



Humanitarian Organisational Capacity Assessment

Methodology

'HUCAM'

1..Purpose

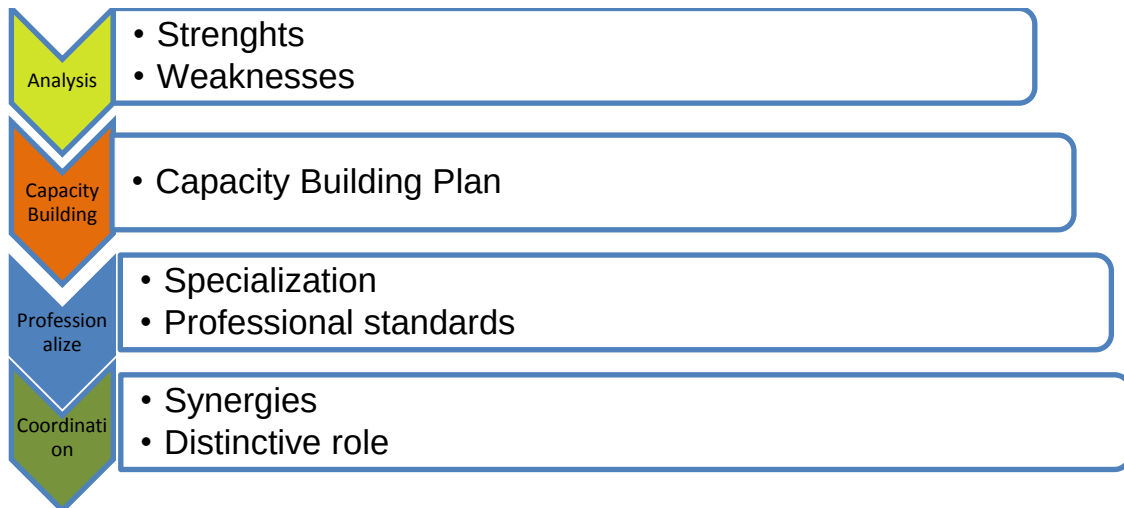
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This methodology 'HUCAM' is designed to assess Humanitarian Organizational Capacities. It is based on a multiple dimensional analysis model, organized in critical clusters of capacities.

Its use is supposed to be universal, although adjustments should be made depending on the context.

The purpose of this tool is:

1. To have a comprehensive analysis of levels of humanitarian capacity in different organizational areas, in order to know the strengths and weaknesses in humanitarian terms of a given organization.
2. To help organizations to define capacity building plans
3. To promote areas of specialization and professionalization according with strengths of organizations
4. To facilitate synergies and coordination among humanitarian organizations





2..Clustering Humanitarian capacities

All organisational Humanitarian Capacities are grouped in five clusters.





Content of each cluster: Each cluster is divided in different areas, as follows:

1. Identity / mission (Who &Why)

This is the central pillar of all organisational capacities. It responds to the central questions Who the organisation is, and Why they do what they do.

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2.- Managerial Capacities (Hard How)

This cluster responds to the question of How the Organisation manages and organises itself and its activities; How is it organised to achieve its objectives. It is the so called “Hard How”.





3.- Approach, Commitment (Soft How)

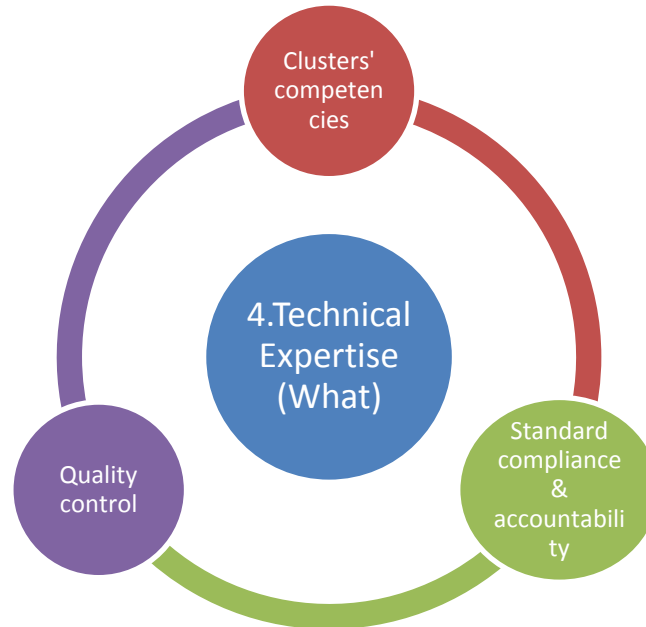
This cluster responds to the question of How the Organisation approaches its work. It talks about perspectives, understanding and interpretation in practice of fundamental aspects. It is related to policy in practice. It is the so called “Soft How”.





4.- Technical Expertise (What)

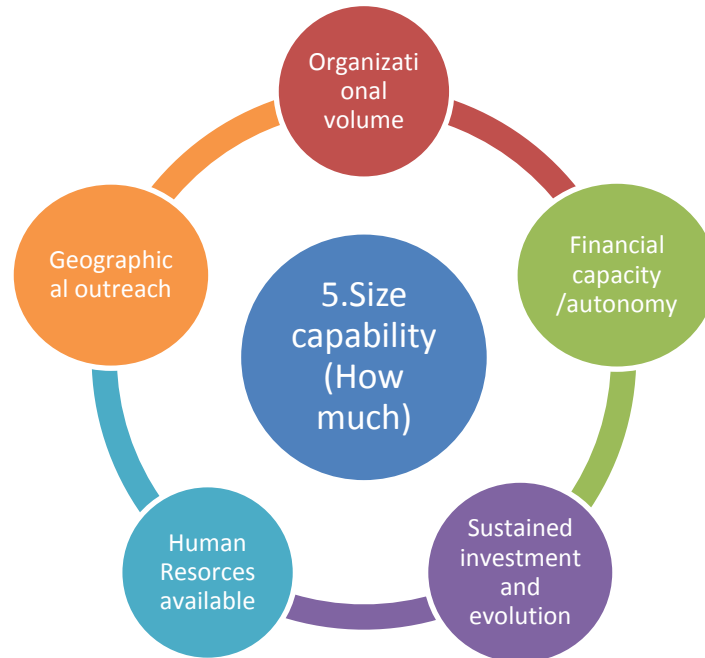
This cluster responds to the question What the organisation is able to do. What are its areas of expertise or potential capacity. It approaches the question of qualified knowledge, expertise and capacity. It is the so called “What”.





5.- Size Capability (How much)

This is a dimensional-measuring cluster. It responds to the question How much the organisation is able to do, it builds on previous clusters from the perspective of the Organisational Size.





All capacities are listed as follows:

Capacity Cluster	Capacity/thematic area
1. Identity and Mission (Who & Why)	1. Values Mandate* 2. Purpose* 3. Leadership* 4. Attitudes*
2. Managerial Capacities (Hard How)	1. Finances* 2. Human Resources 3. Logistics 4. Time 5. Analytical* 6. Strategizing* 7. Planning and Programming 8. Programme Management (includes M&E)* 9. Knowledge Management 10. Governance and decision making* 11. Organisational Structure and processes 12. Networking and alliance building* 13. Communications 14. Advocacy 15. Risk Management 16. Institutional Resilience
3. Approach, Commitment (Soft How)	1. Gender Approach* 2. Conflict sensitiveness 3. Rights based Approach 4. Connectedness, Resilience and DRR approach 5. Highly Vulnerable Groups/Individuals (e.g.: HIV/AIDS,...)
4. Technical Expertise (What)	1. Clusters' Competencies 2. Standards' compliance and accountability 3. Quality Control management
5. Size Capability (How much)	1. Organizational volume 2. Financial capacity /autonomy 3. Sustained investment and evolution 4. Human Resources available 5. Geographical outreach

Note: The areas marked with an asterisk (*) means that they are critical aspects. Meaning that these aspects should be well guaranteed in any "good" Humanitarian Organisation. (Others could be added depending o specific contexts)





3..Implementing methodology

In order to implement this methodology, the following actions and steps should be taken into account:

The person conducting the assessment (better if it is done by two persons), should present to the organization assessed the following points:

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1. Context of the assessment process, at the highest level of the organization
2. Purpose of assessment
3. Rules of engagement, (respect, openness, confidentiality, transparency, feedback on conclusions achieved.)

Interviews should be done at different levels:

1. Senior managers, technical staff and administrative staff.
2. Benchmarking with other partners.

Guiding Questions / (issues to address) per block:

These questions (or issues to be addressed) are indicative; other questions could be added or modified as per context.

In all questions examples will be requested to prove consistency of answers

Answers should be noted and later on scored on the table below (chapter 4, and on the excel file), on a scale from 0 to 5 (being zero no capacity at all, 1 little capacity, 2 some capacity, 3 enough capacity, 4 good capacity, 5 excellent capacity)

Scoring should be done after the interview and should be done separately by the two persons conducting the assessment and then check and agree on a single result.

If only one person conducts the assessment it is recommended to do the scoring twice with a difference of 24 hours and see if the values are similar or if there is any discrepancy between the two scoring; and if so adjust it as per notes taken during interviews, and reflections made in a comprehensive manner.





1. Identity / mission (Who &Why)



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1. Values Mandate*	• Spontaneous description of institutional values • Prioritising these values • Is mandate legally reflected in Statutes?
2. Purpose*	• Spontaneous description of institutional purpose • Focus on core purpose • Documents supporting this
3. Leadership*	• Type of leadership • Dissemination of leadership • Potential leadership • Adequate / adaptable/ situational leadership
4. Attitudes*	Observed attitudes on: • Human suffering • Values in practice • unplanned situations (adaptability) • Rigour and accountability • Gender • Rights approach



2.- Managerial Capacities (Hard How)



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1. Finances*	- Accounting systems in place (check at least 5 years) - Budget in place and monitoring tools (check 5 years) - Financial Management (investment, Treasury) - Liquidity - Volume of funds managed over last 5 years. - Capacity to absorb and manage large amounts of money - Reporting systems - External registered Audits done - Administration costs volume and limiting criteria - Sustainable and diversified income
2. Human Resources	- Available staff (number and structure) - Specialized Staff per functional area and on Humanitarian field - HR policy in place or guiding criteria - Recruitment processes - HR surge capacity - Training and induction policies - Volunteers and related policy
3. Logistics	- Storage capacity or access to it - Mobility capacity - Communication equipments - Chain supply management capacity





4. Time	• Timeliness of decision making • Time to do Needs Assessments • Time to elaborate / present project proposals • Time to approve programmes • Time to move from decisions to implementation
5. Analytical capacity*	• Orientation to analysis and balance with execution. • Tools available for analysis and correlation with decision making • Sources of information and analysis • At what level analysis is made?
6. Strategizing*	• Comprehensive perspective of the organization • Institutional environmental analysis • Self recognition of strengths and weaknesses • Capacity to prioritize • Strategizing methodology • Strategic Plan available and in use
7. Planning and Programming	• Planning orientation • Planning and programming tools available • Institutional sequence of planning • Use of planning in practice • Readjustment of planning
8. Programme Management (includes M&E)*	• There is a good understanding of the project cycle • Technical staff and others attached are familiar with programme management and basic tools • Planning, finances, logs, etc are well informed and coordinated for programme management • There is a clear programme manager assigned to each key programme. • Crosscutting issues do have a methodology to be integrated in all programmes • All programmes have an adequate Monitor & Evaluation accompaniment that feeds into the knowledge management of the organisation
9. Knowledge Management	• Lesson learnt from evaluations are fed into the institution • Examples of institutional change based on lessons learnt • There are induction packages for new members • Senior staff and junior staff do have the opportunity to share knowledge and refresh it. • Is there a system to access institutional knowledge? • Are there internet or intranet facilities to share knowledge?
10. Governance and decision making*	• Clear Governance and management structure • Definition of roles and functions in place • Autonomy and respect of institutional boundaries • Decision based on institutional values and mandate?
11. Organisational Structure and processes	• Governance, management and admin-log roles and functions are well defined and is well disseminated across the institution • Functional processes are clear and not too heavy. • Flexibility and capacity of interpretation, assumption of responsibilities are in place and stimulated.
12. Networking and	• Membership of Networks and platforms





alliance building*	• Is there a proactive attitude to share and coordinate with others • Participation in Coordination Fora (who participates and under which agenda?) • Relation with National Civil Protection (or equivalent national Bodies)
13. Communications	• The institution has a communications strategy • There is a functional area with responsible staff (even part time) in charge of communication • General manager (Executive Director) is directly involved in communications policy • There is a correlation between communications and all core activities of the organization.
14. Advocacy	• There is a formal written policy on advocacy defining the when, the what and the whom to advocate • Advocacy implementation is directly under supervision of General Manager. • There is a risk assessment in all advocacy activities
15. Risk Management	• There is a good understanding of risk management at governance, management and programming level • There are specific tools to assess risk and to react accordingly • Examples of Risk management in practice. • Beneficiaries, HR, Finance, and institutional Risks are assessed.
16. Institutional Resilience	• Capacity to replace key staff • Capacity to expand activities, keeping a principled management control • Empowered Delegation capacity • Capacity to adapt policies and come back to baseline as needed



3.- Approach, Commitment (Soft How)



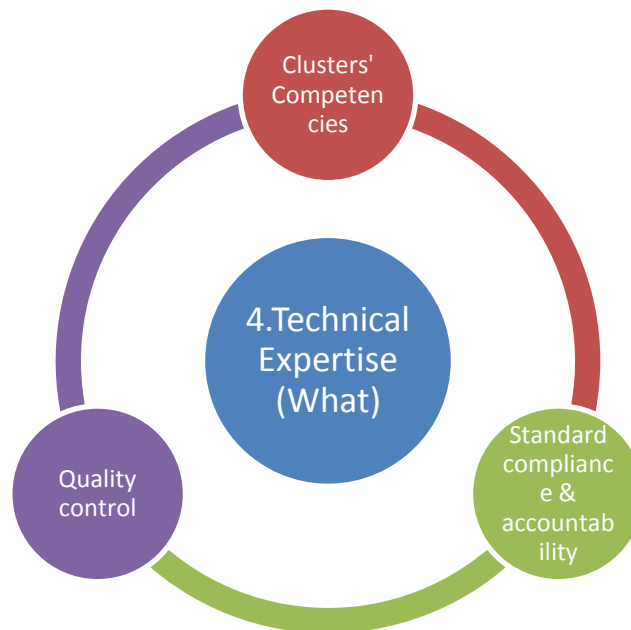
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1. Gender Approach*	• Good understanding of gender issues and gender power dynamics • Specific practices are in place related to gender approach applied to: ○ Internal structure and responsibilities ○ Programme design ○ Programme implementation
2. Conflict sensitiveness	• Good understanding of potential conflicts attached to programme at programme scale and contextual scale • There is a way to do potential conflict assessment, inform about risk associated and inform decision making. • Decisions made take into account conflict sensitivity • There are mechanisms to minimise or reduce negative conflict impact.
3. Rights based Approach	• Organisational understanding of the Rights of “beneficiaries” and all parties involved in organizational activities and programmes • Institutional motivation of work includes in a clear manner Rights of people • Entitlement of beneficiaries is a driving force for improving quality of the organizations • Entitlement of “beneficiaries” is a driving force for the design and management of programmes
4. Connectedness, Resilience and DRR approach	• Understanding of Resilience • Understanding of DRR. • All programmes include a Resilience-DRR approach and activities are budgeted for it.
6. Highly Vulnerable Individuals /Groups (HVI/G)	• Attention to HVI/G is integrated in all programmes • Coordination with other organisations platforms around HVI/G is done systematically





4.- Technical Expertise (What)



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1. Clusters' Competencies (Protection, WASH, Shelter, Food, Nutrition, Livelihoods, Education, Camp Management, etc.)	- Has the Organisation developed experience in these sector over at least three years? - Is the Organisation updated with Sphere Standards? - Is the Organisation updated with UN Cluster system? - Does the Organisation coordinate with UNICEF, FAO, WFP and OCHA? - Does the Organisation coordinate with Civil Protection (or equivalent National bodies)? - Does the Organisation coordinate with the Ministry of Public Works (or similar)? - Does the Organisation have specialised cluster equipment available? - Does the Organisation have specialised cluster skilled staff and an available roster?
2. Standards' compliance and accountability	- Knowledge and use of key standards: - Code of Conduct - Core Humanitarian Standards - Sphere - HAP (People in Aid) - Specific tools for monitoring of compliance - Regular refreshment training - Standards are part of induction package
3. Quality Control management	- Is there a culture of Quality management? - Which KPI (Key Performance Indicators) are used and monitored? - Measures taken over the last 12 months to improve quality

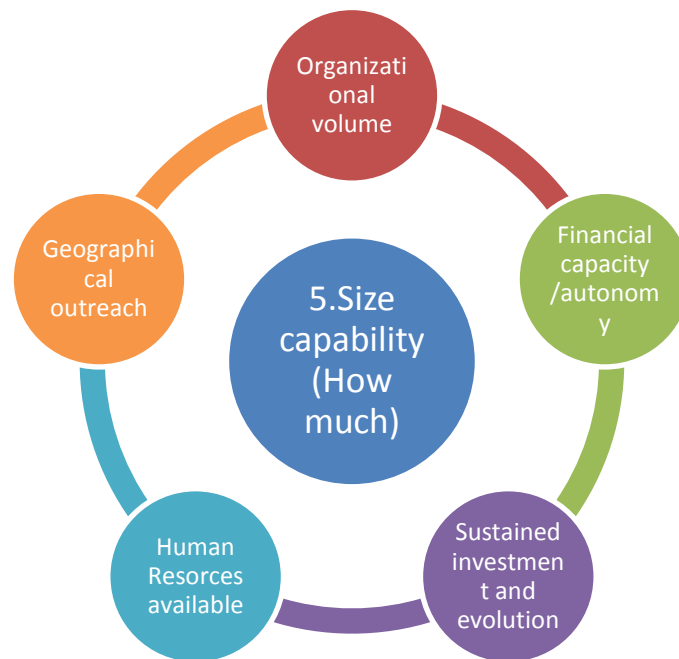




management.

5.- Size Capability (How much)

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1. Organizational volume	- Financial Volume: annual budget over last five years and assets - Number of full time equivalent (fte) regular staff - Presence in the territory - Delegations and/or total size of global organization
2. Financial capacity /autonomy	- Total annual Budget - Budget income distribution over the last three years - Budget autonomy versus HQ or donors decisions
3. Sustained investment and evolution	- Total investment in Humanitarian action over the last five years and projections for the next five years - Humanitarian Percentage over total programme budget - Humanitarian structure percentage over total structure
4. Human Resources available	- Total Humanitarian specialised resources over total Organizational staff. - Rooster available and reliability of the rooster. - Attraction incentives for HR during time of crisis.
5. Geographical outreach	- Areas of previous interventions. - Contact with local municipal Chiefs, and or CBOs - Knowledge of languages - Permanent or temporary local antennas or posts to reach key areas

4..Assessment of Capacities



Humanitarian Organisational Capacity Assessment Methodology. 'HUCAM'.
Designed by Fernando Almansa Updated version 1st July 2016

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Based on the analysis of the questions and research made the following tables of strengths and weaknesses should be filled.

Cluster	Thematic area	Score (0-5)	Strengths	Weaknesses
1. Identity and Mission	1. Values Mandate*		•	•
	2. Purpose*		•	
	3. Leadership*		•	•
	4. Attitudes*		•	•
2. Managerial Capacities (Hard How)	1. Finances*		•	•
	2. Human Resources		•	•
	3. Logistics		•	•
	4. Time management		•	•
	5. Analytical*		•	•
	6. Strategizing*		•	•
	7. Planning and Programming		•	•
	8. Programme Management* (includes M&E)		•	•
	9. Knowledge Management		•	
	10. Governance and decision making*		•	•
	11. Organisational Structure and processes		•	•
	12. Networking and alliance building*		•	•
	13. Communications		•	•
	14. Advocacy		•	•
	15. Risk Management		•	•
	16. Institutional Resilience		•	•
3.- Approach, Commitment (Soft How)	1. Gender Approach*		•	•
	2. Conflict sensitiveness		•	•
	3. Rights based Approach		•	•
	4. Connectedness, Resilience & DRR		•	•
	5. Highly Vulnerable Individuals / Groups		•	•
4.- Technical Expertise (What)	1. Clusters' Competencies		•	•
	2. Standards' compliance & accountability		•	•
	3. Quality Control management		•	•
5.- Size Capability (How much)	1. Organizational volume		•	•
	2. Financial capacity /autonomy		•	•
	3. Sustained investment and evolution		•	•
	4. Human Resources available		•	•
	5. Geographical outreach		•	•

Note: items marked with * means they are critical and a scoring equal or above 3 should be required for a reliable humanitarian organisation

The above exercise will give a qualitative analysis of capacities

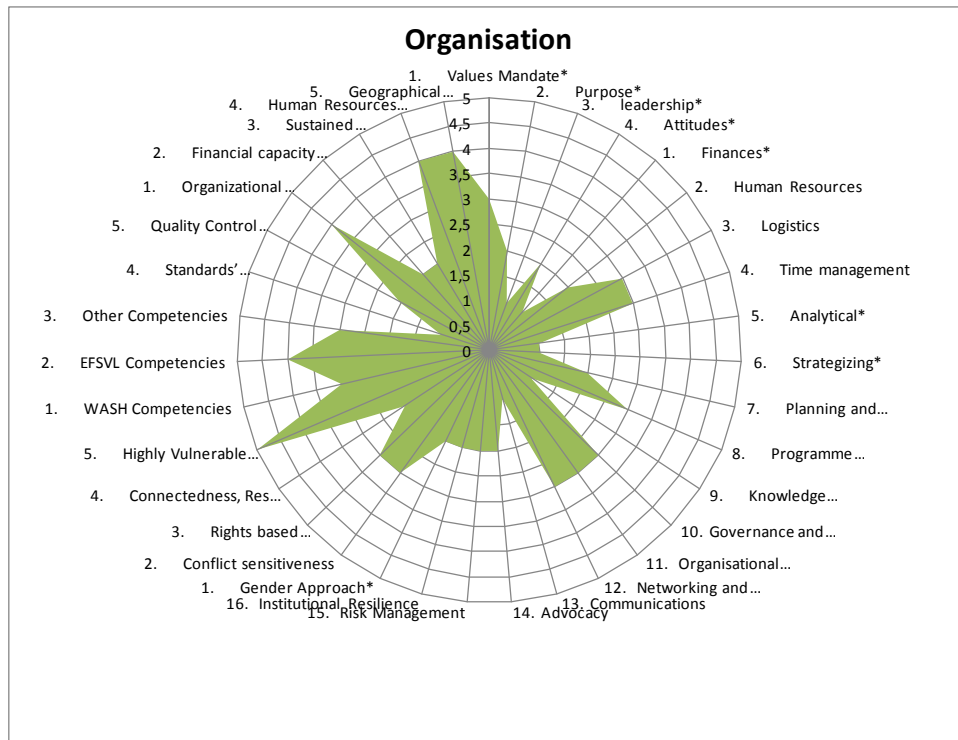
Simultaneously a quantitative analysis should be made. Scoring from 0 to 5 being 0 no capacity at all, and 5 maximum (fully adequate capacity). This quantitative scoring should be taken to an assessment excel file in order to work out the necessary analysis and graphs. Note: items marked with * (critical capacities) should score equal or above 3 in order to ensure a reliable humanitarian organization and potential partnership. Based on these values, the Excel file calculates the **Critical Capacity Index**, which



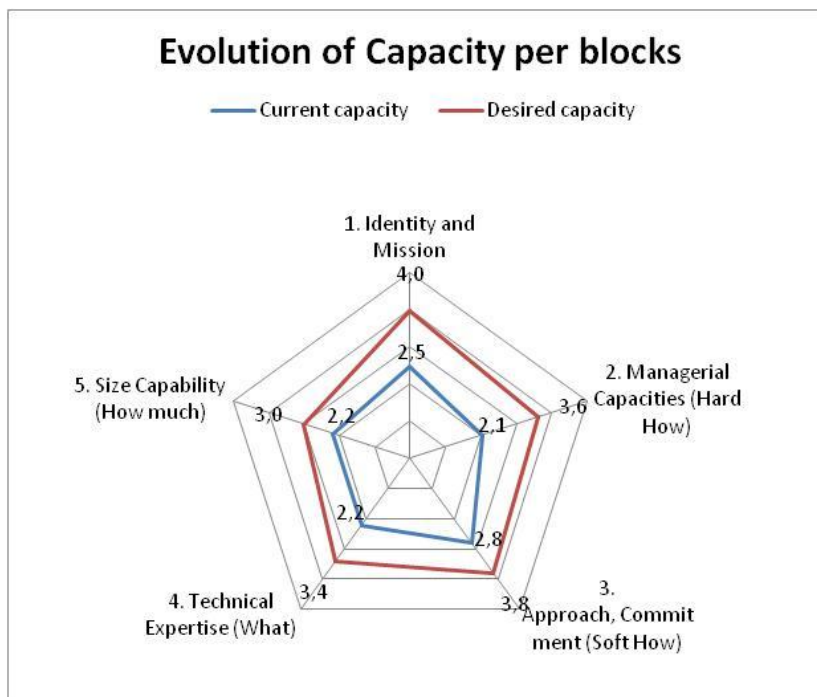


should evolve to a value above 3, and all and each one of its items should also be above 3.

(see samples below)



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5..Capacity development plan





Based on this analysis a Capacity Development Plan should be outlined. The following format could help on this.

Capacity Cluster	CAPACITY ACTIONS	OUTCOMES	FORMAT	SCHEDULE	BUDGET
1. Identity and Mission (Who & Why)	•	•	•	•	•
2. Managerial Capacities (Hard How)	•	•	•	•	•
3. Approach, Commitment (Soft How)	•	•	•	•	•
4. Technical Expertise (What)	•	•	•	•	•
5. Size Capability (How much)	•	•	•	•	•



6..Preliminary analysis of investment efficiency

It must be noted that not all investments produce the same results in terms of cost efficiency. Therefore an analysis should be made of the most cost-efficient approaches, and connect this with the critical dimensions identified above.

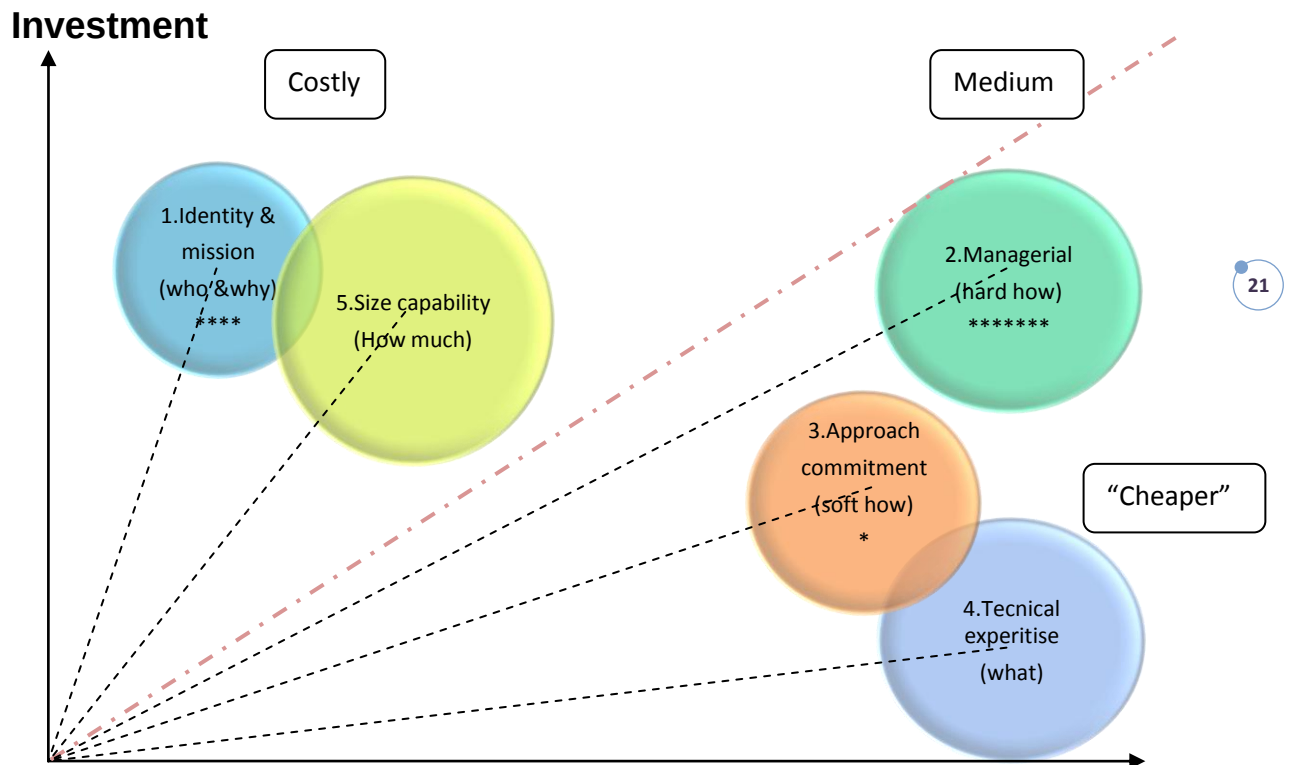
Graph below represents the relation between investments required to increase effectiveness as per different areas. Bubbles size shows the relative investment in financial terms among the five different areas. Some areas are more sensitive to increase effectiveness (Capacity) with relative lower investment. As it is the case of technical expertise; but others such as Identity and mission will require more that money to make changes of relative impact.

It should be noted that cluster 1 (Identity and Mission) has all its elements marked as critical, and several elements of cluster 2 (Management) also; meaning that some critical aspects will require a long term sustained investment to achieve impactful results.

Beyond the results provided by this tool, sound judgment should be done in terms of what the Organisation want to be, look like and do in the future, so that investments and capacity building are guided on a “institutional mission-political steer” and not only on technical or managerial considerations.

This should be reflected in terms of what could be achieved by when and under which type of investment, money, training courses, accompaniment, etc.





7..Organisation feed back and Plans' adjustment.

Final step will be to give feedback to the organization and adjust analysis and capacity plan and if appropriate leading to sign partnership contracts.

END

