

Independent Evaluation Division

# Independent Thematic Evaluation **UNIDO's Staff Competency Development**



UNITED NATIONS  
INDUSTRIAL DEVELOPMENT ORGANIZATION





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The evaluation team would like to dedicate this report to the memory of Mr. Gilles Galtieri, a long-serving UNIDO colleague, who had contributed with helpful insights to this evaluation.

## Abbreviations and acronyms

AR	Annual Report
CF	Competency Framework
ERG	Evaluation Resource Group
ERP	Enterprise Resource Planning
FO	Field Office
FRO	First Reporting Officer
HRM	Human Resources Management
HRMF	Human Resource Management Framework
IAEA	International Atomic Energy Agency
ILO	International Labour Organization
IRPF	Integrated Results and Performance Framework
ISA	Individual Service Agreement
ISID	Inclusive and Sustainable Industrial Development
JIU	Joint Inspection Unit
JO	Job Opening
LMS	Learning Management System
MPTF	Medium-term Programme Framework
OSCE	Organization for Security and Co-operation in Europe
PCP	Programmes for Country Partnership
SCD	Staff Competency Development
SDGs	Sustainable Development Goals
SPA	Staff Performance Appraisal
SPM	Framework for Staff Performance Management
SRO	Second Reporting Officer
ToR	Terms of Reference
UN	United Nations
UNFPA	United Nations Population Fund
UNIDO	United Nations Industrial Development Organization
UNODC	United Nations Office on Drug and Crime
UNOV	United Nations Office in Vienna
UN RCO	United Nations Resident Coordinator Office
UNSSC	United National Staff System College
VBO	Vienna-based Organization

## Glossary of evaluation-related terms

<b>Term</b>	<b>Definition</b>
<b>Baseline</b>	The situation, prior to an intervention, against which progress can be assessed.
<b>Effect</b>	Intended or unintended change due directly or indirectly to an intervention.
<b>Effectiveness</b>	The extent to which the development intervention's objectives were achieved, or are expected to be achieved.
<b>Efficiency</b>	A measure of how economically resources/inputs (funds, expertise, time, etc.) are converted to results.
<b>Impact</b>	Positive and negative, intended and non-intended, directly and indirectly, long term effects produced by a development intervention.
<b>Indicator</b>	Quantitative or qualitative factors that provide a means to measure the changes caused by an intervention.
<b>Lessons learned</b>	Generalizations based on evaluation experiences that abstract from the specific circumstances to broader situations.
<b>Logframe (logical framework approach)</b>	Management tool used to facilitate the planning, implementation and evaluation of an intervention. It involves identifying strategic elements (activities, outputs, outcome, impact) and their causal relationships, indicators, and assumptions that may affect success or failure. Based on RBM (results based management) principles.
<b>Outcome</b>	The likely or achieved (short-term and/or medium-term) effects of an intervention's outputs.
<b>Outputs</b>	The products, capital goods and services which result from an intervention; may also include changes resulting from the intervention which are relevant to the achievement of outcomes.
<b>Relevance</b>	The extent to which the objectives of an intervention are consistent with beneficiaries' requirements, country needs, global priorities and partners' and donor's policies.
<b>Risks</b>	Factors, normally outside the scope of an intervention, which may affect the achievement of an intervention's objectives.
<b>Sustainability</b>	The continuation of benefits from an intervention, after the development assistance has been completed.
<b>Target groups</b>	The specific individuals or organizations for whose benefit an intervention is undertaken.

## Executive summary

The Thematic Independent Evaluation on UNIDO Staff Competency Development (SCD) was conducted between February-August 2017, after several recommendations contained in other evaluation and audit reports revealed the need to focus on UNIDO's staff competencies and training programmes.

The evaluation questions reflected on four criteria, processes (efficiency and effectiveness), quality of training events (effectiveness), conceptual framework of Competency Development (relevance), and the link between staff competency development and the UNIDO's strategic goals (policy coherence).

The evaluation was conducted using a multi-method approach including a desk review, two surveys, individual guided interviews, focus groups and a comparator study with UNFPA, ILO and UNODC. An Evaluation Resource Group to accompany the evaluation team's work was set up and provided input especially for the design of the two surveys. The two surveys that were conducted, one addressed to UNIDO's regular staff and one to Headquarter-based Individual Service Agreement (ISA) holders, had a turnout of 47% for staff survey and 68% for ISA-holder survey. There was an equal gender distribution among the respondents (52% female to 48% male). In addition, the evaluation team developed a model of Competency-based Human Resource Management to provide an overall conceptual framework for assessing UNIDO's SCD.

While documents offered a valuable basis for the policy framework and context conditions, the actual implementation and management practices were often not documented. Simple information on the costs of training events, allocations for training, staffing resources and devoted staff time were not readily available within Department of Human Resource Management (ODG/HRM), and were therefore obtained only late in the evaluation

process as they had to be manually generated. Key performance indicators of the Human Resource Planning and Development Division could not be obtained from publicly available documents. This rendered the work of the evaluation team cumbersome as the team did not have the means to verify provided information.

### Key findings

**Relevance and policy coherence:** The analysis of documents, policy papers and administrative circulars shows that UNIDO has paid much attention to developing a comprehensive Human Resource Management Framework. However, the survey results and the interviews suggest that less than 30% of the respondents believe that the present Competency Framework provides effective definitions of competencies for the relevant job profiles, and almost 70% of staff responding to the survey feels UNIDO is not taking adequate responsibility for SCD. In particular, the survey highlighted the general concern among staff that the current SCD activities do not contribute effectively to the Organization's strategic goals, with only 23% agreeing or strongly agreeing to the statement "The current SCD activities contribute effectively to the Organization's strategic goals (e.g. Sustainable Development Goals, ISID, country partnerships etc.)".

UNIDO was among the first agencies to adopt a competency framework as early as 2002, which was then reviewed in 2011 after long internal consultations. Currently, there is only one level of application for each competency in UNIDO. Due to the fact that technical and functional competencies are not mentioned in the present Competency Framework (IC/2011), managers expressed that they have no clear guidance on how to use technical competencies in recruitment, performance review and learning management.

Taking into account the imbalance between regular staff and ISA holders (29 to 71% ratio), there has been a high dependency of UNIDO

on ISA-holders to attain its strategic results. However, there seems to be no formulated strategy for ISA-holders in the business model of UNIDO. It is common knowledge that the consultant workforce consist of long-termers at all levels who often do regular staff work. This reality is not reflected in the training eligibility directives, with the exception of SAP introductory training that is essential to almost all key project management processes.

**Effectiveness:** While the quality of the training is rated high, the usefulness of training to current position and especially long-term career development are largely considered negative. Staff has the strong impression that training is distributed unequally and according to criteria that are not transparently communicated, whereas there are no significant differences between Professional and General Service staff in terms of number of training received. The survey showed that around 10-15% of staff of all categories have not received any training in the past two years. In particular, field staff report a very high percentage – more than 60 per cent- have not attended any training in the past 2 years.

The centralization of divisional funds for training to HRM in 2006, the rule that training needed to be internal and group training as much as possible, the absence of a divisional needs assessment since 2016, as well as the introduction of the Staff Performance Management (SPM) module in the Enterprise Resource Planning (ERP) system as a cornerstone of managing individual competencies, have meant that the process that is currently followed is not aligned with the Learning Policy, nor is it clearly defined and documented. Overall, it is not clear how strategic objectives that have been cascaded by management in the recent years are incorporated into SCD planning.

**Efficiency:** Evaluation evidence shows that SCD seems to have been receiving insufficient HRM staff and budgetary support over the past 5 years, and the situation has a major

effect on the planning horizon and efficiency of delivery. While data on actual training received by staff is rather scarce, looking at the Annual Reports, training declined sharply in 2016 and so did external training courses, in line with the sharp decrease in budget. These listings do not provide budgetary information on each training event, nor information on the attendees by Division nor whether staff have attended several training courses during that time period - which makes it difficult to compare financial figures (especially per capita) across the last years.

Many elements of the HRM function are not well integrated in the current ERP system, such as training records or competency base analysis. Thus skills-gap analysis, if done at all, is prepared manually. Furthermore, a Learning Management System (LMS) is not part of the ERP.

Communication with staff seems to have been intermittent and largely unsystematic during the recent years. Until the summer of 2017, little pro-active information has been provided by HRM to inform staff of the training programmes, the financial situation or long-term plans.

The joint roles and responsibilities for staff development and training and competency development for staff, supervisors and ODG/HRM, are mentioned in different documents, however are not clearly defined. In particular, the SPM system with the 360 degree feedback and the First Reporting Officer (FRO) ratings by core values and competencies appear to be disconnected from the identification of real developmental needs and are perceived to be largely administrative duties.

## **Key conclusions**

The evaluation evidence demonstrates that while the main elements of a Staff Competency Development system formally exist and the UNIDO staff are highly committed to learning, the alignment between strategic policy framework, organizational objectives and SCD implementation is weak. Moreover, the

current system does not sufficiently address the specific needs of the Organization, or prepare the UNIDO for future challenges.

Regular staff is continuously decreasing, which means that there is a need to cater for fewer and fewer staff and this trend is most likely to continue. In parallel, the budget for learning activities has also decreased, albeit not at the same rate. Large parts of UNIDO's workforce at headquarters, recruited under ISA-contracts, are not eligible to take part in most training activities. Moreover, the need to fill vacant positions through internal recruitment presents a challenge to staff development. We conclude that these developments and imbalances have not been satisfactorily addressed by Management.

The current Competency Framework of 2011 is not considered suitable and relevant for all posts or functions and categories of staff (from general service staff to director level), because no technical and functional competencies and no levels of application are defined. Moreover, core values for the Organization are described, but it is not clear how they are applied to different HR processes such as recruitment, succession management, learning management, or the impact on individual performance and planning.

While there is an overall recognition that the financial limitations are a significant constraint for SCD implementation, this is not the main factor that hampers effective and efficient delivery. A forecasting function within the Organization or ODG/HRM as to what competencies will be needed in 5-10 years' time does not currently exist. This results in a succession management which is delinked from a systematic competency review in view of future needs and challenges.

Whereas the overall quality of training is satisfactory, the current training programme does not satisfy the needs of all staff, especially in the technical departments. The training programme mainly addresses

the needs of long-term HQ-based staff. Field Office (FO) based staff do not have the same opportunities to partake in training.

There is concern among staff that many (re-)assignments do not follow due process, thus do not ensure optimal matching of competencies to the position.

The decision-making processes within the HRM function responsible for staff development and training are not known to staff and are not communicated well or in some cases not communicated. This results in a perception among staff that the decision-making processes related to approval of training requests are non-transparent, unfair or arbitrary.

The development goals section in the SPM module serves as a basis for HRM's training programmes, but the synthesized and prioritized training needs established through the analysis of individual inputs do not necessarily reflect the competency needs that would be prioritized by the individual units, departments and supervisors.

Indicators for training and SCD contained in Annual Reports and the Integrated Results and Performance Framework (IRPF) draft are not SMART and consistent among each other. There is very limited systematic monitoring of planned budget and expenditures, distribution/access and effectiveness of the training programme.

## **Recommendations**

As far as possible the evaluation team tried to take into account the financial situation of the Organization when formulating its recommendations. The team distinguished three types of recommendations: Type I are no-cost or almost cost-free and could be implemented within a time span of six months; Type II recommendations would involve some costs and staff time and are likely to take 6-12 months to implement, whereas Type III recommendations would need 12-24 months and involve financial investment and staff /expert time.

## Type I

- o Senior Management should convey a clearer message as to the Organization's strategic objectives and develop (in consultation with selected staff and consultants) a plan to how best these objectives can be achieved, which competencies are needed and exactly who should possess which competencies (regular staff or ISA-holders) in order to better address future challenges of UNIDO.
- o Member States should reconfirm their commitment to UNIDO as a learning organization and ensure that it has adequate resources to maintain its technical specialization to fulfil its mandate in view of the Lima Declaration.
- o ODG/HRM should improve its communication with all staff and re-constitute strategic partners/focal points to proactively seek contact with staff on a regular basis. It is also recommended that the Staff Council play a more active role in communication with staff in SCD-related matters, as well as in recognition of best practices. (In this area some notable progress could be observed in recent months.)
- o Since the culture of on-the-job mentoring and training is already strong, existing competencies by staff and ISA-holders should be utilized in their area of expertise to conduct learning sessions for other colleagues. This should then be formally recognized and acknowledged.

## Type II

- o HRM's reporting should be made more relevant by including additional information and SMART indicators on the following: assessment results of training events, long-term impact of training, results of regular competencies gap analysis, costs of training events, participation of staff by division, forecasting information, and cooperation with other agencies.

- o Senior management should consider de-centralizing parts of the training funds to technical divisions and field offices, so that these departments can access specialised training.
- o Regional UNIDO Offices should be facilitated to support each other and that joint training programmes should be implemented. A strategy should be formulated to allow Field Offices staff to participate fully in relevant HQ-training events and to facilitate their participation in field training offered by other UN agencies.

## Type III

During the updating of the Human Resources Framework, UNIDO management should take the opportunity to review key components of its Competency Framework and related processes, including:

- o Review and re-design the Competency Framework, considering the inclusion of technical and functional competencies;
- o Assign at least three levels of application to each competency (e.g. knowledgeable, proficient, advanced);
- o Define core competencies for job families;
- o Review the Staff Performance Appraisal system and multi-source feedback in line with the related findings of this evaluation;
- o Review recruitment and placement processes (including lateral moves) to streamline and strengthen the link to the competency base, and relieving HRM staff time dedicated to recruitment (especially for internal and ISA recruitments);
- o Systematically update the job descriptions of all posts in terms of competencies required.

# I. Evaluation objectives and scope

## 1.1 Objective of the evaluation

This Thematic Evaluation on UNIDO's Staff Competency Development was foreseen in the 2016-2017 work plan of UNIDO's Office for Independent Evaluation (ODG/IEV) and was approved by the Executive Board in March 2016. Several recommendations contained in other evaluation and audit reports, revealed the need to focus on staff training and development. Whereas originally planned as an evaluation focusing exclusively on staff training effectiveness, the Terms of Reference were later broadened to Staff Competency Development as to include the concept of competencies in Human Resources Management and its role for strategic management<sup>1</sup> and organizational learning.

The term Staff Competency Development is not used in UNIDO's policy documents. More often it is referred to as Staff Development and Training. To stress the importance of Staff Competency Development as an encompassing concept, including different elements of staff development ( e.g. self-development, on-the-job learning, mentoring, e-learning, attendance of conferences, training, webinars and others), this term was developed and is used here in a programmatic rather than a descriptive way.

Competency development as a strategic management practice takes care of the direct linkages connecting overall organization strategy to all functions within HRM, such as recruitment processes, performance management, career development (including lateral moves and promotion). It is hence an essential practice of UNIDO's overall management framework in contributing to the programmatic, technical and managerial advancement of UNIDO as an organization, and in the long-term, to support the attainment of the strategic goals of UNIDO.

## 1.2 Evaluation criteria and questions

The evaluation focused on the criteria of efficiency, effectiveness, relevance and policy coherence:

(1) Efficiency was examined through the use of available resources, the implementation of processes and tools and the adequacy of roles and responsibilities.

(2) Effectiveness was assessed by looking at the quality of training events and the extent to which they meet the needs of individual staff as well as the ones of UNIDO as an organization at programmatic and strategic levels. To do so, several UN agencies and their competency frameworks and staff development programmes were examined for comparison.

(3) Relevance of staff competency development for the attainment of UNIDO's strategic goals, and

(4) Policy coherence was examined, i.e. the conceptual framework of staff competency development and training as it is outlined in policy papers, frameworks, programmes and internal directives.

For each of the evaluation criteria, sub questions and judgment criteria were developed to guide the data analysis, formulation of findings, conclusions and recommendations (see Annex B).

## 1.3 Scope of the evaluation

The evaluation covers all processes in as far as they are related to the Staff Competency Development and Learning. This commences with the identification of needs during the annual performance appraisal process up to the end-of-training assessment, but can also include other types of learning such as on-the-job learning or self-initiated learning. Other HRM processes, such as recruitment, lateral moves, performance management and knowledge management play a key role in staff competency development and have been analysed to the extent that they apply to the

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<sup>1</sup> Annex A: Evaluation Terms of Reference

evaluation objectives. More importantly, the link between competency development and UNIDO's strategic goals has been analysed in depth.

Given that 71% of the UNIDO workforce at Headquarters and the field are Individual Service Agreement (ISA) holders who work in various functions and are formally not eligible for staff development, the evaluation team decided to give this part of UNIDO's workforce attention by conducting a separate survey for Headquarters-based ISA holders only.

#### **1.4 Intended use and intended users of the evaluation**

The report is addressed to UNIDO's senior management with regard to findings in the area of policy coherence and relevance. HRM will be the main user of the evaluation as regards to the aspects of efficiency and effectiveness.

The report will also be of interest to the Staff Council, as it deals directly with issues related to staff welfare. During the conduct of this evaluation, Staff Council also suggested that an independent evaluation of the Staff Performance Appraisal system to be conducted. While this evaluation contains some related findings regarding the Staff Performance Management Framework, a full independent evaluation on this topic is to be considered in the near future.

First and Second Reporting Officers at all levels will also benefit from the findings and conclusions of this evaluation, due to their role in managing their staffs' competencies. All regular staff will be indirect beneficiaries of the evaluation's findings. Finally, ISA-holders will be affected by the evaluation results, as the evaluation survey provided an opportunity to express their views.

## II. Approach and methodology

### 2.1 Review period and team

Preliminary discussions of the ToR began in February 2017. In March 2017, the evaluation was officially launched and was completed in August 2017. From April 23 to May 22 two surveys were conducted, one addressed to UNIDO's regular Staff and one to HQ-based ISA holders. During the entire period, semi-structured interviews and focus groups were conducted with staff, ISA-holders and senior management. In addition, interviews were conducted during this period with the HR staff of comparator organizations. In July, the preliminary findings were presented to both staff and senior management in two subsequent briefings.

The team consisted of Kadidja Hildebrandt, evaluation team leader, Sergio Gardelliano, senior technical expert (training and competency development), and Müge Dolun, IEV Evaluation Officer.

### 2.2 Data collection methods

The evaluation methods were selected in order to provide the opportunity to reflect the perspective of the different beneficiaries and stakeholders and to be able to cross-reference information obtained.

**Desk review** (Method 1): A thorough desk review was conducted establishing the context in which staff competency development processes occur.

**Guided Interviews** (Method 2): For the review and evaluation of the main aims of the programme, it is essential to interview key managers and process owners of the staff development process. For selected case studies staff and supervisors were interviewed.

**Online survey** (Method 3): All staff members and HQ-based ISA holders were invited to participate in two online surveys. Staff members holding supervisory roles were asked additional questions.

**Focus Groups** (Method 4): Staff members and supervisors representing different divisions were asked to discuss questions related to the current staff development process.

**Comparator studies** (Method 5): Interviews with HRM departments of other UN or Vienna-based organisations (VBOs) for a comparative view of their learning policies, competency frameworks and training programmes were conducted.

An Evaluation Resource Group (ERG) was established with the aim to act as an advisory body and sounding board for the evaluation team.

**Table 1: Evaluation matrix**

Evaluation Criterion	Method of Data Collection				
	Document and System Analysis (M1)	Guided Interview (M2)	Online survey with staff (M3)	Group discussions (M4)	Comparative analysis (M5)
Efficiency	x	x			
Effectiveness	x	x	x	x	x
Policy Coherence		x		x	x
Relevance	x	x	x		

In addition, the evaluation team developed a Model for Competency-based Human Resource Management system, which shows the vital links of the Organizational Strategic Planning and Development components with the HRM framework, providing an overall conceptual and pragmatic framework for assessing UNIDO’s SCD. This conceptual model is based on literature review as well as on the expertise of the senior technical consultant. The model is presented in Section 2.4 below.

### 2.3 Data collection and analysis

While documents offered a valuable basis for the policy framework and context conditions, the actual implementation and management practices were often not documented. Simple information on the costs of training events, staffing resources and devoted staff time were not readily available within HRM, and were therefore obtained only late in the evaluation process as they had to be manually generated. Key performance indicators of the Human Resource Planning and Development Division

of HRM could not be obtained from publicly available documents. Guided face-to-face interviews, focus groups and the two surveys were important sources of complementary information. Information was triangulated from the different sources to cross-check validity of information.

Some staff members readily shared information about practices they use in their division or that they had used with previous employers. This proved very helpful for the comparative analysis.

Both surveys were completed with a good turnout of: 47.5% for staff survey (31 questions) and 60% for ISA-holder survey (15 questions). There was an equal gender distribution among the respondents (52% female to 48% male). The surveys took between 15-30 minutes to be filled out depending on the number of additional comments made. The surveys consisted of multiple choice, rating and open questions. The full results of the two surveys are contained in Annexes D and E.

**Table 2: Surveys and interviews outline**

	G	P2-P4	P5 and above	Field office Staff	HQ-ISA	Total
Interview and Focus Groups	8	7	13	3	6	<b>37</b>
Surveys*	142	84	51	50	155	<b>441</b>
Total survey response	286 out of 601 surveyed (47,5% response rate)				155/256 (60% response rate)	

## 2.4 Competency-Based Human Resource Management Model

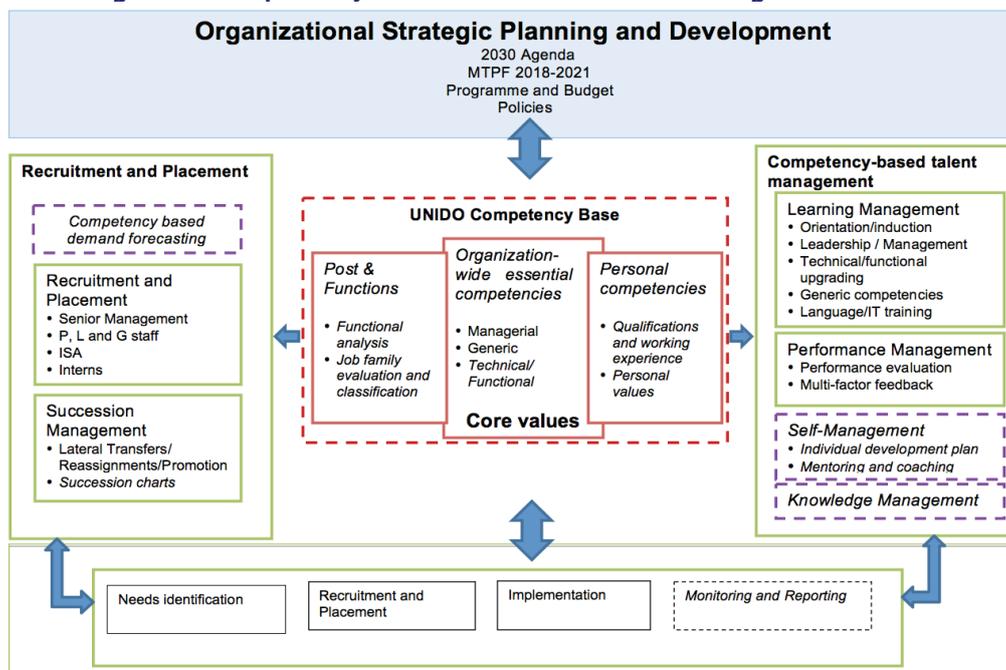
The evaluation team developed a model of Competency-based Human Resources Management system. The main aim of this model, presented in Figure 1, was to show the link between strategic planning and the HRM framework. The second aim was to show which elements are in place at UNIDO, which ones are in place but would need improvement, and which ones are currently missing.

As mentioned before, the HRFM 2015 defines competency as a “*combination of skills, knowledge and behaviours that leads to effective performance on the job, be it at Headquarters or in the Field Offices, and is therefore important for the success of the Organization in achieving its strategic goals, as well as the success of individual staff members.*”<sup>2</sup> A competency framework therefore should provide an inventory of expected behaviours/ attributes, knowledge and skills and sets standards for good performance at different levels of application and for different functions in the Organization.

Development, implementation and updating of a Competency Framework are considered an important pillar of Staff Competency Development. While competency development refers to the individual throughout the working career for expanding, deepening, updating or redirecting an employee’s competencies, the objective of competency development is the comprehensive development of the workforce and the Organisation. Therefore, competency development is part of the strategic operations planning of an organisation, and need to be cascaded down from the strategic objectives. At the same time, a competency framework plays an important role in supporting HR management by, forming the basis for recruitment and rotation, career and performance management, staff development and learning, and HR planning.

This model was used as the overall framework guiding the evaluation process, its findings, conclusions and recommendations.

Figure 1: Competency Based Human Resource Management Model



## 2.5 Limitations of the evaluation and validity of findings

The turnout of the two surveys was sufficiently representational. Of all the functions of HRM, the performance and learning management was dealt with in the greatest depth, as it is the starting point for the identification of needs for SCD. Other functions of HRM were dealt with only in as far as they concerned competency development and competency verification at recruitment. A number of related processes and policies were not considered in detail, such as reclassification, merit award/promotion schemes, and internship policy.

The Buildings Management Section was not examined separately and is thus subsumed within the staff survey. The ISA-holder survey was addressed to regular ISA-contract holders in the headquarters only, as it would not be possible to address the wider pool of experts in the field within the scope and resources of this evaluation.

## 2.6 Information sources and availability of information

As mentioned earlier, while policy documents were easily available on the UNIDO website, basic information on the efficiency, budget and expenditures, internal functioning and staffing of Human Resource Planning and Development Division of HRM had to be generated manually by HRM and was provided rather late in the evaluation process and was not entirely coherent.

### 2.6.1 Information from other evaluations

Several assessments/evaluations were consulted for this evaluation: (1) the report by the Joint Inspection Unit (JIU) on the *Management and Administration of UNIDO* (2017) served as a valuable basis, particularly as it had been finalised just prior to the start of this evaluation. It contains valuable data on the HRM functions, financial and staff data. Due to its wider scope, it provided

complementary information, in particular on the context within which UNIDO operates. (2) The 2014 JIU report on *The Use of Non-Staff in the UN System* provided a global perspective of the problems linked to the outsourcing of tasks in the long-term. (3) The Independent Thematic Evaluation on UNIDO's Partnerships with Donors proved valuable as some constraints mentioned therein are also affecting the Staff Competency Development. (4) The strategic evaluation on the *Implementation of the expanded UNIDO Medium-term programme framework 2010-2013* highlighted the importance and shortcomings of UNIDO's MTPF as a planning, monitoring and assessment document.

No similar independent evaluations were identified from other UN agencies to provide a benchmark for the performance of other SCD approaches.

## 2.7 Evaluation Resource Group

To support the evaluation team an Evaluation Resource Group (ERG) was established, consisting of six members, representing the different organizational divisions as well as a mix of grades and gender. The first meeting of the ERG was well attended and members provided valuable feedback on the survey draft and evaluation methodology. The second meeting, which took place in early July 2017 to present preliminary findings, was attended by two members of the group who provided critical inputs to the evaluation team.

### III. Context and background of Staff Competency Development at UNIDO

#### 3.1 Policy Framework and Strategic Objectives

##### 3.1.1 Medium-term programme framework (MTPF) and Agenda 2030

MTPFs were introduced for the first time in 2010 in UNIDO, with the purpose of serving as a strategic planning document that would also guide implementation, monitoring and reporting.

The development of the UNIDO Medium Term Programme Framework (MTPF) 2016-2018 provided a new strategic direction towards implementation of the ISID approach, the contribution to the 2030 Agenda and a new pilot approach, the Programmes for Country Partnership (PCP). The PCP entails a custom-built partnership formula that is aligned with the national industrialization priorities, development plans and ISID objectives.

The updated MTPF 2018-2021 aims to enhance synergies among development partners working towards SDGs, whilst

maximizing the development impact of UNIDO’s interventions.<sup>3</sup> The MTPF builds on the findings of an Independent Strategic Evaluation of the UNIDO MTPF 2010-2013. A key recommendation of the evaluation was to introduce an Integrated Results and Performance Framework (IRPF). The initial draft IRPF was released in October 2016 and includes performance indicators for UNIDO’s operations in a two-tier format. The updated IRPF was still under development at the time of writing.

In relationship to staff competency development, the IRPF contains the corresponding indicators, including the performance indicators for ‘Capacity development and knowledge management’ mentioned under Tier 2 Organizational Performance (indicator 4.12)<sup>4</sup>. However, these indicators were not used for the Annual Report 2016, but replaced with different ones.

**Table 3: Indicators for capacity development as per IRPF**

Indicator	Alignment of trainings with UNIDO priorities (%)
Target	More than 80% alignment
Comments	Training courses under new groupings are organised starting 2016. Baseline data will be available in 2017.
Updated metadata	Percentage of training courses allocated to technical skills upgrading in (a) industrial competitiveness and innovations; (b) industrial human resources and gender equality; (c) industrial governance; (d) environmental footprints of industries and (e) others related to SDG 9. This is a new reporting format where trainings have to be justified under Tier 1/ Level 1 of the IRPF. <sup>5</sup>

<sup>3</sup> Medium Term Programme Framework (MTPF) 2016-2019

<sup>4</sup> IDB.44/CRP.4: Updated indicators and metadata for the integrated results and performance framework, p. 10 and 20

<sup>5</sup> Tier 1/Level 1 of the IRPF refers to the Global Development Results indicators

### 3.2 Competency Framework

UNIDO first introduced a comprehensive Competency Framework (CF) in 2002, based on work done with the UN Staff System College (UNSSC). This was divided in two parts. Part One contained the overall concept of competencies, i.e. the 3 core organisational values, the main applications of the competency model in organizational processes and the different types of competencies and levels of application including the descriptions of the essential 14 managerial competencies with their key behavioural indicators (KBIs).<sup>6</sup> The second part of the CF including descriptions of technical and functional competencies as well their application in specific UNIDO HRM systems was not published as planned. In 2011, the current CF was developed. This

includes three core values (that are identical to the CF of the UN), six core competencies and four managerial competencies. It does not define different levels of application for each competency.<sup>7</sup> The development of the CF was conducted in a participatory manner.

According to the current CF, all core competencies and the three core values apply to all staff. Managerial competencies apply to all “managers”. Each core value and competency has a set of positive behavioural indicators that define how the competency looks like in action. The development of technical competencies was discussed, but it was thought at that time that they were too specific and too complicated to maintain for a small number of staff to be spelt out for each technical speciality.

**Table 4: UNIDO Competency Framework (2011) and its use in different HR function**

	Core Values	Core Competencies	Managerial Competencies
Competency Framework (CF) 2011	<ul style="list-style-type: none"> <li>- Integrity</li> <li>- Professionalism</li> <li>- Respect for diversity</li> </ul>	<ul style="list-style-type: none"> <li>- Results orientation and accountability</li> <li>- Planning and organizing</li> <li>- Communication and trust</li> <li>- Team orientation</li> <li>- Client orientation</li> <li>- Organizational development and innovation</li> </ul>	<ul style="list-style-type: none"> <li>- Strategy and direction</li> <li>- Managing people and performance</li> <li>- Judgment and decision-making</li> <li>- Conflict resolution</li> </ul>
Use of Competencies in different HR functions			
Staff Development and Training	--	Partially, training events in team work, communication	Leadership and management related training events and coaching
Performance management	Apply to all staf	Staff member suggest and FRO decides on three applicable competencies	Managers to choose 3 managerial competencies, for Unit Chiefs must include managing people
Recruitment of staff	Apply to all job descriptions	Used for all different job families, technical competencies mentioned are not part of the CF	Apply to job descriptions for Managing Directors, Directors, UNIDO Representatives and Chiefs of Services
Recruitment of consultants	Part of TOR	Part of TOR	--
Lateral Moves	Not mentioned	Not mentioned	Not mentioned
Career development	Not mentioned	Not mentioned	Not mentioned

6 Strengthening organizational core values and managerial competencies, UNIDO, 2002. This CF defines 3 core values and 14 managerial competencies. It defines three application levels for each competency (knowledgeable, advanced and proficient). Part 2 of this Competency Framework was to include generic, functional and technical competencies: it was never published.  
7 OECD defines four levels, the UK civil service six levels of application for each competency mostly linked to different job families

### 3.3 The Human Resources Management Framework

The first version of the HRMF dates from 2001. It was then amended in 2003 and 2010. The latest review dates back to 2015. In 2014, a working group was established for the review of the HRMF. The changes proposed were endorsed by the Joint Advisory Board (JAC) and the revised HRMF was published as UNIDO/AI/2015/01 in March 2015. (It is not clear if the aforementioned document is considered a transition document up until the HRMF is finalised in its second review phase.)

A second phase of review was launched in May 2015 to be finalised by July 2015 to look at post classification, staff rotation, staff performance management, merit award/promotion schemes, recruitment and placement of staff. The Working Groups' report was published in July 2015. The second review process has not been finalised and approved yet by the JAC at the time of the Evaluation, but the HR Policies Roadmap has been approved by the JAC and is under consideration by the DG (August 2017). It is to be noted that some findings of this evaluation are similar to the findings of the Working Groups' Report of 2015.<sup>8</sup>

The JIU Report 2017 recommended that *'the HRMF should be finalised by the end of 2017'*<sup>9</sup>. In its management response UNIDO says *'that the review of the HRMF has been completed and the Director General's Bulletin (DGB) promulgating the key HR principles will be issued shortly. The relevant policies and administrative instructions will also be promulgated and updated accordingly.'*<sup>10</sup>

According to the HRMF 2015, the Organization's human resource system is underpinned by the Competency Framework, and further deposits that the Competency

Framework is:

*"A powerful tool to support the achievement of UNIDO's goals and effectiveness as well as its strategic direction by,*

*(a) Facilitating a better understanding of what is required for a staff member's development and career progression from the staff member and from the Organization;*

*(b) Fostering a common understanding about what is needed and expected in terms of individual performance, thereby providing a sound basis for consistent performance management;*

*(c) Providing a clear basis for the definition of job requirements for the purposes of recruitment, human resource planning, reassignment and career development;*

*(d) Identifying growth opportunities and competency gaps in the Organization and addressing them through focused staff development and learning and/or targeted external recruitment."<sup>11</sup>*

The 2015 HRMF refers to the Policy on Learning from 2010, however, does not contain any specific elements on learning itself.<sup>12</sup> As to Performance Management it refers to the SPM document (UNIDO/AI/2012/01). The linkages between learning and performance management are also highlighted, where assessment of staff member's proficiency in the past should generate feedback to create a plan for learning in the coming performance cycle, i.e. learning that will support the development of competencies identified for further development.<sup>13</sup> This feedback loop, however, has not been implemented so far.

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8 See Sections 4 (findings) and 6 (conclusions and recommendations) of this report.

9 JIU Report 2017, Recommendation 6, p. 29

10 IDB.45./14/Add.2: Activities of the Joint Inspection Unit: Comments by the Director General on the JIU review of management and administration in UNIDO

11 Human Resource Management Framework (HRMF) UNIDO/AI/2015/01 16 March 2015, pages 3-4

12 UNIDO/AI/2015/01, p.14

13 UNIDO/AI/2015/01, p.4

### 3.3.1 Recruitment and placement

According to HRMF 2015, competencies are to be included in job descriptions and vacancy announcements to provide a complete picture of job requirements, with the overriding requirement for selection and recruitment being to secure staff meeting the highest standards of efficiency, competence and integrity, while aiming to achieve the goal of 50/50 gender balance within the Organization in the Professional and higher categories.

In addition, role of staff competencies development are recognized in the case of lateral transfers, *“When necessary, and especially for staff members selected to replace other staff members in a different functional grouping, the Branch Directors of the receiving organizational units will, in consultation with HRM, prepare individual staff development plans, which shall include any external training, self-study or coaching necessary in order to shorten the learning curve and facilitate the taking-over of the functions by the selected candidates.”*<sup>14</sup>

### 3.3.2 Competency-based Talent Management

#### 3.3.2.1 Learning Management

Director General’s Bulletin Policy on Learning (2010) is the existing official document defining the responsibilities of managers, supervisors and staff, the various categories of learning that can be provided, and elaborates on the administrative procedures for accessing learning opportunities. It applies to staff members who occupy established budget posts and hold appointments under the 100 and 200 series of the Staff Rules as well as Junior Professional Officers and Associate Experts (subject to the provision of the necessary training funds by the donor). It defines eight broad categories of learning that “the Organization provides staff with organizing either in-house learning events or making use of external facilities.” (See Figure 2 below)

The Learning Policy also sets out the procedure to be followed to develop the learning plans.

**Figure 2: Categories of learning events according to UNIDO learning policy**

- 1) Induction/Orientation: This programme is designed to facilitate integration of new staff members into the Organization, as well as orientating staff members assigned to the field on the specificities of field assignments;
- 2) Leadership, executive and management development training: These programmes focus on upgrading the competence of managers in key aspects of management such as strategic thinking, analysis and problem solving, decision making, team leadership, managing organizational teams, communication and performance management;
- 3) Upgrading of technical and substantive skills: The programme for upgrading substantive and technical skills aims to provide staff with a means to ensure that they can carry out their work and adjust to new mandates and responsibilities by maintaining and developing their skills. Staff development activities that may take place under this programme include, among others, specialized training, seminars, refresher courses, retreats, conferences and workshops;
- 4) Updating methodologies for technical cooperation development and management: This programme focuses on updating and upgrading technical competencies essential for the design and implementation of UNIDO’s programmes; regular training will be provided on programme/project management and technical cooperation guidelines;
- 5) General competencies upgrading: Training will be provided on a regular basis for staff members on competencies that are essential for daily functioning in the workplace such as interpersonal and communication skills, negotiation skills, presentation skills, time management and report writing skills;
- 6) Language training: Language training aims to provide staff with an opportunity to achieve proficiency in the official languages of the United Nations and in German, as the language of the host country;
- 7) Information technology: This programme focuses on the updating of information technology related skills and on specific information technology applications;
- 8) Work-related life skills, such as: Work-life balance, security and safety, first aid, conflict resolution and stress management.

<sup>14</sup> UNIDO/AI/2015/01, p.7

### 3.3.2.2 Learning Plans

According to the Learning Policy of 2010, HRM prepares an annual learning plan based on a process of collecting divisional learning needs, starting in the third quarter of each year preceding the calendar year for which the learning plan is to be prepared, which was the practice until 2016. Accordingly, each Director is asked to assess the learning needs of their staff taking also into account learning and development needs identified during performance management discussions and submit their requirements through the relevant Managing Directors, within a four week timeframe.

HRM then conducts a first review of the requests in close cooperation with the responsible managers. The aim of this review is to advise and assist in the process of identifying learning and development needs and suitable ways of addressing them, consolidate similar requests into group learning activities, and clarify priorities. Based on this review, HRM consolidates the requests and propose a learning plan for the Director-General's approval in the last quarter of the year. Activities approved under a given learning plan are meant to be reflected in the performance appraisal process of the respective year there by linking staff development, performance management and career progression.

According to the Policy on Learning, individual external learning needs should be identified during the development of annual learning plans and financial assistance may be considered on a number of criteria such as relevance, impact, cost-effectiveness as long as the staff member is going to serve for a minimum of one-year upon completion of the training<sup>15</sup>. However, as of 2014 individual external trainings were discouraged and rarely approved.

In addition, the divisional learning needs assessment has been discontinued in 2016 due to the concern of HRM that within the context of dwindling financial resources, a top-down and HRM-led approach would yield more efficient results since many of the identified needs of the divisions were too specific to be covered under the budget allocated. The annual learning plans are prepared centrally by HRM and submitted for DG's approval, however are not subject to discussion at senior management and/or Executive Board meetings.

### 3.3.2.3 Development Plans

Especially since the introduction of the new Staff Performance Management system in 2012, within the context of organization-wide ERP implementation starting in 2011, development plans are recorded within the staff member's appraisal documents at the beginning of the SPM cycle. The development plans are meant to be based on a discussion between the staff member and their direct supervisors and should be aimed at the continuous development of individuals and teams, in order to improve their performance. Each staff member and his/her FRO shall identify one or more development goal for the staff member, which has a direct relevance either "to achieving the results of his/her compact" or towards "his/her career goals".<sup>16</sup>

HRM reportedly draws the individual entries from the SPM system in the second quarter of the year once the start of cycle has been completed and analyzes the aggregate trends to identify common development needs and to design relevant group training courses.

At the end of the cycle, a self-appraisal in the form of a comment may also be made on the achievement of the development goals by the staff member, however currently there is no tracking tool within the ERP system

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<sup>15</sup> Staff members nominated for external training should complete an application form and obtain the necessary approvals from Branch Directors. Applications must include a course outline, cost, dates, duration and location of training and expected benefits for the Organization and need to be submitted at least four weeks prior to the commencement of the suggested learning activity.

<sup>16</sup> Staff Performance Management Framework (UNIDO/AI/2012/01)

for attended learning activities that links with the development plan or performance management.<sup>17</sup> Therefore, it is a very arduous process to track and assess if individual staff member's needs as agreed by their FROs are being addressed.

### 3.3.2.4 Framework for Staff Performance Management (SPM)<sup>18</sup>

Since the introduction of the organization-wide ERP system, the performance management is being conducted through the relevant SPM system module. Competencies are used for the performance ratings as staff and managers are assessed against core values, an agreed set of three competencies, as well as three managerial competencies for staff with manager duties (one of which 'managing people' is a requirement for Chiefs/ Unit Heads). The aim of this framework is to link more tightly individual performance to corporate goals as goals are cascaded down to the different work levels (departments and divisions). A further objective is to promote the close exchange and consultation between managers and staff on the compact with 5-6 critical results to be achieved in the year. This meeting between FRO and supervisee is to be used to identify development goals and learning needs.

An additional element is the use of core values and competencies in the "360 degree feedback" system. Accordingly, each staff member suggests and FRO approves, 5 to 10 feedback sources, who are colleagues with whom the staff member cooperates closely including peers, supervisees and external counterparts (for UNIDO Representatives), who are entitled to provide a professional opinion on their competencies. The individual ratings (on a scale of 1 to 5, see Table 6 below on definitions) provided by the feedback sources on the values and competencies are strictly confidential and are averaged before

they can be seen by the staff member and FRO. Comments on ratings are encouraged but not required unless they are exceptionally high or low. "Each staff member is also responsible for following up on the results of his/her performance feedback and is responsible for updating or upgrading his/her expertise and strengthening the necessary competencies required to deliver his/her results. In this context, reference is made to the provisions of the organization's policy on learning (UNIDO/DGB/ (M).117, dated 12 April 2010)."<sup>19</sup>

**Figure 3: Individual rating, details**

Performance in the core values and competencies shall be assessed through one of the following ratings:

- Exceptional proficiency (5): Consistently demonstrates all behavioral indicators, impacting own results as well as the performance of others;
- Full proficiency (4): Consistently demonstrates all behavioral indicators;
- Proficient (3): Consistently demonstrates more than half, but not all of the behavioral indicators;
- Developing proficiency (2): Demonstrates half of the behavioral indicators;
- Not proficient (1): Demonstrates less than half of the behavioral indicators.

### 3.4 Structural issues affecting implementation and management practices

While the official documents provide the higher level framework, there are a number of organizational level developments that have significantly impacted the implementation of SCD in UNIDO in recent years. These relate mostly to the (1) Secretariat's structure, (2) staffing changes and (3) resource management.

Since February 2016, the HRM Department has been located within the Office of the Director General, to 'acknowledge the constraints in terms of resources and resource

<sup>17</sup> The InfoBase has a "Learning" tab under the Personal Menu, which provides the historical data on attended courses.

<sup>18</sup> Three to five peers, and, if applicable, three to five subordinates and two to four counterparts from the United Nations Country Team (applicable for URs).

<sup>19</sup> UNIDO/AI/2012/01 Framework for Staff Performance Management, p. 5

*planning*'.<sup>20</sup> The Director of the Human Resources Department while retaining the responsibilities was appointed Managing Director of the Policy and Programme Support in September 2016.

According to staff this move has had two effects on the HRM function so far: it has accelerated the decision-making process, and it has reduced the number of management staff in the decision-making process. The JIU report (2017) noted that this move posed operational challenges in both functions *saying that they do not consider it advisable that the same individual occupies these two positions, and call on the Director-General to appoint a separate Director for the Department.*<sup>21</sup> UNIDO's comments on the JIU report did not make any reference to this point.<sup>22</sup>

Another significant change to the staff structure in the past 6-7 years has occurred due to the policy of keeping posts of retired staff vacant and to cease recruitment of new staff from outside the Organization, apart from very few exceptions. The retention and development of competencies has to be achieved almost entirely through training and lateral moves of existing staff or through the recruitment of consultants. Thus, the already existing imbalance between regular staff and temporary staff has shifted further towards the latter. At the time of this evaluation, the structure of UNIDO's work force was estimated to consist of approximately 29% regular staff to 71% of consultants. This affects the training function within UNIDO. As the number of regular staff has decreased over the years, there are effectively fewer recipients HRM has to cater for, yet staff members and divisions are under such pressure that they feel they cannot afford to participate in training events. Secondly, externally recruited consultants would need training (i.e. such as induction courses), but

they are not entitled to participate in UNIDO's training programme, unless by exceptional approval.

The general view seems to be that consultants do not need to be trained as they are already experts recruited to deliver specific expertise on certain topics. De facto, ISA-holders are a heterogeneous group consisting of experts (short-term), experts (started short-term, but have been with UNIDO for a long time and have taken on almost regular staff like functions) and support staff (among them also short-termers).

The above-mentioned HRM policy frameworks refer to regular staff only and do not cover either the situation of ISA-holders as part of the UNIDO's work force nor do they refer to them as playing a role in attaining the organizational goals. One can conclude that the policy frameworks thus do not cover the current situation of UNIDO nor do they contain a strategy as to how to deal with the increasing non-staff workforce in future.

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20 JIU Report, p. 28

21 JIU Report, P.28. This was not an official recommendation, but it was highlighted in the JIU-report.

22 IDB.45/14/Add.2

## IV. Findings

### 4.1 Relevance and policy coherence

#### 4.1.1 Policy relevance for strategic objectives

The analysis of documents, policy papers and administrative circulars shows that UNIDO has paid much attention to developing a comprehensive HRM framework. Many initiatives in the recent past and earlier were implemented to amend and modernize the Organization internally, with the aim of adjusting to new conditions and interconnecting strategic and internal planning. Policy documents as well as senior management interviews take account of the importance of competency development and learning to the Organization's profile and overall performance. Whereas some of these initiatives were focused directly on HRM, others touched upon this function indirectly.

The survey revealed that the policy documents regarding HRM are quite well known to staff<sup>23</sup>; in fact, out of 245 respondents to the survey question, 44% replied that they were well aware of the current policy documents and administrative guidance pertaining to Staff Competencies (Learning Policy, Human Resource Management Framework, Staff Performance Management Framework and Competency Framework) and 45% as partially.

From the survey, it was recognized that UNIDO has the basic elements and procedures for further building a better SCD, although the implementation of what is already in these documents is considered to be weak and inconsistent, e.g. use of competency framework for recruitment, appointment, performance management. Respondents to the interviews and surveys often commented that while there were a significant number of relevant documents (policies, administrative

issuances etc.), they are not communicated and distributed in a way that enables easy retrieval and consultation, and the large numbers and regular amendments/updates makes it difficult to keep up-to-date.

In particular, the survey highlighted the general concern among staff that the current SCD activities do not contribute effectively to the Organization's strategic goals. Only 23% agree or strongly agree to the statement "The current SCD activities contribute effectively to the Organization's strategic goals (e.g. Sustainable Development Goals, ISID, Country Partnerships etc.)" with the P5s and above being the most critical. In addition, when first and second reporting officers were asked whether they believe that the current policies guiding SCD are adequate or not, 30 out of the 55 respondents answered partially (against 16 no and 9 yes), commenting mostly that the problem lies with the implementation of the policies rather than with their content. Especially mentioned was the centralization of resources and decision making at HRM and lack of clear, adequately budgeted and communicated implementation plans.

Administrative instructions and DG bulletins has had a strong influence on the implementation of staff training. In these administrative issuances, no reference is made to higher-level policy documents. As a result, some of the operational procedures run counter to what was stated in strategic documents. Whereas this might not have been intended and was most likely aimed at saving resources or to spend them more efficiently, it became visible after some time that these administrative issuances impeded the implementation of a competency development approach according to the strategic needs of the Organization. In 2006, UNIDO's Executive Board stated that: *The Board agreed that Regular Budget funds earmarked for staff training should be administered by PSM/HRM and not be decentralized to the operational*

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23 Staff survey, question 7: Are you aware of the current policy documents and administrative guidance pertaining to Staff Competency Development (Learning Policy, Human Resources Management Framework, and Competency Framework)?

units<sup>24</sup>. No further reference is made to the reasons for this decision, what positive or negative consequences it might have. It also seems that the consequences of this change were to some extent mitigated by the fact that divisional training plans were developed in consultation with divisions up until 2016.

In combination with the issuance of the 2014 Information Circular that preference would be given to group training and internal training, and external individual training is only supported in exceptional cases without specifying them, the training programme shifted in content. The training programme offered courses related to general skills, soft skills and SAP training. What contributed further to the UNIDO's training programme to lack alignment to strategic goals was the tacit omission of developing divisional training plans in 2016, as divisions were not consulted at all.<sup>25</sup>

There is a recognition from several senior level managers interviewed that the 2030 Agenda and UNIDO's PCPs imply a need to build or strengthen certain competencies in the near future. One of the key challenges, faced by many UN organizations today, is that with the same resources and without changing staff, the Organizations need to

deliver new 'products' and to develop new delivery mechanisms. This can only be achieved through competency upgrading.

The competencies most mentioned by senior managers for PCPs and future strategic direction are team building, industrial policy statistics and analysis, and communication (written and presentation skills). However, since no skills gap analysis has ever been performed at the organizational level (apart from the BMS which is a joint service for VBOs) it is difficult to assess if the organization needs to realign its existing competency base with the anticipated changes for the future.

Overall, it was found that while the policy documents and strategic framework do take note of the importance of staff competencies, programmatic and strategic objectives of the 2030 Agenda for Sustainable Development and the HR policies are not sufficiently aligned. Furthermore, no evidence has been found that SCD has been reviewed or discussed by Senior Management in recent meetings or retreats as a key strategic issue. Unexpectedly, during the interviews it became apparent that the organizational strategic goals are not clear to many staff; this creates a feeling of detachment as staff is not sure about the new strategic direction.

**Table 5: "The current SCD activities contribute effectively to the Organization's strategic goals (e.g. Sustainable Development Goals, ISID, country partnerships etc.)**

	Strongly disagree		Disagree		Neither agree nor disagree		Agree		Strongly agree		I don't know		TOTAL	
G2-G7	7.07%	7	15.15%	15	33.3%	33	24.2%	24	4.04%	4	16.1%	16	45.4%	99
P2/L2-P4/L4	12.3%	9	26.03%	19	31.5%	23	20.5%	15	2.7%	2	6.8%	5	33.4%	73
P5 and above	9.3%	4	30.23%	13	32.5%	14	11.6%	5	2.3%	1	13.9%	6	19.7%	43
Total	9.17%	20	21.56%	47	32.11%	70	20.18%	44	3.21%	7	12.39%	27	100%	218

24 Minutes of UNIDO Executive Board, 16th Regular Meeting, 6 July 2006

25 In effect, HRM had planned a 2-year managerial and leadership programme whose budget would not have allowed much other training during that time. In 2017 this training was not approved, so that the budget should become available again.

### 4.1.2 Competency Framework

Evidently, UNIDO was among the first agencies to adopt a competency framework as early as 2002, which was then reviewed in 2011 after long internal consultations. However, the survey results and the interviews suggest that less than 30% of the respondents believe that the present Competency Framework provides effective definitions of competencies for the relevant job profiles.

The HRMF (UNIDO/AI/2015/01) speaks of the fact that UNIDO’s CF also contains functional competencies<sup>26</sup>. It also mentions that competencies are pre-defined by post, function and degree of responsibility. It is not clear where these functional competencies are captured, as they are not mentioned in the official CF 2011 document.

There is evidence of an ongoing debate among all levels of UNIDO regarding general competencies versus technical/functional competencies. In fact, the results of the survey question to FROs/SROs in terms of what competencies they perceive to be most relevant show the divide. There are equal number of mentions of general competencies (communication, team work etc.) and technical competencies, namely 16 each. Only 5 supervisors mentioned administrative training (on rules and procedures and SAP) as a priority need, while 3 pointed out that competency development should be more tailor made to each individual.

Another issue is the time-span to identify and build new competencies: one supervisor pointed out that a lot of technical knowledge has a shelf-life of 10 years, considering the speed of technological change. However, since most staff joins the UN expecting to build a career over 20-30 years, a good mix of technical and general competencies is required for career progress as well as the possibility to respond to emerging development issues and shifts in strategic objectives.

UNIDO staff overwhelmingly feels that they possess the competencies required to fulfil their current duties. However, less than 40 percent feel that senior managers are aware of the competencies needed for effective implementation of their programmes. Currently, there is only one level of application for each competency in UNIDO e.g. Client orientation - a UR and a Finance Officer are expected to have same level of application. There is concern that the application of all core competencies to every staff (and vacancy) at the same level does not support effective application of competencies in recruitment and lateral moves. Due to the fact that technical and functional competencies are not mentioned in the present Competency Framework (IC/2011), managers have no common understanding/ guidance as to how to use functional competencies in recruitment, performance review and learning management.

**Table 6: “The present Competency Framework provides effective definitions of competencies (technical and managerial) for the relevant job profiles”**

	Strongly disagree		Disagree		Neither agree nor disagree		Agree		Strongly agree		I don't know		TOTAL	
Total	7.3%	16	20.18%	44	33.94%	74	22.48%	49	7.3%	16	7.3%	16	100%	218

<sup>26</sup> UNIDO/AI/2015/01, p.2

### 4.1.3 Policy coherence

From the documentation and interviews, it is not clear how the changing programmatic objectives and strategic goals cascaded by management in the last 3-4 years are then incorporated into SCD planning in a dynamic manner.

There is no complete alignment between policy documents and internal practices governed by administrative issuances or information circulars, or between the MTPF and annual reporting. The HRMF while making reference to competency framework and learning does not adequately address how competencies are to be used consistently throughout the HR-cycle of recruitment, performance management and succession planning.

In addition, taking into account the imbalance between regular staff (29%) and ISA holders (71%), there has been a high dependency of UNIDO on ISA-holders to attain its strategic results. However, there seems to be no formulated strategy for ISA-holders in the business model of UNIDO. The Informal Working Group's report on the future of UNIDO<sup>27</sup> also does not mention the situation of ISA-holders at all.

While this practice is not unique in the UN system, it is nevertheless unsatisfactory. The JIU report 2014 pointed out that it is highly controversial for a UN organization to hire staff with only limited entitlements, which is not in line with international labour principles. The JIU report concluded that these reasons however, shall not override good labour practices which UNIDO is working for<sup>28</sup>. *Findings reflect that the current system of hiring non-staff is inconsistent with international good labour practices, operates without real oversight and accountability and present risks for the organizations. Furthermore, the findings indicate a lack of congruence between values of justice and*

*fairness held by the United Nations system organizations and their practice of preferential treatment without a clear basis for these differences.* JIU further recommends that long-serving non-staff should be allowed to apply for staff vacancies as internal candidates. UNIDO, from its side, decided not to support this specific recommendation as it felt that this *may be prejudicial to the interests of other external candidates*<sup>29</sup>.

## 4.2 Effectiveness

In this section, the quality of the training programme and its approach is examined according to its usefulness for different purposes such as the current position staff members hold as well as for their career development in line with organizational long term objectives, and staff perceptions on fairness/effectiveness in the use of resources.

### 4.2.1 Training and its effectiveness

Regarding the quality of training received, the majority of G-staff and P2-P4 staff said that they were 'satisfied' and 'very satisfied' with quality of training (see table 7). Interestingly, P5-staff and above showed a higher rate in the 'very satisfied' category than the other staff. Staff acknowledged that training events were professionally announced, prepared, accompanied and assessed, and that trainers displayed high professional expertise.

Interviews and focus groups revealed an overall positive view of the trainers and training (Table 7). However, these responses include opinions on events run by UNIDO as well as by other VIC-based organizations such as UNOV and others (e.g. EU Financial Administrative Framework agreement). Some staff mentioned some skills-enhancement training events as particularly useful due to the quality of trainers (writing and presentation, the negotiations with the EU).

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27 IDB.41/24: Final Report of the Informal working group on the future, including programmes and resources, of UNIDO  
28 JIU report (2014): Use of non-staff personnel and related contractual modalities in the United System Organization, Executive Summary.

29 UNIDO response sheet to Activities of the Joint Inspection Unit Report by the Director General, IDB.44/14, Annex I, November 2016

Some respondents criticised the length and intensity of training events as being too short (half days) and thus not being 'serious'. On the other hand, other respondents criticised training events that stretched over several days full-time, making it difficult for staff to attend to their regular tasks.

The usefulness of training regarding the current position<sup>30</sup> was rated high by 40% of G-staff<sup>31</sup> and by 34.7% of P2-P4 staff. This was not the case with P-5 staff. Only 6.4% (3 of 47) were 'very satisfied' and 12.7% (6 of 47) 'satisfied' with training. Frequently staff expressed their discontent during interviews with the non-availability of appropriate training for their needs. This related mostly to highly technical training and managerial and executive leadership training. ISA-holders, not formally eligible for training, do need to acquire essential competencies which they often do through informal training and mentoring, thanks to willing staff acting collegially. The exception to this was SAP training during the years after its introduction, which ISA-holders were required to attend.

In contrast, the usefulness of training for career development was seen as largely negative, as staff felt that there is no longer

career development in the strict sense of the word at UNIDO. Training that should prepare staff for a lateral move often is not offered at all or long after the staff member has taken on a new position. The view that there is no staff development was expressed frequently during interviews and focus groups. Especially field office staff reported that training would have a positive impact on their job performance, but that they received little or no training, or only long after they had taken up the position (up to 60% of field office respondents reported to not having received any training in the last two years—with 80% P5s and above reporting to have been excluded). Travel costs preclude many FO staff from being accepted on training events at headquarters.

Some divisions have started to offer awareness sessions in the areas of expertise of consultants on topics related to the specific divisional specialization. These sessions naturally do not compensate for other types of training, but are meant to inspire staff and inform them about new types of technology and approaches. Other ways of compensating the lack of specialized training include co-funding by staff, and combining training leave with missions.

**Table 7: Staff survey questions Q 17 (%)<sup>32</sup>**

		very dissatisfied	dissatisfied	neither satisfied nor satisfied	satisfied	very satisfied	don't know/ not applicable
Quality of training	G-staff	2.8	10.5	19.0	55.2	6.7	5.7
	P2-P4	3.0	9.7	19.8	47.5	9.7	10.1
	P5 and above	2.1	12.8	23.4	31.9	12.8	12.8
Usefulness of training for specific post	G-staff	5.7	13.3	13.3	33.3	6.7	24.6
	P2-P4	6.2	12.4	22.2	27.6	7.11	24.4
	P5 and above	6.4	12.8	32.0	12.7	6.4	30.0
Usefulness for career development	G-staff	13.7	23.5	19.6	25.5	12.0	15.7
	P2-P4	11.1	24.1	20.6	23.7	4.0	16.5
	P5 and above	6.3	27.7	14.9	19.1	6.3	25.5

30 Staff survey question 17, statement 4

31 'Very satisfied' and 'Satisfied'

32 Staff survey question 1: statements 1, 3, 4 and 5

The lack of training in key areas of UNIDO's expertise, in combination with the temporary freeze in external recruitment except when waived by the Director General, poses a dilemma for UNIDO when trying to maintain its internal level of technical expertise. In addition, as the JIU report remarked, it also leads to positions being filled with staff that do not fulfil all the requirements. The JIU report (2017) remarked that *this carries the risk of gradually lowering the level of internal technical expertise, ultimately preventing the organization from keeping pace with its external environment.*<sup>33</sup>

Although the end-of-training assessment that HRM conducts is routinely completed, it is not known whether, and if so how, the information collected is used in the planning of future training programmes. It is acknowledged that this assessment captures only the 'feel-good factors'. A yearly analysis of training usefulness has not been carried out. Exceptionally, one impact assessment was carried out for the SAP Human Capital Management module training series, which was also considered to have a long-lasting effect.<sup>34</sup>

In terms of long-term impact of training events, the induction courses were also rated highly, even though few staff participated in them. These courses introduce newcomers to UNIDO's mandate, and its way of working, and thus enabling the participants to fully

perform, provided that they can be offered swiftly after entry-on-duty.<sup>35</sup>

#### 4.2.2 Perceptions of staff regarding Staff Competency Development

Perceptions, which are by definition subjective, influence staff morale and motivation. Therefore the evaluation team sought to give staff frequent opportunities in the survey and evaluation to express themselves.

Staff has the strong impression that training is distributed unequally and according to criteria that are not transparently communicated (see figure 4 below)<sup>36</sup>. However, in terms of the self-reported number of training received in the last 2 years, there are no significant differences between P and G staff. The survey showed that around 10-15% of staff of all categories have not received any training in the past two years.<sup>37</sup> In particular, field staff report a very high percentage – more than 60 per cent- of non-attendance. The selection of participants is not actively done, but the target staff category is mentioned by HRM when announcing training events. Factors such as frequency of attendance, job profile or previously attended training events, are not used in the approval of requests. This is because there is no monitoring of participants to ensure equitable participation.

**Table 8: How many training events have you attended in the last two years?<sup>38</sup>**

Staff category (number of respondents)	none	1-2	3-5	more than 5
G2-G6 (119)	21.01%	47.06%	21.8%	10.8%
P2-P4 (243)	21.4%	46.09%	24.6%	8.2%
P5 and above (47)	31.9%	48.9%	19.1%	0%

33 JIU Report (2017), p. 32

34 Impact Assessment of the Training for SAP Human Capital Management, 2013

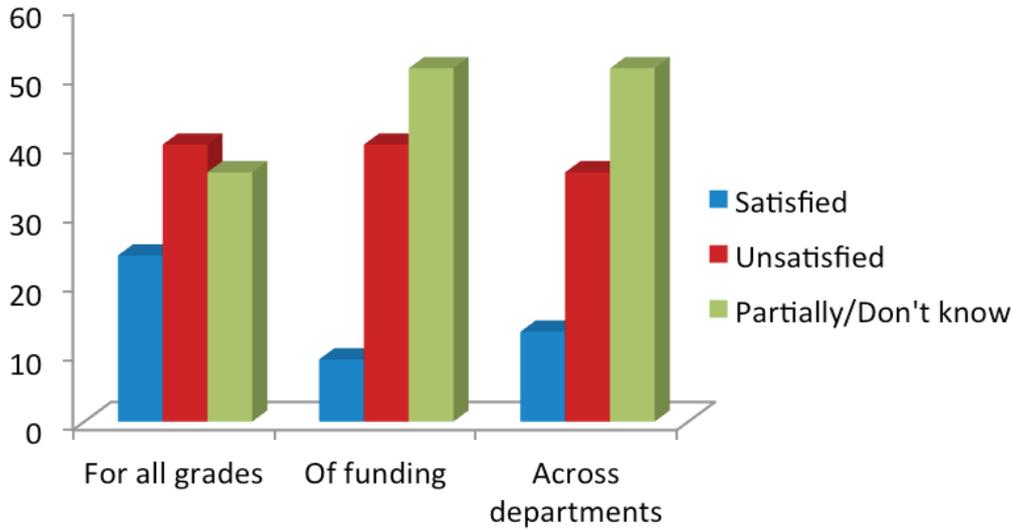
35 As stated before in this report, introduction courses seem to be rare and only offered to regular staff newcomers, but hardly to consultants. As a consequence, regular staff informally train newcomers (regular or consultants).

36 Staff survey question 17, statements 7-10

37 See also Efficiency chapter of this report

38 Staff Survey question 8

Figure 4: Fairness of distribution of training activities (%)



Most staff members reported that they were unaware of the Staff Development and Training Units' decision-making process. It was reported that there are no regular meetings for the training programme to be discussed during the planning stage or before the finalisation with representatives from Divisions, Staff Council and HRM, in order to assess whether the proposed training plan responds to their true needs and challenges.

In particular, the survey and interviews revealed a significant concern for the field office staff. Their contact with HQ seems limited, and supervisors were not aware of, or did not predict, the associated difficulties experienced by URs. There appear to be two issues. Suitable preparation of staff that have been chosen for the role in the form of training after the person has taken up the new position is desirable and affects the quality of staff's performance. Secondly, there is an issue that the FO staff has unequal access to training unless there are effective relationships with the UN country team to attend locally organized trainings.

Most staff, when asked about the attendance of ISA-holders, replied that they are considered experts in their field and hence should not need training or be eligible for it. This might hold true for short-term

experts, yet it is common knowledge that the consultant workforce consist of long-termers at all levels, who often do regular staff work. This reality is not reflected in the training eligibility directives, with the exception of SAP introductory training that is essential to almost all key project management processes.

The survey also considered staff preferences for the type and modalities of training. The preference of the training category varies considerably according to staff type. Whereas information technology training is of high importance to G-staff (72%), it decreases to 17.7% for P-5 staff and above. Leadership and management training shows a similar pattern: while this is very important for P5-and above, it is much less relevant for P2-P4 (18.1%) and G-staff (5.6%). Relatively even is the importance of training in 'General Competencies Upgrading' which comprises writing and presentation skills, team work etc.

**Table 9: Usefulness of training event category <sup>39</sup> (%)**

Type of training/staff category	G-staff	P2-P4	P5 and above
Orientation for newly recruited staff	8.41%	8.1%	2.44%
Leadership, Executive Management & Development	5.6%	18.12%	41.46%
Technical competencies upgrading	16.8%	24.5%	31.71%
General competencies	37.3%	37.27%	24.39%
Language training	26.2%	21.8%	19.51%
Information technology training	72.0%	48.7%	17.07%
Gender	10.2%	16.0%	24.39%
Work Life Balance/ staff welfare	15.9%	13.6%	14.63
None	8.4%	9.1%	12.2%
Other	6.5%	10.0%	12.2%

**Table 10: Type of training approach that is most useful<sup>40</sup> (%)**

Type of training/staff category	G-staff	P2-P4	P-5 and above
Internal workshop with trainer (i.e. organized by UNIDO or other VBO)	76%	65%	40%
On-the-job learning	56%	46%	23%
E-learning course/web-tutorial	44%	37%	34%
External short-term course	38%	53%	74%
Attending a professional meeting	21%	38%	57%
Working with a professional coach (technical or management)	31%	28%	21%
Attending a university course (additional degree)	30%	30%	19%
Certification for a qualification (i.e. certified international accountant)	24%	27%	26%
Self-managed learning (technical knowledge or self-assessment)	24%	21%	17%
Formal/informal mentoring	18%	20%	11%

Regarding the effectiveness of the training approach, once again clear differences exist between the categories of staff: P5-staff and above preferred external short term courses (74%) and attending professional meetings (57%). For G-staff and P2-P4s internal courses with a trainer were preferred (76% and 65% respectively). On-the-job learning ranked second for G-staff (56%). For P2-P4s the attendance of external short-term courses came second (53%) (See table below). This result is interesting insofar as attendance of professional meetings is not formally considered as training and also not funded through the centralized budget. Yet it entails high learning potential for professional staff.

### 4.3 Efficiency

Under this criterion the evaluation team analysed to what extent available human and financial resources were used to create outputs. Internal processes within the HRM's Human Resource Planning and Development division that either promote or hamper efficient implementation were examined, according to the following Judgement Criteria:

- (a) Available resources
- (b) Process implementation
- (c) Roles and responsibilities
- (e) Communication and reporting

The evaluation team was not able to find key performance indicators related to the efficiency of the internal functioning of the division. Therefore the team developed the following indicators which were used to assess the findings:

<sup>39</sup> Staff survey question 13. These training categories are used in the Annex of the Annual Reports.

<sup>40</sup> Staff Survey question 16.

**Table 11: Efficiency criteria and corresponding indicators**

Efficiency criteria	Indicators
Processing time and processing quality of requests	Response by HR within 14 days to staff or supervisor to individual requests in writing
Timeliness of training	Even distribution over the year taking into account other core processes of the Organization
Planning horizon of training programme	Training programme is announced ahead of time (6 months) and planned for one year in advance
Training programme reflects identified training needs and future demand	Training programme clearly reflects the identified needs listed in the learning plans (divisional needs) and development plans (individuals) as well as on a forecasting exercise
Training budget spent as per a system that is clearly communicated and includes all categories of staff and consultants	Budget is spent on all staff, including and all post categories, however with certain allowances for FO staff, and staff that has otherwise highly visible positions or work outputs. Ad-hoc training needs are budgeted for. Attendees are monitored to assure equal distribution of training over a period of 2 years
Criteria for the prioritisation of training	Criteria and weighting of criteria are known and identifiably applied and reported on
Transparent reporting	Transparent and meaningful reporting on training with expenditures per training event in Annual Reports and internal monitoring. Reporting includes number of trainees, courses and budget expenditures per training to allow for easy efficiency analysis. Forecast of training needs and situation of ISA-holder training is covered
Active communication with divisions and individual staff about training plan for optimal use of training budget	At least annual meetings take place with staff representatives of all post categories and also ISA-holders to discuss training plan

**Table 12: Funding Allocations for Staff Training and Development for past two years**

	2015	2016	Cut in Euro	Cut in %
Career Development Fund	300,000	194,500	105,500	-35%
Language Training Fund	30,000	20,000	15,000	-43%
IT Training Fund	69,600	28,100	41,500	- 60%
<b>Total</b>	<b>399,600</b>	<b>242,100</b>	<b>161,500</b>	<b>- 39.4%</b>

### 4.3.1 Available resources

Of the overall HRM staff (12), three staff members are assigned to SCD. The team is headed by the Chief of Human Resource Planning and Development, and includes two G-6-staff at 50% each<sup>41</sup>. In 2017, a consultant was hired to support the training functions of the division. However, due to the reported high workload in recruitment, the HRM staff members are not devoting the required time to staff development and training, but are instead assigned to tasks in recruitment. It was not possible to assess how much time is actually devoted to staff training and development. It is also not clear when this

situation arose and whether measures were taken to mitigate the workload or to promote efficiency gains, such as the ones carried out by other UN organisations.<sup>42</sup> Staff comments confirm that staff development seems to receive insufficient staff resources, as evidenced by staff not having been contacted by HRM in the context of Staff Training and Development, either for a long period or never.<sup>43</sup>

The budget for Staff Development and Training is determined by estimates per Department and is included in the biannual budgets. In 2006, it was decided that HRM would centrally administer the

41 According to HRM Chief, Interview 9 June 2017

42 Please see chapter 6 for details

43 Source: survey and interviews

Staff Development and Training funds that are allocated to the operational divisions of UNIDO.<sup>44</sup> The main reasoning was that divisions were not effectively using the funds and some unutilized balances had to be returned at the end of the biennium. In 2014, HRM decided to prioritize group and in-house training and financial support allocated for technical/ individual/ external courses were significantly reduced. In addition, it was reported that the earmarked funds are not allocated in totality at the beginning of the biennium but progressively, depending on the amount of assessed contributions that have been received. There are some discrepancies found between the financial figures provided in the annual reports, JIU report and the numbers provided to the Evaluation Team; however an overall decrease in total allocation can be discerned regardless. This situation has a major effect on the planning horizon for staff development activities; a six months' planning horizon is the norm, as HRM does not know if major budget cuts are going to be imposed. A confirmation of this rather short planning horizon is provided by the internal HR portal Your Learning which shows on the 12 May 2017 only one more upcoming event in the first semester 2017. There was no forecast provided as to what was planned for the second semester of that year. The training plan for 2017 was then circulated on 3rd July 2017 via e-mail.

The sharp decline in resources from 2015 to 2016 led to a change in policy in that HRM ceased to issue Learning Plans to Divisions to request divisional needs. Currently a

top-down approach has been temporarily adopted. It appears that these changes were not communicated to staff.

These centralized arrangements are perceived by many staff as inappropriate and outdated, since the training programme offered by HRM only partly reflects their needs. Technical departments in particular note that their training allocations are used for types of training that they do not need, while training requests perceived as essential are not funded. Staff made proposals to amend this procedure, and to partially or completely revert the responsibility of deciding the use of funds to the operational divisions and field offices.<sup>45</sup>

#### 4.3.2 Process implementation

The centralization of divisional funds for training to HRM (in 2006), the implicit rule that training needed to be internal and group training as much as possible, the absence of a divisional needs assessment since 2016, as well as the introduction of the Staff Performance Appraisal system in the ERP as a cornerstone of managing individual competencies, have meant that the process that is currently followed is not aligned with the Learning Policy, nor is it clearly defined and documented. The revision of the Learning Policy is foreseen as part of the HRMF revision. The Evaluation team has identified some key elements of the current process structure through interviews with the HRM, staff at large as well as analysis of the survey responses.

**Table 13: Actual Expenditures for Staff Training and Development as of May 2017<sup>46</sup>**

Biennium	2010/11	2012/13	2014/15	2016/17
Career development	620,136	762,630	573,957	130,535
IT training	125,233	143,600	67,306	13,538
Language Training	31,000	68,892	69,930	17,910
<b>Total(% of expenditure compared to allocated funds)</b>	<b>776,369 (95%)</b>	<b>975,122 (98%)</b>	<b>711,480 (98 %)</b>	<b>161,983 (29%)</b>

44 Minutes of UNIDO Executive Board, 6 July 2006

45 One such proposal was to allocate the funds to technical divisions; In case these have not been allocated for training events by September, they could then be allocated to HRM

46 E-mail by HRM dated 12 July 2017

Many elements of the HRM function are not well integrated in the current ERP system, such as training records or competency-base analysis. Information regarding staff training can be found in a former system on Infobase, but this cannot be easily transferred to the ERP. Thus competency base analysis, if done at all, is prepared manually. Furthermore, a Learning Management System is not part of the ERP.

While data on actual training received by staff is rather scarce, looking at the reporting available in Annual Reports<sup>47</sup>, training declined sharply in 2016 and so did external training courses, in line with the sharp decrease in budget. Training events are categorised into seven areas.<sup>48</sup> These listings do not provide budgetary information on each training event, nor information on the

attendees by Division nor whether staff have attended several training courses during that time period, or perhaps none- which makes it difficult to compare financial figures (especially per capita) across the last years. In some cases SAP training courses are included under technical training, while elsewhere they are included under IT training; this also makes comparison difficult.

According to information from various departments, there are few possibilities to obtain approval for individual technical training, especially if it is only available externally. Interestingly, external training has remained rather stable in terms of number of courses between 2012 and 2015. Since, the reporting does not provide a breakdown; the actual situation cannot fully be assessed.

**Table 14: Total staff training hours per year per training category**

		2011	2012	2013	2014	2015	2016
I	Orientation for Headquarters and field staff	447	641	80	70	32	--
II	Executive and management development	798	1,001	324	1,371	968	1,067
III	Technical competencies upgrading (of which external training)	9,311 (798)	12,227 (840)	10,732 (490)	4,997 (392)	1,750 (420)	1,796 (132)
	of which SAP training	5,394	8,631	4,253	388		
IV	Language	4,560	4,224	10,224	14,304	7,104	2,880
V	General Competencies upgrading	1,092	1,447	816	1,805	1,750	1,222
VII	Work Life Balance/ staff welfare	66	1,186	1,419	290	36	10
Total training hours		17,559	21,109	23,595	22,963	15,926	7,964

**Table 15: Overview 2011-2016: Number of training events**

	2011	2012	2013	2014	2015	2016
number of participants	2,159	5,523	3,278	1,259	1,564	958
number of courses	170	526	422	121	175	113
training hours	17,559	21,109	23,595	22,963	15,926	7,964
persons per training	12,7	10,5	7,76	10,4	8,9	8,47

47 All information presented in Table 14 and 15 is derived from annexes to the Annual Reports 2011-2016  
 48 These categories were introduced with the Policy on Learning UNIDO/DGB/(M).117 ( 12 April 2010), p. 3

The annexes to the annual reports of UNIDO provide a listing of training events conducted, categorized according to Table 17. The number of training events has varied much in the past six years. It was not possible to establish the reasons for the drastic changes in 2011 and 2014, and available budgets for these years could not be established. One can conclude however, that drastic cuts in budgets are a reality in UNIDO. The last budget cut seems to have resulted in a drastic reduction in the number of training events and participants, although a direct causation cannot be established.

Lack of needs-based planning and monitoring of the results seem to create a number of inefficiencies. For example, while some claim that they have been asking for training for several years and have never been able to receive it, situations occur where staff is required to attend training events in conflict with other professional tasks. In one instance, a staff member was required to attend the same training three times. Although this is an isolated case, it suggests a rather diverse picture that does not seem to be closely monitored at present. Similarly, many respondents remarked that the training events offered were typically concentrated towards the end of a biennium, when staff is unable to attend due to especially high workload. While this is particularly inconvenient for staff, HRM sees a need to make training compulsory, after experiencing unfilled training places after trainers and rooms had been booked.

As there are number of concerns regarding the implementation of organizational learning plans, informal and self-funded training especially among specific groups of staff seem to be increasingly common. During interviews, staff stated that they train new regular staff and ISA-holders informally,

because they do not receive induction training or they receive it after a delay. This creates excessive workload for staff who train newcomers, and can be less efficient than formal arrangement of multi-participant training events.<sup>49</sup>

Since UNIDO has progressively reduced individual external training, the survey suggests that staff is increasingly funding their own training.<sup>50</sup> The results suggest that P5s and above are especially likely to complement their training through personal funding. Splitting the costs between the staff member and UNIDO is rare (less than 4%). Several short-term consultants not eligible for UNIDO training reported that they funded training courses themselves, mainly the ones offered by UNOV. Evidence from ISA-holder survey question 8<sup>51</sup> also suggests that a similar percentage of ISA holders invest their own funds in training as P5s and above. However, there is currently no systematic way of maintaining individual training records including those conducted informally or are self-managed.

### 4.3.3 Roles and responsibilities

The roles and responsibilities for staff development and training and competency development, are laid out in different documents over the past seven years.<sup>52</sup> Learning is consistently described as a joint task of staff, managers and HRM. The role of each of these actors however is not clearly defined and thus leaves room for both interpretation and also a certain leeway.

The survey shows that staff feels that these roles and responsibilities are not sufficiently clear.

With the introduction of the Staff Performance Management system (SPM) in 2012, instructions to guide staff and managers through the process were issued. The staff

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49 In the biennium 2014/15, the design of an orientation/induction course was announced.

50 Question 12 of staff survey

51 Question 8, Annex E

52 Learning Policy, HR Framework, Staff Performance Framework

appraisal was majorly modified and hence new roles were created, especially due to the introduction of the 360-feedback system. Process maps of the staff appraisal process guided the first appraisal cycle and were made available to all staff. The manual clearly defines out the roles of each staff member in the appraisal process.

The findings from the interviews conducted and the survey show that the roles are formally respected, but they have been interpreted in a way that is contrary to what was intended. Staff and FROs concurringly report that the appraisal process has become an administrative task; especially FROs stated that they went through the system merely “clicking” to get the appraisal process done. A personal conversation - which was originally intended –often does not take place. This information was confirmed by many supervisees.

This behaviour has consequences for the identification of development needs as the proposals by staff are often merely formally endorsed but not actively supported by FROs. It seems that a large part of FROs are avoiding contact during the appraisal process with staff for several reasons, such as lack of time and workload; as well as lack of competencies to manage other’s performance or provide

guidance on career development.<sup>53</sup> This points to a problem that many technical staff has taken on managerial positions, a task that they have not specifically been trained for and which requires skills to lead and motivate others.

The second element of the SPM system is the use of core values and core competencies during the 360- feedback review. Many during the interviews and focus group discussions have indicated that while the original intention to have a more objective system for ratings was good, requiring “peers” and “sub-ordinates” to numerically rate a staff member’s core values and selected competencies reduced the value of the system for personal development. While the system provides some positive indicators for each core value and competency, simple numeric values, especially without comments, are considered to be not very meaningful and also staff question the ability of colleagues to really observe and judge values and competencies that are supposed to apply to all and give honest feedback on areas of improvement for the staff member to consider.<sup>54</sup> Also averaging the numerical results tends to downplay the qualitative aspects of individual performance, this being one of the main purposes of a multisource feedback system.

**Table 16: Roles and responsibilities of FROs and HRM in implementing learning plans are adequate and clear<sup>55</sup>**

	strongly disagree	disagree	neither agree nor disagree	agree	strongly agree	don't know, N/A
Total in absolute numbers of respondents (354)	43	142	55	75	8	22

53 FROs report that the best would be to rate these staff with a “3” to avoid writing long justifications, creating disappointment in staff and having possible arguments with respective staff members.

54 Considering the wide-held concerns about the effectiveness of the SPM, HRM Training work plan for June-December 2017 mentions a calibration exercise of appraisal ratings in the second semester of 2017 and a review of the whole system has been discussed by JAC.

55 Survey Question 19

Finally, HRM has effectively a minor role in identifying needs for competency development; its role is rather to select and organise training based on the individual and - up until 2015- divisional inputs. HRM coordinates training with other UN agencies, mostly UNOV for language (and other) courses, some of which are mandatory by the UN (i.e. procurement, field safety). HRM has not developed own training courses on a large scale: for example SAP training was guided by the ERP system developer and technical training events were developed by technical divisions and then implemented by HRM. The one larger course developed by HRM was a Management and Leadership Development Programme, to be extended over two years, which was not approved due to its cost.<sup>56</sup>

#### 4.3.4. Communication and reporting

Communication with staff seems to have been intermittent and largely unsystematic during the recent years. Until the summer of 2017, little pro-active information has been provided by HRM to inform staff of the training programmes, the financial situation or long-term plans. Every biennium, HRM publishes an Information Circular to announce the priorities, which was only sent in July 2017 for the 2016/2017 biennium. The evaluation team has noticed some improvements during the conduct of the evaluation that especially since July 2017, more regular information notes have been circulated and the Infobase page has been updated.

Despite the fact that individual requests for training (mostly external) are critically assessed and implicitly discouraged by HRM<sup>57</sup>, there is still many staff submitting such requests (see also table 19). The rejection rate

is rather similar for different staff categories, but what stands out is the large number of staff who has not received any reply to their requests. Given that a formal procedure for individual requests exists<sup>58</sup>, there needs to be a formal end of the process; one would expect a resolution of requests by reply (even if standardised) in all cases, whether or not the request is rejected.

Similarly, pro-active communication is not sought with individual staff to assess their skills or to develop career plans or lateral moves.<sup>59</sup>

Currently, there is seems to be no systematic use and reporting of data that would help to inform the design of learning plans and monitor the achievement of objectives such as:

- o Cost per training event;
- o Topics of external training;
- o How many staff attended how many courses, and from which departments, HQ versus FO staff;
- o Non-attendance: how many staff has not attended any training event;
- o What effect and long-term impact the training events have had;
- o Which training events are foreseen in the future;
- o How UNIDO cost-shares training/learning of staff;
- o Staffing of Training Unit;
- o Hours devoted to Staff Development and Training by HRM staff;
- o Budget allocated/expended.

Regarding, external communication, there have been forums in Vienna for exchange of ideas among the HRM departments of different VBOs, however in recent years they have become less frequent<sup>60</sup>. That said,

56 The Learning Policy (2010) spells out the roles of HRM include: (1) the preparation of annual learning plans based on divisional learning needs assessment (3rd quarter of year), (2) Conduct a first review of divisional requests in close cooperation with responsible managers, (3) consolidation of request and proposal of a learning plan for approval by the Director General.

57 Training Policies 2013/2014 and 2015/2017

58 Form Application for external Training

59 Staff survey of the Unit B, PTC division, June 2015

60 According to former staff of HRM and interview with UNODC

UNIDO maintains coordination with UNOV and IAEA for several of its courses (effective writing skills, presentations skills as well as language courses) as well as with the UN Secretariat for mandatory courses (e.g. basic security, procurement).

The only regular/ external reporting is done through the annual reports, which contain two parts related to Staff Training and Development, one in the body of the AR, the other one in Annex K. This annex lists the number of training courses, participants and trainee hours. It does not list the available funding or the funding per training event, which would make it easier to assess the efficiency of training. The recent JIU report recommended including a forecasting part in the AR.

The draft IRPF indicators are aligned to thematic priorities and strategic goals, but do not include many categories of training originally envisaged in the Learning Policy such as generic or language training. Moreover, IRPF draft indicators have not been used for the reporting in the Annual Report 2016. Instead, other categories of training were used (see table 20 below).<sup>61</sup> The continuity of reporting is also not upheld in Annual Report annexes up until 2015. The amended indicators of the AR 2016 are easy to report on, but less meaningful and less aligned to strategic goals.

**Table 17: Have you submitted a request for individual training? (%)**

Staff category (number of respondents)	Yes	No	If request submitted, approved?	If request submitted, rejected?	If rejected, reasons provided	If rejected, no reasons provided
G2-G6 (118)	24.58	75.42	26.47	73.53	39.72	60.71
P2-P4 (242)	39.26	60.74	24.07	75.93	34.62	65.38
P5 and above (46)	54.35	46.65	20.00	80.00	29.17	70.83

**Table 18: Reporting on IRPF Indicator 4.12 in the AR 2016<sup>62</sup>**

Breakdown of UNIDO training programmes (%)	2015	2016
Effectively accomplish strategic objectives through managerial and technical skills upgrading	40.7	51.3
Strengthen internal structures and communications	59.1	48.6
Other general competencies	0.2	0.1
<p>This indicator measures the percentage of training courses in three areas.</p> <p>The courses in the first area are tailored to the advancement of technical skills within the Organization's thematic priorities, such as industrial competitiveness and innovation, industrial human resources and gender equality, industrial governance, the environmental footprint of industries and other focus areas related to SDG 9.</p> <p>Courses in the second grouping aim at the improvement of internal structures and communications, for example through multilingual capacities.</p> <p>Courses in the third group are geared towards the general upgrading of competencies.</p> <p>Training courses aligned to the accomplishment of strategic objectives through managerial and technical skills rose from 40.7 per cent in 2015 to 51.3 per cent in 2016. Training covering the thematic priority "strengthening internal structures and communication" showed a decline from 59.1 per cent in 2015 to 48.60 per cent in 2016. Training on upgrading in other general competencies showed a negligible change of 0.2 per cent in 2015 to 0.1 per cent in 2016.</p>		

61 UNIDO Independent strategic evaluation "Implementation of the expanded UNIDO medium-term programme framework 2010-2013".

62 Annual Report 2016 Scorecard

## V. Staff Competency Development of Comparator Organizations

Since the publication of the United Nations Competency Framework, “United Nations Competencies for the Future” in 2002 under the leadership of the Secretary General Kofi Annan, most UN agencies, including UNIDO, have been integrating the core values and competencies into their own organizational policies and frameworks<sup>63</sup>. Not surprisingly, there is a lot of similarity between the UN agencies in terms of the values and competency definitions used within their competency frameworks, as well their formal use in recruitment and rotation, performance management and staff career development. That said, many agencies face similar challenges in maintaining and updating their competency base, both due to the complexity of emerging challenges to implement the Agenda 2030 but also due to the pressures to increase efficiency and cost-effectiveness of operations in general.

As the evaluation team was not able to identify any similar evaluation assessments from UN agencies looking at internal staff training and competency development processes, and since it was not possible to benchmark their SCD “performance” based on similar indicators of relevance, efficiency or effectiveness, it was decided to conduct qualitative case studies through interviews and document reviews on a set of comparator agencies. It needs to be noted, therefore, that the case studies are not necessarily indicating how well the SCD systems of other agencies actually fare, but simply where some differences in processes or practice have been identified, which might help UNIDO to consider as input in the revision of its own Framework.

When asked about good examples for SCD practices, twenty staff provided specific recommendations for specific organizations whose SCD practices can be used for comparison. Private sector, and especially large multi-national companies, were among the most widely quoted. World Bank and other regional development banks were also among those most often cited (5 responses). Finally, other Vienna-based organisations (VBOs) such as UNOV, IAEA, OSCE as well as sister UN agencies such as ILO, UNFPA, UNDP and UN RCO were mentioned.

The evaluation team have held interviews with the relevant managers in HR Management Departments of ILO, UNODC, UNFPA and contacts were made with IAEA and FAO but cases have not been developed, due to limited resources. UNODC was chosen as a VBO comparator, due to considerations of staff size and technical content of their work. ILO was selected as the leading norm setting agency of the UN in the area of labour rights. Finally, UNFPA was studied as it had served earlier as a template for the UNIDO Staff Performance Management system and Competency Framework.

In addition, an example from British Government was collected thanks to information provided by one of the survey respondents. On the other hand, large multi-nationals were not extensively considered due to considerations of staff and budget size and turn-over, which are believed to reduce the usefulness of comparison.

### 5.1 Competency Frameworks

As mentioned earlier, most UN agencies have adopted the terminology and definitions of the United Nations Competencies for the Future, and have adapted the three core

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63 The UN competencies were launched in 2002, when the Secretary-General commissioned a project to build human resources capacity through the introduction of organizational core values and competencies which are essential for all staff. Further, additional managerial competencies were introduced, required by those who manage the performance of others. These competencies have been used as a foundation for human resources framework, including systems such as recruitment, placement, development and performance appraisal. Source: UN Competency Development Guide, Version 1.0, April 2010, p.2, [https://hr.un.org/sites/hr.un.org/files/Un\\_competency\\_development\\_guide.pdf](https://hr.un.org/sites/hr.un.org/files/Un_competency_development_guide.pdf)

values (Respect for diversity, Professionalism, Integrity), 8 core competencies (Communication, Teamwork, Planning & Organizing, Accountability, Creativity, Client Orientation, Commitment to Continuous Learning, Technological Awareness) as well as 6 Managerial Competencies (Leadership, Vision, Empowering Others, Building Trust, Managing Performance, Judgement/ Decision-making) to their own context. As such, there are no significant differences in terms of the terminology and behavioural indicators used for the core competencies, especially for UNODC as an office under the UN Secretariat and also ILO.

The main differences in the design of competency frameworks can be seen within four components:

- o What is included in core values versus competencies: ILOs competency framework does not distinguish between core values and core competencies, but mentions 9 behavioural competencies in total (integrity and transparency, sensitivity to diversity, orientation to learning and knowledge sharing, client orientation, communication, orientation to change, take responsibility for performance, quality orientation and collaboration). On the other hand, UNFPAs revised framework has added Embracing Change as a new value. Interesting to note is therefore the emphasis placed on openness to change as a key organizational competency in both cases.
- o Application level to different groups of staff: there are differences in how the organizations perceive the application of each competency to grades and functional areas. For UNFPA, the 6 core competencies define conduct in the organization and apply to all staff regardless of their level of responsibility. UNODC asks hiring managers to pick a set of up to 6 competencies relevant for the post.

- o Availability and definition of “progression of mastery” indicators: among the comparators, UNFPA and also the British civil service stand out for utilizing detailed indicators for how staff is expected progress in their mastery of a particular competency. There are between four and up to seven achievement levels from best to worst and usually for higher level posts a higher level of mastery in all core competencies are expected. UNFPA also includes negative behaviour indicators for each competency as guidance.

- o Recognition/ application of functional and/or technical competencies: within the UN Competency Framework as well as in the ILO, no specific technical competencies have been included. During the consultation processes in ILO, as with UNIDO in 2011, it was thought that the diverse mandate of the Organization would make technical competencies difficult to list and maintain. Therefore it was recommended that each individual department may choose to define functional competencies related to their respective areas of work, to complement the core competencies. However, the revised version of the UNFPA CF, has devised functional “skill sets” that have been developed to be specific to each functional area yet are transferable. They have included 4 clusters of Functional skill sets: 1) Organizational Leadership and Management, 2) Programme and Technical Delivery, 3) Operational Excellence and 4) Organizational Oversight<sup>64</sup>. If a staff member possesses some skillsets, this can be used in different types of positions across the organization.”<sup>65</sup>

- o Communication: the revised competency framework of UNFPA has been widely communicated, through a short video<sup>66</sup>, career fitness portal and manual as well as pamphlets/brochures.

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64 The skillsets reflect groups of functional skills required to successfully perform in a particular function in the organization. In the past the functional competencies only included skillsets related to the specific functional area to which the position belongs. However, as the way UNFPA works is becoming more holistic, the job design is becoming more complex as positions require a mixture of skills. For example, for a Representative post, a higher level of communication skill set is required as well as resource mobilization

65 Source: UNFPA Revised Competency Framework, 2014, <https://www.ungm.org/UNUser/Documents/DownloadPublicDocument?docId=320024>

66 <https://www.youtube.com/watch?v=HfZkb-bOemE>

**Table 19: Comparative Summary of SCD of comparator organizations<sup>67</sup>**

	UNODC	ILO	UNFPA
Core values (applies to all staff)	3	Not separate from competencies	4
Core competencies	8	9	6
Managerial/ Leadership	6	10	4
Functional/technical competencies	No-identified for each vacancy	No- identified for each Vacancy, indicators provided for “applying professional and technical expertise”	4 Clusters
Progression of mastery?	No	No	Yes
Competency Indicators available?	No	Behavioural Indicators established in separate guide	Both positive and negative indicators for each competency

## 5.2 Organization of learning plans/activities

Differences in staff size, organizational structure and available budget, have resulted in different practices among agencies when it comes to organizing learning. In particular, differences can be observed:

- o Decentralized vs. centralized learning management: certain trainings are offered by ILOs central HR department (conflict management, leadership, supervisory responsibilities, leading projects and people etc.). There is a catalogue for leadership training “The Management and Leadership Development Program (MLDP)” comprising a variety of self-directed learning modules primarily written for managers and supervisors<sup>68</sup>. However, technical trainings are conducted at departmental level, in HQ 50% of the training budget is devolved to departments and in the field its 70% of the budget. HR department does not deal with individual training requests, unless it is found to be relevant as an office wide initiative. At UNODC, HRM organises and conducts some training such as teambuilding, work/life balance, conflict management and post-SAP relations, in order to cut costs. Staff Development Unit comprises of 1 trainer in IT to make sure that newcomers know the

basic procedures; 4 staff members acting as coaches to deliver a variety of courses; and 3 specific coaches, one for career, one for remedial coaching and one for executive coaching.

- o Increasing use of online training sources versus external training: when an individual staff member requires a specific training, UNODC utilizes a career coach to assess the specific request and see if that fits with the available solutions. If it does, they assess whether it’s an absolute must (e.g. procurement) and whether the course is available online or not. They use and advise to use both Inspira and Lynda.com, e-learning platforms, that are open to all interns, consultants and staff members. If the courses are not available online, then approval is conditional on available budget. On the other hand, according to UNFPA policy, there is 12 days per staff per year for training, and equivalent 1.2% of salaries of all staff is dedicated to training (about USD2.5 million a year). UNFPA utilizes two online resources- Mindtools and Skillsoft - for staff to identify relevant self-learning material linked to each UNFPA competency.

<sup>67</sup> Guide Competency Development: On the Job learning activities

<sup>68</sup> There is also a coaching pool for potential leaders to sign-up to. In addition, selected books are sent to managers to nudge them towards using new tools/ management ideas

- o Roles and responsibilities: the UNFPA HRM is organized in such a way that each region/substantive area has a Strategic HR partner. There are 6 P5 level staff, plus 1 for strategic policies sitting together with management. In developing the learning plan, regional and HQ department directors are all asked at beginning of the year for their priorities.

### 5.3 Use of competencies in recruitment and rotation

For external recruitments, ILO uses an assessment center which includes exercises to test the ILO core values and competencies. If the candidate cannot demonstrate to possess these, they cannot proceed to interviews. For internal candidates, there is no assessment center and performance appraisals are also not used for internal recruitments. It is possible for staff to get some training on the job for new areas they are interested in by doing “stretch assignments” - which is done on the side of regular job to learn. There is also a temporary mobility policy that allows staff to move and fill a temporary position elsewhere for a limited duration of time. Although these do not come with a guarantee to be hired in this new area, it allows staff to gain relevant experience in a new area.

Employees are also encouraged to fill their employee profile in the e-talent suite where they can provide their updated CV and list areas of expertise. They can also enter their aspirations for geographical and thematic mobility and preferred time-lines in terms of their career moves. The employee profile can (and when staff fully comply will) be used to identify necessary talent for internal openings. Learning history is also recorded in the system, which is accessible to HR and management in recruitment system. Currently 55% of staff has complied with filling their employee profile and there is a target to increase it to all staff.

UNFPAs revised CF guides the recruitment process (testing, interviews and assessment).

With regard to the recruitment process at UNODC, every Unit selects a list of 6 competencies required for the particular Job Opening (JO) issued. Competencies required are then listed within the JO, although they can always be modified/ added in a second phase of the process.

### 5.4 Performance management

For all three agencies, the competency framework is embedded in the performance management framework.

Similar to UNIDO, ILO uses an ERP based performance management system where at the beginning of the cycle, staff members identify output indicators for performance as well as picking 3-5 core competencies that are relevant to the performance outputs for that job/level. There is a development section included in the performance management system, where staff are asked to provide at least one learning objective. For regular staff this is done in two year cycles and the performance discussion between supervisors and staff is required. There is a pilot programme for managers to have better conversations with their staff, i.e. how to engage them including a proposed set of questions. ILO Managers can also use “The Guide to Competency Development: On the Job Learning Activities” to provide guidance to staff members on how they might address areas of development identified during performance conversations. The Guide includes suggested learning activities for each of the levels of 9 behavioral (core) competencies of ILO.

The performance evaluation system (PAD) of UNFPA is based on the competency framework and uses ratings also from 360 feedback. Online tool with positive and negative indicators help staff and supervisors to assess and discuss critical competencies and behaviors. There are also tools that guides on improvement plans by competency (available through the LMS).

## VI. Conclusions and recommendations

### 6.1 Conclusions

The conclusions are formulated with regard to the evaluation criteria: relevance, policy coherence, effectiveness and efficiency and components of the Competency Based Human Resource Management model (printed in bold Ref: Fig 1).

**Conclusion 1:** The evaluation evidence demonstrates that while the main elements of Staff Competency Development system formally exist and the UNIDO staff are highly committed to learning, the alignment between strategic policy framework, organizational objectives and SCD implementation is weak. Moreover, the current system does not sufficiently address the specific needs of the Organization, or prepare the UNIDO for future challenges. (Relevance)

**Conclusion 2:** Regular staff is continuously decreasing, which means that HRM's staff development unit needs to cater for fewer staff and this trend is most likely to continue. In parallel, the budget for learning activities has also decreased, albeit not at the same rate. At the same time, a large part of UNIDO's workforce are recruited under ISA-contracts, and are not eligible to take part in training activities offered by HRM. The need to fill vacant positions through internal recruitment presents a challenge to staff development. We conclude that these developments and imbalances have not been satisfactorily addressed by Management. (Relevance)

**Conclusion 3:** The current Competency Framework of 2011 is not considered to be suitable and relevant for all posts or functions and categories of staff (from Gs to Ds), because no technical and functional competencies and no levels of application are defined. Moreover, Core Values for the Organization are described, but it is not clear how they are applied to different HR processes such as recruitment, succession management, learning management, or the impact on individual performance and

planning. (UNIDO's competency base- Policy coherence)

**Conclusion 4:** The policy documents pertaining to SCD are seldom aligned with one another; they are not often cross-referenced and hence do not provide a coherent framework for the implementation, monitoring and reporting in the areas of training and staff competency development. Some policies are indirectly rendered less effective by administrative issuances that override the intended aim of policy documents. (Organizational strategic planning and development- Policy coherence)

**Conclusion 5:** While there is an overall recognition that the financial limitations are a significant constraint for SCD implementation, this is not the main factor that hampers effective and efficient delivery. Other factors are:

- o Lack of HRM staff time dedicated to staff development and learning and to strategize and plan SCD;
- o Lack of interest and buy-in by FROs and lack of relevant competencies required for FRO/SROs to manage competencies in their divisions/departments;
- o Lack of staff time and resources for taking part in SCD activities; in many departments there is a significant lack of staff because many posts are not filled after retirement/ staff moves etc.;
- o Lack of clarity regarding competency requirements relevant to each staff member, exacerbated by the recurrent restructuring of the Organization, including field and secretariat structural changes;
- o No clear vision communicated on what the organization should focus on in the near future, and poor interaction between the functions of strategy setting and HR operations.

**Conclusion 6:** Whereas the overall quality of training is satisfactory, the current training programme does not satisfy the needs of all, especially technical, staff. As a result, essential technical and managerial skills are not developed to compete with the external environment. Internal efforts by selected divisions to make up for this lack cannot compensate formal training in technical areas. The training programme mainly addresses the needs of long-term HQ-based staff. FO-based staffs do not have the same opportunities to partake in training. (Learning management)

**Conclusion 7:** A forecasting function within HRM as to what will be needed in 5-10 years' time does not currently exist. This results in succession management which is delinked from a systematic competency review in view of future needs and challenges. (Competency-based demand forecasting and succession management)

**Conclusion 8:** There is a widespread concern among staff that many (re-) assignments do not follow due process, thus do not ensure optimal matching of competencies to the position. In addition, policies (HRMF, ISA policy and Learning Policy) are not sufficiently used as guidance to ensure that the competency level at recruitment (and the eventual development needs of ISA holders) is duly taken into consideration. (Recruitment/ Placements)

**Conclusion 9:** The training programme does not offer relevant and regular training for newcomers (staff and ISA-holders). As a result, newcomers are informally trained by staff and non-staff already familiar with UNIDO. This service provided to new colleagues by staff already working for UNIDO has not been recognised or awarded. Not only does it demonstrate inappropriate planning, it is also inefficient. Some induction courses have been recently transformed into on-line courses to address this problem. (Effectiveness and Efficiency)

**Conclusion 10:** The decision-making processes within the HRM function responsible for staff development and training are not known to staff and are not communicated well or in some cases not communicated at all. This results in a perception among staff of a non-transparent and unfair process, which makes the decision-making on approval of training seem arbitrary in the eyes of most staff. (Effectiveness and Efficiency)

**Conclusion 11:** The development goals section in SPM serves as a basis for HRM's training programmes, but the synthesized and prioritized training needs established through the analysis of individual inputs do not necessarily reflect the competency needs that would be prioritized by the individual units, departments and FROs/SROs. There seems to be no clarity and consistency as to how to appear to be disconnected from the identification of developmental needs; FROs are not always fully committed to the performance assessment in the SPM and often see it as an administrative duty. (Learning Management, Performance Management and Self-Management)

**Conclusion 12:** Indicators for training and SCD contained in Annual Reports and IRPF draft are not SMART and consistent among each other. There is very limited systematic monitoring of planned budget and expenditures, distribution/access and effectiveness of the training programme. Since records are not centrally kept and maintained, analysis of the current situation or future needs can only be done manually, requiring significant amount of human resources. (Monitoring, reporting and knowledge management- Effectiveness and Efficiency)

## 6.2 Recommendations

As far as possible the evaluation team tried to take into account the financial situation of the Organization when formulating its recommendations. The team distinguished three types of recommendation: Type I are no-cost or almost cost-free and could be implemented within a time span of six months; Type II recommendations are more of an operational management nature involving some costs and are likely to take 6-12 months to implement, whereas Type III recommendations relate to essential components of a systematic Competency Development approach that would need 18-24 months and involve financial investment and staff /expert time.

### TYPE I

**Recommendation 1:** It is recommended that Senior Management conveys a clearer message as to the main strategic objectives and priorities and consults with selected staff and consultants as to how best these objectives can be achieved. A management review is needed as to which competencies are needed and exactly who should hold which competencies (regular staff or ISA-holders) in order to better address present and future challenges of UNIDO.

**Recommendation 2:** It is recommended that HRM improves communication with all staff and re-constitutes strategic partners/ focal points for each department on competency-based staff development matters. HRM should proactively seek contact with staff on a regular basis. Amendments and new instructions/ policies need to be communicated with a strategic plan using different communication channels. It is also recommended that the Staff Council play a more active role in communication with staff in SCD-related matters, as well as in recognition of best practices. (In this area some notable progress could be observed in recent months.)

**Recommendation 3:** It is recommended that staff members' initiatives promoting learning and practicing training roles are recognized. Since the culture of on-the-job mentoring and training is already strong, it is recommended that existing expertise by staff and ISA-holders should be utilized in their area of specialization to conduct learning sessions for other colleagues. This should then be formally recognized in their job roles and performance.

**Recommendation 4:** It is recommended that member States reconfirm their commitment to UNIDO as a learning organization and ensure that adequate resources are allocated to maintain its technical specialization to fulfill its mandate of ISID and contributing to the 2030 Agenda.

### TYPE II

**Recommendation 5:** It is recommended that HRM's reporting be made more relevant by including additional information and SMART indicators on issues such as assessment results of individual training and special learning events, results of a regular competency gap analysis, costs of training, participation of staff by division, gender and staff category, and cooperation with other UN agencies or learning institutions. To do so, the monitoring of staff attendance at training events needs to be improved and their end-of-training assessment followed up.

**Recommendation 6:** It is recommended that senior management considers decentralizing parts of the training funds to technical divisions and field offices. These funds should be obligated by September of each financial year; otherwise they would revert to HRM. These funds should not be used for other purposes and should also be eligible for use by long-serving ISA-holders at HQ. UNIDO needs to distinguish formally between different types of ISA-holders and offer those who have been long-serving and performing regular staff tasks to update their competencies by allowing them to take part in training events.

**Recommendation 7:** It is recommended that Regional UNIDO Offices are facilitated to support each other and that joint training programmes are implemented. It is also recommended that a strategy is formulated to allow FO staff to participate fully in relevant HQ-training events and to facilitate their participation in field training offered by other UN agencies. For this purpose better use of technology should be made so that FO staff can follow training from a distance.

### **TYPE III**

**Recommendation 8:** It is recommended that taking due consideration the conclusions of the Independent Evaluation and the Competency-based HRM model, the present Competency Framework is reviewed and designed within the context of the updated HRM Framework to provide a more relevant, efficient and effective system for UNIDO.

Main related processes include:

- o Review and re-design the Competency Framework, considering the inclusion of technical and functional competencies;
- o Assign at least three levels of application to each competency (e.g. knowledgeable, proficient, advanced);
- o Define core competencies for job families ;
- o Review the Staff Performance Appraisal system and multi-source feedback in line with the related findings of this evaluation;
- o Review recruitment and placement processes (including lateral moves) to streamline and strengthen the link to the competency base, and relieving HRM staff time dedicated to recruitment (especially for internal and ISA recruitments);
- o Systematically update the job descriptions of all posts in terms of competencies required.

# Annex A: Terms of Reference (body text)

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## **I. Background and context**

Staff development and learning activities in UNIDO are conducted based on the Staff Regulation 4.4, which provides that staff members may be given suitable training to improve their skills and effectiveness in their current or prospective assignments. In addition, Staff Rule 104.05 states that “Training programme and facilities provided by the Organization shall be available to staff members who are likely to derive benefits therefrom in enhancing the usefulness of their current or prospective services to the Organization.”

In March 2015, a revised “Human Resource Management Framework” was introduced. This Framework, while making reference to the Learning Policy of 2010, puts specific importance on learning as part of the competency framework and performance management. UNIDO Learning Policy (2010) includes both formal and informal approaches to developing knowledge, skills and behaviors. It also points out that the organizational environment should enable learning on a continuous basis. The policy, therefore, delineates the responsibilities of managers, supervisors and staff, defines the various categories of learning that can be provided, as well as elaborating on the administrative procedures for accessing learning opportunities.

Additionally, the recently updated Integrated Results and Performance Framework has committed the Organization to an increased alignment of trainings with organizational priorities which will need to be monitored and regularly reported to the member states.

As approved by the UNIDO Executive Board in March 2016, the Independent Evaluation Division (ODG/EVQ/IEV) will conduct a thematic evaluation of UNIDO’s Staff Competency Development<sup>69</sup> in 2017. The evaluation will be undertaken within the framework of the UNIDO Evaluation Policy<sup>70</sup>. The purpose of the evaluation is to independently assess UNIDO’s staff competency development policies, systems and processes to help UNIDO further improve its performance and alignment of staff development with organizational strategic objectives.

## **II. UNIDO’s Human Resource Management Framework (HRMF) and Staff Competency Development**

According to the UNIDO HRMF, the Organization’s human resource system is underpinned by a Competency Framework, where a competency is defined as a “combination of skills, knowledge and behaviors that leads to effective performance on the job, be it at Headquarters or in the Field Offices, and is therefore important for the success of the Organization in achieving its strategic goals, as well as the success of individual staff members.” HRMF further deposits that the Competency Framework is “a powerful tool to support the achievement of UNIDO’s goals and effectiveness as well as its strategic direction by,

- (a) Facilitating a better understanding of what is required for a staff member’s development and career progression from the staff member and from the Organization;
- (b) Fostering a common understanding about what is needed and expected in terms of individual performance, thereby providing a sound basis for consistent performance management;
- (c) Providing a clear basis for the definition of job requirements for the purposes of recruitment, human resource planning, reassignment and career development;
- (d) Identifying growth opportunities and competency gaps in the Organization and addressing them through focused staff development and learning and/or targeted external recruitment. “<sup>71</sup>

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69 The title in the approved Work programme is “Thematic Evaluation on Effectiveness of Staff Training” which has been amended after initial consultations, to reflect the more systematic aspects of Staff Development within which training/learning is only one element.

70 [https://www.unido.org/sites/default/files/2015-03/UNIDO\\_Evaluation\\_Policy\\_UNIDO-DGB-M-98-Rev-1\\_150319\\_0.pdf](https://www.unido.org/sites/default/files/2015-03/UNIDO_Evaluation_Policy_UNIDO-DGB-M-98-Rev-1_150319_0.pdf)

71 Human Resource Management Framework (HRMF) UNIDO/AI/2015/01 16 March 2015 , pages 3-4

More specifically, the HRMF identifies three main purposes for the use of the Competency Framework namely: Vacancy management, recruitment and reassignment; Performance management; and Learning. The linkages between learning and performance management are also highlighted, where assessment of staff member's proficiency in the past should generate feedback to create a plan for learning in the coming performance cycle, i.e. learning that will support the development of competencies identified for further development. In addition, role of staff competencies development are recognized in the case of lateral transfers, "When necessary, and especially for staff members selected to replace other staff members in a different functional grouping, the Branch Directors of the receiving organizational units will, in consultation with HRM, prepare individual staff development plans, which shall include any external training, self-study or coaching necessary in order to shorten the learning curve and facilitate the taking-over of the functions by the selected candidates."

While the HRMF mentions the Learning Policy<sup>72</sup>, it highlights that learning management is a shared responsibility of managers, staff members and HRM who, within their respective roles, have to ensure that learning needs are identified and that appropriate means are established to pursue them successfully.

Succession planning, on the other hand, is addressed by the HRMF as a separate pillar, where the related processes (including internal placement/field rotations and the recruitment of external candidates) aim at identifying successors for posts and functions who meet the highest standards of efficiency, competence and integrity. The HRMF commits to a competitive selection process that is simple and transparent and pays due regard to the geographical and gender balance requirements.

It needs to be noted that, in the past 5 years, there has been significant changes in the organizations operational systems through the business process re-engineering and ERP implementation process as well as its expected contribution to global development results, based on the Agenda 2030 and the Lima Declaration. As a result, in the 44th session of the Industrial Development Board, the Secretariat has submitted the newly developed integrated results and performance framework (IRPF) to guide the implementation of the MTPF 2016-2019 and the related programme and budgets. According to the MTPF:

"Human resources and their effective management are key to organizational performance. Qualitative improvements in human resource management will continue to be sought during the MTPF period, aimed inter alia at ensuring institutional strengthening, preservation of knowledge, and balanced regional and gender representation. UNIDO's learning programmes, based on a learning policy that promotes skills upgrading and professional growth, will continue to provide staff with the knowledge required to carry out necessary programme support functions. Mandatory training with certification is already being implemented in this area, and will be developed further to reach all relevant out-posted staff. Emphasis will also continue to be placed on improving the technical and managerial competencies of staff by offering them a wide choice of training opportunities within and outside the Organization. Measures to facilitate career development will also be implemented during the MTPF period." <sup>73</sup>

In this regard, the Integrated Results and Performance Framework commits the organization to an increased alignment of trainings with organizational priorities, grouped (a) industrial competitiveness and innovations; (b) industrial technical skills upgrading in human resources

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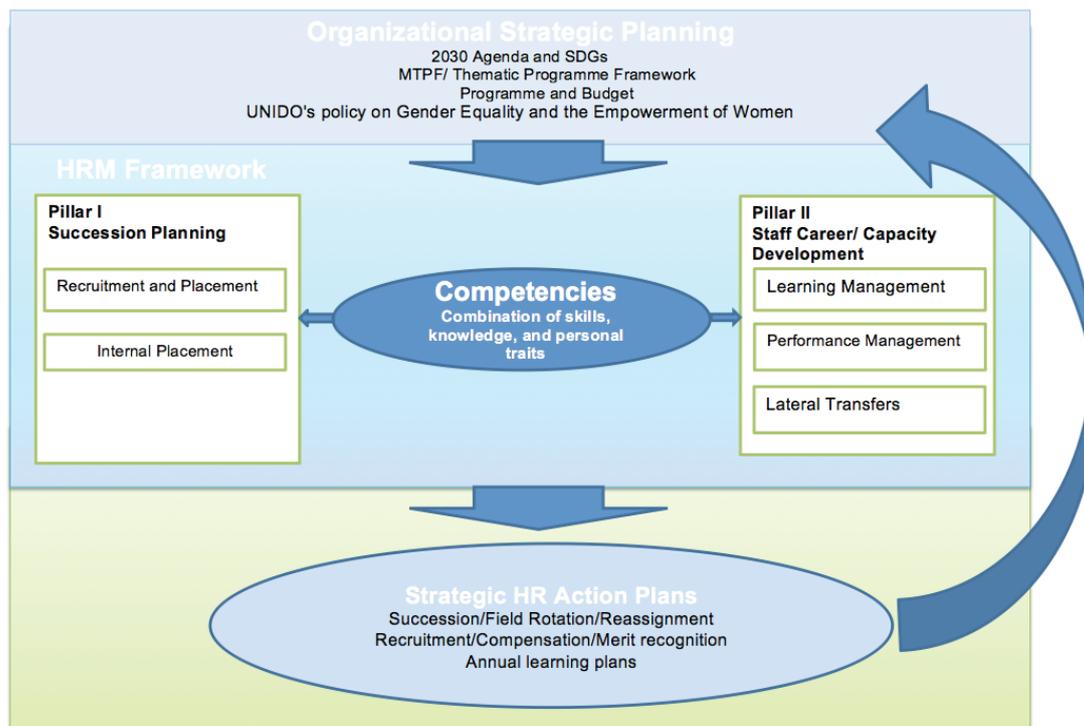
72 Director General's Bulletin "Policy on Learning", UNIDO/DGB/(M).117 of 12 April 2010.

73 Medium-term programme framework, 2016-2019, Proposal of Director General, IDB.43/9-PBC.31/9, 24 April 2015 , page 32

and gender equality; (c) industrial governance; (d) environmental footprints of industries and (e) others related to SDG9. This will be a new reporting format where trainings have to be justified under the Tier 1 / Level 1 of the IRPF and reported annually<sup>74</sup>. The organizational level performance of staff competency development will therefore need to be carefully monitored and evaluated.

Figure is a schematic depiction of UNIDO's competency framework and its key role in strategic management of the organizations HR functions as well as its alignment with long term organizational strategic planning including UNIDO's contribution to the 2030 Agenda, MTPF, Programme and Budgets as well as the Policy on Gender Equality and Women's empowerment. This proposed conceptual framework will be further developed and elaborated during the thematic evaluation in order to establish a common understanding on how a set of activities in the context of staff competency development can contribute to a series of results in terms of organizational improvements and staff career development, which in turn can help to produce the final intended impact, namely UNIDO being able to respond effectively to the expectations of its member states and the global Agenda 2030.<sup>75</sup>

**Figure 1: Human Resource Management Framework and role of Competencies**



74 Updated indicators and metadata for the integrated results and performance framework, IDB.44/CRP.4, 24 October 2016, 14.12, page 10 and page 20

75 This way of analysing how changes come about – or how activities are understood to produce a series of results that contribute to achieving the final intended impacts- within the context of any level of intervention, is called “theory of change”. A theory of change can be also used for strategic planning or programme/policy planning to identify the current situation (in terms of needs and opportunities), the intended situation and what needs to be done to move from one to the other. This can help to design more realistic goals, clarify accountabilities and establish a common understanding of the strategies to be used to achieve the goals. (Rogers, “Theory of Change”, UNICEF Methodological Briefs Impact Evaluation No. 2)

### **III. Evaluation objectives, scope, methodology, key questions and process**

#### **A. Evaluation objectives**

The independent thematic evaluation of UNIDO's Staff Competency Development has two main objectives:

1. Assess the performance of the UNIDO's staff competency development in terms of relevance, effectiveness and efficiency.
2. Assess how well the staff competency development activities currently support UNIDO staff and the Organization in achieving its stated strategic objectives, and identify areas for possible improvement

#### **B. Evaluation scope**

The assessment will mainly focus on the relevance, efficiency and the effectiveness of the UNIDO Policies, Frameworks, strategies (explicit and implicit) and processes that affect the definition, design, identification, delivery (implementation), budgeting and monitoring of staff competency development. The evaluation will not assess the training activities provided by the Organization externally to project counterparts and beneficiaries.

Being concerned about the performance of policies and processes rather than historical outcomes, the evaluation will be a forward-looking assessment, while taking into consideration the changes in policy, resources and staff competency development activities of the organization in the past 5 years (2011-2016).

#### **C. Evaluation methodology and key questions**

The evaluation will be conducted in accordance with the UNIDO Evaluation Policy <sup>76</sup>. It will be carried out as an independent in-depth evaluation using participatory approach whereby key stakeholders will be regularly consulted and informed throughout the evaluation process.

The performance assessment will be based on the assessment of three core international standard evaluation criteria: relevance, effectiveness and efficiency. It is necessary to clarify up front that the evaluation will not assess the impact of past staff training programmes on staff career development plans or performance improvements, as this type of analysis would not be possible with the limited resources and timeline of the evaluation.

The relevance will be assessed in relation to UNIDO's mandate and strategic policies; as well as the relevance of design of learning policy and annual learning plans. The key questions for assessing relevance are as follows:

1. To what extent are the current policies and annual plans for staff competency development relevant to Organization's strategic planning objectives, mandate and vision within the context of UNIDO's contribution to the Agenda 2030 and SDGs?
2. To what extent have the learning activities contributed to strengthen staff competences and the institutional capacity of UNIDO?

The analysis of effectiveness will focus on whether the current policies, frameworks and processes for identifying and building staff competencies do/can deliver the expected objectives. However, since the organizational strategic plans have been re-aligned with the Agenda 2030 and ISID, while the regular budget sources have been declining over the past 3 years, the evaluation team will 'reconstruct' a theory of change, based on discussions with

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76 UNIDO. (2015). Director General's Bulletin: Evaluation Policy (UNIDO/DGB/(M).98/Rev.1)

the key stakeholders to validate/improve/amend the conceptual framework proposed in Figure 1, to clarify the expected results chain. The key questions for assessing effectiveness are as follows:

1. To what extent are the current delivery mechanisms (tutorials, web-based training, group learning sessions etc.) suitable for identified needs?
2. To what extent does the training provided support the promotion and achievement of staff member's professional and personal goals? How is the feedback from staff and management regarding expectations and perceptions of effectiveness?
3. Are there experiences and good practices related to the staff training from other institutions that can be used to benchmark staff training effectiveness?

In analysing the efficiency, the evaluation will review the organizational arrangements and resources used in managing staff competency development. The key questions for assessing efficiency are:

1. To what extent roles and responsibilities of the different stakeholders are adequate and clear in the different stages of developing and implementing a learning plan?
2. Have the resources invested into the delivery of the learning activities been used in the most efficient manner? Have alternative approaches been considered?
3. To what extent is the Staff Performance Appraisal Process an effective tool for developing a learning plan that will support the development of competencies identified? In which other ways, learning needs are identified and translated into learning plans?
4. Did the end-of-training evaluations effectively measure results and progress? Are individual staff training records periodically assessed to feedback into future training plans and activities?

These evaluation questions and scope will be further fine-tuned during the inception phase of the evaluation.

Evaluation instruments for data collection and analysis. The evaluation will use mixed methods to collect data and information from a range of sources and informants. It will pay attention to triangulating the data and information collected before forming its conclusions.

Following are the main instruments for data collection and analysis that will be considered for this evaluation:

1. Desk review of documents including but not limited to those mentioned in Annex 1
2. Stakeholder consultations and focus groups. These will be conducted through structured and semi-structured interviews and focus group discussion. Key stakeholders to be interviewed include: i) UNIDO Management and staff of departments and divisions; ii) Staff Union representatives; and possibly iii) HR departments of other UN agencies.
3. Survey(s). Electronic survey(s) would be undertaken to collect a variety of perspectives and information from UNIDO.
4. Process and Stakeholders Mapping: To understand and identify the main phases the staff competency development process and sub-processes; and to identify the perspectives and expectations from the different stakeholders, as well as their respective roles and responsibilities.

#### **D. Evaluation process**

The evaluation will be conducted from January 2017 till April 2017. The evaluation will be implemented in phases which are not strictly sequential, but in many cases iterative, conducted in parallel and partly overlapping:

- i. Inception phase
- ii. Desk review and data analysis
- iii. Interviews, focus groups, survey and literature review
- iv. Data analysis and report writing

The outline for the evaluation report is presented in annex 4.

#### **IV. Evaluation team**

Evaluation team. The independent thematic evaluation will be conducted by a team of two independent international evaluation consultants (a team leader and one technical expert). A lead Evaluation Officer from IEV to be responsible for the management and conduct of the evaluation will be assigned.

The team leader and the technical expert will be senior experts who have in-depth knowledge of evaluation and staff competency development/ training. Their Job Descriptions are presented in Annex 2.

According to UNIDO Evaluation Policy, 'the members of an evaluation team must not have been directly responsible for the policy-setting, design or overall management of the subject of evaluation (nor expect to be so in the near future)'.

#### **V. Quality assurance**

All UNIDO independent evaluations are subject to quality assessments by the UNIDO Independent Evaluation Division. Quality assurance and control is exercised in different ways throughout the evaluation process (briefing of consultants on methodology and process), providing inputs regarding findings, lessons learned and recommendations from other UNIDO evaluations, review of inception report and evaluation report, and ensuring the draft report is factual validated by stakeholders).

The quality of the evaluation report will be assessed and rated against the criteria set forth in the Checklist on evaluation report quality, attached as Annex 3. The draft and final evaluation report are reviewed by the UNIDO Independent Evaluation Division and circulate it within UNIDO together with a management response sheet.

## **Annex B: Evaluation questions and judgment criteria**

EQ 1 To what extent are the human and financial resources for staff development used efficiently? What conditions promote/ hamper an efficient implementation of staff development competency?

EQ 2 To what extent are the roles and responsibilities of Managers/First Reporting Officers and HR in the different stages of developing and implementing a learning plan, adequate and clear?

### **Effectiveness**

EQ 3 To what extent is the Staff Performance Appraisal Process an effective tool for developing a learning plan to support the competencies required? In what other ways are learning needs identified and translated into learning plans?

EQ 3a To what extent is the present system of multi-source feedback (360°) an effective source for learning activities and succession management? What kind of potential factors are there for improvement?

EQ 4 To what extent does the training provided support the achievement of staff members' professional and personal goals?

EQ 4a To what extent is staff taking individual assessments and learning initiatives to improve their professional competency related to the present position or for future positions?

EQ 5 What positive experiences have staff had/ what obstacles have they encountered when engaging in Staff Competency Development activities? What are staff's perceptions of Staff Competency Development? How is the feedback from staff and management regarding expectations and perceptions of effectiveness? Have there been any unintended effects?

EQ 5a To what extent is the present competency approach (core values and core competencies) effectively utilized? In which Management and HR systems is it applied?

EQ 6 To what extent are the current learning methods (tutorials, web-based training, group learning sessions, external individual learning, etc.) suitable to meet identified needs?

EQ 7 To what degree do the end-of-training evaluations effectively measure results and progress of training/learning?

EQ 8 To what extent and by whom are individual staff training records periodically assessed to feed back into future training plans and activities?

### **Relevance**

EQ 9 Which policies and strategic frameworks have guided the staff competency development so far and are they still valid and adequate? What promotes/hampers UNIDO's staff competency development to contribute to programmatic objectives and strategic goals?

EQ 10 To what extent are the staff competency development activities based on the needs of staff members and /or the organization, and how are these identified?

EQ11 To what extent are there experiences and good practices related to staff development from other institutions (International and industrial organizations) that could be used for benchmarking staff competency development effectiveness in UNIDO? What are they?

EQ 12 To what extent have learning activities contributed to the institutional capacity building of UNIDO, in particular in achieving its annual programme objectives and strategic goals?

EQ12a To what extent is the present staff competency base aligned with the UNIDO's related SDGs?

<b>EQ 1</b>	<b>To what extent have the human and financial resources for staff development been used efficiently? What conditions promote/hamper an efficient implementation of SDC?</b>	
<b>JC 1.1</b>	<b>Time (input)</b>	<b>Source of information</b>
	Processing time for planning SD training events emanating from Performance Appraisal System (PAS) and Learning policy	Guided interviews, SAP, minutes of meetings, evaluation group
	Time spent on decision-making/planning	HR, Evaluation group, guided interviews
	Time spent on recruiting trainers	
	Time spent on preparing/implementing training events	
	Time spent on assessing training events	Interview with HRM staff
	time spent on matching staffs skills with needs	
	Time spent on reporting/ statistics	
	Time spent on coordination with other VIC agencies (e.g. for Language Programme), HR Group	
<b>JC 1.2</b>	<b>Budget (input)</b>	
	Annual amount available for SCD in the last 5 -10 years separately from different sources ( budget line for training from units and other sources)	HR statistics, annual reports, interviews
	Budget spent per staff member on training within last 5 years, (distinguishing gender, grade, P/G staff, grade, age)	
	'Planability' of budget Time when budget for the year is fixed. Ad hoc changes to budget	
	Rules for budgeting SD Budget Lines for training from different units Deletions of this BL in the past 5 years	
	Criteria for the financial prioritisation of training	
	Reasons for SCD budget spent on retreats	Guided interviews, Evaluation Group, Survey
<b>JC 1.4</b>	<b>HR Staff (input/ organizational structure)</b>	
	Number of staff working on SD (for past 5 years)	HR
	Number of posts vacant/ not vacant (for past five years)	HR
	Designated staff has the time to perform their tasks	HR
<b>JC 1.3</b>	<b>Training events (output)</b>	

	Number of training events per year (both group and individual training over past 5 years) and budget spent on them	annex of Annual Reports, HR statistics
	Number of attendants of training events (staff/ISA holders, P-/G-staff, gender)	HR
	Percentage of actual attendance vs. planned attendance	HR
	Number and topics of training events in co-operation with other VIC agencies in past five years (topics)	HR
	Approved training days per work unit/ per staff member	HR statistics
	Topic of group and individual training events (past five years) and costs of training	HR, annex of annual report
	Number of training events organised per year	annex of annual reports
	Number of individual training funded/organised per year	HR statistics
	Cooperation with other VIC agencies as regards training other than language programme	Guided interviews, Desk review, Evaluation Group
JC 1.4	Context conditions	
	Context conditions (HR placed in DG office)	
	Performance indicators for SCD (current and in the past 5 years)	

EQ 2	To what extent are the roles and responsibilities of Managers/First Reporting Officers and HR in the different stages of developing and implementing a learning plan, adequate and clear?	
JC 2.1	Clarity of roles	
	Process maps exist and are clearly written, easily accessible for all and communicated	Surveys, interviews, focus groups, HR
	Roles do not overlap into other staff's competencies	
	Sequencing of processes is clear (Staff Appraisal process, developing of a Learning Plan)	
JC 2.2	Adequacy of roles	
	Job descriptions of relevant staff list tasks clearly	desk review
	Designated staff has sufficient time of performing the task	HR staff
	FRO/SRO have sufficient knowledge of what staff do	survey, interviews
	% of compliance with roles	HR
	Reported difficulties with the roles/ complaints/ misunderstandings, non-compliance with deadlines, corrections	HR interview, supervisors, survey

	Number of different roles and possibly non-defined roles	Staff Appraisal Instruction guideline, Evaluation Group
	Roles of FRO/SRO vis-à-vis HR staff as regards the decision-making on training/learning	HR staff, DIR, MDs
	Roles of HR staff vis-à-vis Management	Surveys, interviews, focus groups
	Acceptance of roles FRO/SRO by staff	Surveys, interviews, focus groups
	The results of training/learning are regularly reviewed and training plans adjusted accordingly for future development plans	Interviews
JC 2.3	Alignment of different processes leading to staff development	
	Processes aligned according to the same goals	Desk review, guided interviews with HR, senior staff/ managing directors, evaluation group, Finance Department
	Timing and budgeting process aligned	
	Leadership for processes clear	

EQ 3	To what extent is the Staff Performance Appraisal Process an effective tool for developing a learning plan to support the competencies required? In what other ways are learning needs identified and translated into learning plans?	
JC 3.1	Functionality	
	Staff member's development needs are correctly identified with regard to the <i>current or future post</i>	HR, Staff survey
	Staff member's development needs are correctly identified with regard to the <i>work unit's needs/ unit's objectives</i>	
	Staff member's development needs are identified with regard to <i>UNIDO overall programmatic and strategic goals</i>	
	Staff member's needs are correctly identified with regard to core values and core competencies	HR, Interviews with managers/FROs
JC 3.2	Fit-for-Purpose	
	Expectations by staff that are currently met/not met	
	Expectations by supervisors that are currently met/not met	
	Other existing processes for learning plan development that are currently used	HR, Interviews with managers/FROs, Finance
	Ideas about future changes of process for learning plan	
JC 3.3	Interfaces with other processes	
	Interface with Learning Plan establishment	interviews

	interface with budgeting process	
	interface with work unit budgeting	
	interface with overall budgeting for HR	
JC 3.4	Character of process	
	Top-down vs. bottom up approach	Survey, interviews with staff
	Participatory vs. centralised approach	
	Transparent vs. discreet approach	
	Individual approach vs. Organizational approach	
JC 3.5	Alignment between training and specific competencies needed for of the current post	
	Definition of core competencies for all job descriptions exists	Documents analysis, interviews
	Alignment between competencies needed for the specific post and staff development	Interviews, focus groups
JC 3.6	Usefulness of training - personal and work level	
	Staff member uses knowledge/skills regularly in non-work situations	Surveys, focus groups
	Staff member uses knowledge /skills regularly for work	
	Counterfactual scenario: What if the training had not taken place?	

EQ 3a	To what extent is the present system of multi-source feedback (360°) an effective source for learning activities and succession management? What kind of potential factors are there for improvement?	
JC	Effectiveness for learning activities	
	Use of Feedback results to organize learning sessions	
	Incorporate Feedback reports to modify existing competencies	Interviews
	Feedback reports to establish new competencies (Managerial/Technical)	
JC	Effectiveness for succession management	
	Discussion of feedback with FRO	
	Suitability of Factors used in Feedback	Comparator studies with other agencies
	Use of feedback in relation to replacements/lateral move of staff	Interviews, Focus groups
JC	Managing the process	
	Evaluators are properly selected	Verification of Supervisor/HR
	Clarity of circular as regards the balance among peers, supervisors and subordinates	Document analysis

EQ 4	To what extent does the training provided support the achievement of staff members' professional and personal goals?	
JC 4.1	Perceptions of training effectiveness by staff and supervisors/managerial staff	
	Long-term effectiveness of training (+ 1 year after training event)	Surveys, interviews, Focus groups
	Appropriateness of training in response to personal goals	
	Appropriateness of training to required job competencies	
	Appropriateness of training in response to work unit's tasks /UNIDO's mandate	
	Timeliness of training	
	Intensity of training	
	Length of training	
	Quality of trainer	
	Appropriateness of delivery mechanism for type of training	
	Selection of participants	
EQ 4a	To what extent is staff taking individual assessments and learning initiatives to improve their professional competency related to the present position or for future positions?	
JC	Taking individual assessments	
	Related to competencies proposed by UNIDO	
	Related to other competency models or practice	Individual answer for Survey
	Related to Personality or Management styles issues	Interviews - In house Courses containing assessment practices
	Related to Technical or functional processes	
JC	Learning initiatives	
	Identification of learning initiatives	Survey, Interviews
JC	Improvement for Present or Future positions	Survey, Interviews
EQ 5	What positive experiences have staff made; what obstacles have they encountered when engaging in staff competency activities? What are staff's perceptions of SCD? What is the feedback from staff and management regarding expectations and perceptions of effectiveness? Have there been any unintended effects deriving from SDC?	
JC 5.1	Transparency	

	Criteria for rejection/approval are formulated in writing and provided to requesting staff/divisional unit	Evaluation Group, survey, guided interviews, focus groups
	Criteria for SD are known and communicated to staff	
	Decision-making process is documented	
	Feedback to training requests includes reasons	
	Request stage can be followed by staff in SAP system	
JC 5.2	Fairness/ Equal Treatment	
	Training attendance according G/P-staff and grade	Desk rand SAP analysis, guided interviews with HR staff, Evaluation Group
	Difference between training request approval for P-staff and higher management	
	Approval rate of individual as compared to group training (past 5 years)	
	Approval rate compared between PAS induced and Learning Policy induced staff development requests (past 5 years)	
JC 5.3	Efficiency	
	Response from HR is received within a specific timeframe by staff or when needed	Survey, focus groups
	Training event notification comes in time for staff members' / work units needs	Survey, focus groups
JC 5.4	Appropriateness of training/Effectiveness	
	Training events are considered useful after a year (or more) time <u>at individual level</u> and skills fits are used by attendees (staff and HQ ISA holders)	Survey, interviews with selected staff members
	Training events are considered useful after a year (or more) time <u>at work level</u> and skills can be applied (aggregated for different P-staff grades)	Survey, interviews with selected staff members, focus groups
	Training events topics of group training are considered relevant <u>by supervisors/ MDs</u> at work level	Survey, focus group, guided interviews, training evaluation records
	Individual training is considered effective by attendees, supervisors and MDs	
	Staff are satisfied with Learning Plans based on Staff Appraisal Process (SAP)	
	FROs/SROs are satisfied with the learning plans that are developed on the basis of SAP	
	Perception of staff with regard to their competency development	
	Perception of supervisors/ managers of competency development	
JC 5.5	Unintended effects of Staff Development	
	Better work-life balance	

	Networking opportunity	
	Better job satisfaction	
	Opportunity to find another assignment within UNIDO	

EQ 5a	To what extent is the present competency approach (core values and core competencies) effectively utilized? In which Management and HR systems is it applied?	
JC	Core Values	
	Discussion with FRO	Survey , Interviews
	Understanding and acceptance of their meaning	Comparator studies of other UN agencies
	Promoted in learning programmes	
JC	Core Competencies	
	Application to posts ( all or selected groups of posts)	Survey , Interviews
	Application to Individual staff and ISA	Comparison with other UN and international business Org
	Alignment with specific programme	
	Forecast of required competencies for future programmes	Interviews
JC	Management and HR systems	
	Design and implementation of Competencies based learning	Survey , Interviews
	Maintain a updated registry of competencies per staff	Comparison with other UN and international business Org

EQ 6	To what extent are the current learning methods (tutorials, web-based training, group learning sessions, external individual learning etc. ) suitable to meet identified needs?	
JC 6.1	Suitability (appropriateness) for ....	
	transfer of knowledge/skills	Surveys, Focus groups, interviews
	long-lasting impact	
	in-depth training	
	learning about core values and competencies	
	acquiring technical skills	
	generic skills	
	managerial skills	
	team-building skills	
	for skills that are specific to a specialist post	
JC 6.2	Staff satisfaction	
	Learning impact one year after training	Surveys, Focus groups, interviews

	Was the delivery mechanism the one desired by staff and supervisors?	
	What better delivery mechanisms are there?	
	What better delivery mechanisms are there in other organisations?	

EQ 7	To what degree does the end-of-training evaluation effectively measure result and progress of training and learning?	
JC 7.1	Quality of end-of-training assessment	
	time of assessment	end-of-training assessment form
	% of training attendees that filled it out in past 2 years	Interview with HRM Staff
	Type of comments	random selection of end-of training assessments for two types of events
JC 7.2	Use of end-of-training assessments	
	... for future planning and feedback to trainers	Interviews with HRM staff, Evaluation Group, Interviews with supervisors, survey
	... for a second assessment conducted a year after training with questions that relate to competencies, job description, usefulness	
	.... for the follow-up of complaints	
	.... for amendments to end-of training assessment form/ process	
	... discussions with management/ other UN agencies	
	Perceptions by staff and supervisor/managerial staff of end-of-training assessment	Survey, Interviews with P-staff

EQ 8	To what extent and by whom are individual staff training records periodically assessed to feed back into future training plans and activities?	
JC 1	Follow-up of staff training	
	...is regularly conducted and part of the process	Interviews with HRM Staff
	.. is conducted by supervisors or staff	
	... is used for future training plans	

EQ 9	Which policies and strategic framework have guided the staff competency development so far and are they still valid and adequate? What promotes / hampers UNIDO's staff competency development to contribute to UNIDO's programmatic objectives and strategic goals?	
JC 9.1	Adequacy of Policies/strategic documents	
	Learning policy (2010)	
	HR Framework (2016)	
	Programme and Budget 2016-019	
	Working Group Report (2015)	
JC 9.2	Elements that promote/ hamper SDC	
	Context	

	Organizational structure of SDC in HR, HR in DG's Office	
	Process character of identifying SDC needs	
	Staff structure	
	Budget	
	Unclear long-term future of organization	

EQ 10	To what extent are the staff competency development activities based on the needs of staff members and /or the organization, and how are these identified?	
JC 10.1	Needs of the Staff	
	Links with Self development,	Survey, Interviews
	Links with Performance Management and Learning programmes	Other Organizations
	Link with 360 degree feedback	
JC 10.2	Needs of the Organization	
	Learning events proposed by TOP Managers	

EQ 11	To what extent are there experiences and good practices related to staff training from other institutions (international and industrial organizations) that could be used for benchmarking staff competency development effectiveness in UNIDO? What are they?	
	Training Policy available	Comparator studies
	Role of Learning documented	
	Placement of Staff Development unit within HR or elsewhere?	
	Indicator for training (staff/days/year) or other	
	Performance indicators for SCD units	
	Budget available	
	Role of e-learning	
	Comparison with industrial organizations	
	Comparison with other UN organisations	
	Indicator for SCD in planning documents	

EQ 12	To what extent have learning activities contributed to the strengthening of the institutional capacity building of UNIDO in achieving its programme objectives and strategic goals?	
JC 12.1	Policy coherence	
	Staff development goals are aligned and logically connected with UNIDO's strategic goals in policies papers and with staff needs	Desk analysis
	HR training events reflect clearly the alignment towards programmatic objectives and strategic goals	Desk analysis, interviews, focus groups, surveys
	SD takes into account specific competencies needed for specific posts	Interviews
JC 12.2	Accountability	

	Reporting on staff development and its effects on organizational learning and its contribution to strategic goals is regularly assessed and communicated	Evaluation Group, Guided interviews, HR staff and statistics
	Usefulness assessments are published, feed back to staff and management and followed up for future improvement	Guided interviews, evaluation group, focus group, survey
JC 12.3	Staff development effects for UNIDO competencies?	
	Have the SD programme's aims and sub-aims been formulated? (past 5 years)	
	How did the SD programme change over the past 10 years and were these changes useful for the Organizations' core competencies?	
	How have the beneficiaries' needs been taken into account when formulating learning policies?	
JC 12.4	SD's contribution UNIDO's strategic performance	
	2030 Agenda for Sustainable Development	
	Input to Economic and Social Council	
EQ 12a	To what extent is the present staff competency base aligned with the UNIDO's related SDGs?	
JC	Awareness of Competency needed	
	Documentation on SDG	Survey
	Discussions top managers future programme and competency profiles	Top Managers interviews, experiences from other organizations
JC	Building suitable Competency data base	
	Requirement of new definitions	
	Focus group discussions	

## Annex C: List of persons consulted

Mr. Eric APPIATENG, former President of UNIDO Staff Council

Ms. Maria Ignacia ARANGO, ERP Administrator, PPS/ITC/TIS

Ms. Michaela BERNDL, Senior Evaluation Assistant, ODG/EVQ/IEV

Mr. Stefano BOLOGNA, Senior Advisor to the DG

Ms. Okustina BULAVAKARUA, Chief ODG/HRM/HPD

Mr. Bernardo CALZADILLA-SARMIENTO, Director and OiC PTC/TII/OD

Mr. Federico CASTELLANI KOESSLER, External Relations Officer, EFR/ETR/PMO

Ms. Giovanna CEGLIE, U.R. Egypt

Mr. Jacek CUKROWSKI, Chief EFR/RPF/EUR

Mr. Michael DAHL, Chief Talent Management, Human Resources Development Department, United Nations Population Fund

Mr. Juan Pablo DAVILA, Industrial Development Officer, PTC/TII/STF

Ms. Suzanne DEE PEDERSEN, Chief, Talent Management Branch, Human Resources Development Department, International Labour Office

Ms. Aster DESSALEGN, Executive Office, PPS/OMD

Mr. Johannes DOBINGER, U.R. Colombia

Ms. Tally EINAV, Executive Officer, EFR/OMD

Mr. Smeeta FOKKEER, Industrial Research Officer, PPS/PRS/RPA

Ms. Ayumi FUJINO, Director ODG/SPC

Mr. Gilles GALTIERI, ISA Holder

Ms. Laila GEROLD, Coordinator, PPS/OSS/GES

Ms. Fatou HAIDARA, MD and HRM OiC

Mr. Juergen HIEROLD, Chief PTC/PRM/EPD

Mr. Henry HUTTON-MILLS, Senior Project Assistant, PTC/AGR/AIT

Mr. Steffen KAESER, Chief PTC/TII/STF

Ms. Erminia IODICE, ISA Holder

Mr. Konstantin IVANOV, OiC PPS/OSS/OD

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Ms. Simone LA ROSA MONIER, Senior Evaluation Assistant, ODG/EVQ/IEV

Mr. Kay LISENGARD, Senior Executive Officer PTC/OMD

Ms. Natalia MAABDI, Contracts Officer, PPS/OSS/PRO

Mr. Jaime MOLL DE ALBA CABOT, OiC, EFR/RPF/OD  
Ms. Fadia NASSAR, Office Assistant, EFR/RPF/ARB  
Ms. Victoria NUSSBAUMER, Associate Programme Management Officer, PTC/PRM/RMD  
Mr. Gerardo PATACCONI, OiC, PTC/AGR/OD  
Ms. Draga PASKOVA, HR Officer, ODG/HRM/OD  
Ms. Chantal POTHIER, President of UNIDO Staff Council  
Ms. Jillian REVADULLA- BONDOC, Office Assistant, UNIDO Country Office, Philippines  
Ms. Ruth SEMBAJWE, Chief, Staff Development Unit, Human Resources Management Service,  
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Mr. Stefan SICARS, Director PTC/ENV/OD  
Ms. Virpi STUCKI, Industrial Development Officer, PTC/PRM/CPD  
Ms. Liliya SYDORENKO, Chief PPS/FIN/FMT  
Mr. Dejene TEZERA, Chief PTC/AGR/RJH  
Mr. Peter ULBRICHT, Director PPS/FIN/OD  
Ms. Katinka VIGH, ISA Holder  
Mr. Dindin WAHYUDIN, ERP Release, PPS/ITC/TIS  
Mr. Ciyong ZOU, Director PTC/PRM/OD

## Annex D: List of documents consulted

### UNIDO documents

- o Director General's Administrative Instruction: Framework of the Staff Career Development System (2001)
- o Strengthening organizational core values and managerial competencies (2002)
- o UNIDO Executive Board 16th Regular Meeting (2006)
- o UNIDO//DGB/(M).115: Director General's Bulletin : Code of Ethical Conduct ( 2010)
- o UNIDO/DGB/(M).117: Policy on Learning (2010)
- o Competency Framework (2011)
- o IDB.40.18: Personnel Matters, Report by the Director General (2012)
- o UNIDO/PSM/HRM/AI.1/Amend.1 : Administrative Instruction: New Job Description Form for the General Service Category (2012)
- o UNIDO/AI/2012/01: Administrative Instruction: Framework for Staff Performance Management (2012)
- o UNIDO/IC//2013/20: Information Circular: Job Profiles for the positions of Managing Directors, D-2 ( 2013)
- o IDB.41/24: Final Report of the Informal Working Group on the future, including programmes and indicators, of UNIDO (2013)
- o UNIDO/AI//2012/01/Amend. 1: Administrative Instruction : Framework for Staff Performance management (SPM) (2013)
- o Impact Assessment of the Training for SAP Human Capital Management (2013)
- o UNIDO/IC/2014: Information Circular: Organizational Learning and Training – Priorities for the biennium 2014/15 (2014)
- o Step by Step to create appraisal document at Start of cycle for all Staff ( 2014)
- o UNIDO/IC/2015/03: Information Circular: Results of the 2012 Reclassification review (2015)
- o UNIDO/AI/2012/01/Amend. 2: Administrative Instruction – Framework for Staff Performance Management ( 2015)
- o Working Group Summary Report ( 2015)
- o UNIDO/DGB/2015/02: Director General's Bulletin: Establishing a UNIDO Strategy Committee (2015)
- o IDB.43.9-PBC.31.9: Medium-term Programme Framework, 2016-2019 (2015)
- o UNIDO/AI/2015/01: Administrative Instruction: Human Resources Management Framework (2015)
- o UNIDO/IC/2015/09: Information Circular: Working Group to review the Human Resource Management Framework (2015)
- o ICB.44/CRP.4: Updated indicators and metadata for the integrated results and performance framework (2016)
- o IDB.44/14/Add. 2: Activities of the Joint Inspection Unit - Report by the Director General on the JIU review on Management and Administration in UNIDO (2016)
- o IDB.44/6/Add.1: Integrated results and performance framework of the medium-term programme framework (2016)
- o DBG/2017/... Director General's Bulletin: Human Resource Principles (2017)
- o IDB.45/8/Add.2: Medium-term programme Framework, 2018-2021

**Other UNIDO documents**

- o Annual Reports (2010- 2016)
- o HR Portal Your Learning
- o Learning Infobase
- o Divisional Learning Plans
- o Form for the Application for External Training
- o Evaluation Brief of the Independent Evaluation on UNIDO's Partnership with Donors (2017)
- o Independent strategic evaluation. Implementation of the expanded UNIDO Medium-term programme framework 2010-2013. (2015)
- o Process Evaluation UNIDO's Field Mobility Policy (2015)
- o Job profiles of different positions such as UNIDO Representatives, G-, P- and D-staff
- o HR figures on expenditures and staffing

**Other organisations**

- o JIU Report: Review of Management and Administration in United Nations Industrial Development Organization (UNIDO) (2017)
- o JIU Report: Use of Staff and Non-staff Personnel and the Related Contractual Modalities in the United System organizations (2014)
- o Competency Frameworks of OECD, UNODC, UNFPA, ILO, UK Civil Service

## Annex E: Survey questionnaire staff

An analysis of the open-ended questions and the comments has been conducted to exclude repetitions, not applicable and inappropriate answers. The number of matches for each answer is provided in brackets.

### Q1: Are you female or male?

Answer Choices	Responses	
Male	47.84%	133
Female	52.16%	145
Total		278

### Q2: Which of the categories of position do you hold?

Answer Choices	Responses	
G2-G7	50.90%	142
P2 / L2- P4 / L4	30.11%	84
P5 / L5 - L6 / D1 / D2	19.00%	53
Total		279

### Q3: In which Organizational Area do you work?

Answer Choices	Responses	
Programme Development and Technical Cooperation (PTC)	40.36%	113
Policy and Programme Support (PPS)	19.64%	55
Buildings Management Service (BMS)	5.71%	16
External Relations and Field Representation (EFR)	21.79%	61
Office of the Director General (ODG)	12.50%	35
Total		280

### Q4: How many years have you been working with UNIDO?

Answer Choices	Responses	
less than 1 year	2.53%	7
1-5 years	14.08%	39
6-10 years	35.02%	97
11-15 years	15.52%	43
over 15 years	32.85%	91
Total		277

**Q5: What is your age group?**

Answer Choices	Responses
24 and below	0.36% 1
25-34	9.71% 27
35-44	31.65% 88
45-54	37.05% 103
55 and above	21.22% 59
Total	278

**Q6: Where are you based?**

Answer Choices	Responses
HQ	82.21% 231
Field / Liaison Offices	17.79% 50
Total	281

**Q7: Are you aware of the current policy documents and administrative guidance pertaining to Staff Competencies (Learning Policy, Human Resource Management Framework, Competency Framework etc.)?**

Answer Choices	Responses
Yes	44.08% 108
No	10.61% 26
Partially	45.31% 111
Total Respondents: 245	

**Q8: How many training events have you attended in the last 2 years?**

Answer Choices	Responses
None	21.40% 52
1-2	46.09% 112
3-5	24.69% 60
More than 5	8.23% 20
Total Respondents: 243	

**Q9: Have you put forward a request for individual external training in the last 2 years?**

Answer Choices	Responses	
Yes	39.09%	95
No	60.91%	148
Total		243

**Q10: If yes, has it been approved?**

Answer Choices	Responses	
Yes	23.85%	26
No	76.15%	83
Total		109

**Q11: If rejected, were reasons provided? Please give details, if provided:**

Answer Choices	Responses	
Yes	34.62%	27
No	65.38%	51
Total		78

**Comments:**

- 1) No budget/lack of resources (x30)
- 2) No response/reason provided (x10)
- 3) I did not put forward any request as this is usually ignored or refused (x4)

**Q12: Have you taken initiatives to undertake individual external training in other ways?**

Answer Choices	Responses	
No	48.95%	116
Yes, through personal funding sources	41.77%	99
Yes, through other UNIDO funding sources	5.91%	14
Yes, cost-sharing	3.38%	8
Total		237

**Q13: Which training events have been most useful during the past five years? Please indicate all that apply.**

Answer Choices	Responses
Orientation for newly recruited staff (e.g. Induction course)	8.60% 19
Leadership, executive and management development (e.g. People and performance management)	18.10% 40
Technical competencies upgrading (e.g. Effective collaboration with the EU, project management cycle, ISO Standards)	24.43% 54
General competencies upgrading ( e.g. Behavioural competencies, Effective writing etc.)	37.10% 82
Language training	21.72% 48
Information technology training (e.g. SAP training, google analytics)	48.42% 107
Gender related training	15.84% 35
Work-life balance/staff welfare	13.57% 30
None	9.05% 20
Other	9.95% 22
Total Respondents: 221	

**Comments:**

- 1) SAP training (x9)
- 2) Leadership and management (x5)
- 3) FAFA and negotiation (x4)
- 4) Presentation skills (x3)

**Q14: Who has in most cases identified your competency development needs?**

Answer Choices	Responses
First Reporting Officer	14.41% 34
Second Reporting Officer	2.12% 5
Myself	70.34% 166
Myself and my supervisor in consultation	23.73% 56
HRM	6.78% 16
Colleague	6.36% 15
Other (please specify)	6.36% 15
Total Respondents: 236	

**Comments:**

- 5) Myself only (x5)
- 6) Nobody (x4)
- 7) Staff Performance Appraisal (x2)

**Q15: How did you request for your identified competency development needs? Please indicate all that apply:**

Answer Choices	Responses
through the staff Appraisal Process (development plan)	42.67% 96
through a direct request to HRM (for individual or group training)	21.78% 49
through a discussion with my direct supervisor	37.78% 85
I have not actively requested training in the past 5 years	19.11% 43
Other (please specify)	8.89% 20
Total Respondents: 225	

**Comments:**

- 1) Contacting the organizer/ registering myself (x6)
- 2) No requests issued as they are never approved (x4)

**Q16: What approach to learning is the most effective for you? Please indicate all that apply:**

Answer Choices	Responses
E-learning course / web-tutorial	37.39% 89
Internal workshop with trainer (ie. organized by UNIDO or other VBO)	65.13% 155
Attending a university course or additional degree	30.25% 72
External short-term course	52.94% 126
Certification for a qualification (lead auditor, certified international accountant etc.)	27.31% 65
Formal/informal mentoring	20.17% 48
Working with a professional coach (technical or management)	28.15% 67
Self-managed learning (technical knowledge or self assessment)	20.59% 49
On the job learning	45.38% 108
Attending professional association meetings, networks or conferences	37.39% 89
Total Respondents: 238	

**Comments:**

- 1) All of these are important and effective (x6)
- 2) E-learning (x3)

**Q17: How do you rate your satisfaction level with the following elements of UNIDO's SCD process?**

	Very Dissatisfied	Dissatisfied	Neither dissatisfied nor satisfied	Satisfied	Very Satisfied	I don't know / Not applicable	Total
Quality of training events	3.07% 7	9.65% 22	19.74% 45	47.37% 108	9.65% 22	10.53% 24	228
Timeliness of training events	6.64% 15	14.16% 32	26.55% 60	33.63% 76	6.19% 14	12.83% 29	226
Usefulness of end-of-training assessment	3.14% 7	9.42% 21	26.01% 58	37.67% 84	7.17% 16	16.59% 37	223
Usefulness of training for the specific post	6.19% 14	12.39% 28	22.12% 50	27.43% 62	7.08% 16	24.78% 56	226
Usefulness of training for UNIDO's strategic objectives	8.04% 18	12.05% 27	27.23% 61	24.55% 55	4.02% 9	24.11% 54	224
Usefulness for career development	11.11% 25	24.00% 54	20.44% 46	23.56% 53	4.00% 9	16.89% 38	225
Equal opportunities for training for all grades of staff	16.00% 36	24.44% 55	17.33% 39	19.11% 43	4.44% 10	18.67% 42	225
Fair distribution of funding (amount spent per staff/ year)	15.11% 34	24.89% 56	21.33% 48	8.00% 18	1.33% 3	29.33% 66	225
Equal opportunities across all departments	13.51% 30	21.62% 48	23.42% 52	10.36% 23	3.15% 7	27.93% 62	222
Fairness and transparency of decision-making related to training requests	15.11% 34	24.00% 54	21.33% 48	9.33% 21	3.56% 8	26.67% 60	225
Response time to training requests	10.22% 23	15.56% 35	27.11% 61	15.56% 35	4.00% 9	27.56% 62	225

**Comments:**

- 1) There is no real SCD in UNIDO/I have never attended a single training in UNIDO (x7)
- 2) Training courses are ad-hoc and disconnected from needs assessment (x3)
- 3) No training are offered to Field Offices (x3)
- 4) Trainings are organized at the end of the year, making it difficult to attend (x2)
- 5) Main problem is transparency of decision-making process (x2)

**Q18: To what extent do you agree with the following statements regarding the link between competencies and organizational needs?**

	Strongly disagree	Disagree	Neither agree nor disagree	Agree	Strongly agree	I don't know	Total
I possess the competencies (knowledge, skills and behaviours) required to fulfill my current duties	1.82% 4	1.82% 4	8.18% 18	45.45% 100	42.27% 93	0.45% 1	220
Senior Managers are aware of the competencies needed for effective implementation of their programmes	9.50% 21	19.91% 44	27.60% 61	30.32% 67	7.24% 16	5.43% 12	221
The present Competency Framework provides effective definitions of competencies (technical and managerial) for the relevant job profiles	7.31% 16	21.00% 46	34.70% 76	22.37% 49	7.31% 16	7.31% 16	219
The current SCD activities contribute effectively to the Organization's strategic goals (e.g. Sustainable Development Goals, ISID, country partnerships etc.)	9.17% 20	22.02% 48	32.57% 71	20.18% 44	3.67% 8	12.39% 27	218
To bring new/ relevant competencies for the organization's programmes, the current ISA policies allow UNIDO to recruit and maintain a pool of experts	9.95% 22	14.93% 33	30.77% 68	28.96% 64	6.79% 15	8.60% 19	221

**Comments:**

- 1) ISA holders bring additional capacities but they cannot substitute SCD (x5)
- 2) The link between competencies and organizational needs exists on paper only (x4)
- 3) Competency is not well evaluated at the time of recruitment (x3)

**Q19: To what extent do you agree with the following statements related to the current SCD roles and responsibilities?**

	Strongly disagree	Disagree	Neither agree or disagree	Agree	Strongly agree	I don't know/ Not applicable	Total
It is clear to me how the decision making process functions on SCD related matters	9.81% 21	42.06% 90	22.43% 48	12.15% 26	1.87% 4	11.68% 25	214
The roles and responsibilities of First Reporting Officers and HRM in implementing learning plans are adequate and clear	12.50% 27	39.35% 85	19.91% 43	19.44% 42	2.31% 5	6.48% 14	216
The Staff Performance Appraisal process is an effective tool for identifying SCD needs	23.50% 51	30.88% 67	19.82% 43	20.74% 45	3.23% 7	1.84% 4	217
I have the responsibility/ independence over identifying my competency development needs	4.17% 9	5.56% 12	23.61% 51	55.09% 119	10.19% 22	1.39% 3	216
My supervisor is responsible in deciding the competency development needs and approaches that would be suitable for my current position	5.99% 13	23.50% 51	33.18% 72	29.03% 63	4.61% 10	3.69% 8	217
HRM has the responsibility for cost-effectiveness and adequate/relevant staff participation in learning/training programmes	1.85% 4	8.80% 19	21.76% 47	46.76% 101	13.89% 30	6.94% 15	216
UNIDO is taking adequate responsibility for Staff Competency Development	21.20% 46	33.64% 73	26.73% 58	11.98% 26	2.30% 5	4.15% 9	217

**Comments:**

- 1) SPA is a good tool if applied correctly; training requests in SPA are not considered (x5)
- 2) HRM should set the priorities on the basis of the management strategy and priorities (x4)
- 3) No communication on training between Field Offices and HQ (x3)

**Q20: How would you describe the main roles that FROs/SROs are currently playing regarding SCD and its implementation?**

Answer Choices	Responses
Innovator/Promoter (applies innovative approaches for the progressive development of staff)	15.89% 34
Enabler (finds ways and means to strengthen permanently the competencies of staff and organization)	24.77% 53
Gate keeper (ensures a fair use of resources and provides balanced decisions on learning priorities )	22.90% 49
Administrator (goes by the rules and regulations, processing requests within budget restrictions)	50.93% 109
Strategist (foresees competency development needs for present programmes and future organizational goals)	22.43% 48
Tailor-made solutions provider (provides solutions actively to assist staff in professional development)	12.62% 27
Other (please specify)	27.57% 59
Total Respondents: 214	

**Comments:**

- 1) There is no specific role nor strategy (x22)
- 2) Only SROs play a role in SCD implementation (x2)

**Q21: What type of competencies would you consider relevant for yourself in order to maintain or upgrade the competencies required for your current position? Why?**

**Comments:**

- 1) Managerial competencies (x24)
- 2) Technical competencies (x15)
- 3) Leadership (x9)
- 4) Presentation skills (x5)
- 5) Languages (x4)

**Q22: Would you consider taking individual learning initiatives to improve your competencies related to current or future positions?**

Answer Choices	Responses
I would undertake relevant training without the support of the Organization (0% support by the Organization)	<b>17.07%</b> 35
I would, without financial support, if the Organization allowed training to be done during official time (e.g. mission/ time-recorded/sabbatical) (Full time allowance by the Organization, but no financial support)	<b>21.46%</b> 44
I would, if the costs and the time were shared between the Organization and myself (50% of time and costs)	<b>31.71%</b> 65
I would only if all costs are borne by the organization	<b>25.85%</b> 53
I would not consider it	<b>3.90%</b> 8
<b>Total</b>	<b>205</b>

**Comments:**

- 1) The organization should invest in the development of its Staff Member as this benefits directly the organization itself (x10)
- 2) I am already doing it with my own money and time (x8)
- 3) It is not fair that I need to pay from my pocket (x4)

**Q23: Would you be prepared to conduct learning sessions (formal or informal) in your area of expertise for other colleagues?**

Answer Choices	Responses
Yes	<b>80.69%</b> 163
No	<b>19.31%</b> 39
<b>Total</b>	<b>202</b>

**Comments:**

- 1) I am already doing it/I already did it in the past (x16)
- 2) I can't due to hectic work load (x5)
- 3) Mentoring/coaching (x3)

**Q24: Which role should HRM play regarding SCD and its implementation in the future?**

Answer Choices	Responses
Innovator/Promoter (applies innovative approaches for the progressive development of staff)	<b>67.16%</b> 137
Enabler (finds ways and means to strengthen permanently the competencies of staff and organization)	<b>72.55%</b> 148
Gate keeper (ensures a fair use of resources and provides balanced decisions on learning priorities )	<b>38.73%</b> 79
Administrator (goes by the rules and regulations, processing requests within budget restrictions)	<b>35.78%</b> 73
Strategist (foresees competency development needs for present programmes and future organizational goals)	<b>60.29%</b> 123
Tailor-made solutions provider (provides solutions actively to assist staff in professional development)	<b>50.98%</b> 104
Other (please specify)	<b>5.88%</b> 12
<b>Total Respondents: 204</b>	

**Q25: How can UNIDO's staff competency development be strengthened in view of future challenges?**

- 1) By improving the training offer (x16)
- 2) By performing an in-depth analysis over the organizational needs (x9)
- 3) By strengthening internal dialogue and communication (x4)
- 4) By recruiting right candidates for the right posts (x4)

**Q26: Are you aware of good practices in other institutions that are related to competency development and which could be relevant to benchmarking UNIDO's practices? Please provide details**

- 1) World Bank (x7)
- 2) IAEA (x3)
- 3) UNDP, ILO (x2)
- 4) Others: UNICEF, UNOV, WTO (x1)

**Q27: Any additional comments on the SCD process?**

- 1) UNIDO has the basic elements and procedures to further building a better SCD (x4)
- 2) Low-hanging fruits and cost-free solution can be found, if there is the will to (x2)
- 3) UNIDO needs to become a learning organization (x2)

**Q28: Are you a First (FRO) or a Second Reporting Officer (SRO)?**

Answer Choices	Responses	
Yes	27.36%	55
No	72.64%	146
Total		201

**Q29: What type of competencies development would you consider relevant for your staff during the next year? Why?**

- 1) Technical competencies (x8)
- 2) Team-building and team-working (x5)
- 3) Presentation/public speaking (x3)
- 4) Project management (x2)
- 5) PCPs(x2)

**Q30: Are the current policies that guide SCD adequate?**

Answer Choices	Responses	
Yes	16.36%	9
No	29.09%	16
Partially	54.55%	30
Total		55

**Q31: Which conditions hamper the delivery of SCD?**

- 1) Budget constraints (x18)
- 2) Lack of institutional culture for competencies development and missing strategy (x6)
- 3) Work-load (x2)

## Annex F: Survey questionnaire ISA Holders

An analysis of the open-ended questions and the comments has been conducted to exclude repetitions, not applicable and inappropriate answers. The number of matches for each answer are provided in brackets.

### Q1: Are you female or male?

Answer Choices	Responses	
Male	46.41%	71
Female	53.59%	82
Total		153

### Q2: Which is your Organizational Area?

Answer Choices	Responses	
Programme Development and Technical Cooperation (PTC)	65.58%	101
Policy and Programme Support (PPS)	18.83%	29
Buildings Management Services (BMS)	0.65%	1
External Relations and Field Representation (EFR)	9.74%	15
Office of the Director General (ODG)	5.19%	8
Total		154

### Q3: How many years in total have you been working with UNIDO as ISA-holder?

Answer Choices	Responses	
less than 1 year	31.17%	48
1-2 years	26.62%	41
3-5 years	22.73%	35
more than 5 years	19.48%	30
Total		154

### Q4: When did you first start working as an ISA-holder for UNIDO?

	JAN	FEB	MAR	APR	MAY	JUN	JUL	AUG	SEP	OCT	NOV	DEC	TOTAL						
▼ Date	11.56%	7.48%	10.88%	9.52%	7.48%	10.88%	8.84%	5.44%	10.88%	4.08%	10.88%	2.04%							
	17	11	16	14	11	16	13	8	16	6	16	3	147						
	BEFORE 2000	2001	2002	2003	2004	2005	2006	2007	2008	2009	2010	2011	2012	2013	2014	2015	2016	2017	TOTAL
▼ Date	2.03%	0.00%	1.35%	0.00%	0.00%	1.35%	1.35%	2.70%	0.68%	0.68%	3.38%	2.70%	6.76%	12.84%	8.78%	16.22%	29.05%	10.14%	
	3	0	2	0	0	2	2	4	1	1	5	4	10	19	13	24	43	15	148

### Q5: What is your age group?

Answer Choices	Responses	
24 and below	1.96%	3
25-34	61.44%	94
35-44	24.84%	38
45-54	7.84%	12
55-64	2.61%	4
65 and above	1.31%	2
<b>Total</b>		<b>153</b>

### Q6: How many training events have you attended in the last 2 years?

Answer Choices	Responses	
None	37.19%	45
1-3	51.24%	62
4-5	6.61%	8
more than 5	8.26%	10
<b>Total Respondents: 121</b>		

### Q7: Which training events have been most useful in your experience?

ANSWER CHOICES	RESPONSES	
▼ Technical competencies upgrading (e.g. project management cycle, ISO standards, Effective collaboration with the EU etc.)	34.51%	39
▼ General competencies upgrading (e.g. Behavioural competencies, Effective Writing etc.)	11.50%	13
▼ Language training	14.16%	16
▼ Information technology training (e.g. SAP, google analytics etc.)	29.20%	33
▼ None	10.62%	12
▼ I have not taken part in any of the training events	23.01%	26
▼ Other (please specify)	Responses 8.85%	10
<b>Total Respondents: 113</b>		

### Q8: Have you taken initiatives to undertake individual external training in other ways?

ANSWER CHOICES	RESPONSES	
▼ No	39.83%	47
▼ Yes, through personal funding sources	58.47%	69
▼ Yes, through other UNIDO funding sources	2.54%	3
▼ Yes, cost-sharing	1.69%	2
<b>Total Respondents: 118</b>		

**Q9: What kind of competency development activities would you consider as important for yourself in order to maintain or upgrade the competencies required for your current assignment?**

- 1) Project management (x20)
- 2) SAP training (x15)
- 3) Technical competencies upgrading (x10)
- 4) Language training (x8)

**Q10: In your experience, which mode of competency development is most useful?**

ANSWER CHOICES	RESPONSES	
▼ E-learning course / web-tutorial	25.64%	30
▼ Internal workshop with trainer (ie. organized by UNIDO or other VBO)	57.26%	67
▼ Attendance to a university course or additional degree	28.21%	33
▼ External short-term course	46.15%	54
▼ Certification for a qualification (lead auditor, certified international accountant etc.)	48.72%	57
▼ Formal/informal mentoring	34.19%	40
▼ Working with a professional coach (technical or management)	41.03%	48
▼ Self-managed learning (technical knowledge or self assessment)	12.82%	15
▼ On the job learning	50.43%	59
▼ Attending professional association meetings, networks or conferences	42.74%	50
Total Respondents: 117		

**Q11: How do you rate your satisfaction level with the following elements of UNIDO's SCD process?**

	Very dissatisfied	Dissatisfied	Neither dissatisfied nor satisfied	Satisfied	Very satisfied	I don't know / Not applicable	Total
Identification of training needs	26.13% 29	31.53% 35	18.92% 21	7.21% 8	0.00% 0	16.22% 18	111
Quality of training events	8.18% 9	15.45% 17	23.64% 26	27.27% 30	0.91% 1	24.55% 27	110
Timeliness of training events	15.60% 17	22.02% 24	22.02% 24	18.35% 20	0.92% 1	21.10% 23	109
Usefulness of end-of-training assessment	11.93% 13	13.76% 15	28.44% 31	19.27% 21	0.92% 1	25.69% 28	109
Equal opportunities across all departments	25.89% 29	19.64% 22	22.32% 25	6.25% 7	4.46% 5	21.43% 24	112
Transparency of decision-making while considering training requests	24.11% 27	21.43% 24	24.11% 27	5.36% 6	3.57% 4	21.43% 24	112

**Q12: How should the SCD policies deal with ISA holders?**

- 1) Long term HQ-based ISA holders should be informed and included in relevant training (x41)
- 2) Acknowledge ISA holders as integral part of the total UNIDO workforce, given the proportion between them and regular Staff Members (x5)
- 3) Need of a mindset shift: policies should consider training ISA holders as this can benefit the organization in the long run, instead than considering them just as short-term workers (x3)

**Q13: How can UNIDO's staff competency development be strengthened in view of future challenges?**

- 1) Offer more and more varied training, considering ISA holders as part of the workforce (x12)
- 2) Increase duration of contracts and entitlements of ISA holders (x5)
- 3) Better identify needs (x4)
- 4) SCD process should be more transparent and clearly communicated (x3)
- 5) Introduce performance appraisal for ISA holders (x2)

**Q14: Are you aware of good practices in other institutions that are related to competency development and which could be relevant to benchmarking UNIDO's practices?**

- 1) IAEA (x5)
- 2) OSCE (x2)
- 3) World Bank (x2)
- 4) Others: UNODC, UNDP, UNICEF, UNHCR, WHO, USEPA (x1)

**Q15: Any additional comments on the SCD process?**

- 1) SCD process for ISA holders is underdeveloped, given that many of them stay in HQ for extended period of time
- 2) Ensure that concrete SCD measures are implemented in short term and that required financial resources are made available
- 3) Start treating long-term ISA holders as the reliable resource they are

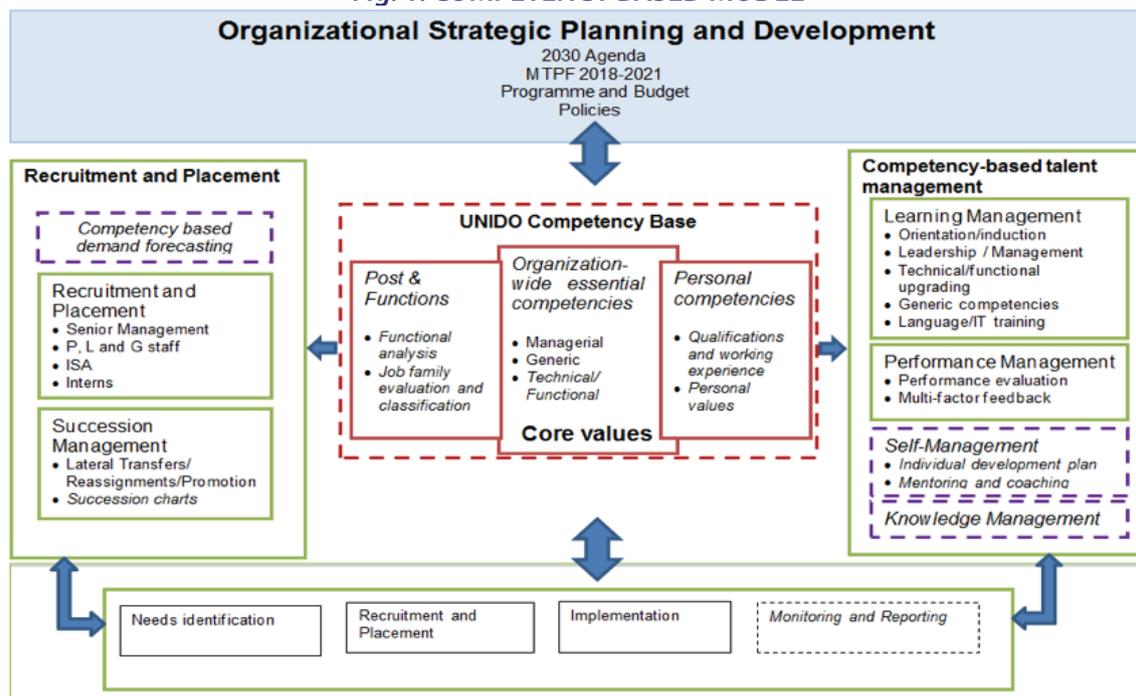
# Annex G: Competency Development, practical options towards an effective application in UNIDO<sup>77</sup>

## General considerations and applicability

No organization could be effectively managed without considering realistically what have to be done and the Human and Organizational capabilities to do it. Therefore understanding and developing appropriate human capabilities becomes the essence of an effective application of Competency Development. On the basis of the findings, conclusions and recommendations of the independent thematic evaluation, this annex provides some operational options for the way forward in addressing the gaps/issues found in the evaluation.

The issues discussed are key components of the Organizational Strategic Planning and Development chart (Fig. 1). They are main points of the Evaluation report and relevant thematic experiences and useful professional practices of other organizations. It is intending to inspire some practical options towards the effective application of Competency Development in UNIDO. However, it is UNIDO management’s responsibility to further discuss them in a systematic and institutional way to address areas for improvement.

Fig. 1: COMPETENCY BASED MODEL



## Organizational Strategies & Human capabilities

### Relevance of pursuing a close alignment

Competency development may never be seen as a goal in itself, but should rather be described as the path followed to achieve key Organizational goals, i.e. SDGs, MTPF, etc. namely a more effective and efficient organizational performance. Indeed, results of management research indicate that joint effect of competitive strategy and competencies on corporate performance is greater than the sum of the independent effect of the same variables on performance. There

77 By Mr. Sergio Gardelliano, Senior Technical Expert and Evaluation Team Member, to serve as a technical input on the basis of personal expertise and experiences of other international organizations and companies.

is evidence of a fairly strong relationship between strategy/competencies co-alignment and corporate performance.

In UNDO, attention and actions should be devoted permanently to connect Organizational Strategy formulation, i.e. SDGs, MTPF 2017-21, action plans, management directives with the UNIDO Competency base, i.e. the Organization wide essential competencies and its relation with Posts /Functions and Individual personal competencies. Ref: Fig 1

Within this context it should be necessary to establish in UNIDO a function professionally capable to build up the Organization wide essential competencies and keeping them up to date in line with Organization development needs. A Competency/Knowledge Management function (as applied in many international companies and institutions) is responsible to develop due processes to write the essential competencies in line with present and future Organizational strategies and HR applications.

### **The need of an appropriate UNIDO Competency Base**

An appropriate Competency model and practice within a well thought Competency Framework is the fundamental component for managing more efficiently and effectively the present Human Capital and a very significant system to forecast the management, technical and scientific needs of the evolving highly competent workforce in UNIDO. It has been noticed by this professional that not all competency models or practices are relevant and effective for their organizations, in some cases they could become also a deterrent in achieving the expected results.

Competencies are critical carriers of knowledge as they are also capturing effectively the present reservoir of explicit and tacit knowledge in a specific staff group or a technical/functional area. Understanding the UNIDO's trends and having an operational competency model covering the whole organization, facilitates tremendously management of future needs of knowledge by updating existing suitable competencies or developing the required new type of competencies.

The Competency model to be implemented in UNIDO should be based on six main principles: 1.Simple and Practical, 2. Not expensive to Design and Implement, 3. In-House Design with the suitable expertise process, 4. Organizationally specific and Linguistic appropriate, 5. Easy to maintain and Flexible to change, 6. Conceived as a Development system. Also, it could be operated by simple relational data base software.

### **Characteristics of a Competency model for UNIDO**

After extensive research and analysis of competency models and applications in industrial corporations, public services and international organizations, it was recognized that the Competency model approach as presently proposed it does fulfill the above 6 principles.

The model is conceived as a comprehensive and reliable organizational competency database operated by relational database software. It would assist significantly UNIDO Management to deal more efficiently and effectively with a large variety of strategic, organizational and human capital issues.

The concept of "Essential Competencies" is being applied in this UNIDO model, where competencies are defined and organized through specific clusters and grouped in three main categories, i.e. Managerial, Generic and Technical or Functional. Examples of a Data Base and related applications, Ref: Fig 2 to 6.

**Fig. 2: ORGANIZATION WIDE ESSENTIAL COMPETENCIES - DATA BASE**  
**Present and strategic requirements (example)**



Main applications of the Competency Data Base are: - Aligning competencies with organization's trends/mission/vision, services lines, processes and organization strategy; - Supporting process of organizational transformation; - Building strategic plans; - Knowledge management; -Self management; - Human Capital index; - Human resources planning; - Succession management; - Skills/knowledge obsolescence; - Jobs family and Posts benchmarking; - Jobs descriptions; - Recruitment advertising; - Interviewing/selection of personnel; - Performance evaluation; - Multi source feedback; - Individual placement/transfer; - Building teams and task forces; - Learning needs analysis; - Training actions and content; - Management development processes, etc.

**Fig 3: ESSENTIAL BENCHMARKING - JOB FAMILY or INDIVIDUAL POST (Example)**

<b>Levels</b>	<b>K</b>	<b>P</b>	<b>A</b>
<b>MANAGERIAL / GENERIC</b>			
Scenario building and strategic thinking	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Team Leadership	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Interpersonal communication	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Customer service orientation	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
<b>Levels</b>			
<b>TECHNICAL / FUNCTIONAL</b>			
Partnership brokering	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
Energy auditing	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Fruits & Vegetable processing	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Financial analysis	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

In the Benchmarking process 8/12 competencies could be selected from the essential competencies data base to create a Job Family benchmark or establish the main competencies for a Job. Fig.3

Any function or job in the organization (SMs, Ps and Gs) to be performed efficiently and effectively requires a set of essential managerial/generic and technical/functional competencies with different levels of application. This practice could be adapted and applied to ISA holders.

A simple and practical approach of three levels of application is strongly recommended for each essential competency, i.e. A - Advanced, P - Proficient, and K - Knowledgeable.

Specific Core competencies could be selected from the essential Competency data base and applied only to specific Job Families and not for the whole Organization, for example: Management positions, Professional staff, Clerical staff, etc. or Technical / Functional areas, for example: Environment programme, Partnership programme, Human Resources functions, Finance functions, Evaluation functions, etc.

As in the examples the identification of Job Families or Clusters will be essential to build a simple but very practical Technical/Functional framework for competency mapping. In doing so, Technical/Functional competencies will be properly defined and making the competitive difference and advantage of the UNIDO's competency base among other Organizations even in the UN system.

Fig. 4: INDIVIDUAL COMPETENCIES – SELF-ASSESSMENT (Example)

Level	K	P	A
<b>MANAGERIAL / GENERIC</b>			
Team Leadership	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
Scenario building and strategic thinking	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Interpersonal communication	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Customer orientated services	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Innovation and Creation	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
<b>TECHNICAL / FUNCTIONAL</b>			
Energy auditing	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Continuous improvement tools & processes	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
Recruitment processes	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Partnership brokering	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<b>ADDITIONAL (non data base)</b>			
XXX	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
Musical Conductor	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
ZZZ	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

The above Fig. 4 provides a graphic example to conduct a Self-Assessment process for any category of staff. 15 to 20 essential COMPETENCIES would be selected from the Organization Essential Competencies (OEC) data base and 5 additional ones (self-defined & non data base

for a Competency self-Assessment.

Each essential competency being Managerial, Generic or Technical/Functional needs to be described and applied by a set of Key Behavioral Indicator (KBI) (6 to 8 KBIs per competency). KBIs should be observable and measurable. Ref. Competency example, i.e.

**Team Leadership Team Leadership**

KBI 1- Can BUILD effective teams recognizing individual contributions, cultural factors and organizational context;

KBI 2- Can CONDUCT effectively different types of teams o task forces;

KBI 3- Can MOTIVATE self and team members for results;

KBI 4- Can INSTILL team agenda before personal/individual interest;

KBI 5- Can ENCOURAGE dialogue and ACT in accordance with team inputs;

KBI 6- Can ANTICIPATE and RESOLVE conflicting differences by pursuing mutually agreeable solutions;

KBI 7- Can GIVE proper credit to others;

KBI 8- Can PARTICIPATE effectively in cross-organizational activities;

**Fig. 5: MACRO INVENTORY OF COMPETENCIES – Individual staff, Organizational levels or Units (Examples)**

<b>COMPETENCY:</b>		
<b>Presentation and Public speaking</b>	45%	
• Advanced		7 %
• Proficient		38 %
• Knowledgeable		55 %
<b>COMPETENCY:</b>		
<b>Energy Auditing</b>	30%	
• Advanced		0 %
• Proficient		25 %
• Knowledgeable		75 %
<b>COMPETENCY:</b>		
<b>Evaluation</b>	8%	
• Advanced		10%
• Proficient		30%
• Knowledgeable		60%

Fig 5 illustrates how practical and accurate could be the analysis of competency data by building the essential competency data base, particularly to summarize competency levels for posts or individuals, organizational levels or organizational units. It could be used in processes of Strategic planning, Human Capital metrics, Functional analysis, HR forecasting & planning, Recruitment and Staff/Management Development policies, Succession Management, Skills/ Knowledge obsolescence, Training needs macro analysis, etc.

**Fig. 6: ASSESSMENT LEVELS OF COMPETENCY - Individual Competency vs. a Benchmark or Post (Examples)**

COMPETENCY	LEVEL		INDIVIDUAL VARIANCE	
	Ind	Dep.	-	+
Scenario building & Strategic thinking	3	0		■ ■ ■
Presentation and Public Speaking	3	2		■
Project Evaluation and Impact Assessment	1	3	■ ■	
Partnership brokering	2	2	X	X
Process Engineering	1	2	■	
Energy auditing	3	1		■ ■
Food Processing (Vegetables)	0	3	■ ■ ■	

Fig 6 illustrates how effective and efficient could be the process of balancing Individual competencies with the requirements of a benchmark or post description. The Assessment Levels of Competency will be very suitable in processes of Staff/Management selection, Individual Placement/Transfer, Building teams & Task forces, Determining Individual learning needs, Designing Training programmes, Career counseling, Skills/Knowledge obsolescence, etc.

NOTE: In this Competency model individual competencies can be easily updated or changed according the progress of UNIDO’s organization goals, programmes or challenges, including the use of competencies inspired from other Organizations when they are considered suitable to the UNIDO’s managerial and technical context. The evolution of each competency could be tracked through the time including all related documentation, information and the references utilized for building up the UNIDO Competency model. Moreover, the practice of an in-house design and implementation of essential competencies provides the exceptional opportunity to management and staff to strengthen internal learning and start organizational improvement processes. The mapping process of competencies should be designed for the whole of UNIDO organization according to the described format and based on the main Organizational strategy and present services or programme frameworks. However the actual work of mapping could be initiated through a modular approach within a technical or functional area or a management level. Considering the relevant learning concept of “in house design”, the Competency data base should be constructed by qualified UNIDO staff/ISA resources and external professional guidance.

### **Posts & Functions**

The application of well-defined and realistic competencies in the description of posts, functions or consultancy work provides the behavioral essence for job performance in an Organization. By using the Organization wide competencies data base described above, posts and functions description in UNIDO could be better structured in a more logical framework of behavioral standards, thus avoiding ad-hoc competency descriptions.

In order to improve competency based management in UNIDO, any Job will require to be defined by a set of essential Managerial competencies (i.e. Team leadership, Mediation and Negotiation, etc.), Generic competencies (i.e. IT related applications, Office organization and management, etc.) and Technical (i.e. Energy auditing, Partnership brokering, etc.) or Functional (i.e. Financial analysis, Learning processes, etc.) including the appropriate level of application, (Advance, Proficient, Knowledgeable). In practice, any Job of the Organization

would be described by a set of 12/15 essential competencies.

The traditional description of duties, responsibilities, educational background and experiences for the Posts or Functions could be maintained, however they would need to be done in a renewed fashion according to a new format of competency based post descriptions.

### **Personal Competencies**

Personal competencies are the vital component of a UNIDO Competency base and in fact the most relevant component of Competency development in any Organization. When personal competencies are better aligned with programmes and organizational strategies through the appropriate Organization wide essential competencies data base and Posts / Functions, certainly higher levels of efficiency, effectiveness and results can be expected at organizational level.

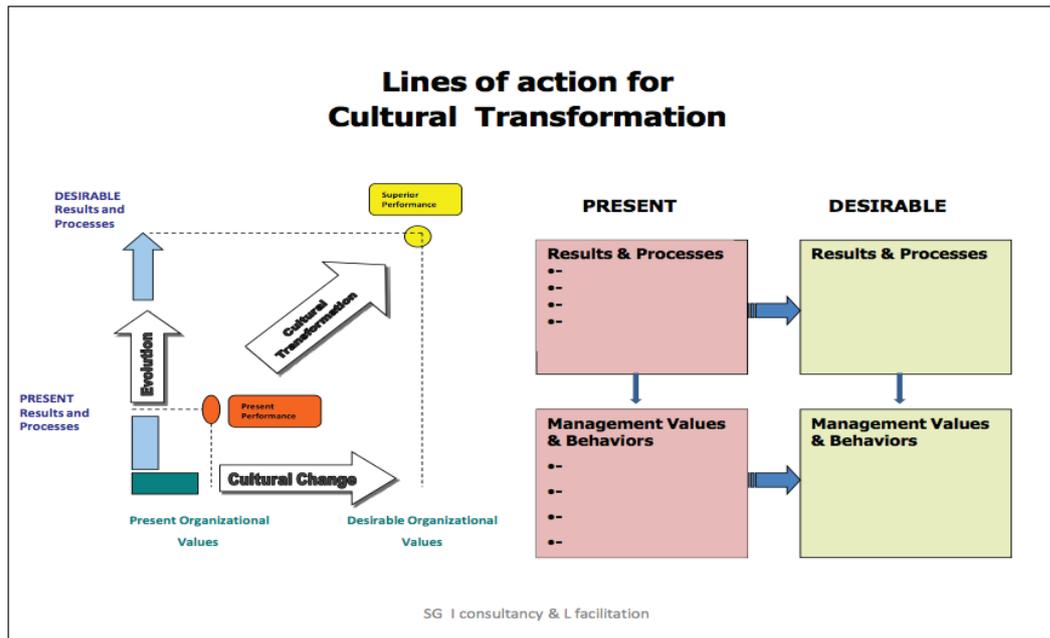
In UNIDO, two relevant issues would need to be better taken care: a) Consciousness of the personal competencies recognized at individual level by all staff and their managers, and b) Appropriateness of selection, placement and development of personal competencies at organizational level.

### **Core Values and Personal Values**

The expressed Core Values of any Organization could represent the maximum aspiration to be demonstrated by all employees and management while performing their tasks and duties.

However in some institutions/organizations the definitions of Core Values and key behaviors are not inspiring enough constructive sense for a large majority of employees or management. In that case a very careful review of core values is absolute necessary to create a realistic acceptance and alignment conditions by all members of the organization. Furthermore, "Organizational behavior" could not be considered as the result of the expressed core values since Personal values play a decisive role in the overall performance of any Organization, even so that sometimes tend to conflict with the expressed Core values proposed by the Management of those Organizations.

In the Competency Development approach a Values audit analysis methodology could be carried out in the context of diverse learning programmes. It is extremely useful to analyze the impact of personal values on specific areas of organizational behavior since it can be demonstrated that Cultural Transformation is effective when desirable results and processes can be re-aligned with new management values and behaviors. Ref. Lines of action for Cultural Transformation.



It is opportune to remember that “Core Values” represent desirable behaviors of an Organization and “Personal Values” are enduring convictions that influence our actions and the choices we tend to make.

In UNIDO, beyond a general rethinking of the terminology used in the 3 core values, it is highly recommended to review Professionalism by inserting two essential behavioral indicators, i.e.

- a) Drives to be at the forefront of best practices in his/her technical or functional area.
- b) Uses appropriate research, technical resources and techniques / practices for which he/she is qualified by education, training or certified work experience.

**Competency based demand forecasting**

Forecasting competency needs appear to be not a common practice in the management of many Organizations, particularly in UN related HR programmes. However competency loss risk analysis is becoming a growing and relevant practice especially in the Hi-tech industrial sector including the nuclear industry.

Skills/knowledge obsolescence, aging, new technologies and new management process and practices are demanding new type of competencies aligned with the new organizational strategies, products or services, it means that updating the organization competency base is permanently necessary for those organizations.

In UNIDO it will be necessary to start as soon as possible building up the Organization wide essential competencies data base where the mapped competencies will reflect already the present and medium term competency base. In the meantime the Integrative model proposed will allow the Organization management to simulate diverse strategies and start defining easily the competency base required in terms of managerial, generic and technical /functional competencies for those potentially deliverable programmes, i.e. SDGs 2030 programmes related, etc.

## **Performance Management**

Two main processes could be identified in UNIDO performance Management, i.e. Performance Appraisal/Evaluation and Multi-Source feedback (360 feed-back).

By starting applying the essential competency data base, Performance Appraisal/Evaluation will become more simple, transparent and effective. In view of the fact that the competency data base will be aligned with present/medium term strategy, organizational programmes/structures and applied to posts or functions cascading to personal competencies (Ref. Fig 1), it will become more easy and effective to identify individual capabilities to proper performance. If the competency data base is partially completed it would be still possible to start applying it to some sections or management levels.

Furthermore, UNIDO management have been active implementing a natural flow of strategic goals in organizational divisions/section and individual objectives. Now with these two components in place it could be expected correct conversations and agreements between first/second reporting officer and staff on periodical performance and competency development.

In addition a Multifactor feedback assessment process can be one of the most powerful tools for promoting individual and organizational development and effectiveness. However, its full potential can only be realized if there is a clear purpose and linkage between the organizational and individual perspectives. For example, clear purpose represents an area of organizational interest to be improved or obtain more rounded information, i.e. improve management practices, enhance team performance, enlarge the competency base, etc.

Therefore, specific factors should be identified with the purpose of the assessment in the search for individual feedback information, i.e. the individual finds new ways, exhibits effective judgment, contributes to programme results, etc. In principle these factors are complementary to the issues of competencies or values analyzed during the performance appraisal. Different factors could be proposed for assessment by a Supervisor, a Direct report, an Internal or External partner or a Self-assessment.

It could be highly expected that by applying these practices, qualitative and quantitative data on actual performance and development it will produce a relevant performance improvement of UNIDO.

## **Self-Management**

By using the established Organization wide essential competencies data base as proposed, UNIDO staff and management can carry out competency self-assessment by identifying in a professional and effective manner their main strengths for the present position, competitiveness for other areas in the organization and developmental needs for present or future positions.

The UN Competency development, a practical guide 2010 and many other corporate /academic sources provide reach inspirational places to practice self-assessment and organize self-improvement programmes in the management area.

### **Learning Management - Knowledge Management - Recruitment and Placement - Succession Management**

At this point and taking into consideration the comprehensive application of the Organization wide essential competencies data base as described in the “Organizational Strategic Planning and Development graphic” (Ref. Fig 1), it will not be difficult to understand the real substantive improvement of each of the above vital management practices for UNIDO. For example, learning needs analysis and tailor-made training design, competencies as carrier of knowledge, more focus and efficient recruitment and placement practices, more clear and effective succession process including tentative replacement charts.

Competency development can become a real key for the sustainable transformation of UNIDO programmes and services.









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INDUSTRIAL DEVELOPMENT ORGANIZATION

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