s methodical approach to core competencies and staff levels, its official endorsement by UNEG and its ability to increase general awareness of the need for professionalisation of evaluation (see Figure 3).

**Figure 3: Most useful features of the ECF**



Other useful aspects that were mentioned included its credibility vis-à-vis donors and other stakeholders and its potential to be the basis of a UN evaluation certification programme.

Regarding challenges, a third of respondents noted that the lack of sharing of evaluation curricula among UN agencies was their top challenge to ECF implementation. Most survey respondents did not seem to find the ECF structure and content itself to be the primary barrier to implementation, focusing instead on challenges of interagency coordination, identifying development opportunities and broader organizational support (whether from management or HR).

**Figure 4: Top barriers/challenges to ECF implementation**



Other challenges to ECF implementation that were mentioned included:

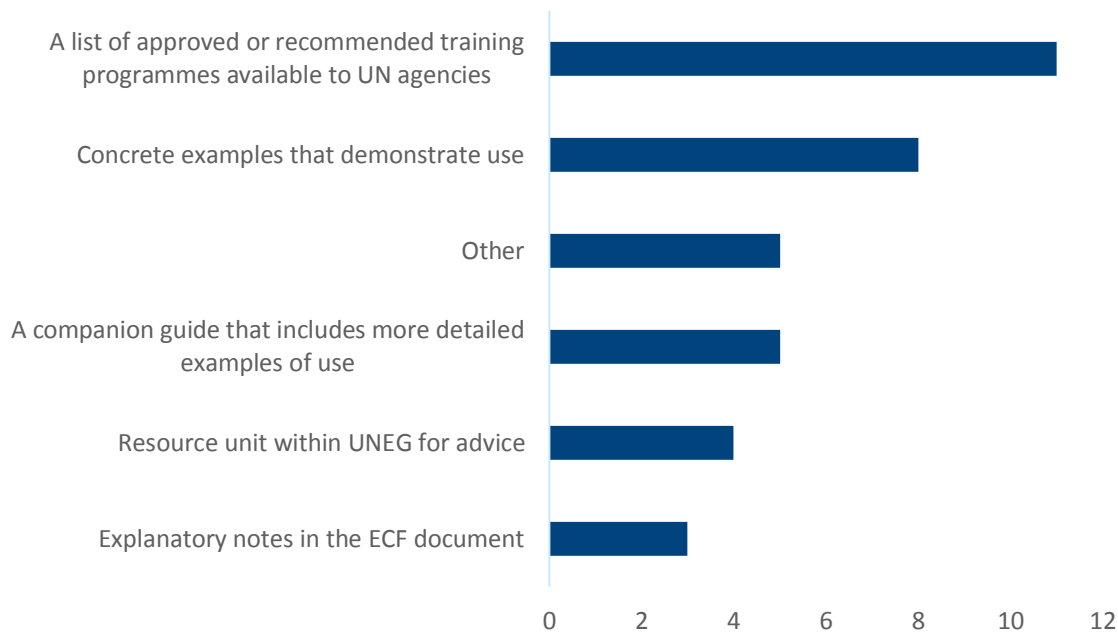
- *Posts are generally well-aligned but reclassification is problematic as the UN Magnet job family in the Secretariat does not include ‘evaluation’ posts*
- *Difficult to meet all competencies for a given level*
- *Limited resources stretched on ensuring implementation of present evaluation workload*

Finally, when asked what would make the ECF easier to use, the most useful tool that was selected was a list of approved or recommended training programmes available to UN agencies, with concrete examples that demonstrate of the ECF being the second most popular option (see Figure 5).

Respondents also wanted more examples and samples, as well as a how-to-guide. Other comments on how to improve the usefulness of the ECF included:

- *The ability to distinguish between core competencies and competencies that are a “plus” for each level*
- *Post categories in the UN Secretariat HR system (under inspection and evaluation job family) that are designated for evaluation staff at appropriate levels. Currently the only post description is P5 Senior Evaluation Officer, no others exist in the HR system.*
- *The pilots were supposed to provide the concrete examples.*

**Figure 5: Ways to make the ECF more useful**



### 11.3 Additional Questions and Reflections on the Use of the ECF

A two-hour feedback session of seven ECF Working Group members took place upon review of the draft report. In addition to providing corrections and useful feedback, this group added some broader reflections on the implications of this review, presented in this section.

**Role of UNEG related to evaluation learning:** A study from late 2015 mapped the framework and other initiatives, focusing on the issue of credentialing, and helped inform the ECF revision. At the time, the report concluded that UNEG is a network and not an educational institution. Should this conclusion be reviewed (perhaps at AGM)?

**Non-evaluator competencies:** We should recognize the importance of increasing the competencies of evaluation commissioners and managers, because they play an important role in evaluation. The distinction between commissioners and evaluation officers etc. should be clarified. Recognize that lines are blurry, though – those who commission may also manage. What skills are needed to use evaluation effectively?

**Institutionalize ECF in the United Nations:** Several steps are needed to further institutionalize the ECF in the United Nations:

- Continue the dissemination and lobby to use the ECF and develop more tools and guidance to do – it was clear from the 2 May discussion that UNEG needs to do more, and it was clear that not everyone is aware of the resources available.

- Linkage with HR departments is challenging because of the way evaluation posts are defined in UN System. Lobby for a creation of an evaluation job family so that certain competencies are recognized for evaluation functions. Otherwise, it is difficult to use ECF in recruitment.
- Have UNEG agencies report on the use of the ECF, i.e. in the style of UN-SWAP.

**Access to evaluation learning programs:** Several questions were raised related to access to evaluation training, as follows:

- What are the options for staff in agencies that have not developed their own curricula and do not have resources to deliver training at scale to access "level 1" competency-based training, especially evaluation commissioners/managers?
- How do we make it easier for evaluators and more experienced commissioners/managers to access appropriate high-quality learning and development opportunities?
- What should be the role of UNSSC and UNITAR in developing and delivering evaluation training programs for UN staff and member states? UNSSC has had some initial conversations on this matter, and UNITAR has engaged with CEC-NY to pilot an evaluation learning program for countries.

**Concluding remarks:**

UNEG should celebrate having come to this place of consensus with an excellent framework and highly positive results from its pilot phase, in spite of some limitations. As UNEG takes steps to improve the usability and utility of the ECF, it might now also engage in further reflection on some larger questions:

- a. What are the best options for building ECF competencies – both internal and external to the UN?
- b. How might UNEG engage in a global conversation on evaluation competencies with other actors—especially VOPEs and academia, which are both key UN stakeholders? There is currently both support and resistance to the idea of working toward a common set of core global evaluation competencies.
- c. To what extent does UNEG have an appetite for developing a certification based on its framework, as opposed to working with academia and the private sector to influence offerings, or another option?

## CONCLUSIONS

### 12 ECF Uses, Challenges and Lessons

- 1 The ECF is a highly relevant document for UNEG and UN agencies in general.

The ECF is a document of high relevance based on feedback from pilot and non-pilot users. There were some challenges in adapting the framework to fit specific organizational needs, but even those who faced challenges reported that the framework was in fact well suited for all UN agencies. To some extent, those who expected the framework to be a guidance document that required adaptation were more generous in their positive feedback, while those who expected it to address their needs without much additional work experienced more challenges. UNEG needs to consider how it is communicating the nature and expected uses of the ECF to its membership in order to manage expectations and mainstream the most appropriate uses of the ECF.

- 2 The level of depth and specificity of the ECF was generally useful, especially the pillars. However, some areas remain unclear, such as assigning level of proficiency or applying the seniority levels to evaluation commissioners and managers.

The pillars worked well but understanding how to apply the seniority levels was less clear for some agencies. One challenge that commonly called out was the way to assess proficiency—e.g. how to distinguish between knowledge of a method and ability to describe it vs. practice in it vs. multiple applications. This might have led to variation in interpretations, especially by those conducting self-assessments. A second challenge was the ease of application of the ECF for non-evaluation staff (i.e. evaluation commissioners and managers), for which more clarity is needed—i.e. to what depth are they expected to understand technical evaluation skills.

- 3 ECF users and potential users asked for samples of tools and products to enhance the most effective uses of the ECF.

The ECF is useful as is, and can become more useful as the UNEG community shares samples from its implementation: curricula, checklists, job descriptions, etc.

### 13 Organizational level

- 4 Leadership played an essential role in the success of the pilot and the ECF.

Three out of the six pilots had implementation challenges or were not implemented due to organisational changes and/or reduced support for the project within the organization. At least one pilot lacked the political will to begin implementation from the start (ICAO) while others experienced organisational changes and lost the momentum to implement, i.e. UNFPA. Many interviewees raised

the question of how to position framework integration as part of a broader organizational conversation in order to boost support.

A key factor in the success of the pilots and the use and usefulness of the ECF was the evaluation office leadership. Several managers of evaluation offices have been supportive of the ECF and have readily lent their support and approval to move ahead with pilot and non-pilot uses. In those cases, the ECF was found to be immediately relevant and useful. Ultimately, support of evaluation office leadership was critical for winning over broad organizational support.

## 5 | Securing cooperation and support from human resources departments was critical, because any competency work falls in their domain.

For pilots related to job descriptions, when collaboration with the human resources (HR) department was required, there was some level of resistance to change existing competencies and job descriptions, for example, for the WFP where human resources already had a set of approved competencies. In the case of UN Women, however, a relatively new agency, HR was involved in a job description project, which made it easier to integrate evaluation competencies. As the ECF gains more widespread support, and as evaluation becomes a core competency in UN agencies, UNEG might support agencies to search for a compromise in collaborating with human resources on evaluation competencies. In the meantime, smaller agencies are finding the ECF immediately useful.

## 6 | Professionalisation working group's sharing and transparency of tools and solutions has not fully materialised yet.

For pilots dealing with training, the organizational challenges have centred more around the professionalisation working group's ability to share transparently the "tools" as promised, and specifically the curricula and materials used. ECF users would benefit from more samples that they can adapt.

## 7 | Viable learning options are needed to make self-assessment a worthwhile application of the ECF.

Some agencies were able to follow self-assessments with subsequent skills development or training, while others faced challenges in knowing where to go next to develop needed competency gaps. The ECF has worked as it should, and is now generating a demand for relevant, high-quality evaluation learning options for UN staff. Some agencies are discussing their own options, while others are having conversations with the UN Staff College.

# Benchmarking and Postscript: The experience of IDEAS on its competency framework use

By mutual agreement with UNEG, EnCompass agreed to investigate as a benchmark, information available on the use of the evaluation competency framework of the International Development Evaluation Association (IDEAS, <https://ideas-global.org/>). Given that IDEAS addressed an audience

akin to that of the UNEG and has already had insights and lessons from the use of its competency framework, the IDEAS experience could potentially inform ECF's use and dissemination. This reference, however, is not the only relevant one, as there are several other evaluation competency frameworks that might be interesting to review.

The development of the IDEAS competency framework was undertaken in response to demand from members. After discussions in two separate annual meetings in 2008 and 2009, an online survey was shared with membership that overwhelmingly confirmed the need and commitment to developing an IDEAS ECF, largely because it would support professionalisation of evaluation. The motivation for the IDEAS framework was to enable those hiring evaluators or purchasing M&E services to have a global standard for determining evaluation competence. They also believed that recognition of evaluation as a specific discipline and its stature were more likely to increase with global competencies, and envisioned an international body that could help uphold standards and apply sanctions in compliance with the IDEAS ECF.

The intended and anticipated uses of the IDEAS ECF were to set evaluation standards, promote evaluation capacity, identify team composition, stimulate self-evaluation practice, and later on, build a basis for credentialing or qualification.

In 2014, IDEAS distributed a survey to its 900 members<sup>2</sup> to assess the use of the IDEAS framework. The findings included the following:

- 40% reported using it to improve their own practice.
- 25% reported using it to prepare their own development plan.
- 22% reported using it to assess their own capacity to conduct a given evaluation.
- 22% reported using it to assess the capacity of others to conduct a given evaluation.
- 45% of managers and 25% of commissioners of evaluation reported using it as a reference tool, including to: write terms of reference, select consultants, design or conduct an evaluation or oversee an evaluation contract.

*Reflection:* The need to clarify the boundaries of the evaluation profession is not new, and in fact is now at a peak around the world. There are many relevant experiences worth reviewing, such as the credential systems of the Canadian Evaluation Society,<sup>3</sup> government-led competencies in South Africa, VOPE- led efforts in New Zealand, Russia and now the all-engaging endeavour of the American Evaluation Association (see upcoming New Directions Journal in Evaluation). There may be scope for international cooperation and exchange around evaluation competencies, even though there is some opposition to such a cooperation because of a fear that locally-grown competencies will be overshadowed by international ones. Others believe, however, that although there is need for context-specific competencies, there is a set of core competencies that evaluator professionals

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<sup>2</sup> 124 began the survey and 122 completed it.

<sup>3</sup> See related video here <http://ieg.worldbankgroup.org/blog/professionalizing-evaluation-canadian-experience>



should have across organizations, nations and regions. As the discourse and exchanges around this topic of professionalisation intensifies, UNEG will have an opportunity to weigh in.

## ANNEXES

### Annex 1: Consultancy Terms of Reference

The purpose of the review is to analyse the process of piloting the ECF framework, and to draw lessons on the usefulness of the ECF in the areas that have been piloted.

#### **ACCOUNTABILITIES/RESPONSIBILITIES:**

The questions to be addressed by the review relate primarily to the relevance and, more importantly, project effectiveness of the pilots. (Effectiveness and impact analysis beyond *process* elements is considered to be too premature at this stage):

- a) Relevance: -to what extent did the pilot projects respond to any of the pre-established 6 criteria (mentioned above)?
- b) Process Effectiveness:
  - In implementing the pilot projects, what has been the usefulness of the Evaluation Competency Framework (ECF) so far? What are the lessons learnt when piloting the implementation of the ECF?
  - What were/are possible constraints to the use of the ECF? And what have been positive and negative aspects related to the achievement of expected results of the pilot projects? Do they relate to the relevance and/or usefulness of the ECF? If so: how?
  - Did the pilot projects engender good practices that may feed into sharing of experiences to UNEG members?

In order for the questions to be addressed, analysed and disseminated, some data collection, subsequent analysis and reporting will need to be undertaken. For that purpose, services of an external company will be required. The company will be requested to take responsibility for the following activities:

#### **Data collection:**

0. Basic familiarization with the pilot initiative, prepare review questions and questionnaires (estimated at 1 day of 1 staff)
1. Carry out a desk review related to the ECF and the undertaking of the pilot projects (estimated at 0.5 day of 1 staff)
2. Undertake an online survey and key informant interviews with each of the piloting agencies and one or two possible other actors (estimated at 2 days of 1 staff)

#### **Report compilation:**

-Compile a draft report responding to the Review questions listed above; with conclusions and an inclusion of recommendations for the way forward (estimated at 3 days of 1 staff)

-Based on received feed-back, compile a final report with inclusion of recommendations for the way forward (estimated at 1 day of 1 staff)

**EXPECTED DELIVERABLES:**

- a) Summary write up of interviews undertaken
- b) Draft and final review report in electronic format

## Annex 2: Reference Documents

Documents provided by UNEG and consulted as part of the desk review include:

- **Professionalization of evaluation** (provided by UNEG)
  - March 2017 report to UN General Assembly on strengthening to role of evaluation
  - Concept note on professionalization of evaluation (January 2016)
  - Concept note on professionalization of evaluation (June 2016)
  - List of members of Professionalization of Evaluation working group
  - SO1 work plan from December 2017
  - List of SOG members
  - Powerpoint from UNEG AGM 2017 on professionalization
  - Powerpoint on UNEG Module 3
  
- **ECF and background** (provided by UNEG)
  - 2016 Evaluation Competency Framework
  - ECF History
  - Powerpoint from ECF workshop in New York in April 2017
  - Powerpoint from April 2017 (titled “Torino November 2017”)
  
- **Provided by UN Women:**
  - UN Women powerpoint on the credentialing process and pilot updates
  - UN Women coaching brief
  - Coaching tracking spreadsheet
  - PDF link to UN Women intranet page
  
- **Provided by WFP:**
  - Learning development plan template
  - Evaluation CapDev programme design specification (August 2016)
  
- **Provided by ILO:**
  - IECP meeting minutes from September 2016 (2x)
  - ILO internal evaluation programme flyer

## Annex 3: Pilot Project Selection Criteria

No.	Proposal Selection Criterion	Scale	Criterion Weight	Maximum Score
1	Should fit <u>within any of the anticipated piloting areas</u> : self-assessment exercises, performance management, professional capacity development activities, use in recruitment, use in training materials, etc. OR be examples of innovative uses of the Competency Framework	5 pts	2x	10 pts
2	Has potential for eliciting lesson learning on the professionalisation of evaluation or for other UNEG agencies to apply similar pilot projects	5 pts	2x	10 pts
3	Represents a project with defined inputs, one or several activities, outputs, a timeline, adequate resources allocated and a project manager assigned to implement the evaluation professionalisation activities	5 pts	2x	10 pts
4	Intends to produce tools and/or products that may feed in to enhanced sharing of experiences among UNEG members	5 pts	1x	5 pts
5	Uses innovative and creative methods to implement and engage stakeholders	5 pts	1x	5 pts
6	Is either a new initiative or an existing, ongoing and/or scaled up initiative	5 pts	1x	5 pts
7	Other considerations (qualitative)	Non-numeric	-	-
<i>Maximum total score</i>				<b>45 pts</b>

# Annex 4: Semi-Structured Interview Guide

## General questions for organizations without pilots

1. How has your organization used the ECF since the framework was introduced in 2016?
2. In your view, what are the three most important issues to be addressed in relation to the UNEG Competency Framework?
3. What are the three most promising aspects of the Framework?
4. Imagine that the UNEG Competency Framework is used in the most beneficial way for the United Nations. What does that look like? What are its best uses?
5. What lessons do you have so far about how best to use this Framework?
6. How can this evaluation be most helpful in your path to use this Framework?

## Questions for organizations piloting the UNEG Competency Framework:

### Pilot

1. Why did your organization propose this particular pilot project and set of activities (as opposed to other forms of implementation)?
2. What is the most recent status of the pilot project? If not completed, when is it expected to be completed?
3. What was your experience with the process of using the Framework overall?
  - a. What aspects of the Framework were most useful?
  - b. What aspects were less useful in your pilot?
  - c. What aspects were difficult to use or not relevant?
4. What are your biggest questions and concerns about the framework and its implementation, if any?
5. What lessons have emerged about how best to use the framework?
6. What advice do you have about how to scale up its use successfully?

### Variation

7. What types of evaluations does your organization usually do? (large/small, impact/performance, field/corporate, etc.)?
8. How familiar and comfortable are different people/teams in each organization with the revised ECF?
  - a. How comfortable are evaluators with using the Framework?
  - b. How comfortable are evaluation unit heads with using the Framework?
  - c. How comfortable are evaluation commissioners with using the Framework?
  - d. How comfortable are evaluation managers with using the Framework?

### Implementation

9. What was the organizational support you received for ECF implementation?
10. How clear and uniform are the ECF's "three levels of seniority," both within and between organizations?

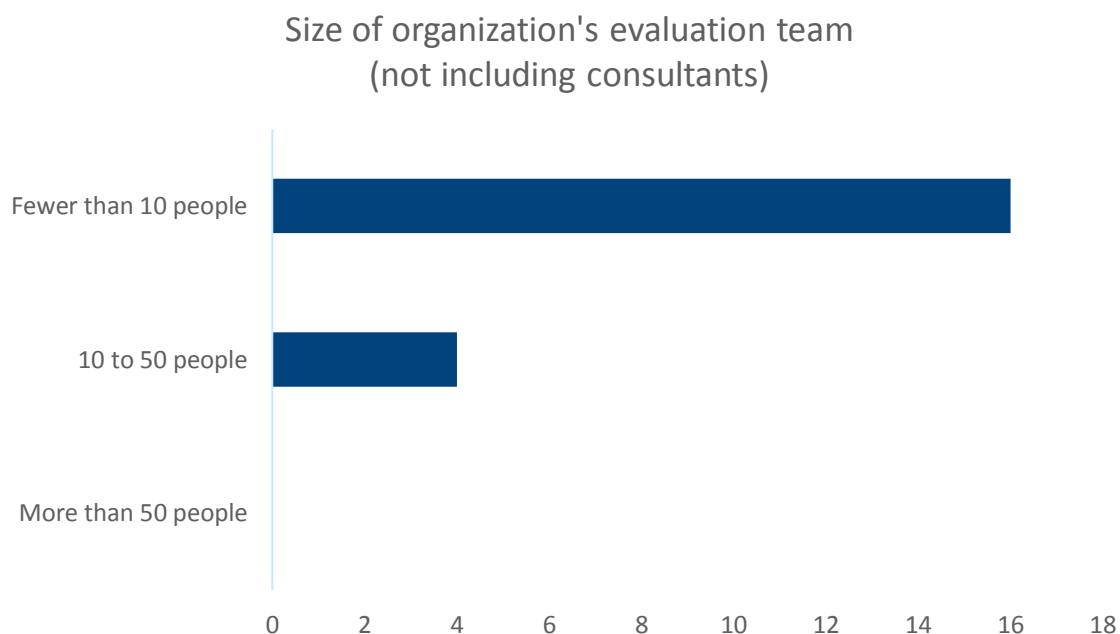
11. How did incorporating this framework change their approach to specific project implementation, if at all?
12. Overall, how well does the framework suit the needs and structure of their organization?

## Annex 5: UNEG Survey Response Summaries

The survey was distributed to 39 members of the Professionalization Working Group plus heads of evaluation units that are not part of the Group. 20 responses were received.

### Q1: How large is your organization's evaluation team (not including consultants)? (N=20)

Most respondents were from organizations with small core evaluation teams, with 80% having fewer than 10 staff members. A few respondents had between 10 and 50 staff on their organizational evaluation teams.





## Q2: What types of evaluations does your organization typically do? (N=19)

Each organization completes a range of different evaluations, with survey participants selecting an average of 3.8 different responses. More than half of the respondents came from organizations that perform thematic, outcome/effectiveness and operation evaluations.

Types of evaluations typically performed by organization



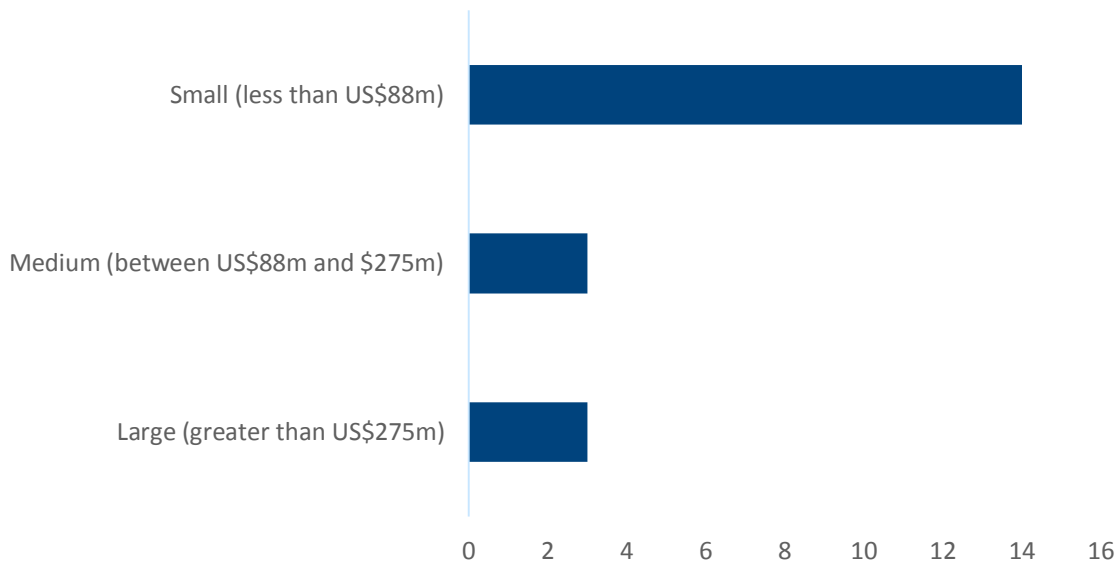
Other evaluation types that were mentioned included:

- self-evaluations
- programme evaluations
- humanitarian evaluations
- country portfolio evaluations
- policy evaluations (n=2)
- strategic evaluations
- project evaluations

### Q3: What size of projects do you typically evaluate? (N=19)

Most organizations perform evaluations of small projects (less than US\$88m), though a few also evaluate larger projects.

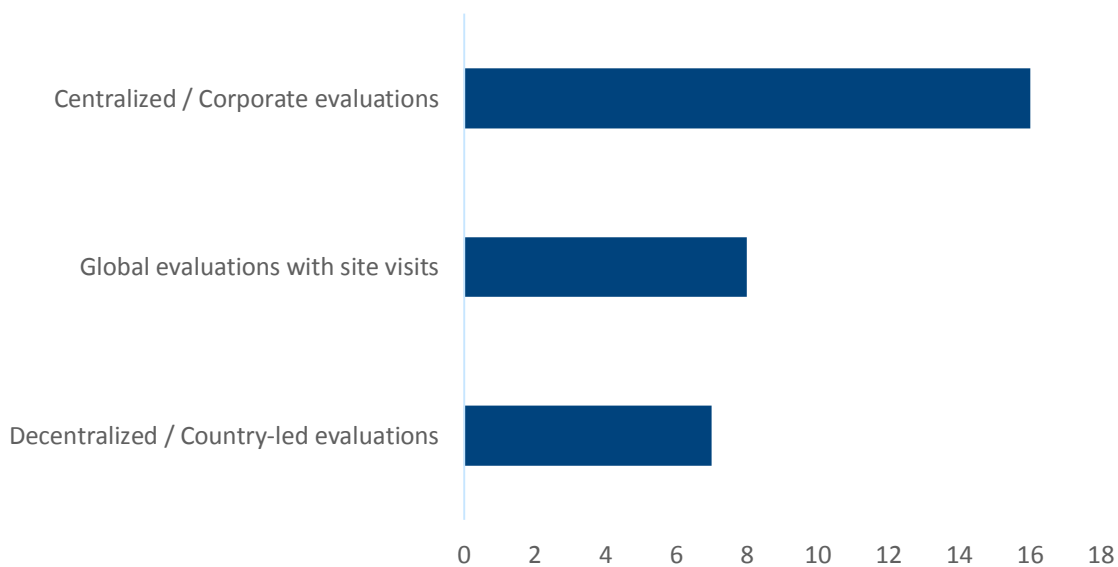
Size of projects typically evaluated



### Q4: Type of evaluation participants usually work on (N = 19)

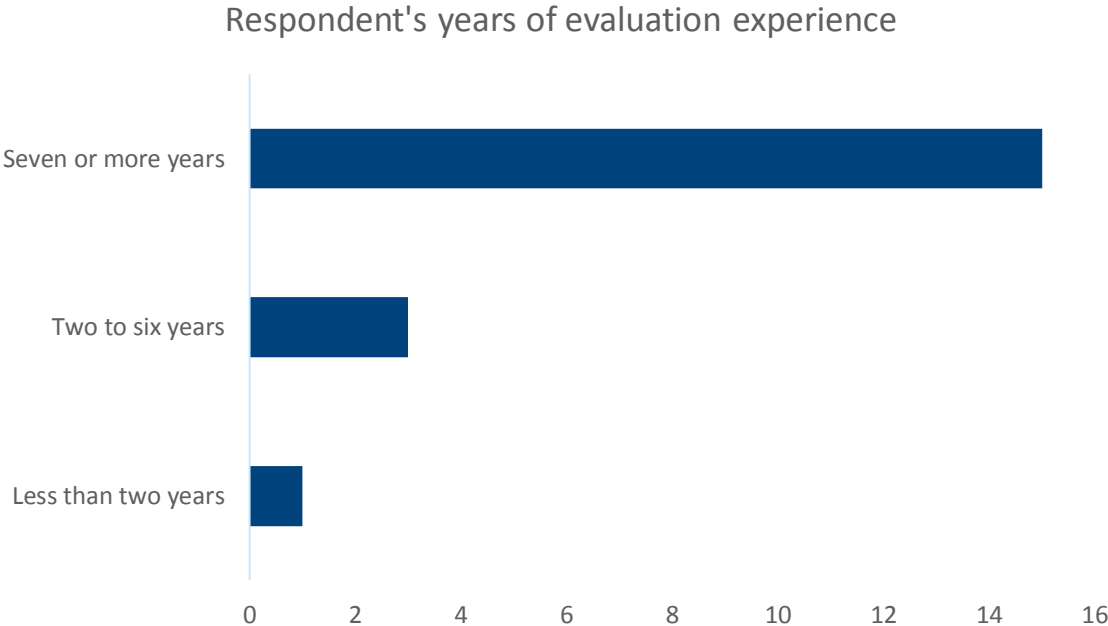
Survey respondents work on a mix of decentralized/country-led evaluations, centralized/corporate evaluations and global evaluations with site visits.

Type of evaluation



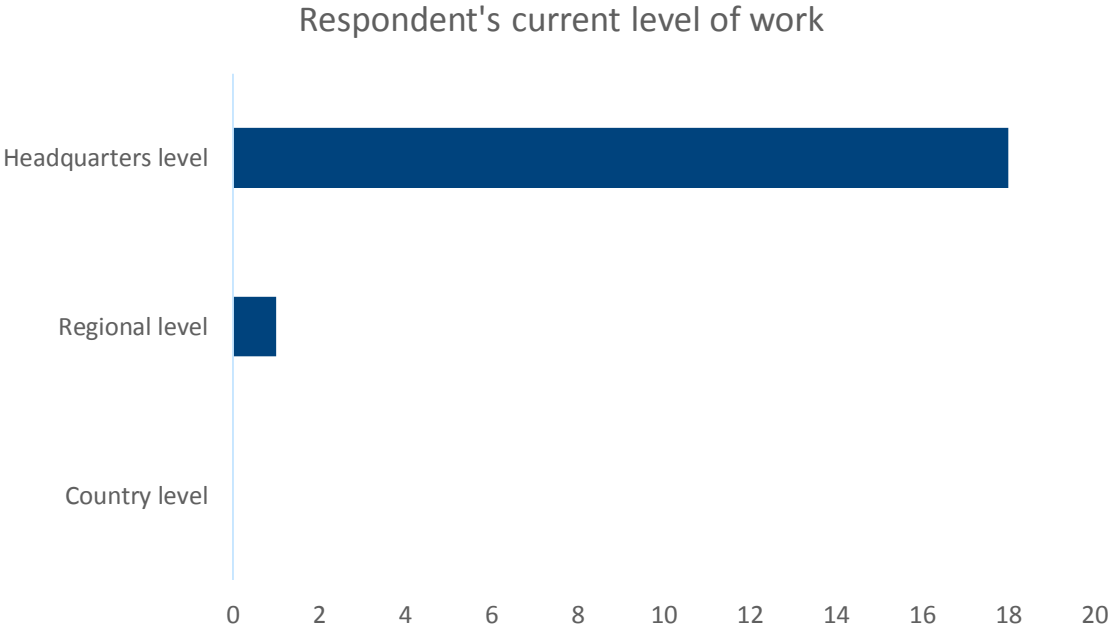
**Q5: How many years of evaluation experience do you have? (n=19)**

The majority of survey participants had seven or more years of evaluation experience.



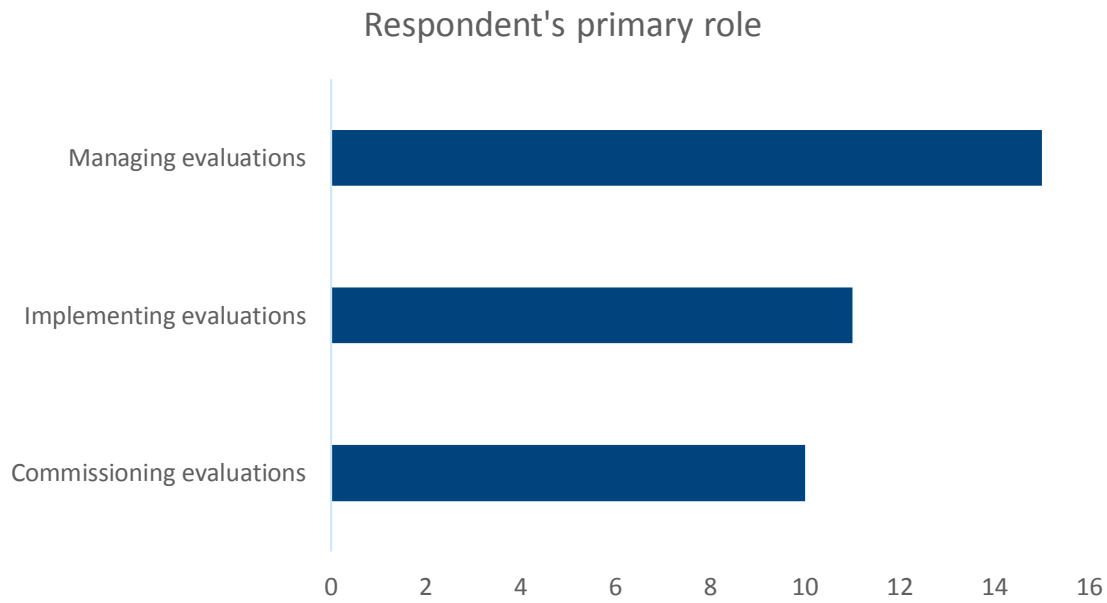
**Q6: In your organization, at what level do you primarily work?**

In their current roles, survey respondents offered primarily a headquarters level perspective.



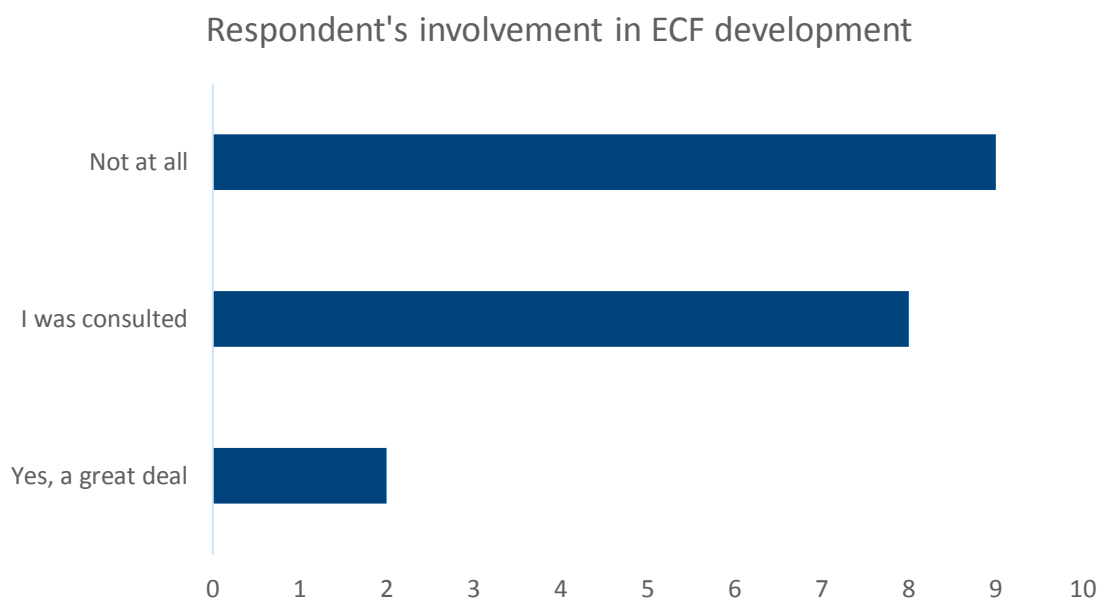
**Q7: Are you primarily involved in commissioning, managing or implementing evaluations? (If you are substantially involved in more than one role, check more than one option.) (N=19)**

Survey respondents were involved in the commissioning, management and implementation of evaluations. It is important to note that most survey respondents were substantially involved in multiple roles, with an average of 1.9 roles per person. Seven respondents reported a single role, seven had two roles, and five had all three roles.



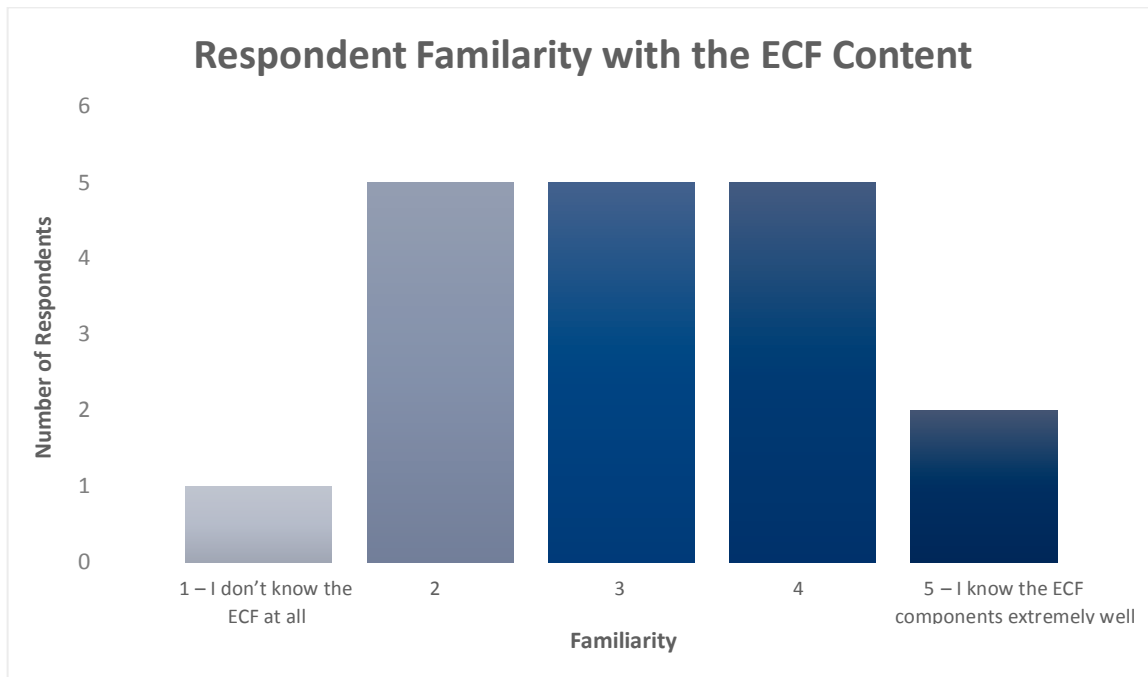
**Q8: Were you involved in the development of the ECF? (n=19)**

Approximately half of the survey respondents were consulted to some capacity in the development of the ECF.



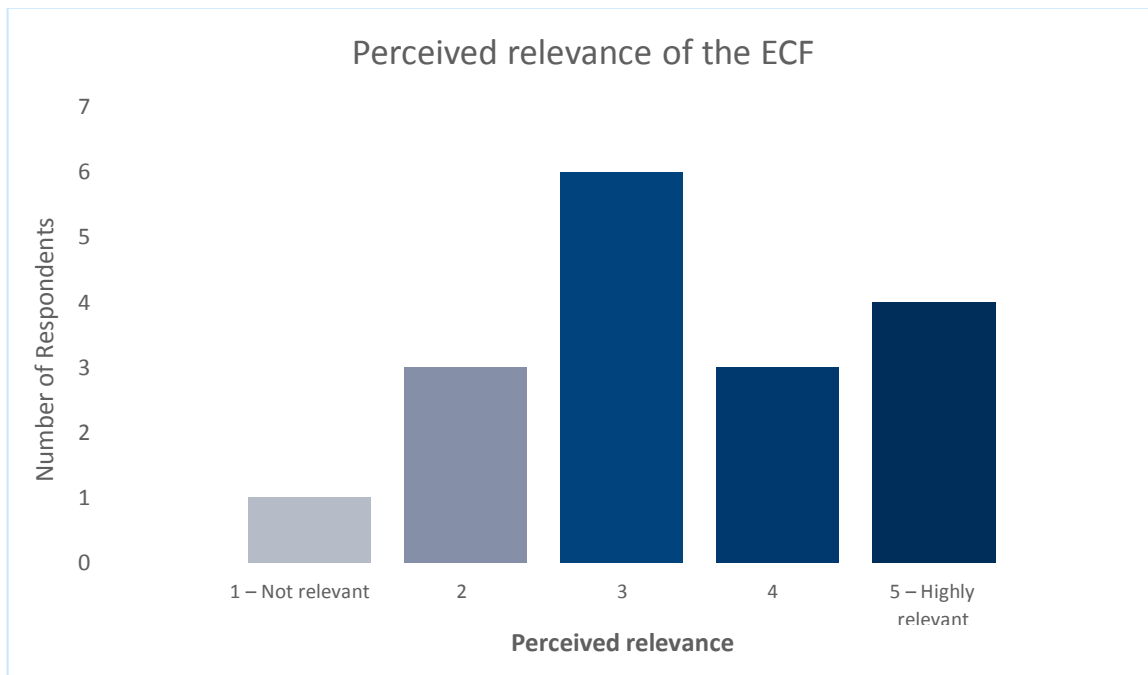
**Q9: How familiar are you with the content of the 2016 ECF? (N=18)**

Respondents exhibited an extremely wide range of familiarity with the 2016 framework, ranging from a complete lack of knowledge to high confidence in content knowledge.



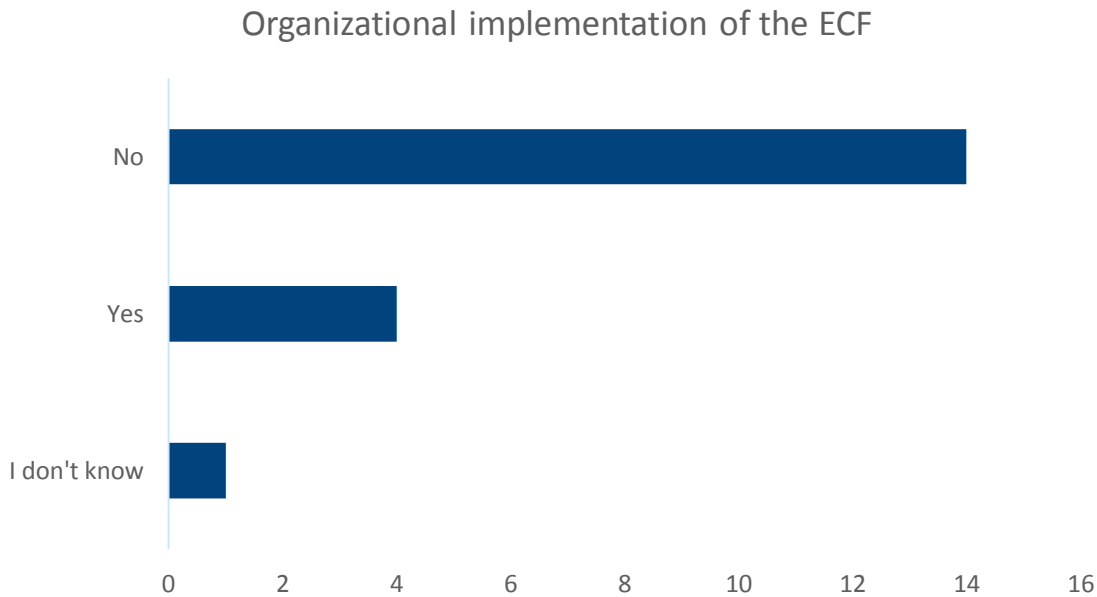
**Q10: How relevant is the ECF to your own work? (N=19)**

Respondents were also fairly split on the expected relevance of the ECF to their own work.



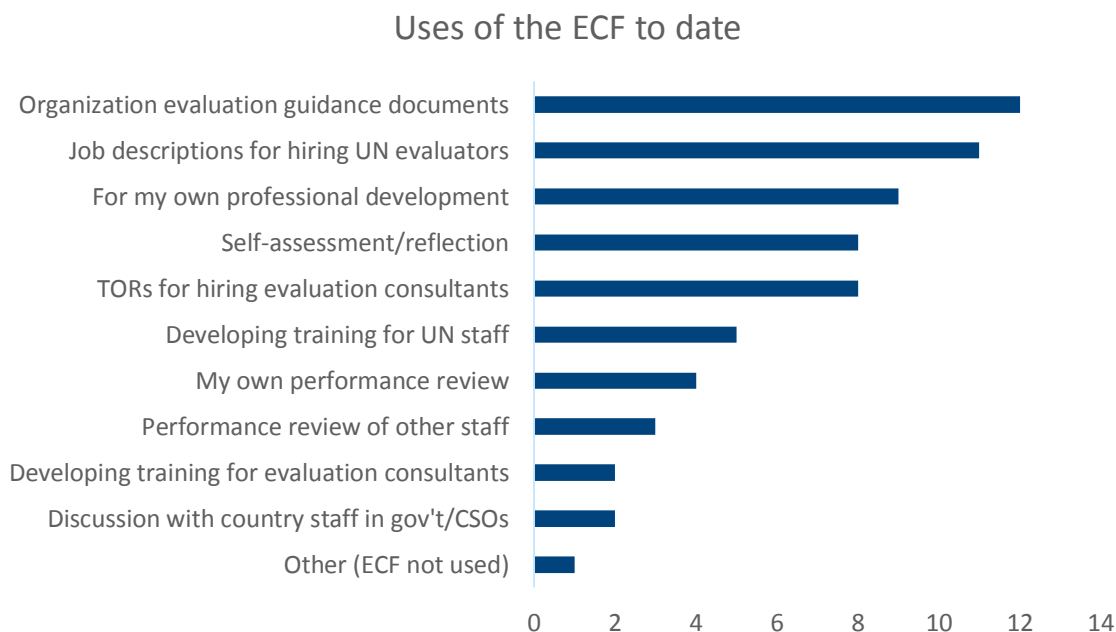
**Q11: Has your agency piloted implementation of the ECF? (N=19)**

Nearly three quarters of UNEG member agencies surveyed had not yet applied or implemented the ECF in their organization.



**Q12: Select all choices that describe your own past use of the ECF, completing the sentence “I have used the ECF...” (N=18)**

The top three uses of the ECF thus far were in organizations’ evaluation guidance documents (even by reference), in job descriptions for hiring UN evaluators and for personal professional development and identifying competencies to strengthen.



**Q13: What do you think are the three most useful aspects of the ECF? (select 3) (N=20)**

Respondents appreciated a wide range of characteristics of the ECF, with the top three being the framework’s methodical approach to core competencies and staff levels, its official endorsement by UNEG and its ability to increase general awareness of the need for professionalisation of evaluation.

Most useful features of the ECF



Other useful aspects that were mentioned included its credibility vis-à-vis donors and other stakeholders and its potential to be the basis of a UN evaluation certification programme.

**Q14: What has been the primary challenge or barrier to your implementation of the ECF? (N=20)**

A third of respondents noted that the lack of sharing of evaluation training curricula among UN agencies was their top challenge to ECF implementation. Most survey respondents did not seem to find the ECF structure and content itself to be the primary barrier to implementation, focusing instead on challenges of interagency coordination, identifying development opportunities and broader organizational support (whether from management or HR).

## Top barriers/challenges to ECF implementation



Other challenges to ECF implementation that were mentioned included:

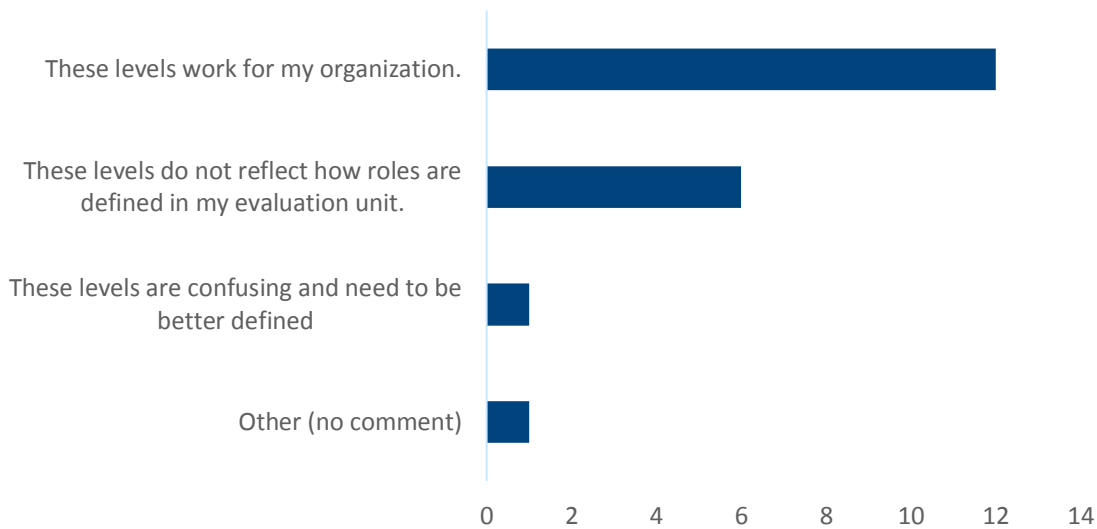
- “Posts are generally well-aligned but reclassification is problematic as the UN Magnet job family in the Secretariat does not include ‘evaluation’ posts”
- “Difficult to meet all competencies for a given level”
- “Limited resources stretched on ensuring implementation of present evaluation workload”

**Q15: To what extent do the three levels of seniority laid out in the ECF (Senior Officer, Intermediate Officer and Officer) make sense for your organizational structure? (N=20)**

Two-thirds of respondents seemed satisfied with the ECF’s three levels of seniority.



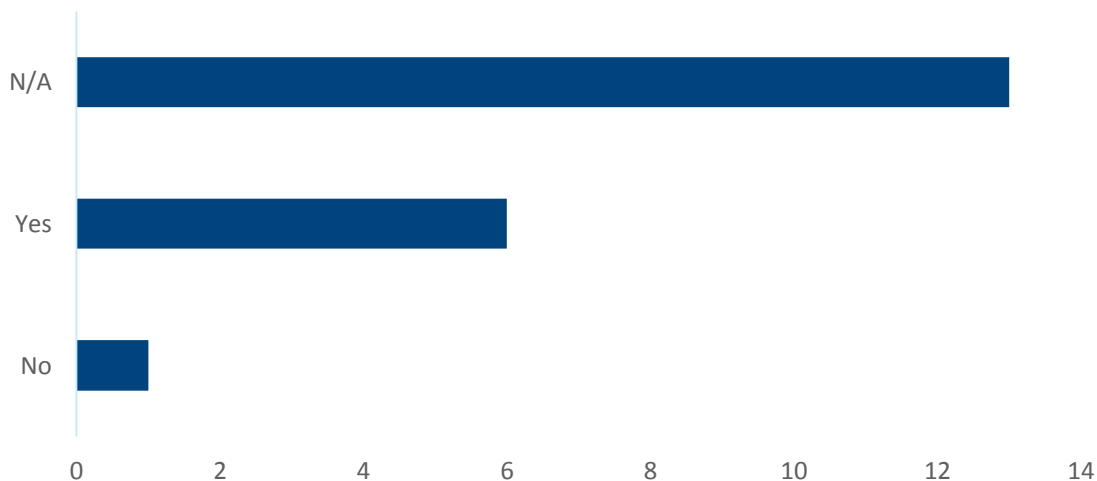
### Clarity of ECF's levels of seniority



**Q16: If your agency participated in the AGM 2017 breakout session on the professionalisation of evaluation, did the “lessons learned” that were shared there help you progress in your work? (n=20)**

The majority of respondents did not seem to have participated in the AGM 2017 breakout session on the professionalisation of evaluation, though those that did generally found it useful.

### Were the "lessons learned" from the AGM 2017 breakout session on professionalisation of evaluation helpful?



**Q17: Looking to the future, which use of the ECF do you find the most promising for your own work? (select up to 3) (N=19)**

Respondents were most interested in the potential of the ECF to be used in job descriptions for UN evaluators, TORs for evaluation consultants and in developing training for UN staff.

Future uses of the ECF

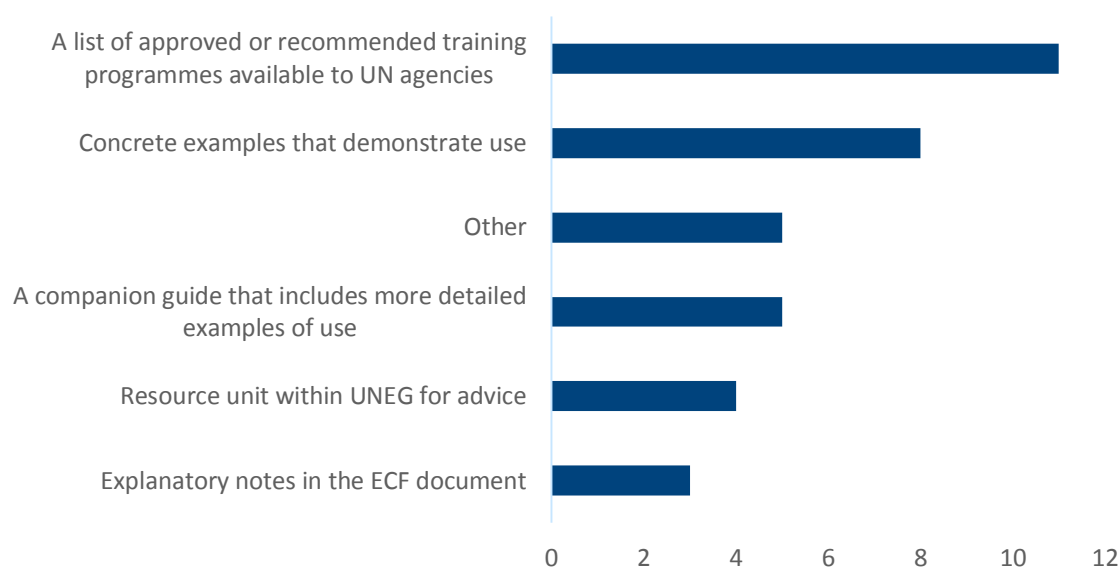


Another use that was suggested was using the ECF as the basis of a UN evaluation certification programme.

**Q18: What would make the ECF more usable to you? (select all that apply) (N=19)**

The most useful tool that was selected was a list of approved or recommended training programmes available to UN agencies, with concrete examples that demonstrate of the ECF being the second most popular option.

## Ways to make the ECF more useful



Other comments on how to improve the usefulness of the ECF included:

- The ability to distinguish between core competencies and competencies that are a “plus” for each level
- Post categories in the UN Secretariat HR system (under inspection and evaluation job family) that are designated for evaluation staff at appropriate levels. Currently the only post description is P5 Senior Evaluation Officer, no others exist in the HR system.
- The pilots were supposed to provide the concrete examples.

### Q19: Do you have additional advice or elaboration on any of your responses?

- “I welcome the clarity that the ECF brings to the competency profiles for evaluators at different levels of seniority. Well done!”
- “Examine the world of ‘audit’ and learn from the best approaches...”
- “I appreciate its usefulness as a guidance document, although the specialization of my area (communications evaluation) means that I cannot use it in its entirety.”

## Annex 6: Survey Questionnaire

Thank you for taking the time to share your understanding and use of UNEG's revised Evaluation Competency Framework (ECF). These insights will be incorporated into EnCompass LLC's review of ECF implementation efforts across UNEG member agencies. This survey should take 5 to 10 minutes to complete.

### Section I: Background Characteristics

1. How large is your organization's evaluation team (not including consultants)? *(select one)*
  - a. Fewer than 10 people
  - b. 10 to 50 people
  - c. More than 50 people
  
2. What types of evaluations does your organization typically do? *(select all that apply)*
  - a. Operation evaluation
  - b. Activity evaluation
  - c. Evaluation of pilots
  - d. Transfer modality evaluation
  - e. Impact evaluation
  - f. Thematic evaluation
  - g. Joint evaluation
  - h. Formative evaluations/needs assessments
  - i. Process evaluations
  - j. Economic evaluations
  - k. Outcome/effectiveness evaluations
  - l. Other: \_\_\_\_\_
  
3. What size of evaluations do you typically work on? *(select all that apply)*
  - a. Small (less than US\$88m)
  - b. Medium (between US\$88m and \$275m)
  - c. Large (greater than US\$275m)
  
4. Do you usually work on: *(select all that apply)*
  - a. Decentralized / Country-led evaluations
  - b. Centralized / Corporate evaluations
  - c. Global evaluations with site visits
  
5. How many years of evaluation experience do you have? *(select one)*
  - a. Less than two years
  - b. Two to six years
  - c. Seven or more years

6. In your organization, at what level do you primarily work?
  - a. Headquarters level
  - b. Regional level
  - c. Country level
  
7. Are you primarily involved in commissioning evaluations, managing evaluations or implementing evaluations? *(If you are substantially involved in more than one role, check more than one option.)*
  - a. Commissioning evaluations
  - b. Managing evaluations
  - c. Implementing evaluations

### **Section II: Familiarity with the ECF**

8. Were you involved in the development of the ECF?
  - a. Yes, a great deal
  - b. I was consulted
  - c. Not at all
  
9. How familiar are you with the content of the 2016 ECF?
  - 1 – I don't know the ECF at all
  - 2
  - 3
  - 4
  - 5 – I know the ECF components extremely well
  
10. How relevant is the ECF to your own work?
  - 1 – Not relevant
  - 2
  - 3
  - 4
  - 5 – Highly relevant

### **Section III: Past Use of the ECF**

11. Has your agency piloted implementation of the ECF?
  - a. Yes
  - b. No
  - c. I don't know

12. Select all choices that describe your own past use of the ECF, completing the sentence “I have used the ECF...”
- a. To reflect on my own competencies (self-assessment).
  - b. For my own professional development and to identify competencies I would like to strengthen.
  - c. In job descriptions when hiring UN evaluators.
  - d. In terms of reference (TORs) when hiring evaluation consultants.
  - e. In my own performance review.
  - f. In the performance review of another staff member.
  - g. In developing training for UN staff.
  - h. In developing training for evaluation consultants.
  - i. In my organization’s evaluation guidance documents, even by reference.
  - j. In discussing evaluation competencies with country staff in government or civil society, i.e. local voluntary organization for professional evaluation (VOPE).
  - k. Other: \_\_\_\_\_

#### Section IV: Usefulness of the ECF

13. What do you think are the three most useful aspects of the ECF? (*select three*)
- a. Officially endorsed by UNEG
  - b. Methodical approach to core competencies and staff levels
  - c. Outlines competencies that are broader than purely technical evaluation skills
  - d. Expands evaluation competencies to non-evaluators
  - e. Increases general awareness of need for professionalisation of evaluation
  - f. Coherent and consistent approach for the hiring and professional development of UNEG members
  - g. Provides guidance to countries and evaluation consultants about skills and competencies required / preferred by the United Nations for evaluations
  - h. Other: \_\_\_\_\_
14. What has been the primary challenge or barrier to your implementation of the ECF? (*select one*)
- a. Subjective or unclear competency descriptions
  - b. Difficult to scale to non-evaluation staff, i.e. project managers or consultants
  - c. Lack of managerial or organizational support / prioritization
  - d. Lack of engagement with human resources (HR)
  - e. Does not reflect variation in constraints in the field
  - f. Difficulty balancing the ECF with other evaluation frameworks
  - g. ECF “levels of seniority” unclear in your organization
  - h. Unclear where to obtain professional development opportunities
  - i. Lack of sharing of evaluation training curricula among UN agencies
  - j. Other: \_\_\_\_\_

15. To what extent do the three levels of seniority laid out in the ECF (Senior Officer, Intermediate Officer, Officer) make sense for your organizational structure?
- These levels work for my organization.
  - These levels do not reflect how roles are defined in my evaluation unit.
  - These levels are confusing and need to be better defined.
  - Other: \_\_\_\_\_
16. If your agency participated in the AGM 2017 break-out session on professionalisation of evaluation, did the “lessons learned” that were shared there help you progress in your work?
- Yes
  - No
  - N/A

### Section V: Future Use of the ECF

17. Looking to the future, which uses of the ECF do you find most promising for your own work? *(select up to three)*
- Reflecting on my own competencies (self-assessment)
  - For my own professional development and to identify competencies I would like to strengthen
  - In job descriptions when hiring UN evaluators
  - In terms of reference (TORs) when hiring evaluation consultants
  - In my own performance review
  - In the performance review of another staff member
  - In developing training for UN staff
  - In developing training for evaluation consultants
  - To inform my organization’s evaluation guidance documents, even by reference
  - In discussing evaluation competencies with country staff in government or civil society, i.e. local voluntary organization for professional evaluation (VOPE)
  - Other: \_\_\_\_\_
18. What would make the ECF more usable to you? *(select all that apply)*
- Explanatory notes in the ECF document
  - Concrete examples that demonstrate use
  - A companion guide that includes more detailed examples of use
  - A list of approved or recommended training programmes available to UN agencies
  - Resource unit within UNEG for advice
  - Other: \_\_\_\_\_
19. Do you have any additional advice or elaboration on any of your responses?  
*[open-ended]*

