



FIELD-BASED PREPAREDNESS PROJECT (FBPP) Ability and Readiness Indices (ARI) Overview

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Who is this document for?

Project management and FBPP Experts and Officers considering FBPP engagement in a country context.

What does it contain?

A description of the three steps to assessing the ability and readiness of the national context, the HSC&L preparedness mechanism and the primary institutional stakeholder to help define an appropriate, realistic and feasible FBPP portfolio.

Prerequisite Reading?

1. [Capacity Strengthening Fundamentals](#): Introduces the concepts underpinning the FBPP's Institutional Capacity Strengthening (ICS) approach and framework.

Where can I find a softcopy?

<https://logcluster.org/document/fbpp-ics-ari-ability-and-readiness-overview>

Ability and Readiness Indices (ARI) Overview

Prioritising engagement

There are **three levels of critical considerations** that should inform the choice of whether to partner (or not) with specific institutional stakeholder(s) and what to plan for that engagement. In addition to guiding the articulation of a realistic engagement strategy, systematically assessing each of these levels, also yields an awareness of **critical risks and assumptions** that should ultimately be reflected and considered in the overall FBPP [Theory of Change](#) for the country (and stakeholders) in question.

The first level looks at [national ability and readiness \(N-ARI\)](#) to assess the likely *type* of need for external support, helping both to tailor the FBPP's offering and to orient country-level expectations.

The second level looks at humanitarian supply-chain and logistics (HSC&L) [system's ability and readiness \(S-ARI\)](#) to leverage capacity strengthening support. It assesses (at a bird's-eye level) the current *systemic* capacities along the [five pathways of the ICS framework](#), the political will to invest in and strengthen capacities if/where needed, and the presence (or non) of partners already working to address them. In essence, it identifies areas where there is a demand for support that is not currently being addressed by others, and therefore, creates an opportunity for the FBPP to engage (also called the "white space" for the project).

The third level seeks to understand the [institutional ability and readiness \(I-ARI\)](#) of the lead partner institution (within the HSC&L system) to sustain the core conditions of continuity and engagement that are essential to CS. This helps define and prioritise a realistic engagement strategy and gives insight into the likely nature and possible duration of engagement.

As a complement to the I-ARI, the demand, scope, objectives and design of each capacity strengthening engagement can then be defined, either at the outset based on clear stakeholder demands and expectations

or determined jointly through a detailed **institutional capacity assessment** or [capacity needs mapping \(CNM\)](#).

A full decision tree to guide the prioritisation process is provided at the end of this document.

National ability and readiness index (N-ARI)

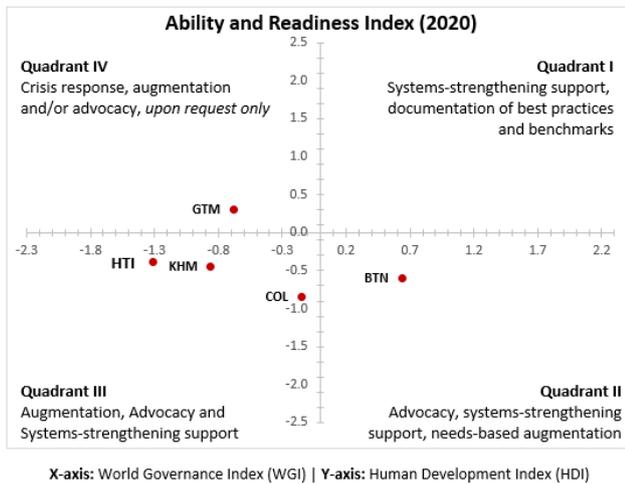
The [National Ability and Readiness Index \(N-ARI\)](#) is a measure that merges national indicators on hunger, economic capacity and governance to help define the state of development-oriented strategies and accountability in a given country context and thus describe national **ability** and **readiness** to further promote and implement them, including but not limited to, effective disaster risk reduction, emergency preparedness and HSC&L preparedness strategies specifically.

For the purposes of the N-ARI, **ability** refers to a country's use of its economic, human and institutional resources for anti-hunger programmes and actions and is expressed by the [Human Development Index \(HDI\)](#) which is provided annually by the United Nations Development Programme (UNDP), and measures a country's average achievements in longevity, knowledge and a decent standard of living.

Readiness refers to a political and institutional structure that permits the implementation of pro-poor, anti-hunger policies and programmes, and is expressed in this context by a [World Governance Indicators \(WGI\) Index](#) which merges the six world governance indicators provided by the World Bank Institute –i.e., (i) Voice and accountability; (ii) Political stability and absence of violence/terrorism; (iii) Government effectiveness; (iv) Regulatory quality; (v) Rule of law; and (vi) Control of corruption.

The ARI classifies countries according to where they fall along two axes (x, y) that capture their respective WGI and HDI values. A cut-off value splits the range of WGI (x) and HDI (y) values so that four quadrants can be defined, as illustrated below.

The N-ARI quadrants provide **general** recommendations for engagement in country and provide a starting point for discussions in this regard.



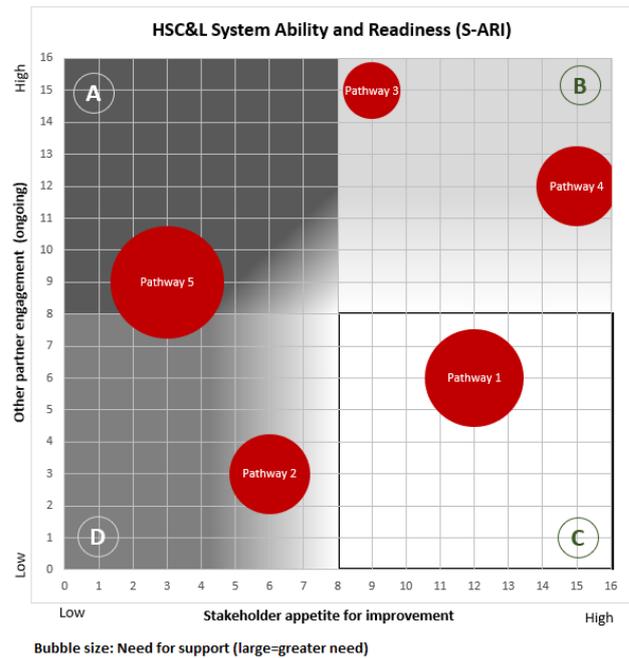
System ability and readiness (S-ARI)

The **S-ARI** yields a quick, high-level (1) overview of HSC&L capacities and support needs along the five pathways of the ICS framework, (2) assesses stakeholder political will or appetite to address eventual gaps identified along each pathway, and (3) determines the level of other partner engagement in addressing those gaps. Collectively, these parameters help determine the “white space” and rationale for FBPP engagement (or not).

It is important to note that the S-ARI does *not* assess the capacities of individual stakeholders (see I-ARI, next). Instead, it assesses the *overall HSC&L systemic capacity* within the country.

The S-ARI foresees three questions for each of the five pathways and each question can be loosely scored against the three dimensions listed above (e.g., support needs, stakeholder appetite and partner presence), using the following scale: (1) None, (2) A little, (3) Moderate, (4) Quite a lot, and (5) Significant.

Scores are plotted on a four-quadrant matrix, similar to the N-ARI:



The four S-ARI classes that emerge loosely suggest the following considerations for FBPP engagement:

- (A) Unable and unready "Dead space".** Low rationale for engagement, pathways falling here should be deprioritised and priority given to those in classes C and D.
- (B) Unable and ready "Grey space".** Stakeholder appetite may warrant more detailed assessment to identify supports areas not being addressing by the various partners on the ground.
- (C) Able and ready "White space".** Ideal situation where high needs and stakeholder appetite coupled with low partner presence suggest pathways falling here should be the immediate FBPP focus. ICS Strategies adopted should be informed by the Institutional ARI.
- (D) Unable and unready "Potential space".** FBPP socialisation is encouraged to dispel the risk that lack of appetite may be due to lack of familiarity of the FBPP service offering and potential; if appetite remains low, FBPP should shift focus to pathways falling in Quadrants B and C; if appetite increases, the FBPP can invest in more detailed assessment and dialogue (based on Institutional

ARI findings) to identify immediate entry points to demonstrate FBPP contribution.

Institutional ability and readiness (I-ARI)

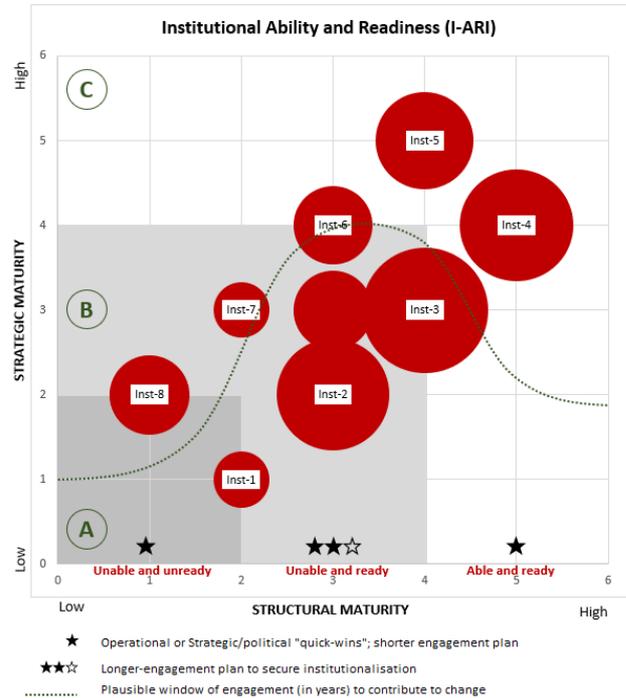
With system readiness established, the ability and readiness of the lead institutional stakeholder(s) should be considered as this can inform the definition of realistic outcomes and expectations.

A stakeholder's [institutional ability and readiness \(I-ARI\)](#) to own, commit to and engage in CS initiatives over time are essential enabling factors of sustainable and effective CS partnerships; they can be considered in terms of **strategic, structural and financial stability or maturity**.

Institutions experiencing low levels of maturity along all dimensions will probably be unable to guarantee continuity of commitment and engagement to CS partnerships, but institutions experiencing less severe challenges may offer a variety of CS opportunities, with different CS priorities and durations.

Scoring strategic, structural and financial stability or maturity along a five-point scale allows institutions to be loosely classified into one of three groups for which general insights into probable CS priorities and duration can be provided to guide thinking.

Institutions may fall in one of three I-ARI classes (or sit on the boundary between two), and each class provides general recommendations on probable needs and realistic engagement expectations:



- (A) Institutions in this class can likely sustain and seek shorter engagements that address immediate practical and operational needs and capability development, with a focus on staffing, assets, equipment and basic communications and networking support and platforms.
- (B) Institutions in this class can sustain and generally seek longer-term systemic CS addressing multiple gaps across the institutional ecosystem.
- (C) Institutions in this class likely seek shorter engagement focussing on specific strategic or innovative objectives as the rest of the institutional machinery is largely functional and/or autonomous internal capacity development is ongoing.

Institutional capacity assessment

After identifying the overarching rationale and orientation of ICS for one or more stakeholders, the process of defining the specific scope and focus of that support (e.g., which capacities should be targeted?) can take various paths.

Stakeholders may have:	Suggestion
1) a clear list of demands and actions they would like the enabling partner to undertake	Retrofit or map the agreed activities to the ICS model <i>to the extent possible</i> .
2) already agreed and committed to ongoing activities that are not up for discussion or redesign	
3) a general sense of objectives but are open to jointly identifying specific gaps and support actions	A comprehensive, jointly completed Capacity Needs Mapping (CNM)

Institutions in **I-ARI class (A)** frequently fall into 1) or 2) above, and have concrete, practical operational demands already articulated at the outset of the CS partnership. These can catalyse immediate support provided the limitations of operational investments (augmentation) in relation to triggering deeper systemic change are clearly articulated and recognised by both sides. An in-depth **capacity needs mapping (CNM) would be useful but is not essential** to initiating engagement. Instead, the requested activities can be mapped or retrofitted to the ICS model (ICS entry-point and/or specific process milestones as may be relevant) to highlight the extent to which those activities might be aligned with the ICS approach (or not).

Institutions in **I-ARI class (B)** often have more complex support requests which require efforts across functional and operational areas, and they may fall in 1), 2) or 3). Thus, while a **comprehensive and systems-oriented institutional capacity assessment or CNM is highly advisable** to help identify capacity assets and gaps, and specific entry-point for CS support, retrofitting ongoing activities to the ICS framework may be necessary.

Institutions in **I-ARI class (C)** often have stronger capacities in most areas and clear political or strategic objectives for which they will see the added value of the enabling partner as providing focussed technical, political or strategic input, visibility and/or access to critical networks and fora. They may also fall into 1) or 3) above (and sometimes 2); depending on the specificity of the stakeholder demand and self-awareness of capacity gaps, a **CNM focussing on a specific functional or operational area** may be helpful; this should be decided together with the stakeholders.

