



Evaluation of the UNICEF Documentation System in Yemen

FINAL INCEPTION REPORT

Work Plan & Instruments

Produced at the request of **UNICEF Yemen**, prepared by Roy Mutandwa

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## ABBREVIATIONS

<b>CPD</b>	Country Programme Documents
<b>EISI</b>	Evidence Information System Integration
<b>MENA KM</b>	Middle East and North Africa Knowledge Management
<b>MENA ROMP</b>	Middle East and North Africa Regional Office Management Plan
<b>MICS</b>	Multiple Indicator Cluster Survey
<b>SP</b>	Strategic Plan
<b>TPM</b>	Third Party Monitoring
<b>UNEG</b>	United Nations Evaluation Group
<b>UNICEF</b>	The United Nations Children's Fund
<b>UNICEF YCO</b>	UNICEF Yemen Country Office
<b>UNSDF</b>	UN Sustainable Development Cooperation Framework

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## INTRODUCTION

### 1.1 Context

Yemen is experiencing the worst humanitarian crises in the world, with, according to the 2021 Humanitarian Needs Overview, approximately 66% of the population requiring some humanitarian assistance<sup>1</sup>. UNICEF Yemen is one of the largest UNICEF offices in the world, serving a population of almost 30 million people through services in health and nutrition; water, sanitation, and hygiene; education; child protection; and social protection. In Yemen, UNICEF's ability to rapidly document and learn from its past programming experiences is critical to the effective provision of services to people in acute humanitarian need.

However, due to the worsening humanitarian crisis, coupled with both the size of the YCO and myriad requirements for reporting, documentation has often been deprioritized. Little attention has also been given to ensure that the YCO can systematically document its work in a way that creates institutional memory and an accessible mechanism for responding to requests for program data and other information.

### 1.2 Background and Purpose of the Evaluation

It is acknowledged by UNICEF that new and old knowledge plays a vital role in the development of Country Programme Documents (CPD), donor proposal, programme agreements with implementing partners, influencing government strategic direction. On the other hand, operations related guidelines and standard operations procedures aim to ensure adherence and standardization of procedures and processes. The CPDs are primarily informed by Situation Analysis which may include data from Multiple Indicator Cluster Survey (MICS) and other surveys, UN Sustainable Development Cooperation Framework (UNSDCF), Strategic Plan (SP), Country Specific Development Agenda Documents, and CPD evaluations reports. Regional priorities such accelerators may influence CPD; although there is limited or no evidence if they do so. Project donor proposals may also be influenced

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<sup>1</sup> UNICEF Yemen Documentation Evaluation ToRs

by knowledge generated through evaluations, implementation research and lessons learnt<sup>2</sup>. This is, however, only possible if there is a documentation system that is well utilised. This evaluation will consider if findings and recommendations from evaluation reports and other studies are considered in decision making in UNICEF Yemen Country Office.

The purpose of this Documentation Evaluation is to assess UNICEF's current documentation structures and practices and make recommendations for improving them. The evaluation is designed to provide evidence that will assist in generating timely actions that will contribute towards the strengthening of the documentation function and its role in knowledge and information management at UNICEF Yemen.

### Specific Objective

The Evaluation Consultant understands that the **specific objective** of the evaluation is **to Inform a revision of UNICEF Yemen's documentation system**. To be specific, this evaluation aims to assess UNICEF Yemen Country Office's current documentation structures and practices and make recommendations for improving them. It is envisaged that resulting findings and recommendations from the evaluation will generate timely actions to strengthen documentation and its role in knowledge and information management at UNICEF Yemen. Lastly, in an environment where donors are cutting funding for humanitarian and development aid around the world and calls for accountability to affected populations are growing louder, this evaluation will **provide recommendations** that will that will help YOUNICEF with evidence based programming that could possibly attract funding.

### 1.3 Purpose of the Draft Inception Report

The purpose of this draft inception report is to document progress in the design of the work plan and data collection approach in advance of the data collection phase of the evaluation, to begin after the finalization of this inception report. This draft inception report includes a Work Plan and Draft Instruments, fulfilling the first deliverable submission on this contract. This document presents

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<sup>2</sup> UNICEF Middle East and North Africa Knowledge Management Strategy 2022-2025

updates of the key components of the documentation evaluation design including methodology, evaluation matrix, sampling plan, data collection schedule, and draft data collection instruments, for UNICEF Yemen review.

## SCOPE OF THE DOCUMENTATION EVALUATION

The scope of the evaluation includes all parts of UNICEF’s knowledge and information management system across all programme sections of UNICEF Yemen, including staff members from those various sections and electronic data and documentation as applicable.

This documentation evaluation will employ a mixed-methods design consisting of a suite of quantitative and qualitative data collection and analysis techniques, which will address the evaluation’s key questions. These questions cover four main themes:

### 1. Relevance/Appropriateness

Under this section the evaluation will consider the appropriateness of the UNICEF YCO’s KM and documentation function to the MENA KM strategy which is anchored within the MENA ROMP (2018-2021). It has the following two outcomes:

- Outcome 1: Strengthened programming excellence for at-scale results for children, through setting the basis of well-defined, prioritized and structurally implemented knowledge generation – to inform improved programme performance
- Outcome 2: Enhanced evidence-informed leadership and broadened partnerships to promote child rights and wellbeing across MENA, of which “Strategic Information, Research and KM<sup>3</sup>

The evaluation will address the following:

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<sup>3</sup> UNICEF medium term Global KM Strategy 2021 – 2022

- a) To what extent is UNICEF Yemen’s documentation system, within the broader knowledge and information management system, appropriate to the operational context of Yemen at both country office and field office level?
- b) To what extent is UNICEF Yemen’s documentation system, within the broader knowledge and information management system, appropriate to the funding environment in which it operates?

## 2. Efficiency

- c) How well does UNICEF Yemen use its existing staff to manage knowledge and information, especially through documentation?

## 3. Effectiveness

- d) How well is UNICEF Yemen able to respond to internal requests for data across sections? What factors enable thorough responses? What barriers and bottlenecks exist?
- e) How well is UNICEF Yemen able to respond to external requests for data? What factors enable thorough responses? What barriers and bottlenecks exist?

## 4. Sustainability

- f) To what extent does UNICEF Yemen ensure institutional memory within the office? What factors enable and hinder the creation of institutional memory?
- g) How does UNICEF Yemen envision the combination of its human resources with electronic data and documentation to create and preserve institutional memory?

Reference points will be made to how effective the UNICEF YCO has been in adhering to the UNICEF medium term Global KM Strategy 2021 – 2022. This strategy defines KM in four areas: (1) generation, (2) storage or organization, (3) sharing or distribution and (4) use for improved organizational performance towards development and humanitarian results for children<sup>4</sup>.

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<sup>4</sup> UNICEF medium term Global KM Strategy 2021 – 2022

The qualitative component of this evaluation includes **key informant interviews (KIIs)** and **Focus Group Discussions** with a select group of the program staff to provide information in more depth to an online survey which will be administered to the other group of staff who due to time constraints will not be able to participate in the round of interviews.

## METHODOLOGY AND DATA COLLECTION

The Documentation Evaluation consists of several component activities: desk review, quantitative data collection and analysis, and qualitative data collection and analysis. Each of these components are essential to provide a complete and balanced assessment of the UNICEF Yemen Documentation system, and to fully answer each of the evaluation questions above. In this way, the evaluation will generate responses to a set of questions for each of the four evaluation criteria; reinforced with data in line with the **Revised UNICEF Evaluation Policy 2018**.

### 3.1 Desk Review

The evaluation consultant has started conducting a review of UNICEF Yemen country office background documents. These include, UNICEF’s knowledge management system strategies, evaluation policies, management response to evaluation reports amongst others. The consultant has also compiled other relevant sources of information, including reports and tools produced by donor agencies, multi-laterals, implementers, and other research pertaining to UNICEF Yemen Country office. A core sub-set of documents compiled by the evaluation consultant, shown in Table 1, were reviewed at this stage to inform sampling and respondent selection approaches and the development of draft data collection instruments.

Informed by this review, the evaluation consultant first developed a matrix of questions and discussion topics, organized by evaluation questions (**Relevance/Appropriateness, Efficiency, Effectiveness, and Sustainability**). This matrix provided the material for the development of draft data collection instruments, which are submitted with this report (and described in greater detail in **Section 3.2**).

**TABLE 1. DOCUMENTS INCLUDED IN DESK REVIEW**

<b>Provided by UNICEF Yemen</b>
<ol style="list-style-type: none"> <li>1. UNICEF GLOBAL KNOWLEDGE MANAGEMENT MEDIUM-TERM STRATEGY 2021-2022, Putting knowledge to work to achieve rights and results for children</li> <li>2. UNICEF Middle East and North Africa Knowledge Management Strategy 2022-2025</li> <li>3. Enterprise Content Management Project Charter (2016)</li> <li>4. ECM January-June 2020 Stabilization Proposal (2020)</li> <li>5. Jump Start Evaluative Review for Yemen (2021)</li> <li>6. JUMP START EMR</li> </ol>
<b>Identified by the Evaluation Consultant</b>
<ol style="list-style-type: none"> <li>1. GLOBAL EVALUATION REPORT OVERSIGHT SYSTEM, Handbook for UNICEF Staff &amp; Independent Assessors (2017)</li> <li>2. Revised Evaluation Policy of UNICEF (2018)</li> </ol>

The evaluation consultant will continue to review and synthesize material from the documents listed above as well as the others, during the remote data collection and data analysis process. The evaluation consultant will synthesize findings from the desk review in each response to the four evaluations criteria in the final evaluation report.

### 3.2 Data Collection

#### Quantitative Data Collection

An online survey will be designed to add on to the qualitative techniques and produce quantitative information about the perceptions and views of key UNICEF Yemen staff on Knowledge Management and documentation issues. It will also be designed to gather the perceptions and feedback of those informants not reached through interviews. To increase the likelihood that informants complete the questionnaires, the surveys will be kept as short as possible. Non-completion or part-completion represents one of the main risks for this evaluation as there are many evaluation questions that will

require input from this data collection method. The online survey will be launched through the KOBO online platform.

#### Data Security and Privacy

All the data to be collected through the interviews and online surveys will be stored on the consultant's computer and smart phone and iCloud memory. These have stronger and difficult to crack passwords. These passwords are more complicated with a combination of letters of a mixed case, number, special characters, which will make it difficult for any potential hackers to trace. For the online Kobo data collection, data will be encrypted and completely inaccessible to anyone not possessing the private key. The survey and survey data will be kept confidential and no any UNICEF staff will be able to see other individual other staff's answers but rather answers in aggregates. The raw data will be stored for 90 days before being destroyed.

#### Qualitative Data Collection and Analysis

Through all forms of qualitative data collection, the consultant aims to understand what UNICEF Yemen Country Office's current documentation structures and practices are and make recommendations for improving them. This will be achieved through a series of interviews as well as group and participatory data collection techniques with the UNICEF Yemen team. The consultant has submitted with this report a series of draft instruments. These are considered preliminary drafts and require UNICEF Yemen review, to ensure that questions are properly vetted and prioritized, as well as applicable to the informational needs of the country office.

**Key Informant Interviews and Focus Group Discussions** – A series of key informant interviews (KIIs) with different UNICEF program Managers, Chief of Sections, M&E Specialists, Evaluation Specialist, Knowledge Management Specialist, Information Management Officers, amongst others, will be held. Wherever possible, interviews should be kept to 60 minutes per staff member, and when possible, interviews will be combined into small focus groups with multiple staff members from the same section.

### 3.3 Sampling and Respondent Selection

This documentation evaluation will employ a purposive sampling technique. A purposive sample is a non-probability sample that is selected based on characteristics of a population and the objective of the study. Purposive sampling is also known as judgmental, selective, or subjective sampling.<sup>5</sup> It is a non-probability approach that fits with the strong qualitative focus of the exercise. For the study, Information Management Officers (with over 6 months at UNICEF), M&E Specialists, Chiefs and other specialists were purposively sampled to participate in FGDs or KIIs and/or surveys. (See Annex 3).

Table 1 Summary of Methods and Number of respondents.

<b>Method</b>	<b>Count</b>
Surveys	19
Focus Group Discussions	5
Key Informant Interviews	17

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<sup>5</sup> <https://www.thoughtco.com/purposive-sampling-3026727>

## LIMITATIONS AND RISKS

### Respondent bias

Despite plans for consistent use of informed consent procedures as part of all interviews, it should be noted that respondents in individual or in group interviews might not be fully candid in their responses. It is likely that some respondents will be cautious in their answers to give a favorable impression of UNICEF Yemen's knowledge management and information management activities. Repeated probes and alternative phrasings of questions will be used during each interview in order to obtain candid responses. While the bias toward positive responses is a potential threat to the validity of the interviews, the evaluation consultant will address this challenge by avoiding group interviews when feasible or to limit focus groups, in most cases, to lateral colleagues who do not supervise each other, noting when positive response bias was a possible factor, conducting brief follow-up interviews to validate responses, and comparing interviews results for consistency.

### Inability to conduct onsite data collection

The evaluation consultant might struggle to develop a rich and contextualized perspective of the evaluand due to the inability to conduct on-site data collection. Data collection strategies such as unobtrusive observation, building rapport with stakeholders (observing local customs and cultural norms), as well as all sorts of inductive inquiry (including in-situ snowball sampling of interviewees) will not be possible. Remote interviewing (by phone, teleconferencing) constitutes only a partial solution to this challenge. It will only partly alleviate the access problem and is prone to bias (especially when interviews cover complex or sensitive topics). The evaluation consultant will use online data collection methods on zoom or skype and try to make sure that the quality of the data to be collected remains high.

### Delays in receiving data/feedback

Should there be delays in receiving feedback from the relevant stakeholders on expected deliverables, the evaluation consultant will still require the number of days indicated in the timeline to respond to feedback. The consultant will propose specific period for the evaluation manager to consolidate feedback during the different stages of the consultancy. Should there

be significant delays in receiving consolidated feedback, the evaluation consultant will work with the Evaluation Manager to reschedule key milestones as required.

#### Limited Timelines for the Evaluation

The evaluation is being conducted under very tight timelines. This will be mitigated by having purposively sampled interviews and a short online survey to be completed by those will not be interviewed through the KII method. The UNICEF Evaluation specialist will be returning and giving back feedback to the evaluation consultant on the deliverables within the shortest period possible.

#### Norms and Standards

The evaluation will be conducted following relevant UNICEF policies, as well as UNEG norms and standards. The consultant is cognisant of the fact that this is not a usual type of an evaluation and will not use all the OECD Evaluation criteria. The consultant will be fair and carry out the evaluation with integrity and honesty. Issues of confidentiality will be taken seriously. Data collected and any resulting information will not be linked to any specific person or section in the UNICEF Yemen country office or the field offices thereof. The participants will be made aware that their participation is voluntary. Dissent or unwillingness to participate will be respected and participants should be made aware that they are allowed to withdraw from the exercise/ interview at any time without negative consequences. The evaluation process and its outputs will be designed and implemented with the understanding that they will be useful for improving the documentation function for UNICEF in Yemen This implies an adequate understanding of relevant knowledge management and information management priorities of the UNICEF Yemen country office to develop forward-looking recommendations that will contribute to a better documentation function. The Evaluation consultant also declares not to have any conflicts of interest, as he has not directly or indirectly participated in any activity with UNICEF Yemen Office in terms of KM and documentation, nor have a personal relationship with any chiefs, managers and/or consultants involved in those.

## SUPPORT REQUESTED FROM UNICEF YEMEN COUNTRY OFFICE DURING DATA COLLECTION

The objectives for interviews and FGDs with key informants are to ensure there is a clear understanding on the objectives of this Documentation Evaluation and how the results are likely to be useful for UNICEF Yemen. To facilitate this process, the evaluation consultant would like to request the following support from the UNICEF Yemen Country Office's Evaluation Manager during the remotely conducted evaluation:

- Allow an hour for interviews with individual key informants while allowing adequate time between meetings.
- Supply names and contact details with people in UNICEF that are included in the scope of the evaluation and use available opportunities to brief targeted people in UNICEF.
- Facilitate introductions with key informants where appropriate.
- Facilitate the work of the consultant during the data collection process by holding preparatory discussions with UNICEF Section Chiefs and other officers to ensure that the purpose and reason for conducting this evaluation is clear and expectations are managed so that there is a clear understanding of the independent status of the evaluation consultant.

## DELIVERABLES

The consultant will deliver the following documents:

- **A Design report** following an initial desk review, which outlines the scope, methods and chapter plan for the final assessment including instruments for interviews, a work plan and a completed evaluation matrix.
- **A draft evaluation report** (max. 30 pages including executive summary but excluding annexes)
- **A final evaluation report** based on comments received on the draft report during the validation phase, the evaluation team leader will finalize the evaluation report as required and submit the Final Report and Summary to the Evaluation Manager.

The Final Evaluation Report will be structured as follows:

- Title
- Executive summary
- Background and purpose of the evaluation
- Context / Background and project description
- Evaluation objectives and scope
- Evaluation methodology and limitations
- Findings: relevance, effectiveness, efficiency, sustainability
- Conclusions
- Recommendations

## 4 WORK PLAN

### 4.1 Process Overview

The documentation evaluation consists of three phases: Startup/Desk Review; Remote Data Collection, and Synthesis, Reporting and Dissemination. This Work-Plan Report addresses all these phases.

#### *Phase 1: Start-Up and Desk Review:*

Immediately post-contract signing, the UNICEF Yemen Evaluation Consultant facilitated an Inception Meeting with the evaluation consultant via Teams to ensure mutual understanding of requirements and UNICEF needs, discuss the consultant's work plan, including timelines for key deliverables as well as communication protocols. This phase will also include the production of the evaluation inception report and data collection tools for review by the UNICEF team.

#### *Phase 2: Remote Data Collection:*

Data collection will start as soon as the draft inception report and evaluation matrix has been accepted and approved. De-briefs with UNICEF Yemen Evaluation Specialist and other stakeholders within UNICEF will enable the consultant to present preliminary findings and gather valuable feedback to integrate into the final evaluation report.

*Phase 3: Synthesis, Reporting, and Dissemination:*

The evaluation consultant will complete the draft report containing findings, conclusions, lessons learned, and recommendations, as per UNICEF’s Revised Evaluation Policy 2018. Findings will be validated based on the consistency of results across all data sources, with an attention to the four main evaluation criteria themes. The analysis will entail triangulating information obtained from the desk review, quantitative results, qualitative interviews, and other documentation. After receiving feedback received from the UNICEF Team on the draft evaluation report, the consultant will submit the final evaluation report within 7 business days.

4.2 Detailed Work Plan

Key activities per phase and weeks	November				December			
	1	2	3	4	1	2	3	4
<b>INCEPTION</b>								
<b>Evaluation Kick off Meeting with the UNICEF Team</b>								
<b>Preliminary Desk Review and Draft Inception Report Submission</b>								
<b>Feedback from UNICEF</b>								
<b>Finalisation of Inception Report and data collection tools</b>								
<b>DATA COLLECTION</b>								
<b>Remote work and KIIs and Desk Review</b>								
<b>ANALYSIS and REPORTING</b>								
<b>Analysis and consolidation of findings from data collection and desk review</b>								
<b>Draft Evaluation Report Preparation and Submission</b>								
<b>Draft Report reviewed by the UNICEF Team</b>								
<b>Finalisation and submission of Final report</b>								

## LIST OF ANNEXES

### ANNEX 1 Evaluation Matrix

Evaluation Criteria	Key Questions	Specific Sub Questions	Data Sources	Data Collection Methods	Indicators Success/Standard	Methods for data Analysis
<b>Relevance/Appropriateness</b>	1 To what extent is UNICEF Yemen's documentation system, within the broader knowledge and information management system, appropriate to the operational context of Yemen at both country office and field office level?	To what extent is the knowledge Management (KM) and Documentation plan strategy in line with the UNICEF Yemen's Country Programme documentation needs?	UNICEF Staff, UNICEF Middle East, and North Africa Knowledge Management Strategy 2022-2025	Online survey, desk review, Focus Group Discussions and KIIs.	Extent to which the KM and Information Management Plans for UNICEF Yemen are in alignment with the Global UNICEF KM strategy.	Content analysis

	2.To what extent is UNICEF Yemen’s documentation system, within the broader knowledge and information management system, appropriate to the funding environment in which it operates?	What are the Mechanisms used for capturing and disseminating key information in the UNICEF Yemen Office?	UNICEF Staff, UNICEF Middle East, and North Africa Knowledge Management Strategy 2022-2025,	Online survey, desk review, Focus Group Discussions and KII	The mechanisms which are in place and used to capture and disseminate key information.	Content analysis
<b>Efficiency</b>	<b>3. How well does UNICEF Yemen use its existing staff to manage knowledge and information?</b>	To what extent do you consider human resources for M&E, Knowledge Management, and documentation adequate, to implement the documentation and reporting needs of the country office and reach results? (Focus on evaluations).	UNICEF Staff	Online survey, desk review, Focus Group Discussions and KIIs	Extent to which the program sections use their existing staff to document efficiently	Content analysis

		<p>What about the financial resources?</p> <p>Do you feel that you have enough financial budget for KM? Is the KM and documentation function integrated into the responsibilities of other staff?</p>	<p>UNICEF Staff, UNICEF GLOBAL KNOWLEDGE MANAGEMENT MEDIUM-TERM STRATEGY 2021-2022, Putting knowledge to work to achieve rights and results for children and the UNICEF Middle East and North Africa Knowledge Management Strategy 2022-2025</p>	<p>Online survey, desk review, Focus Group Discussions and KIIs</p>	<p>Extent to which the financial resources for KM and M&amp;E are adequate to address the documentation and reporting needs of the UNICEF Yemen Country Office.</p>	<p>Content analysis</p>
		<p>Extent to which the M&amp;E budget is adequate to establish and maintain a functional KM system.</p>	<p>UNICEF Staff</p>	<p>Online survey, desk review, Focus Group Discussions and KIIs</p>		<p>Content analysis</p>

Effectiveness	4. How well is UNICEF Yemen able to respond to internal requests for data across sections? What factors enable thorough responses?	7. What are the general data needs across the sections?	UNICEF Staff	Online survey, desk review and KII	Extent to which the UNICEF Yemen Country Office can respond to internal requests for data across sections	Content analysis
	What barriers and bottlenecks exist in gathering this data?		UNICEF Staff, (UNICEF GLOBAL KNOWLEDGE MANAGEMENT MEDIUM-TERM STRATEGY 2021-2022, Putting knowledge to work to achieve rights and results for children and the UNICEF Middle East and North Africa Knowledge Management Strategy 2022-2025	Online survey, desk review, Focus Group Discussions and KIIs	Identification of barriers and bottlenecks existing in data gathering.	Content analysis
	6. How well is UNICEF Yemen able to respond to external requests for data? What factors enable thorough responses?		UNICEF Staff, (UNICEF GLOBAL KNOWLEDGE MANAGEMENT MEDIUM-TERM STRATEGY 2021-2022, Putting knowledge to	Online survey, desk review, Focus Group Discussions and KIIs	The extent to which UNICEF Yemen Country office can respond to external requests for data.	Content analysis

	What barriers and bottlenecks exist?		work to achieve rights and results for children and the UNICEF Middle East and North Africa Knowledge Management Strategy 2022-2025			
Sustainability	6. To what extent does UNICEF Yemen ensure institutional memory within the office? What factors enable and hinder the creation of institutional memory?	What are the opportunities and strength that the UNICEF Yemen office can utilize for its institutional memory?	UNICEF Staff	Online survey, desk review, Focus Group Discussions and KIIs	The extent that UNICEF Yemen country office ensures institutional memory within the office	Content analysis
	7. How does UNICEF Yemen envision the combination of its human resources with electronic data and documentation to create and preserve institutional memory?	8. What electronic platforms is UNICEF Yemen utilizing for knowledge management and documentation?	UNICEF Staff, UNICEF GLOBAL KNOWLEDGE MANAGEMENT MEDIUM-TERM STRATEGY 2021-2022, Putting knowledge to work to achieve rights and results for children and the	Online survey, desk review, Focus Group Discussions and KIIs	The plan that UNICEF Yemen must combine its human resources with electronic data and documentation to create and preserve institutional memory	Content analysis

			UNICEF Middle East and North Africa Knowledge Manage- ment Strategy 2022- 2025)			
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## ANNEX 2 – Data Collection Tools

<p><b>Sex of Respondent:</b></p> <p><b>Position:</b></p> <p><b>Section:</b></p> <p><b>Role:</b></p> <p><b>Country Office or Field Office:</b></p>
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### Interview Consent

Hello, my name is Roy Mutandwa, the Documentation Evaluation Consultant hired by the UNICEF Yemen Country Office, to carry the Evaluation of the Documentation System in the country office. The evaluation aims at assessing UNICEF Yemen Country Office’s current documentation structures and practices and make recommendations for improving them. I would like to request for your time of around 45 minutes to discuss the documentation system. You have been selected purposefully to participate in this exercise. However, your participation is voluntary, meaning you do not have to participate if you do not want to. It is okay to withdraw from the study at any time; so even if you decide to participate, it is okay if you change your mind later. I hope that you will decide to participate because your thoughts and opinions are very important. If you are uncomfortable with any of the aspects of what you’re being asked to do, it is okay for you to skip those questions. Your responses will be confidential. Furthermore, should you decide to go ahead with the interview the information will be kept confidential and the information given will not be traced back to you and only the evaluation consultant will have access to this information. Besides the evaluation, there is no expected reuse of the data in any form. There are also no risks anticipated from your participation in this study. For any questions you could email me on [roymutandwa@gmail.com](mailto:roymutandwa@gmail.com)

### SECTION 1 – GENERAL KM and Documentation Questions

1. Does your job description have KM or documentation responsibilities? YES/ NO
2. If YES, have you been trained in KM or documentation?
3. Does your annual or periodic performance evaluation include evaluation of your performance on KM or documentation responsibilities? YES /NO
4. In a month, how often are you unable to provide or retrieve data because it was collected before your tenure at the YCO?”

Once	twice	Thrice	More than four times	Don't know
<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

5. What barriers or bottlenecks exist in Documentation?

6. How user friendly are the YCO documentation systems, in terms of depositing data?

To a Very Large Ex- tent	To a large Extent	To a moderate ex- tent	To a small extent	Don't know
<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

7. How user friendly are the YCO documentation systems, in terms of retrieving data?

To a Very Large Ex- tent	To a large Extent	To a moderate ex- tent	To a small extent	Don't know
<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

8. How user friendly are the YCO documentation systems, in terms of summarising data?

To a Very Large Ex- tent	To a large Extent	To a moderate ex- tent	To a small extent	Don't know
<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

9. To what extent is it easy to retrieve current information (current grants) from the Documentation repositories.

To a Very Large Ex- tent	To a large Extent	To a moderate ex- tent	To a small extent	Don't know
<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

10. To what extent is it easy to retrieve old (closed grants) information from the Documentation repository.

To a Very Large Ex- tent	To a large Extent	To a moderate ex- tent	To a small extent	Don't know
<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

11. To what extent is it easy to deposit data or information in the Documentation repository (this could be any places reports for the YCO are stored)?

To a Very Large Ex- tent	To a large Extent	To a moderate ex- tent	To a small extent	Don't know
<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

12. To what extent is the data collected submitted in a timely manner?

To a Very Large Ex- tent	To a large Extent	To a moderate ex- tent	To a small extent	Don't know
<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

## SECTION 2 –DOCUMENTATION TECHNICAL CAPACITY

13. Please rate the **adequacy of your capacities and skills** to support Monitoring

	Excellent	Good	Average	Poor	Don't Know/ Don't wish to answer
<b>Documentation concepts</b> including indicators, objectives, goals, outcomes etc.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
<b>Managing data</b> (sourcing, processing, and storing).	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
<b>Use of monitoring reports</b> (producing, disseminating, and utilizing monitoring reports and information products)	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

14. Please rate the **adequacy of your capacities and skills** to support Evaluation.

	Excellent	Good	Average	Poor	Don't Know/Don't wish to answer
<b>Documentation concepts</b> including indicators, objectives, goals, outcomes etc.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
<b>Managing data</b> (sourcing, processing, and storing).	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

Use of monitoring reports (producing, disseminating, and utilizing monitoring reports and information products)	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
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15. Please rate the **workload on you** for completing all UNICEF’s tasks associated with Documentation and Information Management in which you are involved.

Overwhelming	Heavy	Manageable	Light	None
<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

### SECTION 3 – ASSETS AND EQUIPMENT

16. Please rate the adequacy of the equipment and tools available for completing all tasks associated with documentation.

	Excellent	Good	Average	Poor	Don’t know
Infrastructure/working space	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Equipment (for office and other use)	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Documentation	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
M&E data analysis tools (database, software, etc.)	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Reporting (narrative reports)	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
M&E data visualization	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

### SECTION 4 – INSTITUTIONAL MEMORY

17. How well are all project activities documented?

Very well	Well	Moderately well	Not well	Don’t know
<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

18. How well is the documentation done in a systematic manner for purposes of creating institutional memory?

Very well	Well	Moderately well	Not well	Don't know
<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

19. To what extent is it easy for you to access data and other information when you need it?

To a Very Large Ex- tent	To a large Extent	To a moderate ex- tent	To a small extent	Don't know
<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

20. How easy is it to find documents from before your tenure at UNICEF?

Very Easy	Easy	Difficult	Very Difficult	Don't know
<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

21. How easy is it to find documents created by other staff members?

Very Easy	Easy	Difficult	Very Difficult	Don't know
<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

22. What factors do you think enable or hinder the creation of institutional memory?

23. Please, if you have additional comments on UNICEF YCO's documentation system, please include them below.

THANK YOU FOR YOUR PARTICIPATION

**INTERVIEW and FGD PROTOCOL FOR UNICEF Staff M&E, Knowledge Management, Managers**

**Sex:**

**Date:**

**Grade:**

**Section:**

**Role:**

**Country Office or Field Office.**

### Interview Consent

Hello, my name is Roy Mutandwa, the Documentation Evaluation Consultant hired by the UNICEF Yemen Country Office, to carry the Evaluation of the Documentation System in the country office. The evaluation aims at to assessing UNICEF Yemen Country Office's current documentation structures and practices and make recommendations for improving them. I would like to request for your time of around 45minutes to discuss the documentation system. You have been selected purposefully to participate in this exercise. However, your participation is voluntary, meaning you do not have to participate if you do not want to. It is okay to withdraw from the study at any time; so even if you decide to participate, it is okay if you change your mind later. I hope that you will decide to participate because your thoughts and opinions are very important. If you are uncomfortable with any of the aspects of what you're being asked to do, it is okay for you to skip those questions. Your responses will be confidential. Furthermore, should you decide to go ahead with the interview the information will be kept confidential and the information given will not be traced back to you and only the evaluation consultant will have access to this information. Besides the evaluation, there is no expected reuse of the data in any form. There are no risks anticipated from your participation in this study. For any questions you could email me on [roymutandwa@gmail.com](mailto:roymutandwa@gmail.com)

### RELEVANCE

1. What are the documentation and reporting needs in the country office? (e.g., evaluation Reports).  
*(M&E, PMU, IMOs, Section Chiefs)*
2. What reports are produced and what happens to these reports after they're completed? (in your section)
3. What are the mechanisms used for capturing and disseminating key information in the UNICEF Yemen Office? (e.g., Evaluation findings, TPM Reports), *(probe on how people use them and how, and if not, why not?). (M&E, PMU, IMOs, Section Chiefs)*

Are you familiar with the global/regional KM strategies? How do you use them? How useful are they for you?" (Probe, about the *UNICEF GLOBAL KNOWLEDGE MANAGEMENT MEDIUM-TERM STRATEGY 2021-2022* and the *UNICEF Middle East and North Africa Knowledge Management Strategy 2022-2025*). How do you use them? How useful are they for you? *To what extent is UNICEF Yemen's knowledge and information management system, Evaluation Management Response systems appropriate to the operational context of Yemen at both country office and field office level?*

4. What challenges exist to an appropriate system? (Probe, humanitarian context and how it effects KM and documentation)

## EFFECTIVENESS

1. Are you and other YCO staff able to find and access current and former program documents in a timely manner?
2. What factors enable thorough responses?
3. What barriers and bottlenecks exist in gathering this data?
4. Which components of the KM system (*Generation of knowledge, Distribution of knowledge products, organisation, and storage*), are posing challenges and which once are working well?
5. How well is UNICEF Yemen able to respond to external requests for data? What factors enable thorough responses? What barriers and bottlenecks exist?
6. What future changes and improvements are to be expected that would encourage the YCO to do better and learn from its experience by demonstrating accountability?

## EFFICIENCY

1. What are the roles that IMO and KM officers play in the office?
2. Does the office have the right number of IMOs, placed in the right sections?
3. What roles do other staff who aren't IMOs play in documentation and KM?
4. What about the financial resources, do you feel that you have enough financial budget for KM and documentation? (*For the section Chiefs*)
5. What is your assessment of KM and documentation workload on your duties and tasks?

## SUSTAINABILITY

1. To what extent does UNICEF Yemen ensure institutional memory (*access current and former program documents in a timely manner*) within the office? What factors enable and hinder the creation of this institutional memory? " (evaluation findings etc).

2. How is data dealt with when the staff member that owns it leaves the Yemen office and moves on?
3. How does UNICEF Yemen envisage the combination of its human resources with electronic data and documentation to create and preserve institutional memory? *(In relation to the role that you play in the office through your section).*

## OTHER

1. Do you have any additional comments on UNICEF YCO's documentation system, you could kindly share them.

### Annex 3 Illustrative Sample Schedule

Interviewee	Section	Job Title	Method
Sarah Capper	Evaluation	Evaluation Manager	KII
Ibrahim Shamakh	Evaluation	Evaluation Officer	KII
Shadrack Omol	Programs	Deputy Representative	KII
Boniface Kalanda	Planning, Monitoring, & Research	Chief	KII
Muna Ahmad	Planning, Monitoring, & Research	Planning Specialist	FGD 1
Mohammed Al-Khubari	Planning, Monitoring, & Research	Planning Officer	FGD 1
Hanan Fazea	Planning, Monitoring, & Research	Monitoring & Evaluation Officer	FGD 1
Adeniyi Olaleye	Planning, Monitoring, & Research	Monitoring Manager	FGD 2
Mahmoud Shakir	Planning, Monitoring, & Research	M&E Specialist	FGD 2
Suad Al Sulaihi	Planning, Monitoring, & Research	Information Management Officer	FGD 2
Maingaila Moono Banda	Planning, Monitoring, & Research	Monitoring Specialist	KII
Yiming Qu	Planning, Monitoring, & Research	Monitoring & Evaluation Specialist/RWP Database Focal Point	KII
Eva Muro	Planning, Monitoring, & Research		FGD 3
Najwa Rizkallah	Nutrition	Chief	KII
Vivienne Forsythe	Nutrition	Nutrition Manager/CMAM-IYCF Evaluation Lead Focal Point	KII
Najwa Dheeb	Nutrition	Nutrition Specialist/CMAM Evaluation Focal Point	FGD 4
Senan Alajel	Nutrition	Nutrition Officer/IYCF Evaluation Focal Point	FGD 4
Nagib Abdulbagi	Nutrition	Information Management Officer	FGD 4
Saadia Farrukh	Health	Health Manager/Chief OIC	KII
Dominique Porteaud	WASH	Chief/Cholera RRT Evaluation Focal Point	KII
Makiba Yamano	Child Protection	Chief/Child Well-Being Evaluation Focal Point	KII
Antonia Mandry	Education	Education Manager	FGD 5
Jumma Khan	Education	Education Specialist/REAL Baseline Focal Point	FGD 5
Ali Al Agri	Social Policy	Social Policy Specialist/Chief OIC	KII
Violet Speek-Warnery	PMU & Outpost Office	Senior Coordinator	KII
Ashok Vaidya	PMU	Monitoring & Evaluation Specialist	KII
Dennis Chimenya	Communication for Development	Chief	KII
Jinan Ramadan	Field Operations	Emergency Specialist/RRM Evaluation Focal Point	KII
Anne Lubell	Partnerships & Budget	Partnerships Manager	KII

Annex 4 Terms of Reference