



FIELD-BASED PREPAREDNESS PROJECT (FBPP) FBPP ICS Theory of Change

LOGISTICS CLUSTER FIELD-BASED PREPAREDNESS PROJECT (FBPP) FBPP ICS Theory of Change

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Who is this document for?

Anyone wishing to understand the theory of change underlying the FBPP's Institutional Capacity Strengthening (ICS) approach

What does it contain?

A detailed breakdown of the five pathways that should be considered for analysis and potential support, if institutional capacity strengthening interventions are to be effective and outcomes are to be sustained in the long term. Under each pathway, a series of related 'capacity bundles' are identified, and a description of the ideal or self-sufficient capacity level ultimately desired is provided for each.

Prerequisite Reading?

1. [FBPP ICS Fundamentals](#): Introduces the concepts underpinning the ICS approach and the Theory of Change.
2. [FBPP ICS Framework Overview](#): Describes how the different ICS tools (Theory of Change, Capacity Needs Mapping, Workplan) are integrated by common elements (the five high-level pathways, their respective capacity bundles, entry points for implementation, process milestones, and indicators).

Where can I find a softcopy?

<https://logcluster.org/document/fbpp-gdnc-ics-framework-theory-change>

I. FUNDAMENTALS OF CAPACITY STRENGTHENING *in brief*

- All nations aim to develop self-sufficient capacities across the board to achieve national development goals with little or no external assistance.
- Performant systems require a range of capacities that reside in different people, places and levels, to work together smoothly in a reliable and predictable manner.
- This requires a supportive political and regulatory domain, a well-functioning organisational domain with operational infrastructure, and a critical mass of skilled individuals.
- Enhancing sub-optimal performance therefore requires transforming the capacities of individuals, organisations and societies, often simultaneously.
- Efforts that acknowledge the complexity of - and interdependencies across – capacities and domains will likely be more effective than those that do not.
- In this regard, single interventions that focus on a specific capacity element only are unlikely to make a significant difference unless they can shift an entire system's behaviour.

II. OBJECTIVES, PROCESS AND SEQUENCE OF CHANGE¹

Capacity outcome statement: Enhanced capacities of **local actors** (public institutions, civil society, private sector and academia)² engaging (or potentially engaging) in emergency preparedness and response to effectively deliver **timely and appropriate emergency response services nationally and in neighbouring countries** as may be required, as a result of **strengthened coordination** and more **coherent operational behaviours and practices** related to national humanitarian supply chain preparedness that are **systematically informed by comprehensive and accurate information on supply chain and logistics sector needs, roles and capacities**.

¹ This Theory of Change refers to FBPP operationalisation at national level and relates to strengthening lead institutional stakeholder capacities. A ToC for the FBPP from a global GLC/WFP perspective can be developed separately.

² The FBPP is committed to supporting localisation of preparedness capacities through a Whole of Society approach. This means it may engage with a wide range of actors, including those traditionally engaging in emergency preparedness and response actions as well as those with potentially novel roles to play and contributions to make.

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Desired outcome by Pathway and Capacity Bundle	Self-sufficient capacity goals ³ (What needs to be in place for the 'desired outcome' to be considered achieved?)	Capacity strengthening Entry-Points
Pathway 1: HSC&L Policy and Regulatory Environment		
Outcome. <i>Local actors are facilitated in delivering timely and appropriate emergency response services because national regulatory frameworks clearly articulate the institutional and operational mandate and space for humanitarian supply chain preparedness.</i>		
<p>1.1 HSC&L sectoral instruments</p> <p><i>Local actors are facilitated in delivering timely and appropriate emergency response services because a relevant sectoral policy and legislative framework clearly outlines institutional responsibilities for national humanitarian supply chain and logistics preparedness.</i></p>	<p>A relevant national emergency preparedness and response policy/regulatory instrument that clearly outlines essential supply chain and logistics preparedness considerations and objectives exists and has been endorsed by competent authorities.</p> <p>The policy/regulatory instrument also:</p> <ul style="list-style-type: none"> addresses issues of relevance to infrastructure and policy, and all links in the logistics chain: road, rail, maritime transport, and aviation, logistics centres, customs, etc. outlines and integrates institutional accountabilities and clarifies sectorial responsibilities (particularly in relation to specific processes and procedures) to facilitate coordination action across relevant ministries, such as transport, industry, trade regulation agencies, but also relevant social sector ministries that will channel emergency distribution etc.; explicitly factors in the private sector and academia. clearly outlines obligations and accountabilities for optimising the performance and efficiency of national humanitarian supply chain and logistics preparedness through digitalisation and/or other (non-)technology-based shifts in thinking (e.g. uberisation of transport), identifies elements of environmental best practice that are relevant to context (where feasible, reflects commitments to environmental standards such as ISO 140001) 	<ul style="list-style-type: none"> EP 1.1.1⁴: Support [Key Stakeholder]⁵ in developing and promoting evidence-based national preparedness policies, legislation and other relevant regulatory instruments <p>Examples:</p> <ul style="list-style-type: none"> Support NDMO⁶ in revising existing EPR policies and legislative frameworks to clearly outline definitions, objectives and targets for national HSC&L preparedness, in line with stated parameters Support NDMO in revising existing EPR policies and legislative frameworks to clearly anchor an explicit

³ The text describing the **Self-Sufficient Capacity Goal** of each Pathway and Capacity Bundle is replicated in the [Capacity Needs Mapping \(CNM\) Guiding Questions](#) document, under the 'Self-sufficient' set of questions.

⁴ **EP** = Entry-Point. A comprehensive description of each Entry-Point and their underlying Process Milestones can be found in the [FBPP ICS Entry Point & Process Milestones Compendium](#) document.

⁵ '[Key Stakeholder]' in this context refers to the **national actor(s) leading disaster management activities**, whether officially mandated to do so or not (in the absence of authorities who can delegate or mandate others with specific agenda). In most cases this will be a state institution mandated for disaster response – the NDMO. In other cases, where no formal government exists, [Key Stakeholder] may refer to a civil society or other non-state entity generally recognized by the humanitarian and development community as best positioned to lead the emergency preparedness agenda.

⁶ In the examples, [key stakeholder] has been replaced with 'NDMO' (National Disaster Management Office' to simplify reading, and to illustrate how entry-points can be adapted to suit different contexts.

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	<ul style="list-style-type: none"> clearly outlines obligations and accountabilities for research, development and innovation in the field of logistics preparedness, effective grievance management in relation to claims around delivery of emergency response services that directly relate to or depend on effective logistics preparedness, and obligations and accountabilities for M&E of national preparedness actions. is embedded in relevant strategic documents and/or workplans (e.g., national development plans and strategies) and is fully supported by relevant sectoral rules and regulations. intentionally uses recent, relevant and comprehensive data on national humanitarian supply chain and logistics preparedness to inform the integration of national humanitarian supply chain and logistics preparedness components in the instrument and plans for evidence-based revision of said integration are established, in force and supported by rules and regulations. has clear objectives that explicitly addresses (or will contribute to addressing) the practical emergency needs of all segments of the population, including the most vulnerable. 	<p>National HSC&L Preparedness Plan</p>
<p>1.2 Multi-sectoral integration of HSC&L</p> <p><i>Local actors are facilitated in delivering timely and appropriate emergency response services because objectives, roles and responsibilities relating to national humanitarian supply chain and logistics preparedness are clearly integrated into all relevant sectoral policies and frameworks.</i></p>	<p>Relevant sector-specific policies (e.g., transport, industry, trade regulation agencies, etc. and social service sector as warranted) are revisited to integrate the same objectives and considerations outlined in the main sectoral instrument for national HSC&L preparedness, as relevant and to identify explicit opportunities for complementarity and support to emergency response and supply chain and logistics preparedness.</p> <p>The policies clearly define institutional accountabilities and sectorial responsibilities related to establishing and operationalising said complementarities and clearly define related sectoral benefits.</p>	<ul style="list-style-type: none"> EP 1.2.1: Support [Key Stakeholder] in achieving relevant integration of HSC&L preparedness objective, roles and responsibilities in other sector-specific instruments <p>Example:</p> <ul style="list-style-type: none"> Support NDMO in integrating relevant HSC&L preparedness objectives and considerations into other sector-specific policies/legislation as relevant to strengthen policy coherence.

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<p>1.3 International and regional HSC&L partnerships</p> <p><i>Local actors are facilitated in delivering timely and appropriate emergency response services nationally and regionally⁷ because of strategic partnerships and active engagement in relevant international and regional fora that support learning from and contribution to internal and external knowledge and experience in supply chain and logistics preparedness.</i></p>	<p>Stakeholders spearhead South-South Cooperation engagements and/or are recognised as leaders in developments of or have recognised achievements in national (and regional) supply chain and logistics preparedness.</p> <p>There is frequent and continuous engagement in – or partnership with – relevant international and/or regional players and fora, resulting in intentional and documented actions to enhance national (or regional, where applicable) supply chain and logistics behaviours and/or practices have emerged.</p>	<ul style="list-style-type: none"> • EP 1.3.1: Support [Key Stakeholder] in increasing engagement in relevant global and regional fora (including through South-South Cooperation – SSC) on the topic of HSC&L Preparedness <p>Example:</p> <ul style="list-style-type: none"> • Support NDMO in increasing international and regional partnerships critical to implementation of the national HSC&L preparedness plan.
<p>Pathway 2: HSC&L Institutional effectiveness and accountability</p>		
<p>Outcome. <i>Local actors are facilitated in delivering timely and appropriate emergency response services because all required institutional mechanisms and processes related to national humanitarian supply chain and logistics preparedness are effective, transparent and functional at all levels of the system.</i></p>		
<p>2.1 HSC&L Institutional mandate and recognition</p> <p><i>The institution mandated to lead the national humanitarian supply chain and logistics preparedness agenda is facilitated in overseeing and coordinating the delivery of timely and appropriate emergency response services because its legitimacy to do so is clearly known and</i></p>	<p>The institution mandated to lead on implementing the national humanitarian supply chain and logistics preparedness agenda is recognised by all key players, has widespread convening power and can spearhead dialogue and action related to the supply chain and logistics preparedness agenda.</p> <p>The mandated lead institution also:</p> <ul style="list-style-type: none"> • has an accountability framework that includes regular monitoring, progress reporting and auditing against relevant objectives. • Is able to identify blockages and obstacles to relevant progress on a recurring basis and regularly mitigates them in a timely manner. 	<ul style="list-style-type: none"> • EP 2.1.1: Support [Key Stakeholder] in strengthening its institutional mandate and recognition <p>Example:</p> <ul style="list-style-type: none"> • Support NDMO in advocating for/strengthening recognition of its institutional mandate to promote the national HSC&L preparedness agenda among all key players.

⁷ 'Regional' here is used to refer to a grouping of a country's *neighbours* (supra-national – e.g., the ASEAN region), and should not be confused with 'regional' meaning an area *within* a country (sub-national – e.g., the southern region of Thailand).

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<p><i>recognised across a wide range of local humanitarian actors.</i></p>	<ul style="list-style-type: none"> determines, and has complete control over, the core resources allocated to support national humanitarian supply chain and logistics preparedness. 	
<p>2.2 HSC&L coordination mechanisms</p> <p><i>Local actors are facilitated in delivering timely and appropriate emergency response services because clear, active and well-represented supply chain and logistics coordination mechanisms enable timely information dissemination and coordinated action at all levels.</i></p>	<p>A multi-sectorial and multi-actor coordination mechanism critical to promoting national humanitarian supply chain and logistics preparedness is in place and oversees the implementation of the National Humanitarian Supply Chain and Logistics Preparedness Plan (see Pathway 4 below).</p> <p>The coordination mechanism also:</p> <ul style="list-style-type: none"> is effective and involves all relevant sectors, stakeholders and partners, and roles and responsibilities of all players across various functions are clearly articulated and known to all members. is functional at national, sub-national and local levels. has reporting lines between decentralised branches of the coordination mechanism that are well-defined and functional. has accountability lines across all relevant stakeholders at national, sub-national, local and facility levels that are clearly defined, widely known by all stakeholders, and fully functioning. has, as relevant, its objectives integrated into other related sector-specific coordination mechanisms. 	<ul style="list-style-type: none"> EP 2.2.1: Support [Key Stakeholder] in strengthening relevant HSC&L Preparedness coordination mechanisms <p><i>Example</i></p> <ul style="list-style-type: none"> Support NDMO in strengthening an existing or advocating for establishing a new multi-stakeholder National HSC&L Preparedness Working Group (NLPWG) to oversee and coordinate implementation of the national HSC&L preparedness plan.
<p>2.3 HSC&L information dissemination</p> <p><i>Local actors are facilitated in delivering timely and appropriate emergency response services because updated strategic and operational information concerning relevant actions and efforts is effectively disseminated to all interested stakeholders.</i></p>	<p>A clear and calendarized information, education and communications (ICE) strategy or plan to disseminate information relevant to national humanitarian supply chain and logistics preparedness efforts and actions exists, has been costed and endorsed by the competent authorities.</p> <p>The dissemination strategy/plan also:</p> <ul style="list-style-type: none"> is operationalised through formal and systematic mechanisms for disseminating information that reach national, sub-national and local levels, and operate on a regular and reliable basis. requires that information be made available in a range of formats to facilitate accessibility and uptake by all actors, implementers and segments of the population as relevant (including but not limited to, simplified and popularised versions, translated into the main local languages and presented as graphic illustrations for less literate audiences, et.). requires that information be disseminated through a wide range of channels to ensure adequate coverage, including but not limited to, print and digital formats, radio, mobile communications and other media channels where feasible and relevant, etc. 	<ul style="list-style-type: none"> EP 2.3.1: Support [Key Stakeholder] in strengthening effective dissemination of relevant information around HSC&L preparedness EP 2.3.2: Support [Key Stakeholder] in strengthening internal capabilities in Communications and Advocacy <p><i>Example:</i></p> <ul style="list-style-type: none"> Support NDMO in ensuring relevant information on policies, legislations and programmes is

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	<ul style="list-style-type: none"> requires that information be proactively and formally disseminated to a wide range of social sector institutions and programme implementers, as relevant, to ensure integration into programmatic design and delivery mechanisms. 	<p>disseminated to relevant stakeholders and all segments of affected populations through appropriate (diverse and accessible) communication channels.</p>
<p>2.4 HSC&L process optimisation</p> <p><i>Local actors are facilitated in delivering timely and appropriate emergency response services because critical systems and services related to national humanitarian supply chain and logistics are optimised and streamlined for effectiveness, efficiency and economy, and where relevant digitalised⁸ and rendered interoperable, thus enabling accurate real-time evidence-based decision-making for relevant efforts.</i></p>	<p>The national humanitarian supply chain and logistics preparedness plan integrates a clearly articulated and fully costed process optimisation strategy that will increase the effectiveness, efficiency and economy of the HSC&L sector.</p> <ul style="list-style-type: none"> Where feasible this will enable important social and environmental benefits by increasing efficiency and reducing energy consumption and emissions. Where relevant, the plan provides a framework for the use of digital processes and tools to support effective and efficient supply chain and logistics preparedness, and: A full workflow and business process analysis of logistics preparedness operational and/or information management requirements has been completed, and resulted in a revised - or is being used to revise - streamlined (and digitalised where relevant) business model for national humanitarian supply chain and logistics preparedness, particularly relating to decentralised preparedness actions and last mile delivery tracking. A comprehensive process optimisation action plan (and digitisation plan, where relevant) has been or is being rolled out to optimise and/or digitise critical logistics preparedness implementation approaches and data at all levels of preparedness action. This may include (but does not oblige) a formal, centralised, digital IMS/MIS⁹, fully rolled out and functional at national, sub-national and local levels, that captures critical and relevant data essential to supporting logistics preparedness, enabling multiple levels of data disaggregation and analysis. 	<ul style="list-style-type: none"> EP 2.4.1: Support [Key Stakeholder] in carrying out HSC&L business process analysis to identify opportunities for optimisation, and where relevant, specifically through digitalization EP 2.4.2: Support [Key Stakeholder] in designing and developing more efficient, effective and economic HSC&L business process models and operations EP 2.4.3: Support [Key Stakeholder] in rolling out optimised HSC&L business models and operational processes

⁸ The terms **digitisation** and **digitalisation** are not interchangeable and should not be confused. **Digitisation** is the process of changing information from a physical form (e.g. paper-based document, audio cassette, video tape) into a digital form (PDF file, audio/video file). **Digitalisation**, on the other hand, uses leverages digitisation to improve business processes. For example: Scanning a document and storing the PDF file is an example of *digitisation*. Using this PDF file to quickly collect electronic signatures, making the process more efficient, is an example of *digitalisation*.

⁹ **IMS/MIS** = An *Information Management System* (IMS) covers all activities involved in storing, organising and retrieving data/information and is a critical entry-point for **digitisation** of information; a *Management Information System* (MIS) governs the information and data-driven processes that support management activities and decision-making and thus is a critical entry point for the **digitalisation** discourse. Context will determine which is relevant, thus IMS/MIS is used throughout.

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	<ul style="list-style-type: none"> • Whether building on existing IMS/MIS or aiming to connect disparate digital solutions, inter-operability across relevant and related systems is a priority and under development where not already optimised – including but not limited to relevant programme platforms to optimise performance and accountability and ensure “the right services are provided to the right people at the right time” (e.g. alignment with and/or support to shock-responsive social service and assistance programmes and safety nets). • Data quality control and compliance mechanisms and data-sharing protocols are clearly defined, in place and enforced. • Data that supports reporting on institutional accountability, which is done regularly and systematically, is available in digital format. 	<ul style="list-style-type: none"> • EP 2.4.4: Support [Key Stakeholder] in reviewing design of existing HSC&L IMS/MIS • EP 2.4.5: Support [Key Stakeholder] in developing and rolling-out enhanced digital HSC&L IMS/MIS <p>Examples:</p> <ul style="list-style-type: none"> • Support NDMO in designing and developing (or enhancing existing) supply chain and logistics IMS/MIS to facilitate the digitisation of critical supply chain and logistics preparedness actions and efforts • Support NDMO in rolling-out new/revised digital tools and systems to support digitisation of national HSC&L preparedness actions and efforts.
<p>2.5 Evidence-based approach for HSC&L</p> <p><i>Local actors are facilitated in delivering timely and appropriate emergency response services because policies and operational frameworks that govern national humanitarian supply chain and logistics are regularly revised to reflect changing contexts and population needs.</i></p>	<p>A comprehensive situation analysis (and/or baseline) that identifies issues of relevance to national humanitarian supply chain and logistics preparedness, including – but not limited to – a comprehensive assessment of logistics infrastructure coverage and capacity across the national territory, roles and responsibilities, locations, assets and capacities of critical logistics preparedness actors, is available and endorsed.</p> <p>The situation analysis also:</p> <ul style="list-style-type: none"> • allows for multiple levels of relevant information disaggregation and analysis by geographic area, among other things, and is regularly updated. • informed the design of the national humanitarian supply chain and logistics preparedness plan 	<ul style="list-style-type: none"> • EP 2.5.1: Support [Key Stakeholder] in strengthening relevant HSC&L M&E practices and procedures • EP 2.5.2: Support [Key Stakeholder] with Training-of-Trainers in improved/revised M&E for HSC&L

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	<ul style="list-style-type: none"> • Informed the development of a comprehensive and clearly documented national humanitarian supply chain and logistics preparedness M&E strategy and calendar that have been endorsed and widely disseminated to all interested stakeholders at all levels. <p>A functional monitoring system for national humanitarian supply chain and logistics preparedness exists and:</p> <ul style="list-style-type: none"> • includes relevant and adequate indicators for logistics preparedness in relation to a wide range of nationally relevant contexts and needs. • is integrated (digitally, where relevant) into other national monitoring or IMS/MIS (e.g. EMIS¹⁰, HMIS¹¹, LMIS¹², etc.) as relevant. • is fully digitised and M&E stakeholders at all levels have the knowledge, guidance, procedures and equipment required to digitise M&E data collection exercises. • allows for reliable and timely data collection, aggregation, and multiple levels of disaggregated analysis. • ensures digital monitoring information is available and accessible to all stakeholders at national and sub-national levels. • ensures updated monitoring information is shared proactively with stakeholders through quality reports at all levels. • supports systematic performance assessment and learning to inform the update of the national humanitarian supply chain and logistics preparedness regulatory frameworks and strategy design. • contains baseline information for the outcome indicators selected to monitor the national HSC&L preparedness parameters that the plan aims to influence, and this is available digitally. • has the platforms and mechanisms necessary to facilitate the above points and which are functional, appropriately used by stakeholders, and have been systematically digitised. 	<ul style="list-style-type: none"> • EP 2.5.3: Support [Key Stakeholder] in ensuring evidence informs the HSC&L preparedness solutions <p>Examples:</p> <ul style="list-style-type: none"> • Support NDMO in designing comprehensive logistics preparedness capacity assessment exercises to establish a baseline values for critical national HSC&L preparedness functions and capacities • Support NDMO in designing a practical monitoring framework for to ensure timely validation and realignment of logistics preparedness actions and efforts with the national HSC&L preparedness plan • Support the digitisation of logistics preparedness M&E to enhance real-time accountability and transparency • Support NDMO's analysis and reporting of logistics preparedness monitoring and evaluation

¹⁰ EMIS = Education management information system

¹¹ HMIS = Health Management Information System

¹² LMIS = Logistics Management Information System

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<p>2.6 HSC&L assets, platforms and infrastructure</p> <p><i>Local actors are facilitated in delivering timely and appropriate emergency response services because appropriately placed and well-maintained supply chain and logistics assets and infrastructure enable effective service provision, territorial coverage and last-mile outreach.</i></p>	<ul style="list-style-type: none"> is periodically updated with baseline evaluations of national HSC&L preparedness, accordingly to a pre-defined and well-documented schedule by an entity officially mandated with carrying out these evaluations. <p>Assets, platforms and infrastructure capacities required to guarantee effective and efficient national humanitarian supply chain and logistics preparedness exist and are properly managed and maintained for optimum performance against all standards (including environmental ones).</p> <ul style="list-style-type: none"> This includes, but is not limited to, a functional early warning system, that is operational at all levels and designed to detect triggers for a range of rapid and/or slow-onset hazards or known risks at local, national, regional or even global levels. Functional procedures are in place to ensure the data and information emerging from the early warning system or platform are rapidly disseminated to all interested parties and regularly integrated into critical decision-making around logistics preparedness actions. Essential hubs, depots and storage assets and infrastructure are optimally positioned across the national territory, in line with findings and recommendations emerging from recent and detailed risk and logistics capacity assessments. <p>New asset management technologies, tools and practices (e.g., transportation management to analyse and identify routes by profitability, emissions-control technologies for fleet management, packaging and waste reduction etc.) that help enhance efficiency and reduce emissions and energy consumption:</p> <ul style="list-style-type: none"> are in place at all levels (national, sub-national and local as appropriate). are fully functional and accessible to all interested actors. End-users are equipped with the skills needed to maintain, manage, access and/or benefit from them over time, and they access and use them on a regular basis, as an integral part of their ongoing activities. 	<p>findings to facilitate dissemination across relevant stakeholders</p> <ul style="list-style-type: none"> EP 2.6.1: Support [Key Stakeholder] in designing and developing HSC&L assets, platforms and/or infrastructure EP 2.6.2: Support [Key Stakeholder] in utilizing, maintaining and managing HSC&L assets, platforms and/or infrastructure <p>Examples:</p> <ul style="list-style-type: none"> Support NDMO in designing and developing (or enhancing existing) platforms and/or infrastructure required to support optimal HSC&L preparedness. Support in utilising and maintaining new/revised platforms and/or infrastructure required to support optimal HSC&L preparedness.
<p>2.7 National and local HSC&L partnerships</p> <p><i>Local actors are facilitated in delivering timely and appropriate emergency response services because a wide network of active local and community-based partners help implement and</i></p>	<p>Strategic and operational partnerships that help operationalise national humanitarian supply chain and logistics preparedness have been formalised at national, sub-national and local levels and involve a wide range of state, civil society, private sector (e.g., logistics associations, supply chain and logistics service providers) and non-state actors pursuing shared logistics preparedness objectives.</p> <p>The partnerships have led to intentional action plans with clear roles and responsibilities for all partners and tangible, documented products and sustained changes in preparedness behaviours and/or practices.</p>	<ul style="list-style-type: none"> EP 2.7.1: Support [Key Stakeholder] in strengthening national and local HSC&L partnerships <p>Example:</p> <ul style="list-style-type: none"> Support NDMO in mapping out and strengthening partnerships



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<p><i>maintain necessary humanitarian supply chain and logistics services and actions.</i></p>		<p>with key HSC&L actors and other relevant players in-country.</p>
<p>Pathway 3: Strategic Planning and Financing for HSC&L</p>		
<p>Outcome. <i>Local actors are facilitated in delivering timely and appropriate emergency response services because critical political leadership and essential resource and financial investments have been sustainably secured across and within relevant institutions, private sector and other donors, to support implementation of the national humanitarian supply chain and logistics preparedness plan.</i></p>		
<p>3.1 Value proposition of HSC&L.</p> <p><i>Local actors are facilitated in delivering timely and appropriate emergency response services because there is clear and explicit political will to invest in and support effective national humanitarian supply chain and logistics preparedness.</i></p>	<p>Support for ensuring effective national humanitarian supply chain and logistics preparedness is in place, is widespread and multi-sectoral, and benefits from clear political leadership, will and commitment to see the national humanitarian supply chain and logistics preparedness plan properly implemented.</p> <ul style="list-style-type: none"> • There is a solid understanding of the value proposition of investing in logistic preparedness across the national territory, at all levels; • central support for the national humanitarian supply chain and logistics preparedness agenda is clearly and explicitly communicated downstream to decentralised structures and local government. • There is a widely and clearly articulated evidence-based analysis of context, needs and return-on-investment in relation to national humanitarian supply chain and logistics preparedness. 	<ul style="list-style-type: none"> • EP 3.1.1: Support [Key Stakeholder] in articulating relevant evidence-based HSC&L preparedness value proposition statements <p>Examples:</p> <ul style="list-style-type: none"> • Support NDMO's evidence-generation to articulate a value proposition statement for HSC&L preparedness. • Support NDMO with advocacy to garner support for national HSC&L preparedness.
<p>3.2 Strategic planning for HSC&L</p> <p><i>Local actors are facilitated in delivering timely and appropriate emergency response services because a clear roadmap for ensuring appropriate national humanitarian supply chain and logistics preparedness has been developed and endorsed by all critical actors.</i></p>	<p>A Costed Implementation Plan (CIP) to guide implementation of the national humanitarian supply chain and logistics preparedness plan exists and reflects considerations for effectiveness, efficiency and economy of implementation at central, sub-national and local levels.</p> <ul style="list-style-type: none"> • The CIP is informed by decentralised, local government budgets and needs, and local governments have been adequately consulted and engaged in the process of refining the CIP. In this regard, all implementers (at all levels) have the capacity to plan and budget accurately. • Resources required to support asset, platform and infrastructural expansion and/or rehabilitation – as needed at all levels – are accurately reflected and quantified. 	<ul style="list-style-type: none"> • EP 3.2.1: Support [Key Stakeholder] in articulating strategic roadmaps and/or costed action plans for HSC&L preparedness <p>Examples:</p> <ul style="list-style-type: none"> • Advocacy to support local government engagement in and contribution to central planning processes around costing of national

Desired outcome by Pathway and Capacity Bundle	Self-sufficient capacity goals ³ (What needs to be in place for the 'desired outcome' to be considered achieved?)	Capacity strengthening Entry-Points
	<ul style="list-style-type: none"> Resources required to sustain and implement research, development and innovation in logistics preparedness, effective M&E, grievance management and emerging digitisation and digitalisation strategies for national humanitarian supply chain and logistics preparedness at all levels, are also clearly reflected and quantified. The CIP addresses the support needs of the institution/s mandated with and accountable for logistics preparedness implementation and outlines modalities for operationalising this support at national, sub-national and local levels. The CIP includes plans related to acquiring, developing and retaining institutional resources (financial, human and material) and outlines implementation timelines, milestones and responsibilities. Where relevant, other sector-specific costed plans clearly identify financial implications of their integration and/or contribution to the national humanitarian supply chain and logistics preparedness agenda. 	<p>HSC&L preparedness plan implementation</p> <ul style="list-style-type: none"> Support to financial planning and budgeting competencies across implementers at all levels
<p>3.3 Sustainable financing for HSC&L</p> <p><i>Local actors are facilitated in delivering timely and appropriate emergency response services because all resources (human, financial and infrastructural) required to implement the national humanitarian supply chain and logistics preparedness plan have been sustainably secured.</i></p>	<p>A Costed Implementation Plan (CIP) for national humanitarian supply chain and logistics preparedness is fully funded through national budget allocations to central and decentralised authorities (in line with decentralised CIPs), across relevant sectors as relevant and/or is supported by sustainable, formal and documented contributions by other partners and/or non-state actors.</p> <ul style="list-style-type: none"> The national and decentralised CIPs can avail of various complementary financing mechanisms or models (ideally apolitical and independent), but in all cases, their resource bases are well documented, stable and reliable. A wide network of national and sub-national partners supply – or contribute – required human, financial and other resources. 	<ul style="list-style-type: none"> EP 3.3.1: Support [Key Stakeholder] in advocating for required financing mechanisms and models for HSC&L preparedness <p>Example:</p> <ul style="list-style-type: none"> Support NDMO in articulating and advocating for government and complementary and equitable financing mechanisms and financing models for national HSC&L preparedness at central and decentralised levels
<p>3.4 Financial management systems</p> <p><i>Local actors are facilitated in delivering timely and appropriate emergency response services because funding required to support implementation of the national humanitarian supply</i></p>	<p>All necessary funds are disbursed to national, sub-national and local levels for national humanitarian supply chain and logistics preparedness implementation in a timely, effective and accountable/transparent manner.</p> <ul style="list-style-type: none"> Sub-national and local level authorities and implementers are aware of central budget allocations in a timely and predictable manner and can plan accordingly. 	<ul style="list-style-type: none"> EP 3.4.1: Support [Key Stakeholder] in designing and developing digital financial IMS/MIS for HSC&L preparedness EP 3.4.2: Support [Key Stakeholder] in rolling-out relevant

Desired outcome by Pathway and Capacity Bundle	Self-sufficient capacity goals ³ (What needs to be in place for the 'desired outcome' to be considered achieved?)	Capacity strengthening Entry-Points
<p><i>chain and logistics preparedness plan are disbursed and received at decentralised levels in a timely and transparent manner.</i></p>	<ul style="list-style-type: none"> Systems allow users to record real-time expenditures and generate accurate disbursement and expenditure reports in relation to fulfilling logistics preparedness efforts and actions at all levels, as relevant. These can be aggregated at sub-national and national levels and allow for multiple levels of information disaggregation. Users at all levels have the capacity to carry out accurate analysis of budgets versus actuals and do so regularly. 	<p>digital financial IMS/MIS for HSC&L preparedness</p> <p>Example:</p> <ul style="list-style-type: none"> Support NDMO in designing and developing (or enhancing existing) IMS/MIS to track investments and expenditures for effective and accountable implementation logistics preparedness efforts.
<p>Pathway 4: The National HSC&L Preparedness Plan</p>		
<p>Outcome. <i>Local actors are facilitated in delivering timely and appropriate emergency response services because the national humanitarian supply chain and logistics preparedness plan has been accurately and appropriately designed to address critical territory and population needs and implementers at all levels possess the competencies and knowledge to effectively roll it out.</i></p>		
<p>4.1 National HSC&L Preparedness Plan design</p> <p><i>Local actors are facilitated in delivering timely and appropriate emergency response services because the national humanitarian supply chain and logistics preparedness plan has been accurately and appropriately designed to address critical territory and population needs.</i></p>	<p>The national humanitarian supply chain and logistics preparedness plan is grounded in and emerges from multi-stakeholder analyses and contingency planning exercises¹³.</p> <p>The preparedness plan:</p> <ul style="list-style-type: none"> clearly lays out human and financial resource management roles and responsibilities across a range of technical and logistical emergency response scenarios in anticipation of specific and contextually relevant hazards. describes organisational roles and responsibilities including, but not limited to: activating response services, leading and coordinating communication across key actors, managing external relations and aid appeals from other sources (including governmental, international and public funds) as well as incoming donations (solicited and unsolicited), communicating with the media and coordinating and liaising with other key actors. provides general indications to help ensure equitable distribution across sectoral players competing for similar but limited resources, materials, items, commodities, etc., particularly when confronted with unexpected large-scale immediate needs. 	<ul style="list-style-type: none"> EP 4.1.1: Support [Key Stakeholder] in strengthening the design of the National HSC&L Preparedness Plan <p>Examples:</p> <ul style="list-style-type: none"> Support NDMO in completing and interpreting the necessary contextual analyses to inform a comprehensive national HSC&L preparedness plan Support NDMO in coordinating the drafting and validation of a national HSC&L preparedness plan

¹³ IFRC Contingency Planning Guide 2012 1220900 06/2012 E 1,000, available at: <https://www.ifrc.org/PageFiles/40825/1220900-CPG%202012-EN-LR.pdf>



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Desired outcome by Pathway and Capacity Bundle	Self-sufficient capacity goals ³ <i>(What needs to be in place for the 'desired outcome' to be considered achieved?)</i>	Capacity strengthening Entry-Points
	<ul style="list-style-type: none"> • is inclusive (leveraging logistics associations, civil society and private sector) and builds on the above roles and responsibilities. • has been developed in response to a clear mapping of needs and gaps across all logistics-dependent and service-providing entities, to reduce the cost of logistics and align multi-actor infrastructural development investments (whether development or rehabilitation). • addresses the critical issues of availability, accessibility, capacity and optimisation pertaining to air, water and road transport, storage and customs (particularly to reduce dwell time and ensure faster turnaround of goods) • addresses important cross-cutting issues of coordination, emergency telecommunications, information management and stakeholder engagement and awareness-raising. • articulates a range of approaches to increase efficiency and economy of logistics service practices e.g., consolidation of cargo, use of intermodal solutions and leveraging smarter city distribution to optimise the use of urban infrastructure where possible¹⁴. • addresses the above as relevant to international and regional logistics (cross-border) and in-country (national and decentralised) logistics, considering all locations and terrains –i.e., urban, rural and remote hard to reach areas. • is integrated in, and/or has complementarity with, the design of other relevant programmes, including especially, any existing National Logistics Master Plans or other similar instruments. • works to a clear timeline forecasting need for the next 15 to 20 years. 	<p>through the National HSC&L Preparedness Working Group</p>
<p>4.2 National HSC&L Preparedness Plan implementation</p> <p><i>Local actors are facilitated in delivering timely and appropriate emergency response services because clear and coherent operational</i></p>	<p>Critical supply chain and logistics capacity gaps (technical, functional and contextual) previously identified have been – or are being – systematically addressed at all levels.</p> <ul style="list-style-type: none"> • Procurement standards and procedures are clearly documented, streamlined and digitised. • A core listing of essential items and/or emergency kits required for an emergency response is available and widely circulated; it has been formulated and validated by key sector responders. 	<ul style="list-style-type: none"> • EP 4.2.1: Support [Key Stakeholder] in strengthening operational implementation of the National HSC&L Preparedness Plan <p><i>Examples</i></p>

¹⁴ CLECAT Logistics Best Practice Guide (2nd ed. 2010), available at: <https://www.clecat.org/media/sr005osust101201clecatsustlogbpg2nded.pdf>



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Desired outcome by Pathway and Capacity Bundle	Self-sufficient capacity goals ³ (What needs to be in place for the 'desired outcome' to be considered achieved?)	Capacity strengthening Entry-Points
<p><i>procedures and practices for humanitarian supply chain and logistics preparedness at all levels have been developed, endorsed and institutionalised within and across stakeholder and partner organisations.</i></p>	<ul style="list-style-type: none"> • A listing of approved national, regional and/or international suppliers for the standard essential items for emergency response is available, with clear indications of supplier production capacities, costs, quality and safety standards compliance, and guarantees for timely service delivery and continuity. • Master contracts and/or procurement framework agreements are in place and an official tendering process that has been simplified for timeliness and feasibility under emergency conditions has been defined, but still respects essential audit and due diligence requirements¹⁵. • All of the above are well documented and disseminated to all actors and all contracting staff are familiar with any emergency-related procedural changes and have access to relevant guidance. • Where relevant, critical information on third-party goods and service provision is communicated to affected populations through appropriate (diverse and accessible) communication channels. 	<ul style="list-style-type: none"> • Support NDMO in defining standard operating procedures, tools, protocols and practices to streamline and enhance HSC&L preparedness efforts at all levels. • Support NDMO in strengthening contract management capabilities, practices and procedures to enhance timely and needs-based procurement of goods at all levels
<p>4.3 Stakeholder HSC&L implementation capacity</p> <p><i>Local actors are facilitated in delivering timely and appropriate emergency response services because mechanisms to ensure partner and stakeholder institutions create and retain a critical mass of qualified experts have been put in place.</i></p>	<p>National humanitarian supply chain and logistics preparedness implementers (offices and entities) at all levels have the staff, knowledge, guidance, procedures and equipment to be efficient and accountable.</p> <ul style="list-style-type: none"> • Implementing actors have access to pre- and in-service training for staff at all levels as relevant to their function and roles in relation to operationalising the national humanitarian supply chain and logistics preparedness plan. • Institutional targets for internal capability development in specific logistics preparedness areas/ topics/ practices are being/have been met, and opportunities for capability development are widespread and comprehensive. • A critical mass of knowledgeable logisticians exists at all levels to mitigate negative impact of turnover/low staff retention. • Logistics officers/implementers at all levels are equipped with the skills needed to use digital systems and devices properly and they use them (as applicable to context) on a regular basis, as an integral part of their daily operations. 	<ul style="list-style-type: none"> • EP 4.3.1: Support [Key Stakeholder] to institutionalise capacity strengthening in critical HSC&L skills and knowledge • EP 4.3.2: Support [Key Stakeholder] with Training-of-Trainers in improved/ revised HSC&L operational implementation • EP 4.3.3: Support [Key Stakeholder] with operational implementation of the National HSC&L Preparedness Plan <p><i>Example:</i></p>

¹⁵ CARE Emergency Preparedness Toolkit – Procurement, available at: <https://www.careemergencytoolkit.org/programme-support/15-logistics/3-logistics-preparedness/>

Desired outcome by Pathway and Capacity Bundle	Self-sufficient capacity goals ³ (What needs to be in place for the 'desired outcome' to be considered achieved?)	Capacity strengthening Entry-Points
	<ul style="list-style-type: none"> • Process guidelines, materials and equipment required to support digitisation of logistics preparedness information are readily and easily available to implementers at all levels and data quality control practices and standards are adopted and enforced. • Technical support services are available to support implementers with digital systems maintenance and performance. • Relevant and comprehensive guidelines/national standards are available to guide logisticians in effective preparedness and all materials are easily accessible and easy to understand. The guidelines are flexible enough to adapt to local implementing partner needs, roles and responsibilities, and are widely disseminated at national, sub-national and local levels. • Concerted efforts are made to verify that logistics preparedness implementers across the board are complying with the guidelines. • Compliance with the guidelines and with national humanitarian supply chain and logistics preparedness standards is high. 	<ul style="list-style-type: none"> • Support with domestication¹⁶ and dissemination of relevant guidance and documentation to support implementation of HSC&L preparedness actions at all levels
<p>4.4 Accountability and grievance management</p> <p><i>Local actors are facilitated in delivering timely and appropriate emergency response services because an effective grievance management system enables service delivery and relevant actions to be transparent and responsive to local needs.</i></p>	<p>The National Humanitarian Supply Chain and Logistics Preparedness Plan foresees a formal and systematic mechanism for ensuring that Grievance Management (GM) systems relevant to specific sectoral interventions that channel support to beneficiaries through the national HSC&L system feed-back timely information on delivery effectiveness. In this regard:</p> <ul style="list-style-type: none"> • Accountability, roles and responsibilities of programme GM implementers are clearly articulated and documented for each step of the process. • Where relevant, it is a fully integrated function in other existing national GM systems (e.g., social protection programmes or other means through which emergency response is provided on the ground). <p>With regard to emergency response operations managed directly by the HSC&L actors (i.e., not through other sectoral programmes), a formal grievance management mechanism exists and:</p>	<ul style="list-style-type: none"> • EP 4.4.1: Support [Key Stakeholder] in establishing formal and systematic mechanisms to ensure sectoral responses that leverage the HSC&L system feed-back timely information on delivery effectiveness • EP 4.4.2: Support [Key Stakeholder] in designing and developing an effective grievance management mechanism for

¹⁶ Domestication is the process of taking a corporate or central/federal level directive and interpreting it to a local (sub-national) context. In countries where federation is high, the decentralised entities generally issue their own autonomous directives that “domesticate” the federal one.



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Desired outcome by Pathway and Capacity Bundle	Self-sufficient capacity goals ³ <i>(What needs to be in place for the 'desired outcome' to be considered achieved?)</i>	Capacity strengthening Entry-Points
	<ul style="list-style-type: none"> • It considers the magnitude and risk of negative impact that an emergency response can have on diverse and vulnerable groups. • It integrates culturally appropriate ways of handling community and individual concerns, particularly those of vulnerable groups, ensuring that they adequately protect the rights and protection of complainants. • It functions in the local language/s and caters to a range of educational and literacy levels among the population. • It avails of known and accessible channels of communication and information dissemination and is easily accessible to all segments of the affected population, including vulnerable groups, at no cost. • It is transparent and accountable to all stakeholders, including vulnerable groups, who were consulted and engaged in its design. • It protects users from retribution and does not impede access to other remedies. • It is digitalised and protects individual identity data and information. • Clear guidelines exist for reviewing and investigating grievances and developing commensurate resolution options. • Costs associated with grievance handling in emergency response are tracked, adequate funding is secured and allocated to sustain implementation. • A formal M&E and Reporting strategy and plan for emergency response GM are in place and executed. • GM performance statistics are easily available to all stakeholders and used to improve the system. • Internal stakeholder capacities to uphold and operationalise the GM are adequate and sufficient. • Third-party arbitrators / facilitators have been identified and are available to backstop protracted or unresolvable cases. • GM statistics indicate affected populations avail of the system and satisfactory resolution levels are high. • External reviews of affected population awareness of and satisfaction with the GM indicate it is effective. 	<p>emergency response operations managed directly by the HSC&L actors</p> <ul style="list-style-type: none"> • EP 4.4.3: Support [Key Stakeholder] in rolling-out a grievance management system mechanism for emergency response operations managed directly by the HSC&L actors

Desired outcome by Pathway and Capacity Bundle	Self-sufficient capacity goals ³ (What needs to be in place for the 'desired outcome' to be considered achieved?)	Capacity strengthening Entry-Points
Pathway 5: Engagement and Participation of other actors in HSC&L		
Outcome. <i>Local actors are facilitated in delivering timely and appropriate emergency response services because implementation of the national humanitarian supply chain and logistics preparedness plan can leverage the buy-in and active engagement of community, civil society, private sector and academia who promote sustainable preparedness actions and efforts in their respective spheres.</i>		
<p>5.1 Engagement in HSC&L Plan design</p> <p><i>Local actors are facilitated in delivering timely and appropriate emergency response services because national humanitarian supply chain and logistics preparedness efforts avail of wide-spread community, private sector and civil society buy-in and support.</i></p>	<p>All other actors (civil society, communities, private sector, etc.) are aware of national humanitarian supply chain and logistics preparedness initiatives and they actively engage and participate in their design and development as relevant to context.</p> <ul style="list-style-type: none"> • These actors identify with and take ownership of the logistics preparedness initiatives that relate to their locations and contexts, and spearhead advocacy efforts to raise public awareness of and support for them. • Formalised and documented systems are in place and fully functional, to facilitate their participation and engagement in the discussions around and design of the national humanitarian supply chain and logistics preparedness plan (at central levels and/or at decentralised levels as may be relevant). • Formal and transparent mechanisms for civil society and community monitoring and feedback at all levels are in place. Documented evidence of the regular usage of these mechanisms is available. 	<ul style="list-style-type: none"> • EP 5.1.1: Support [Key Stakeholder] in increasing engagement of other actors in the design of the National HSC&L Preparedness Plan <p>Example:</p> <ul style="list-style-type: none"> • Support NDMO in increasing the levels of civil society, community and private sector engagement in and contribution to the design of the national HSC&L preparedness plan.
<p>5.2 Engagement in HSC&L Plan implementation</p> <p><i>Local actors are facilitated in delivering timely and appropriate emergency response services because communities, private sector and civil society actively spearhead implementation of humanitarian supply chain and logistics preparedness efforts at local levels.</i></p>	<p>National humanitarian supply chain and logistics preparedness is adequately put in place at all levels through the active engagement, support and contribution of civil society, private sector and communities at large to the benefit of all.</p> <ul style="list-style-type: none"> • These actors have access to periodic and relevant training (as/when needed) and have clearly defined responsibilities in these processes. • A strong platform for dialogue between state and non-state actors exists to facilitate dialogue and exchange of information and experiences relating to logistics preparedness issues. • Performance indicators chosen by national stakeholders to assess the effectiveness of logistics preparedness (pre-shock in terms of implementation of the national humanitarian supply chain and logistics preparedness plan and post-shock in relation to the effectiveness and efficiency of emergency response and service provision) are used to measure performance and performance targets are/have been met, consistently, across the board. 	<ul style="list-style-type: none"> • EP 5.2.1: Support [Key Stakeholder] in increasing engagement of other actors in National HSC&L Preparedness Plan implementation • EP 5.2.2: Support [Key Stakeholder] in increasing engagement of other actors in HSC&L Preparedness M&E <p>Example:</p> <ul style="list-style-type: none"> • Support NDMO in increasing the levels of civil society, community

Desired outcome by Pathway and Capacity Bundle	Self-sufficient capacity goals ³ (What needs to be in place for the 'desired outcome' to be considered achieved?)	Capacity strengthening Entry-Points
<p>5.3 Research, development and innovation in HSC&L</p> <p><i>Local actors are facilitated in delivering timely and appropriate emergency response services because a well-resourced, quality research agenda regularly yields findings on new approaches and innovations in the field of humanitarian supply chain and logistics preparedness.</i></p>	<p>There is explicit political will and commitment to promote relevant research, development and innovation in the field of humanitarian supply chain and logistics preparedness.</p> <ul style="list-style-type: none"> • A relevant and comprehensive national research agenda has been articulated, endorsed and put in place. It encompasses both traditional and innovative research and development objectives and specific research topics of relevance have been clearly identified. • Specific innovation projects have been clearly identified or are being supported (e.g., incentives, accelerators, etc.) and are being operationalised by one or more credible academic and/or research institutions. • There are functional and publicly accessible channels for information dissemination and communication in place. • Robust statistics on access and dissemination of findings and lessons learned through these channels are available. Statistics demonstrate widespread public consultation and dissemination of information across the board. 	<p>and private sector capability and contribution to implementing local preparedness actions.</p> <ul style="list-style-type: none"> • EP 5.3.1: Support [Key Stakeholder] in establishing a relevant HSC&L research, development and innovation agenda <p><i>Example:</i></p> <ul style="list-style-type: none"> • Support NDMO in establishing a relevant research agenda, initiatives, bodies, and mechanisms to promote critical research in the field of HSC&L preparedness.
<p>5.4 Sustainable human capital in HSC&L</p> <p><i>Local actors are facilitated in delivering timely and appropriate emergency response services because national academic and vocational institutes offer professional coursework, qualifications and certifications in the field of DRM, humanitarian supply chain and logistics and preparedness that support the creation of sustainable human capital.</i></p>	<p>A range of formal higher-level education programmes are available to help develop national professional capacity and strengthen national human capital in the domain of humanitarian supply chain and logistics.</p> <ul style="list-style-type: none"> • This may include graduate and post-graduate university courses in supply chain and logistics specifically or longer-term Master's programmes in disaster risk management, climate change adaptation and/or other similar disciplines that leverage humanitarian supply chain and logistics preparedness and emerging technologies and trends (e.g., digitalisation, communication, media, etc). • Apprenticeships and internships between academic institutions and/or relevant vocational institutes and institutional stakeholders and private sector organisations operating in the field of humanitarian supply chain and logistics preparedness are established and accessible to youth across the board to provide on-the-job practical trainings and increase employability whilst also addressing critical gaps in manpower within the institutions themselves. 	<ul style="list-style-type: none"> • EP 5.4.1: Support [Key Stakeholder] in developing higher-level educational programmes to build relevant national professional capacity in HSC&L • EP 5.4.2: Support [Key Stakeholder], in partnership with leading academic institutions, to create a range of apprenticeship, internship and other on-the-job learning opportunities to promote employability of young professionals in the HSC&L sector



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Desired outcome by Pathway and Capacity Bundle	Self-sufficient capacity goals ³ <i>(What needs to be in place for the 'desired outcome' to be considered achieved?)</i>	Capacity strengthening Entry-Points
		<p>Example:</p> <ul style="list-style-type: none">• Support the NDMO to establish partnerships with formal and informal academia to establish relevant courses, curricula, certification and on-the-job capability development opportunities to create a critical mass of young professionals with logistics preparedness expertise.

6 ASSUMPTIONS (common to all pathways)¹⁷

- **Partnerships:** Positive, equal partnerships are critical to effective CS and generally, partnerships beyond and across sectors and areas of expertise are critical.
- **Ownership:** Capacity strengthening cannot be imposed from the outside; stakeholder engagement – if not leadership – and consensus on approach are the most critical elements of capacity strengthening and facilitate constructive approaches to reaching capacity goals and achieving sustainable results.
- **Recognition:** Identifying and recognising existing capacity assets is critical to effective CS; if interventions do not build on the existing capacities, the integrity of development achievements can be compromised and progress can remain rootless, illusory and vulnerable¹⁸.
- **Trust:** The relationships establishes based on mutual trust and commitment are more important to the long-term success of CS initiatives than the plans themselves.
- **Time:** CS requires time, commitment, investment and patience on all sides, flexibility to recognise changing needs over time and acceptance of its complexity.
- **Capacity is a result of the right preconditions:** Capacity emerges and grows through self-organisation. System changes appear to take place most easily at a point in the evolution of the system that is located between a tightly structured/inflexible capacity development plan and the uncontrollable environment of country contexts, relationships, and external influences. challenge for enabling partners is to induce the right preconditions for the emergence of capacity.
- **Small initial changes can have huge effects and plant the seeds of capacity development:** Small actions — such as a conversation with a key stakeholder, taking advantage of a meeting, an ability to present new ideas of how to end hunger at the right time — can all contribute to long-term, desired results. Unplanned, small events may prove to be the foundation of huge shifts in a system’s capacity development; small initial changes can have huge effects.

Pathway 1: Policies and regulatory environment

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Pathway 2: Institutional Effectiveness and Accountability

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Pathway 3: Strategic Planning and Financing

¹⁷ The Design and Implementation of Technical Assistance and Capacity Development: National Self-sufficient Capacity to Respond, Reduce and Rebuild from Crises and Achieve Zero Hunger, Rome (June 2015), Programme and Policy Division. Available at <http://docustore.wfp.org/stellent/groups/public/documents/forms/wfp267077.pdf>

¹⁸ Capacity Development: A UNDP Primer (2009), United Nations Development Programme. Available at: http://www.undp.org/content/dam/aplaws/publication/en/publications/capacity-development/capacity-development-a-undp-primer/CDG_PrimerReport_final_web.pdf

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Pathway 4: Stakeholder Programme Design and Delivery

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Pathway 5: Engagement and Participation of other actors

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7 RISKS (common to all pathways)

- Operationalising along the lines of the above assumptions and expectations still carries numerous risks, many of which relate to internal enabling partner resources and capacities to respond effectively. Not only are clear mechanisms and guidance necessary to support enabling partners in operationalising the above and below but sheer person-power – with relevant skills in designing technical assistance interventions – will be critical to enabling them to support the design and delivery of effective country capacity strengthening.
- Effective capacity strengthening is a long-term proposition and needs to be designed and financed bearing this in mind. Adult and organisational learning philosophies must be adopted and longer-term financing foreseen. Poor design of knowledge transfer models leads to poor retention and inefficient use of resources while breaks in financing can interrupt even the best designed programme.

Pathway 1: Policies and regulatory environment

- *List mitigating actions*

Pathway 2: Institutional Effectiveness and Accountability

- *List mitigating actions*

Pathway 3: Strategic Planning and Financing

- *List mitigating actions*

Pathway 4: Stakeholder Programme Design and Delivery



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- *List mitigating actions*
-

Pathway 5: Engagement and Participation of other actors

- *List mitigating actions*

8 NOTES

To be elaborated as relevant to context.
