

Step 2 Defining IEC preliminary objectives

Informing Choice for Better Shelter

**A Protocol for Developing Shelter and Settlement
Information Education Communication (IEC) Resources**



2nd Issue (September 2021)

Global Shelter Cluster – Promoting Safer Building Working Group

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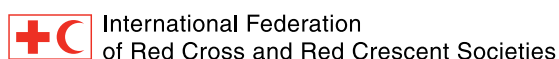
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Step 2 Defining IEC preliminary objectives

2.1 Introduction

- This step helps to define the preliminary IEC subject, the 'what', i.e. the topic/question/issue to produce IEC resources on, and what it is intended will be achieved by them. For example, when considering a promoting safer building objective:
 - From the assessment step, one of the highest ranked causes of failure of stone houses has been the lack of banding to take tensile forces during an earthquake.
 - From intention surveys and discussions with households it is believed that a large number of affected households intend to rebuild traditional stone houses.
 - It is known that one of the solutions to the lack of restraint is banding and therefore one of the components of promoting safer building is to promote banding.
 - Assessment shows that there is an information gap relating to both the importance of banding and the knowledge of how to undertake this construction practice.
 - To meet this information gap, new IEC resources will be created and existing ones promoted that raise awareness of the *importance* of banding.
 - The technical working group (TWG) will also create new and promote existing IEC resources which promote *knowledge* of options for banding (timber, concrete etc.) and banding good construction practices (good continuity at corners, strong joints, concrete mix, curing, reinforcement tying etc.).
 - It is recognised that other problems that contribute to the lack of banding are resource constraints such as the lack of timber for timber banding in particular regions, and also the lack of resources to create concrete banding. Both of these will not be solved by IEC resources alone but can feed into other plans for interventions by agencies or government.
- The aim in this sub-step will be to prioritise messaging around both the most important construction practices that can promote better shelter and settlement and also those that will be most easily adopted.
- This step should allow the TWG to have a rationale (even if on limited evidence) for their work and to focus later discussions/work in future steps.
- These will be preliminary objectives, because during the application of subsequent steps more evidence related to the IEC intervention proposed may become available. If it becomes evident that it is very difficult to communicate on particular issues effectively, other types of intervention may be required. For example, a change in policy related to housing, land and property (HLP) rights or a change in the building code or enforcement regime could be reasons to revise the objectives and priorities of the planned communications.

2.2 IEC themes

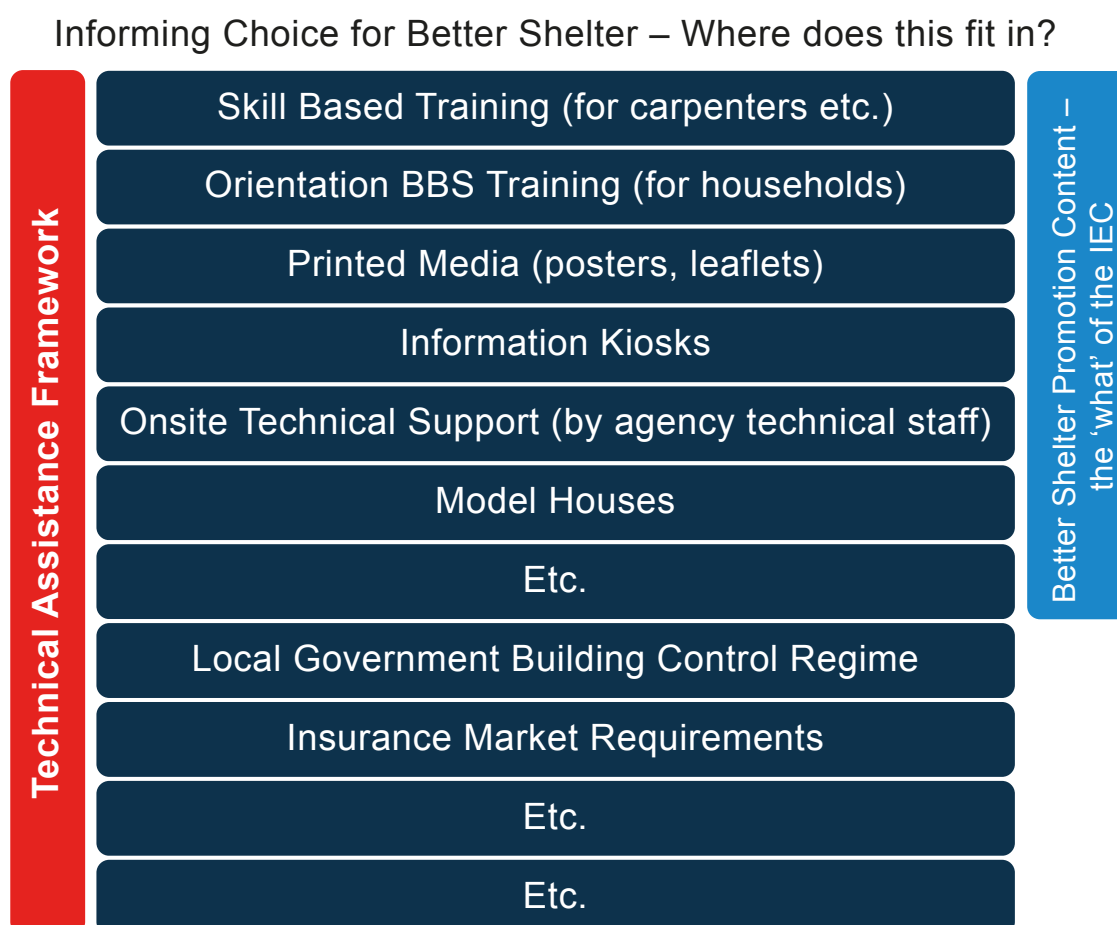
2.2.1 Importance of the sub-step

- It is important to categorise and order the overall themes the TWG may want to communicate upon to provide a framework for the development of IEC resources. An example of a theme might be debris management.
- Different themes may need to be communicated upon at different times and will have different levels of relevance and complexity.

2.2.2 Process – IEC themes

- The TWG should review sub-step 1.2 Plan for iterations of IEC and assessment.
- Consider where IEC developed under this protocol will fit within a wider technical assistance framework (if this exists).
- Ensure that the cluster is working on contributing to guidance coherent with the wider technical assistance framework, at both a cluster technical guidance and an overall strategy level.¹

Image conceptualising the wider technical framework



- With assessment information available, the TWG can brainstorm all the factors that contribute towards better shelter and settlement. Only some of these factors will relate to IEC. The TWG should start to see correlations and interdependencies of factors and be able to distinguish the emerging main themes from this exercise.

Some typical example themes that the TWG should consider including are listed here:

- emergency shelter (related to commonly used context-specific options)
- debris management (in conjunction with early recovery focal point as appropriate)
- technical support regarding choices about repair or reconstruction
- fire risk in camps (in conjunction with camp coordination and camp management (CCCM) cluster as appropriate) or other emergency or temporary shelter and settlement solutions

¹ UN-Habitat/AXA in 2018 has been developing guidance on the wider technical assistance framework in recovery (with humanitarian actors just one small part of contributing to this framework). Contact Maggie Stephenson for more details.

- accessing recovery shelter assistance
 - failure mechanisms, which may include helping households to accurately perceive risks, e.g. allowing people to understand both that their community will be affected by a hazard in the near future, and that the way their home was constructed has made them more vulnerable²
 - the most common appropriate construction technologies – for rebuild, repair and retrofit
 - accessing housing, land, and property rights (HLP) or understanding these rights
 - public health and water and sanitation and hygiene promotion (WaSH)
 - themes related to shelter and settlement.
- The themes that emerge can be ranked in order of priority for the TWG, based on the available information and assessments.
 - The following can be tied-in with other ongoing focus group discussions (FGDS)/workshops and key informant interviews (KIIs), the purpose being to ensure participation from key stakeholders in the identification of themes and priorities. It is also important to validate previous findings.
 - Once the themes are ranked, this preliminary list and the ranking should be consulted on with stakeholders who can influence better shelter and settlement, through FGDs, choosing communities in different contexts, and KIIs. During these discussions with stakeholders the information gap and therefore the content of the theme should be further explored, and previous assessments updated or validated.
 - Questions should be asked to explore what households understand and do not understand in relation to the list of themes. Ask households and other stakeholders how they might see these theme priorities changing over time (i.e. as recovery occurs post-crisis) and have some preliminary discussion regarding the timing of messages (for example, in rural areas, are people intending to construct immediately after harvest?).
 - Be aware that many other humanitarian sectors will be producing IEC resources, and households will have other priorities, as will the shelter cluster members. Encourage the TWG to focus on the most important themes based on the information gap priorities identified by households and other stakeholders.
 - Given that other humanitarian sectors will be producing IEC resources, work with the Communicating with Communities Working Group (CWC WG) and Inter-Cluster Coordination (ICC) group/United Nations Office for the Coordination of Humanitarian Affairs (OCHA), where this exists, to coordinate the release of these sorts of resources.

2.2.3 Output – IEC themes

- An agreed, prioritised list of IEC themes should be generated, with a draft timeframe of when different communications should take place and what resources need to be produced by the TWG.
- Notes should be put against this list explaining what it is believed the information gap is for these themes, based on the FGDs and KIIs of better shelter and settlement stakeholders.
- Notes should be recorded as to how stakeholders believe the priority themes will change with time, and in general the timing of the rounds of messaging should be better defined.
- Update and revise the sub-step 1.2 Plan for iterations of IEC and assessment.

² Turnbull, M., Sterrett, C.L., Hirano, S. and Hilleboe, A. (2015) Extending Impact: Factors Influencing Households to Adopt Hazard-Resistant Construction Practices in Post-Disaster Settings. A Study by Catholic Relief Services, Baltimore, MD: Catholic Relief Services – United States Conference of Catholic Bishops.

2.3 Categorise failure mechanisms by element of the building or practice

2.3.1 Importance of sub-step

- This sub-step relates to the better shelter and settlement objective of promoting safer building. A similar exercise could also be undertaken to consider other barriers to better shelter and settlement objectives in detail.
- The importance of this sub-step is to categorise failure mechanisms to allow later exploration of technical solutions to promote safer construction practices. It is therefore necessary to break down the themes and start to consider and categorise the different failure mechanisms or areas of weak construction practice.
- This will allow discussion with stakeholders as to what is most important in terms of the safety of the building, and discussion on how to communicate regarding each key element or group of elements.
- From this step the TWG should be able to rank the most important failure categories to focus on to assist with the detailed development of IEC resources.
- It is important at this stage to understand what building typology people may construct, so that if there is going to be a change, the TWG is focusing on the most appropriate typologies.

2.3.2 Process – categorising failure mechanisms

- Using the assessment step outputs, bring all the relevant reports and photos together and then both list and categorise the failure mechanisms described within these.
- Categorise by construction typology first.
- Categorising could then be by building element (foundation, load bearing walls, roof etc.).
- Rank the importance of the failure mechanism based on the frequency with which this mechanism is seen and the importance of it to the life-safety of the structure. Try to use sources of information that cover as large a sample as possible and that consider all evident failure mechanisms. Be aware that once a failure mechanism has been identified it can bias seeing other failure mechanisms, as people tend to focus on the one that has been identified and are less likely to notice others.
- Rely on appropriately qualified built environment professionals for this sub-step and ensure that the TWG includes or has access to appropriately qualified built environment professionals who are from the local context or know it very well.
- Where possible look to experimental testing and international research to provide evidence on the risk associated with each failure mechanism.
- There may be limited evidence available for a ranking and therefore the TWG may be very reliant on the competence, experience and advice of the built environment professionals in the TWG or those who can be consulted by the TWG. Take time to explore their competence through quiet discussion in advance of meetings, highlighting that, where they are not confident in their competence to discuss a particular matter, they should make this clear when they are discussing it. Reflection on professional competence will be standard practice for professionally qualified built environment professionals (Professional Engineers or Chartered Engineers for example).

2.3.3 Output – categorising failure mechanisms

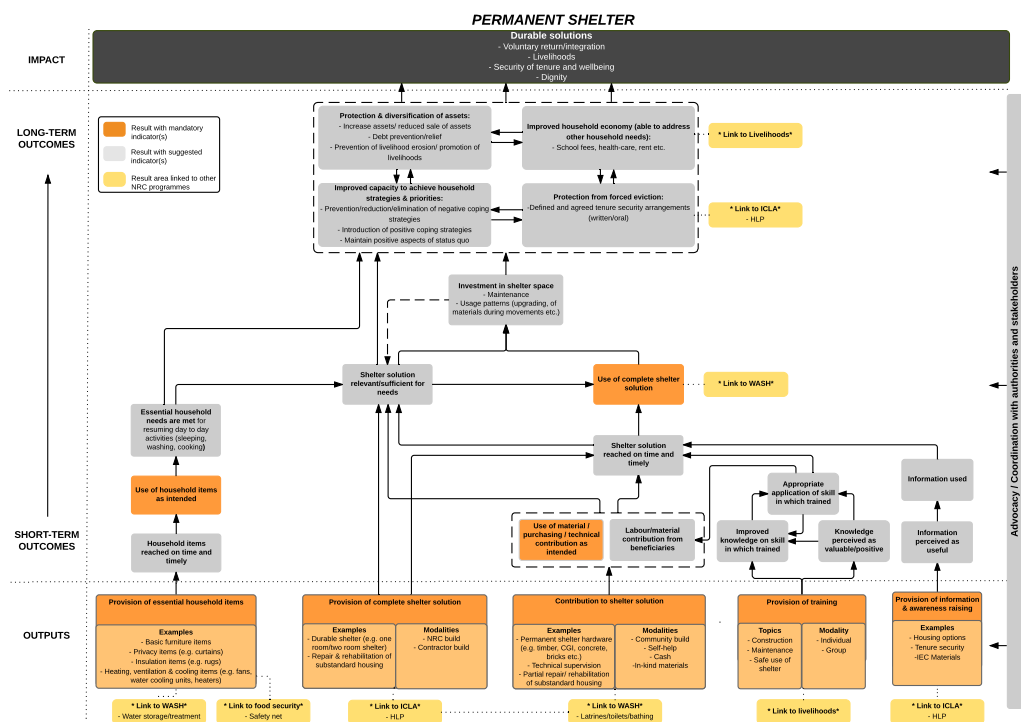
- A list of ranked failure mechanisms and their categorisation (use templates 2.0 and 2.1 of toolbox). For example:

Category	Category importance ranking	Failure mechanism	Mechanism importance ranking (ranking within the category)
Siting	6		
Foundation failure	8		
Load bearing wall failure	1	- delamination of walls - out-of-plane failure - in-plane failure - bonding	2 1 3 Etc.
Etc.			

Typology: traditional stone masonry houses

- This will assist with developing the detailed messaging related to IEC objectives.

2.4 Building the theory of change (ToC)



Source: Theory of Change, Norwegian Refugee Council, undated

2.4.1 Importance of sub-step

- The rationale and causal pathway of both problems and solutions should be explored. The purpose of this is to articulate the rationale for how the IEC is going to contribute to a shelter and settlement outcome. This is broader than focusing on a failure and the fixing of this failure.

- The TWG may also have an agenda to advocate for local technologies or more affordable solutions, and this should also be articulated here. As with all ToC approaches it is expected that evidence is referenced where possible. For some agendas where there is limited evidence the TWG may need to put more energy and resources into research and development.
- A secondary purpose of this step is to highlight that IEC is unlikely to solve all problems, and that there is a need for both a broader technical assistance framework and other interventions to create an enabling environment (e.g. livelihood interventions – ensuring that there is more faced stone on the market, reducing the cost of faced stone, and reducing the underlying poverty of families involved in the livelihood programme) that support better shelter and settlement.

2.4.2 Process – building a theory of change

- There is a range of resources available online regarding creating problem trees, solution trees and theory of change diagrams.
- It is anticipated that there will likely be limited evidence related to certain causal pathways and this process will help focus minds on searching for this evidence.
- Even if there is only weak evidence to support the theory of change it should still be articulated, so that it is at least clear to the TWG how they believe an intervention contributes to a shelter and settlement outcome. This will help to keep the TWG focused on a coherent and understood direction.
- Avoid making the theory of change too broad: this entire step should be something that can be undertaken in a half day workshop with TWG members, bringing the evidence available from the assessment step.
- The TWG may want to develop different ToC related to different construction typologies, settlement typologies, or other contextual situations (e.g. displaced population renting a sub-standard dwelling in a conflict front line area, or urban vs. rural).
- The TWG may want to develop different ToC for different affected population groups, such as those with middle incomes and those with lower incomes.

2.4.3 Output – building a theory of change

- Theory of change diagram.
- Make assumptions clear.
- Understanding of where the TWG is lacking evidence.
- Highlighting the areas that the TWG wants to communicate upon and whether these relate to attitude or knowledge (e.g. '8 Key messages of Haiyan'³ produced by the Philippines Shelter Cluster in 2014 focused primarily on knowledge related to foundations, bracing, roofing etc.).
- The technical guidelines of the cluster should be reflected upon after the ToC has been generated to see if these guidelines and perhaps the cluster strategy require revision. This can be advocated for through the cluster strategic advisory group (SAG). For example, it might be found that although houses can be built stronger, there is a need to advocate for more safe evacuation centres during the recovery phase that households can go to during extreme weather events, because it is not feasible for houses to be constructed to meet extreme events.

³ Philippines Shelter Cluster: Typhoon Haiyan 2013 (2014), 8 Key Messages poster, <https://www.sheltercluster.org/reference-library/iec-materials/documents/8-key-messages-postersfinalv11lightenglishphilippines>

2.5 Toolbox

#	TOOL	COMMENT
2.0	METHODOLOGY GUIDE for EIC material ranking	<i>Word document</i>
2.1	Categorizing and ranking of failure mechanisms template	<i>Template Excel; Example folder</i>
2.2	Theory of change diagram template	