



# FIELD-BASED PREPAREDNESS PROJECT (FBPP) Capacity Needs Mapping (CNM) Process Guidance

## LOGISTICS CLUSTER FIELD-BASED PREPAREDNESS PROJECT (FBPP) Capacity Needs Mapping (CNM) Process Guidance

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**Who is this document for?** FBPP Preparedness officers starting the process of undertaking a Capacity Needs Mapping (CNM) exercise.

**What does it contain?** A step-by-step process to identifying, classifying and validating those national stakeholders who should be consulted when developing a national logistics preparedness strategy/

**Prerequisite reading?**

1. [Capacity Strengthening Fundamentals](#): Introduces the concepts underpinning the FBPP's Institutional Capacity Strengthening (ICS) approach and the Theory of Change
2. [FBPP ICS Capacity Outcome Statement](#) (COS): Describes the FBPP's overall objective and intent, which drives the Theory of Change.
3. [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).
4. [FBPP Stakeholder Mapping Guidance](#): How to build a broad, inclusive list of stakeholders as the basis for conducting the CNM.
5. [FBPP ICS Theory of Change](#): Lists the five pathways and the underlying capacity bundles used to analyse the national HSC&L system. These pathways and bundles provide the structure into which the Entry Points listed in this document will fit.

**Where can I find a softcopy?** <https://logcluster.org/document/fbpp-gdnc-ics-cnm-process-guidance>

### Project Rationale

The **Field-based Preparedness Project (FBPP)** provides demand-driven, context-specific capacity strengthening support to local humanitarian actors. It facilitates coordinated approaches towards improved, and more localised, humanitarian supply chain preparedness. Through this, it increases the readiness and autonomy of in-country actors to engage in nationally led joint humanitarian logistics responses.

### The Big Picture

The FBPP consists of three main phases: an **analysis and planning** phase, a phase that focusses on supporting **communications, policy and resource advocacy** to pave the way for National Action Plan implementation by national actors, and a phase supporting the lead agency with the **oversight and coordination** of that National Plan implementation process.

The **Capacity Needs Mapping (CNM)** tool is used at the beginning of the FBPP, in the analysis and planning phase, to establish a shared and mutually agreed-upon baseline understanding of the country’s current Humanitarian Supply Chain & Logistics (HSC&L) capacities. It can also be conducted at intervals throughout implementation of the National Action Plan by stakeholders to see where capacity levels are changing. It should be repeated (as a once-off or on a regular basis) when stakeholders feel the National Action Plan milestones have been met to see how HSC&L capacities have evolved.

As CNM findings form the basis for all subsequent FBPP activities, they must be legitimated and/or validated by all stakeholders. This is best achieved when national stakeholders are fully engaged in and actively participate in the CNM process, are the source of its findings and have opportunities to revise and reformulate them at the end of the exercise. If the CNM results are seen as being imposed from outside (i.e., originating from FBPP officers), acceptance of the project and its approach may be jeopardised.

### What is the CNM?

The CNM exercise assesses the existing capacities of the HSC&L preparedness landscape or ecosystem as a whole, and describes them in relation to the five pathways of the ICS framework (described in the [FBPP Theory of Change](#)) through a multi-stakeholder, multi-disciplinary participatory process. The CNM results are validated by stakeholders, who guide the positioning of those capacities along a continuum, ranging from less developed to self-sufficient:

Capacity bundles	Latent			Emergent			Moderate			Self-sufficient		
Capacity bundle 1			X	X	X	X						
Capacity bundle 2		X					X	X	X			
Capacity bundle 3	X	X	X							X		

This process identifies those areas that will need to be addressed through the National Action Plan for HSC&L Preparedness and may guide stakeholder priorities for investment going forward.

The CNM can be used as the primary mechanism for soliciting and structuring information, or it can be used as a container to collect and consolidate information gathered through a range of other exercises.

Undertaking a CNM involves the following steps:

1. Engage other partners
2. Map out and engage stakeholders
3. Customise the CNM to context objectives
4. Pre-compile the CNM
5. Budget for CNM completion
6. Complete the CNM
7. Validate summary findings with stakeholders

### Completing a CNM

#### Step 1. Engage other partners

In many countries the national HSC&L preparedness space can be a crowded one. However, CNM findings can serve many players. Due to the holistic, systems-strengthening approach on which it is based, it can capture information in areas of interest (and action) to many actors. For this reason, ensuring that other actors are part of the exercise and that the FBPP is able

to "broker" their capacities to address emerging gaps will be critical.

This will however require some groundwork by the FBPP team in-country, to explain the Project's capacity strengthening approach to a range of actors before engaging in the practical CNM exercise. The following provides some high-level guidance on how to do this:

**Identify relevant partners.** Leverage the initial stakeholder mapping results from the FBPP Scoping mission. If this is not available, survey the landscape to identify the partners working in the HSC&L sphere. A starting point for this is the NDMO, the FBPP's in-country host organisation. From here, national coordination mechanisms where joint efforts and agency-specific programmes can be identified.

**Sensitise partners on the FBPP approach** and tools and invite them to participate in the CNM. There are a few options to consider:

Scenario 1: contact individual partners, either by email or by phone, and explain the FBPP and its objectives. Explain that in order to inform a National Action Plan, the Project will be completing a Capacity Needs Mapping (CNM) exercise. Describe the scope of the exercise and (a) invite the partner to participate in the process as well as (b) to contribute any specific information they might have to support the exercise.

Once first contact has been made, the FBPP team can contact the technical focal points within the partner organisation, explain the same again, but in more detail and discuss/highlight that the FBPP is keen to:

- have partners contributing to the description of self-sufficient capacities to enhance the relevance of findings to their own areas of work, provided such additions *do not distract from or contradict the HSC&L preparedness objectives of the FBPP*;
- reflect relevant information on current stakeholder capacities that the partner may have and be willing to share --i.e., if they have recently carried out a capacity assessment for their own

purposes. This demonstrates coordination, preparation and reduces stakeholder fatigue.

Scenario 2: Work through an existing partner coordination mechanism, and depending on the forum identified, suggest to the Chair / leadership that the FBPP would like to have an agenda point at the next meeting, to introduce the Project and share basic information about its approach and upcoming Capacity Needs Mapping (CNM) exercise with the wider group.

### Step 2. Map and engage stakeholders

#### Map stakeholders

The CNM must leverage a comprehensive stakeholder mapping of the national HSC&L ecosystem. For guidance on stakeholder mapping (which may include the partners approached through Step 1), consult the [FBPP Stakeholder Mapping Guidance](#).

#### Engage and validate the COS

Early meetings with stakeholders should focus on sensitising them to the FBPP purpose, scope and design. Once there is a consensus that the FBPP is indeed relevant to the country's context, the Project's [Capacity Outcome Statement \(COS\)](#) should be discussed to ensure it aligns with, and addresses, stakeholder expectations. It can be adjusted slightly to speak to the context if necessary; once it is finalised and both sides are comfortable with the COS establishing FBPP direction in country, this should be documented with both parties signing-off (validating) it.

#### Sensitise stakeholders to the CNM

Once the stakeholder mapping has been completed, and the COS validated, it is important to present the idea of the CNM so stakeholders can appreciate that it may help all parties arrive at a shared understanding of existing capacity levels so the FBPP can better support development of a relevant, appropriate and feasible multi-year Action Plan.

Sharing information about the CNM also provides an opportunity to introduce a systems-thinking perspective to ongoing HSC&L preparedness dialogue which

is crucial to identifying and adopting more sustainable and effective behaviours and practices over time.

Though the CNM can be shared as the FBPP approach to this process, it should be clearly stated that it will leverage recent assessments and/or other documentation the stakeholder might wish to share. It should also be clearly explained that it is not assessing the performance of a single institution or even individual, but rather looks at the system as a whole.

An open and transparent dialogue with the stakeholders about the concept, positioning, steps, demands and main outcomes of the CNM is crucial to ensure that the process is horizontal, demand-driven and articulated to answer to their needs.

Preparation and planning of all phases of the CNM must be agreed to by all stakeholders involved. This agreement should be documented and validated.

### Practical planning for the CNM

Depending on stakeholder expectations (largely defined by the formality of the relationship and local culture) the FBPP Team may need to:

- Develop and circulate a tailored concept note on the CNM process to all interested stakeholders and partners;
- Prepare and refine TORs for the assessment process and any stakeholder Focal Points who might be assigned to support the exercise;
- List names, titles and contacts of all stakeholder focal points identified;
- Articulate a timeline and general workplan to facilitate logistic arrangements and timely progress;
- Establish a calendarised work plan with a clear outline of proposed interviews, dates, focus-group discussions, and anticipated deadlines for the completion of data gathering, analysis, discussion and validation of the final report.

### Step 3. Customise the CNM

The CNM has already been customised to the FBPP capacity outcome statement (COS). See the [CNM](#)

[Master Worksheet](#) and the companion document [CNM Guiding Questions \(Detailed\)](#).

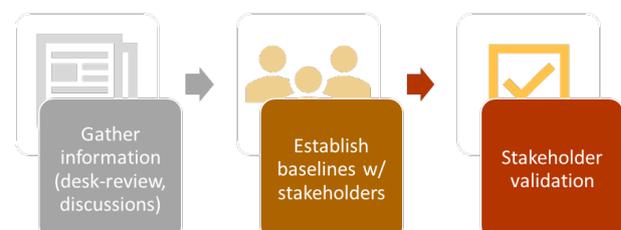
If the COS is tweaked to reflect in-country priorities, the CNM may require slight adjustments to the capacity bundle descriptions. Consult the Regional FBPP Advisor to jointly assess the extent to which this might or might not be necessary.

### Step 4. Pre-compile the CNM

The FBPP will never operate in a vacuum. Lots of information on stakeholder capacities, gaps and demands will almost always be available. The FBPP scoping mission will have gathered relevant information and other actors operating in the HSC&L space will have collected recent information the FBPP should avail of.

It is important to research what is available and to use it to ensure the FBPP Team does not solicit information from stakeholders that has already been provided; this can lead to stakeholder fatigue with such dialogue and reduce FBPP credibility.

The pre-compiling can be spearheaded by the FBPP Team to ensure the lowest possible impact on stakeholders. The pre-compiling gathers evidence of the current state of affairs – but it **does not** suggest or determine the baseline values themselves. These must be determined **together with stakeholders** once the information gathering phase is complete. Once stakeholders define the baseline values, these will need to be validated by the relevant decision-makers in the stakeholder institutions/organisations.



### Information gathering

The FBPP Team will need to investigate, collect and consult **all available information**. This can include, among other things:

- Findings and recommendations emerging from National Strategic Review exercises;
- Key actor/partner technical mission reports;
- Completed and stakeholder-validated reports articulating national outcomes and recognised capacity assets and gaps (e.g., Common Country Assessment (CCA) reports, UNDAFs, UNDAPs, etc.);
- Sector-specific assessments and reports emerging from multi-stakeholder networks (e.g., Logistics Cluster, Food Security Clusters, etc.);
- Notes for the Record (NFRs) from bilateral meetings and discussions with stakeholders relating to new or on-going and well-established dialogue between stakeholders and FBPP during the scoping mission;
- Previously and recently articulated and stakeholder-approved HSC&L programme documents and proposals;
- Relevant third-party stakeholder capacity assessments (e.g., Logistics Capacity Assessments), evaluation and/or audit reports;
- Stakeholder-issued statements or tenders for capacity strengthening support; and
- Any other relevant materials available.

If sufficient information is available, then the FBPP Team can begin to answer the three core questions placed under each capacity bundle (recorded in the [CNM Master Worksheet](#)):

1. *Describe existing capacities, main gaps and challenges.*
2. *What needs to happen to address gaps and raise capacity?*
3. *Are any partners already working to support stakeholders in this area? Who, where and in what way?*

In precompiling a CNM it is very important to provide **sufficient detail** because this will become the narrative that will underpin the baseline values that will be defined together with stakeholders, and eventually referred back to at a later point in time, when Project evaluation takes place. It is equally important therefore to clearly indicate **information sources**.

Where information is missing, the FBPP Team can:

- 1) Solicit additional inputs in a low-impact way, through bilateral discussions with key informants (through emails, phone calls, meetings, etc.)
- 2) Consider a wider workshop type setting to collect various inputs from various stakeholders.

It is recommended to take the lowest impact route (the first option above) but this determination may be governed by context and stakeholder preferences.

### Step 5. Budget for CNM completion

Budgeting for the costs of undertaking the CNM exercise is critical. This can include the costs for workshop venues, catering and support (e.g. sound systems, interpreters, etc.), translation of materials, and/or transport costs. Procurement timelines and processes may have an impact and should be factored in.

Where the FBPP is operating through a WFP Country Office, it is important to have a clear understanding of the Country Office's policy on reimbursing and/or incentivising meeting participants. In the absence of a policy, the FBPP recommends NOT incentivising participation, as it undermines the fundamental principle of institutional capacity strengthening – which is that it should be valued and sought by those engaging in it – and it can also skew assessment results, and/or may set a precedent that is difficult to maintain long-term.

### Step 6. Complete the CNM

#### Determine baseline values

Once the information gathering phase of the CNM is complete, the information must be validated by stakeholders and baseline values determined. This **must be done together with stakeholders**.

For each **capacity bundle** listed in the CNM, and considering the information gathered, stakeholders will be asked to determine how well it describes current capacities of the HSC&L system, and to indicate how these align with the capacity descriptions provided in the [CNM Guiding Questions](#).

The capacity descriptions are provided for four capacity levels – **latent**, **emergent**, **moderate** and **self-sufficient**. Stakeholders can position current capacities in relation to the capacity levels:

The choice of modality for completing this phase of the CNM will depend on the context; it may be informed by the criteria presented on the next page (and any others relevant to context).

Capacity bundles	Latent	Emergent	Moderate	Self-sufficient
Capacity bundle 1		X	X	X
Capacity bundle 2	X		X	X
Capacity bundle 3	X	X	X	

### Selection criteria to guide Stakeholder engagement in CNM completion

Criterion	Use a <i>workshop</i> when	Engage in <i>bilateral discussions</i> when
<b>Reputation and relationship with the stakeholder</b>	FBPP has a strong relationship with the key stakeholder, is recognised as a legitimate enabling partner and has adequate convening power and legitimacy	FBPP positioning with the key stakeholders is new, evolving, fragile and may not have adequate convening power or legitimacy
<b>Sensitivity levels around HSC&amp;L preparedness, political context and culture</b>	National HSC&L preparedness outcomes, objectives and related roles and responsibilities are commonly and overtly recognised across the board; there is low sensitivity around the issues discussed, and discussions can be held in an open forum. There is a culture of participatory dialogue and decision-making.	Sensitivity surrounds the outcomes, objectives and/or related roles and responsibilities of stakeholders in HSC&L preparedness; cultural or political tensions may indicate a preference for discrete and/ or closed-doors discussions; widespread consultation may not be welcome.
<b>Stakeholder availability and complexity of coordination</b>	Fewer stakeholders need to be involved or all stakeholders are from the same institution and it is relatively easy to schedule events and confirm people's availability. Organising/coordinating an event is not overly time-consuming or complicated.	Multiple stakeholders need to be involved given the subject matter, but it can be hard to pull them all together given schedules and varying levels of engagement or buy-in; obtaining guarantees of availability is challenging and organising an event is very time-consuming and complicated.
<b>Financial resources</b>	Local costs for organising workshop events are affordable; there are no expectations of participation incentives and the FBPP Team has budget to cover similar events.	There is limited budget available to organise complex events; local costs for organising events are extremely high; a culture of participation incentives is evident (which FBPP would not support)
<b>FBPP Team capacity</b>	FBPP Expert or Officers have strong facilitation skills, have understood the FBPP and is confident in leading the CNM exercise and resulting Action Plan design process.	Internal facilitation skills are weak, or resources are limited (human, time, financial, knowledge); FBPP Team skills in capacity strengthening are still being developed and there is a lack of confidence in the Team on how to tackle the exercise.

### Step 7. Validate the final CNM

In all cases, the final narrative that emerges from the CNM – whether completed by the stakeholders themselves during a multi-stakeholder workshop, OR completed by FBPP after the workshop, OR building on third-party capacity assessments, historical information and various bilateral discussions with key informants – **MUST be validated by the stakeholders**. This means the final narrative MUST be written up clearly and circulated to all interested parties for their review and feedback.

Proper validation of CNM findings means that the FBPP Team has **documented stakeholder approval** of the final CNM baseline values and narratives **and can show evidence of the following**:

- Information sources for any pre-compiled sections (desk-review work)
- Dialogue with stakeholders whether through workshop setting (summary notes) or bilateral discussions (Notes for the record), all of which carry written and official stakeholder confirmation of approval/acceptance
- Official, written clearance by stakeholders, of the final CNM summary of findings, in which key capacity assets, gaps and needs are acknowledged
- Note: if these were taken from desk-review, or other written sources that were at the outset already approved by stakeholders (e.g., UNDAF, third-part capacity assessments), it is sufficient to document these appropriately (see first bullet point above.)

#### Why the focus on official, documented validation?

Capacity strengthening processes take time to yield evident results. As time passes, original intentions, discussions and agreements can be swayed by changing contexts, individuals, pressures, etc. or simply, a lack of documented focus and organisation. The FBPP will be held accountable for what it commits to at the beginning of its engagement in a country. It is essential therefore that the FBPP – and interested stakeholders – arrive at a shared understanding of what those expectations are, and that those be documented for future reference and accountability (both internal and external to FBPP).

Validation can be obtained and documented in various ways. The following are a few basic considerations that stems from the processes used for the information gathering and determination of the baseline values with stakeholders:

**Multi-stakeholder workshop.** During the wrap-up of the CNM workshop, it was possible to arrive at a final CNM summary narrative. This can be "validated" by having participating stakeholder representatives physically place their signatures on the final printed version of this narrative. This can then be scanned and circulated to all participants for their reference.

#### OR

During the wrap-up of the workshop, it was possible to arrive at a final CNM summary narrative, but participating stakeholder representatives do not carry the authority to "approve" the findings on behalf of their institutions. The final version of the narrative can be circulated to all participants after the workshop for clearance within their respective institutions. Bilateral follow-up may be required.

**Bilateral discussions with key informants.** A summary narrative is extracted from all the dialogue entertained and shared with key informants separately. Feedback is incorporated and the final that results is shared once again with all informants for their official clearance. Acceptable forms of clearance include signed copies of the final narrative and/or any written correspondence in which said narrative is explicitly approved.

**Pre-compiled completion by FBPP.** A summary narrative is extracted from the desk-review and shared with key informants. In this case, preparatory dialogue with key informants will be essential to avoid misunderstanding/misinterpretation of FBPP interest and intentions. Stakeholder feedback is incorporated and the final that results is shared once again with all informants for their official clearance. Acceptable forms of clearance include signed copies of the final narrative and/or any written correspondence in which said narrative is explicitly approved.