



HUCOCA

HUMANITARIAN COUNTRY CAPACITY ANALYSIS METHODOLOGY

Revised version March 2019

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1. Introduction

This methodology 'HUCOCA' has been developed on the basis of previous versions of the methodology after having been used in more than 30 countries across the world. This version replaces the previous ones and is intended to provide more clarity, simplicity in its use and consistency on the different parts of it; while giving more emphasis on gender analysis within the Humanitarian capacities.



1. Purpose

The HUCOCA methodology is just a part of a wider process for transformational change; so HUCOCA is not and end in itself but an important step in a long term transformational process oriented to promote and support the leadership of local humanitarian actors based on enhancing their capacity as principled humanitarian actors.

This methodology 'HUCOCA' is based on the HUCAM standard organisational methodology, and it is adapted to be used at country level. Combining organisational analysis and country context and interaction among different stakeholders, power analysis and driving forces.

It is based on a multiple dimensional analysis model, organized in critical clusters of capacities.

The purpose of this tool is:

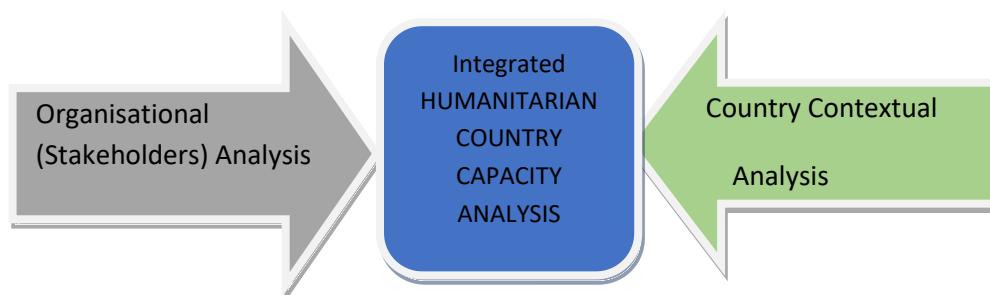
1. To have a comprehensive analysis of humanitarian capacities at country level, based on organisational analysis, contextual country analysis and integration of those analysis
2. To assist national humanitarian actors in developing and agreeing a common understanding of the humanitarian profile of the country and agree on the most relevant issues that need to be addressed
3. To help local humanitarian actors to define joint strategic capacity building plans, that will ensure that collective national humanitarian capacity is efficiently enhanced while facilitating synergies and coordination among different country humanitarian stakeholders





2. Comprehensive analysis of humanitarian capacity.

This analysis will integrate individual organisational analysis and country- context analysis.



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2.1 Organizational analysis of humanitarian capacities.

The HUCOCA analysis will follow a simplified version of the HUCAM methodology¹, which clusters Humanitarian Capacities in five areas of analysis, and each one is subdivided in different thematic dimension. The dimensions analysed here have been simplified, reduced or combined from the HUCAM organizational methodology in order to make it more manageable. While some information may be lost the overall gains on simplicity and global understanding are greater than the detailed information that could emerge from a more detailed “HUCAM” organizational analysis.

Humanitarian organisations willing to have a more detail analysis of its own organisations are invited to use the HUCAM methodology.

The five capacity clusters are on:

1. Identity
2. Management
3. Approach
4. Technical Expertise
5. Size

These five clusters try to capture what should be a “**Principled, professional, committed, competent and effective humanitarian organization**”, therefore to explore the principle dimension specific elements of its identity have to be researched. To understand the professionalism of an organization its managerial capacity has to be explored in different dimensions.

To know its humanitarian commitment it is essential to know how organisations approach its work. Technical capacities ought to be explored to define its level of humanitarian competency. Its capacity of outreach correlates to its size; being humanitarian outreach a essential element of the humanitarian work this cluster should be part of any organizational humanitarian analysis

¹Refer to HUCAM at www.fernandoalmansa.com

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1. Identity and 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”. It refers to its values, its humanitarian mandate, their leadership and its attitudes. It is about understanding the essence of the humanitarian identity of the organisation. Exploring if the organisation is a genuine humanitarian organisation and how solid its humanitarian identity is
2. Managerial Capacities (Hard How)	This cluster responds to the question of “How the Organisation manages and organises itself and its humanitarian activities”; How is it organised to achieve its humanitarian mandate and objectives. It involves all aspects related to the management of the organisation but always from a humanitarian perspective. It is the so called “Hard How”.
3. Approach, Commitment (Soft How)	This cluster responds to the question of How the Organisation approaches its humanitarian work in practice. It talks about perspectives, understanding and interpretation in practice of fundamental humanitarian 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 in concrete practical sectorial terms”. What are its areas of expertise or technical capacity. It approaches the question of specialised 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 humanitarian work the organisation is able to do”, it builds on previous clusters from the perspective of the Organisational Size.



HUCOCA Organisational capacities table <i>(simplified version of HUCAM)</i>		
Capacity Cluster	#	Capacity/thematic dimension²
1. Identity and Mission (Who & Why)	1.1	Values Mandate*. Purpose*
	1.2	Leadership*. Attitudes*
2. Managerial Capacities (Hard How)	2.1	Finances*
	2.2	Human Resources*
	2.3	Logistics. Time
	2.4	Analytical*. Strategizing*. Planning and Programming
	2.5	Programme Management (includes M&E)*. Knowledge Management
	2.6	Governance and decision making *Organisational Structure and processes
	2.7	Networking and alliance building*
	2.8	Communications. Advocacy
	2.9	Risk Management. Institutional Resilience
3. Approach, Commitment (Soft How)	3.1	Gender Approach*
	3.2	Conflict sensitiveness. Rights based Approach
	3.3	Connectedness, Resilience and DRR approach
	3.4	Highly Vulnerable individuals / Groups
4. Technical Expertise (What)	4.1	WASH Competencies. EFSVL Competencies. Other Competencies
	4.2	Standards' compliance and accountability. Quality Control management
5. Size Capability (How much)	5.1	Organizational volume. Financial capacity /autonomy. Sustained investment and evolution. Human Resources available
	5.2	Geographical outreach

² HUCOCA dimensions integrate several dimensions from HUCAM

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2.1.1 Guiding Questions / (issues to address) per block:

These questions (or issues to be addressed) are indicative; in all questions examples will be requested to prove consistency of answers

Answers should be noted and later on scored on the table below 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).

The questions have been further elaborated, from previous versions, in order to capture gender dimensions more specifically.



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”.

1.1	Values Mandate* Purpose*	- Spontaneous description of institutional values - Prioritising these values - Inclusion of <u>gender justice</u> in Organisational values - Spontaneous description of institutional purpose - Focus on core purpose - Is the mandate legally reflected in Statutes? - Documents supporting this
1.2	Leadership* Attitudes*	- Type of leadership - Dissemination of leadership - Potential leadership - Adequate / adaptable/ situational leadership - <u>Women in leadership</u> - Gender power analysis Observed attitudes on: - Human suffering - Values in practice - unplanned situations (adaptability) - Rigour and accountability - Gender justice - Rights approach

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”.

2.1	Finances*	- Accounting systems in place (check at least 5 years) - Budget in place and monitoring tools (check 5 years)
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		- 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
2.2	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 - Staff commitment and value based - HR surge capacity - Training and induction policies - Volunteers and related policy
2.3	Logistics Time	- Storage capacity or access to it - Mobility capacity - Communication equipment - Chain supply management capacity - 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
2.4	Analytical capacity* Strategizing* Planning and Programming	- 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? - <u>Women's participation in the analytical process and as key designers</u> of the Humanitarian Policies, and Strategies - 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 - Planning orientation - Planning and programming tools available - Institutional sequence of planning - Use of planning in practice - Readjustment of planning





2.5	Programme Management (includes M&E)* Knowledge Management	- 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 - Lessons 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?
2.6	Governance and decision making* Organisational Structure and processes	- Clear Governance and management structure - Definition of roles and functions in place - Autonomy and respect of institutional boundaries - Decisions are based on institutional values and mandate? - 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.
2.7	Networking and alliance building*	- Membership of Networks and platforms - 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) - <u>Networking with Women's rights' organizations</u> to improve Humanitarian work
2.8	Communications Advocacy	- 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. - There is a formal written policy on advocacy defining when, on what and to whom to advocate - Advocacy implementation is directly under supervision of General Manager. - There is a risk assessment in all advocacy activities





2.9	Risk Management and Institutional Resilience	- 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, Financial, and institutional Risks are assessed. - 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
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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”.

3.1	Gender Approach*	- Good understanding of gender issues and gender power dynamics - Inclusion of <u>gender justice, and women’s rights’ approach</u> to shape the Humanitarian work - <u>Women’s participation, consultation and leadership in the design of</u> Humanitarian Policies, Strategies and programmes - <u>Engagement and consultation with Women’s rights’ organizations</u> to influence and shape the Humanitarian approach - Specific practices are in place related to gender approach applied to: ✓ Internal structure and responsibilities ✓ Programme design ✓ Programme implementation
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3.2	Conflict sensitiveness Rights based Approach	- Good understanding of potential conflicts attached to programme at programme scale and contextual level - There is a way to do potential conflict assessment, inform about risks associated and inform decision making. - Decisions made take into account conflict sensitivity - There are mechanisms to mitigate, minimise or reduce negative conflict related impacts. - 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 the design and management of programmes and improving quality of the organizations
3.3	Connectedness, Resilience and DRR (Disaster Risk Reduction) approach	- Understanding of Resilience - Understanding of DRR. - All programmes include a Resilience-DRR approach and activities are budgeted for it.
3.4	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)

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”.

4.1	WASH Competencies EFSVL Competencies Other Competencies	- Experience developed (at least three years) - Equipment and Stores /Warehouses - Skilled Staff and available roster - Coordination with Civil Protection (or equivalent National bodies) - Coordination with Ministry of Agriculture and Health - Coordination with Ministry of Public Works (or similar) - Updated with UN Cluster system - Coordination with WFP/FAO - Coordination with UNICEF - Other Clusters (Nutrition, Education, Protection, Shelter, Communications, Logistics, camp management & coordination,...)
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4.2	Standards' compliance and accountability Quality Control management	- Knowledge and use of key standards: - Code of Conduct - CHS (Core Humanitarian Standard) - Sphere - (HAP) / (People in Aid) - Specific tools for monitoring of compliance - Complaint and feedback mechanisms are in place - Regular refreshment training - Standards are part of induction package - Is there a culture of Quality management? - Which KPI (Key Performance Indicators) are used and monitored? - Measures taken over the last 2 years to improve quality management.
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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.

5.1	Organizational volume Financial capacity /autonomy Sustained investment and evolution Human Resources available	- Financial Volume: annual budget over last five years and assets - Total annual Budget - Budget income distribution over the last three years - Budget autonomy versus HQ or donors decisions - Total investment in Humanitarian action over the last five years and projections for the next five years - Humanitarian Percentage over total programme budget - Number of full time equivalent (f.t.e.) regular staff - Total Humanitarian specialised resources over total Organizational staff - Rooster available and reliability of the rooster - Attraction incentives for HR during time of crisis - Presence in the territory - Delegations and/or total size of global organization - Humanitarian structure percentage over total structure
5.2	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 - Regional participation - International engagement





2.1.2 Assessment of Capacities

Based on the analysis of the questions and research made the following tables of strengths and weaknesses should be filled. 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. Getting average results and standard deviation of those results is crucial for a good interpretation of the results.

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Cluster	#	Thematic area	Average Score 0-5	Standard Deviation	Strengths	Weaknesses
1. Identity and Mission	1.1	Values Mandate* Purpose*			•	•
	1.2	Leadership* Attitudes*			•	•
2. Managerial Capacities (Hard How)	2.1	Finances*			•	•
	2.2	Human Resources*			•	•
	2.3	Logistics Time management			•	•
	2.4	Analytical* Strategizing* Planning and Programming			•	•
	2.5	Programme Management * (includes M&E) Knowledge Management			•	•
	2.6	Governance and decision making* Organisational			•	•





		Structure and processes				
	2.7	Networking and alliance building*			•	•
	2.8	Communications Advocacy			•	•
	2.9	Risk Management Institutional Resilience			•	•
3.- Approach, Commitment (Soft How)	3.1	Gender Approach*			•	•
	3.2	Conflict sensitiveness Rights based Approach			•	•
	3.3	4. Connectedness, Resilience & DRR			•	•
	3.4	Highly Vulnerable Individuals /Groups			•	•
4.- Technical Expertise (What)	4.1	WASH Competencies EFSVL Competencies Other Competencies			•	•
	4.2	Standards' compliance & accountability Quality Control management			•	•



5.- Size Capability (How much)	5.1	Organizational volume Financial capacity /autonomy Sustained investment and evolution Human Resources available			•	•
	5.2	Geographical outreach			•	•



2.2 Country context analysis of humanitarian capacities

In this part the exercise examines the country humanitarian context, using the following dimensions:

- A. Society Strength. How strong is the society
- B. State and Politics. How solid is the State, its governing and administration bodies and its politics
- C. Country infrastructures. How strong is the country “hardware”: logistics, infrastructures

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2.2.1 Guiding Questions / (issues to address) per block

A. Society Strength. How strong is the society

Guiding questions, issues

A.1	A.1 Strength and power of Civil Society , (NGOs, movement, Religious groups,...)	- Typology of Civil Society Organisations (CSOs) - Influence of CSOs in politics, economy and social life - Fluent interaction among CSOs - Structure of CSOs: CBO, NGOs, religious Organisations, cultural, sports Organisations, etc. - Existence of <u>Women's rights organisations</u> - Good interaction of CSOs with society in general - Interaction of National CSOs with regional and international Organisations
A.2	A.2 Human Development (Education, Health, Income)	- Level of education of population (gender desegregation data) - Health services and facilities - Income per capita - Livelihood and income vulnerability - Cultural heritage and use of it - Customary and positive law development
A.3	A.3 Human Rights respect . Violations of HR, Gender equity and justice, minorities respect,...	- Human Rights societal knowledge - Human Rights in practice from customary and positive law - Gender justice, societal gender roles and rights - Inclusion of diverse ethnic groups and minorities - Knowledge of IHL (International Humanitarian Law) and its respect.
A.4	A.4 Humanitarian Access . Respect of Humanitarian agencies (INGO and LNNGO)	- IHL is respected in practice - LNNGO do have unimpeded access to communities - INGO can do impartial humanitarian work - Humanitarian workers and its assets and equipment are respected





B.State and Politics. How solid is the State, its governing and administration bodies and its politics

Guiding questions, issues

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B.1	B.1 Governance and Institutional structures. Government in place, Legitimacy, ...	- What's the legitimacy of the Government? - Is Government present across all territory - Does government get people's support - Is there a democratic base? - Do Government benefit from regional or international recognition
B.2	B.2 Public Administration efficiency, delivery, reliability, accessibility...	- Which services delivers public administration, - Public Services' quality and outreach - Can all citizen access public services, (geographical and economic access). Is there a big gap among urban and rural coverage - <u>Are women and men able to access under the same conditions public services?</u> - Is there any mechanism to influence improvement of Public services? - Public Administration is supported with a fair tax system to provide or subsidise basic social services?
B.3	B.3 Rule of Law	- Is there a separation of powers, (legislative, executive, judiciary)? - Is there a distinction between civil, police and military roles? - Rule of Law is generally respected by society and factual powers. - Is there a solid body of law? Customary/positive law - Rule of Law is applied across the countries.
B.4	B.4 International legitimacy	- Extension and quality of Diplomatic relations - Presence in regional international Fora - Fluid presence of foreign embassies in the country. - Regional bodies presence - UN presence and relations - INGO presence and active role...





C. Country infrastructures. How strong is the country “hardware”: logistics, infrastructures

Guiding questions, issues

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C.1	C.1 National infrastructures: communications transport, services	- Level of country access by road, (roads' network) - Communication networks, telephone, internet, commercial radio systems, TV, newspapers... - Vehicles national fleet, quality, and accessibility - Heavy truck availability - Public transport for individuals, network, and quality. - Other transport infrastructures: railways, airports, harbours, etc. - Health and education structures
C.2	C.2 National Civil Protection services (DRR infrastructures, Emergency response units, etc.)	- Administration entities able to deal with Disasters' response - Policy to mobilise resources at highest level to deal with big crises, (legal governance scheme, effective capacity to integrate resources from different Departments or Ministries, etc.) - Presence of Local Organisations able to deal with Disasters - Populations culture and knowledge of DRR - Capacity to coordinate national bodies with international bodies - Capacity to deal with international standards - Capacity of absorb efficiently external resources
C.3	C.3 Human Geography	- Geographical-Population distribution urban/rural - Accessibility to different populations - Diversity of cultures, ethnic groups, languages - Societal cohesion

2.3.2 Assessment of Country Contextual Capacities

HUCOCA Country Context capacities table				
Capacity Cluster	Capacity/thematic area	Score (0-5)	Strengths	Weaknesses
A. Society strength	A.1 Strength and power of Civil Society		•	•
	A.2 Human Development		•	•

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HUCOCA Country Context capacities table				
Capacity Cluster	Capacity/thematic area	Score (0-5)	Strengths	Weaknesses
	A.3 Human Rights respect		•	•
	A.4 Humanitarian Access		•	•
B. State and politics	B.1 Governance and Institutional structures		•	•
	B.2 Public Administration efficiency		•	•
	B.3 Rule of Law		•	•
	B.4 International legitimacy		•	•
C. Country infrastructure	C.1 National infrastructures		•	•
	C.2 National Civil Protection services		•	•
	C.3 Human Geography		•	•





3. Integrated Humanitarian Country Capacity Analysis

Based on the aggregated organizational analysis and the country context analysis

An integrated analysis should be made, correlating the country wide analysis with the organizational one. Please note that there is a particular, (but not exclusive) synergy among the following areas:

A with 1, 2 and 3; B with 2 and 3; C with 4 and 5

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Capacity Cluster	A. Society strength	B. State and politics	C. Country infrastructure
1. Identity and Mission (Who & Why)	A.1	B.1	C.1
2. Managerial Capacities (Hard How)	A.2	B.2	C.2
3. Approach, Commitment (Soft How)	A.3	B.3	C.3
4. Technical Expertise (What)	A.4	B.4	C.4
5. Size Capability (How much)	A.5	B.5	C.5

4. Capacity Investment plan

Based on this analysis a Capacity Development Plan should be outlined; but 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.

The following format could help on this.

Capacity area of influence, (e.g.. A.1, B.2,)	CAPACITY ACTIONS	MONITORING INDICATORS
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Capacity area of influence, (e.g.. A.1, B.2,)	CAPACITY ACTIONS	MONITORING INDICATORS
	•	•
	•	•
	•	•
	•	•

5. Stakeholders contributions and critical feed back

Final step will be a review with all country stake holders to complement and give critical feedback of the analysis and capacity plan proposed, and if appropriate agree on ways to implement it.

END

