

CARIBBEAN STRATEGY FOR INFORMAL SETTLEMENT UPGRADING

A guide to inclusive and resilient urbanisation



PARTICIPATORY SLUM UPGRADING



Caribbean Strategy for Informal Settlements Upgrading

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Cover photos

Rural squatter area in the suburbs of Georgetown, Guyana, fishermen families live in Diamond River Dam just along the shores of Demerara River, ©UN-Habitat/Kirsten Milhahn

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Acknowledgement

United Nations Economic Commission for Latin-America and the Caribbean, Caribbean Development Bank.

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ACRONYMS

ACP	European Commission's Africa-Caribbean-Pacific (ACP) Secretariat
CDB	Caribbean Development Bank
CHAPA	Central Housing and Planning Authority (Antigua & Barbuda)
CH&PA	Central Housing & Planning Authority (Guyana)
CMF	Community Managed Funds
CSISU	Caribbean Strategy for Informal Settlement Upgrading
CUA	Caribbean Urban Agenda
CUF	Caribbean Urban Forum
DHURT	Department of Housing, Urban Renewal and Telecommunication (Dominica)
ECLAC	Economic Commission for Latin America & the Caribbean
ESCI	Emerging and Sustainable Cities Initiative
HILP	St. Vincent & the Grenadines Ministry of Housing, Informal Human Settlements, Land & Surveys and Physical Planning
IDB	Inter-American Development Bank
LSA	Land Settlement Agency
MEGJC	Ministry of Economic Growth and Job Creation (Jamaica)
OECS	Organisation of Eastern Caribbean States
PRIDE	Programme for Resettlement and Integrated Development Enterprise
PROUD	Programme for the Regularisation of Unplanned Developments
PSUP	Participatory Slum Upgrading Programme
RAP	Regional Action Plan for the Implementation of the New Urban Agenda in the Caribbean
SDG	Sustainable Development Goal
SNAP	Sustainable Nassau Action Plan
SSRF	Sites and Services Revolving Fund
STURF	Settlement & Tenantry Upgrade Revolving Fund
UDC	Urban Development Commission (Barbados)
UDI	Urban Development Unit (St. Kitts)



Woman in the informal settlement of Canterbury, Montego Bay, Jamaica, ©UN-Habitat/Kirsten Milhahn

FOREWORD

FOREWORD



A SUMMARY OF THE STRATEGY

INTRODUCTION

The Caribbean Strategy for Informal Settlement Upgrading (CSISU) is guided by global best practice and development goals, aligned with regional Caribbean institutions and policies, and grounded in Caribbean national experience and capacity.

The strategy was prepared over a 6-month time frame, relying on a process of stakeholder engagement and participation. Figure 1 presents the key milestones, which included a regional survey, virtual policy discussions, national roundtables, and regional workshops, relying on the Caribbean Urban Forum (CUF) and MINURVI to engage a wide audience.

The success of the CSISU is measured in terms of its effectiveness in supporting Caribbean national governments in three ways:

1. Serving as a guide for the preparation of national informal settlement upgrading policies, strategies and programs, grounded in international and regional best practices and recognizing approaches and challenges common across the Caribbean region;
2. Supporting a knowledge-sharing and capacity building platform to learn from common challenges, adapt innovative responses, and report on progress towards effective informal settlement upgrading;
3. Enabling a shift among national governments across the Caribbean region towards the design of city-wide informal settlement upgrading plans and initiatives consistent with CSISU priorities and principles.

The CSISU as a Uniquely Caribbean Approach to Informal Settlement Upgrading

The CSISU is enabled by UN-Habitat within the framework of the Participatory Slum Upgrading Programme (PSUP), a joint initiative with the European Commission's Africa-Caribbean-Pacific (ACP) Secretariat. Sixteen of the 79 ACP member states are located in the Caribbean region, including all CARICOM members with the exception of Montserrat.

The CSISU's geographic focus on the Caribbean is critical to its success. The CSISU builds on challenges and responses to urban informal settlement upgrading that are common to countries across the region. At the same time, the CSISU recognizes the tremendous physical, cultural, and socio-economic diversity evident within the region.

The success of the CSISU will depend on partnerships with regional institutions that share a commitment to the values and priorities laid out in the strategy. These include the Caribbean Community (CARICOM), The Caribbean Development Bank (CDB), guided by new Housing Sector Policy and Operational Guidelines and Urban Sector Policy and Operational Guidelines, the Caribbean Urban Agenda (CUA), the Inter-American Development Bank (IDB), the Organisation of Eastern Caribbean States (OECS), and the 2017 Regional Action Plan (RAP) for the Implementation of the New Urban Agenda in the Caribbean, led by the Economic Commission for Latin America and the Caribbean (ECLAC) and UN Habitat.

Figure 1: CSISU Preparation Timeline and Milestones



The CSISU Within a Global Development Framework

Within a global context, the CSISU contributes directly to sustainable and equitable urbanisation by supporting achievement of Sustainable Development Goal (SDG) 11 Target 1: "By 2030, ensure access for all to adequate, safe and affordable housing and basic services and up-grade slums." Progress towards SDG 11 will also contribute to achieving SDGs 1 (End Poverty), 5 (Achieve Gender Equality) 10 (Reduce Inequality) and 13 (Take climate action).

Implementation of the CSISU will also support the New Urban Agenda principle to "leave no one behind," and commitments for "Sustainable Urban Development for Social Inclusion and Ending Poverty" and "enabling all inhabitants, whether living in formal or informal settlements, to lead decent, dignified, and rewarding lives and to achieve their full human potential". The CSISU is similarly aligned with the Small Island Developing States Accelerated Modalities of Action, known as the Samoa Pathway, UN Habitat's strategic plan for 2020-2023, the PSUP, and the UN Multi-Country Sustainable Development Framework in the Caribbean 2017-2021.

Explaining the common and unique aspects of Caribbean Informal Settlement

Part 2 of the strategy offers a description and analysis of informal settlement across the Caribbean. While informal settlement occurs across the region, its form and characteristics are diverse. Case studies are presented for three broad types of informal settlement: High Density Urban Hillside, High Density Urban Flat Informal Settlement, and High-Density suburban hillside. National squatter regularisation and upgrading programmes responding to informal settlement

are profiled in nine Caribbean countries: Dominica, Guyana, Haiti, Jamaica, St. Kitts & Nevis, Saint Lucia, St. Vincent & the Grenadines, and Trinidad & Tobago.

The informal settlement typologies and national upgrading programs highlight varied responses to informality, while underlining the commonality of the challenges. The nine strategic priorities and five implementation tools presented in Parts 3 and 4 of the strategy are a response to five of these common challenges: Weak governance, Socio-economic vulnerability and diversity, Vulnerability to hazards, Weak regulatory capacity, and Data gaps.

CSISU as a Practical Guide

Part 3 of the strategy presents nine Strategic Priorities that draw from practical experience within the region, reflect global best practices and are consistent with the principles of the Participatory Slum Upgrading Programme.

1. Understanding Upgrading as a Response to Urbanisation
2. Risk-Based Approach to Upgrading for Community Resilience
3. Community-Based Approach to Planning as a Starting Point in Upgrading
4. Security of Tenure as a Transition along a Continuum
5. A Comprehensive Approach to Upgrading: City-wide Planning
6. An Integrated Approach to Upgrading: Social Inclusion and Protection
7. Public Sector-led Investment in Strategic Infrastructure Based on Appropriate Standards
8. Investing in Affordable & Adequate Housing Systems
9. Replicating Effective Practices for Relocating Households



Informal settlements in the suburbs of Kingston, Jamaica, ©UN-Habitat/Kirsten Milhahn

A series of Twenty Learning Boxes distributed across the strategy describe national and global best practices in informal settlement upgrading, offering unique insights relevant to the Caribbean.

CSISU as an implementation tool

Part 4 of the strategy presents five factors necessary for the successful implementation of a national informal settlement upgrading strategy five enabling factors for implementing informal settlement upgrading strategies.

1. Cross-Cutting Governance and Coordination
2. The CSISU as a Platform for Training and Capacity Building
3. Financing Informal Settlement Upgrading
4. Filling the Data Gap: Measuring Informal Settlement Characteristics
5. An Informal Settlement Upgrading Monitoring and Reporting Framework

Part 5 offers a number of tools intended for actively monitoring and reporting on progress in implementing the CSISU.

Table 4 Checklist of recommended actions and best practices for implementation of the CSISU

Table 5 Monitoring Tool to measure national progress towards implementation of the CSISU

Table 6 Regional Performance Monitoring Framework



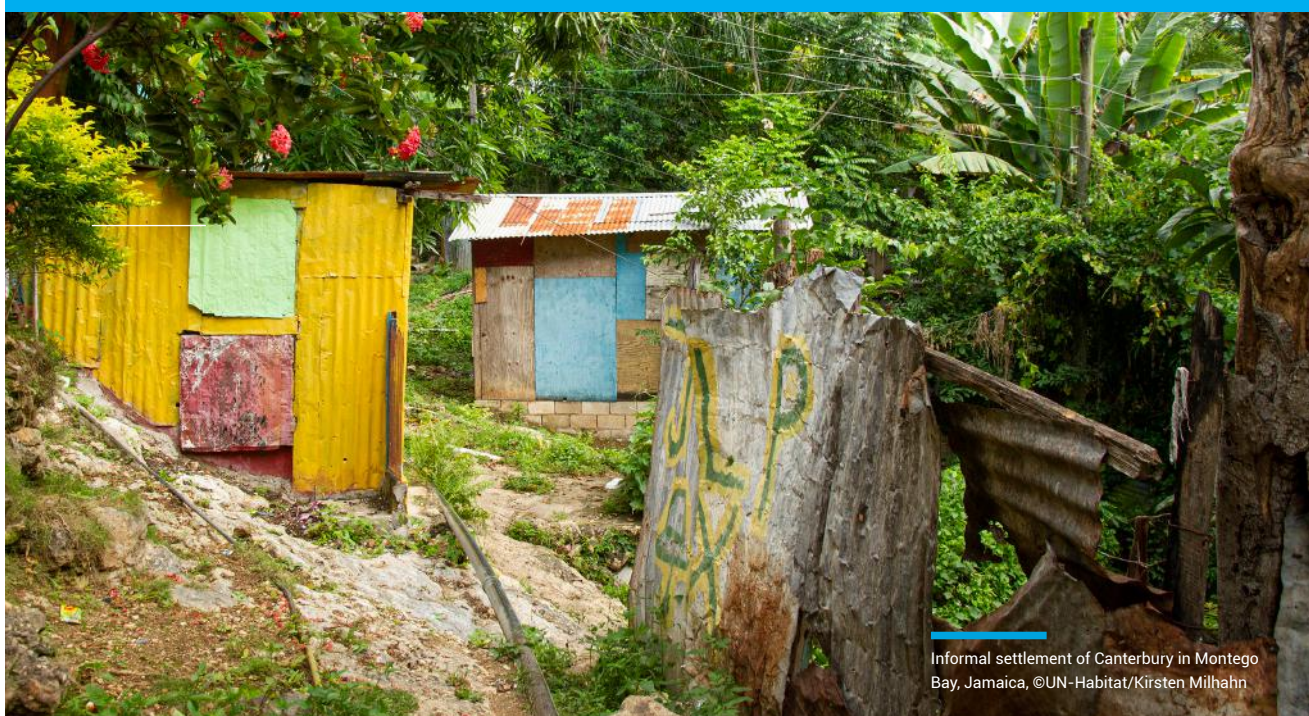
The CSISU contributes directly to sustainable and equitable urbanisation by supporting achievement of Sustainable Development Goal (SDG) 11 Target 1: By 2030, ensure access for all to adequate, safe and affordable housing and basic services and upgrade slums.



Implementation of the CSISU will support the New Urban Agenda principle to "leave no one behind" and commitments for "Sustainable Urban Development for Social Inclusion and Ending Poverty" and "enabling all inhabitants, whether living in formal or informal settlements, to lead decent, dignified and rewarding lives and to achieve their full human potential"



IMPLEMENTING
THE NEW
URBAN AGENDA



Informal settlement of Canterbury in Montego Bay, Jamaica, ©UN-Habitat/Kirsten Milhahn

Part

1

**THE REGIONAL STRATEGY
IN CONTEXT**

1.1 The purpose of Caribbean Strategy for Informal Settlement Upgrading

The Caribbean Strategy for Informal Settlement Upgrading (CSISU) is guided by global best practice and development goals, aligned with regional Caribbean institutions and policies, and grounded in Caribbean national experience and capacity.

The success of the CSISU is measured in terms of its effectiveness in supporting Caribbean national governments in three ways:

1. Serving as a guide for the preparation of national informal settlement upgrading policies, strategies and programs, grounded in international and regional best practices and recognizing approaches and challenges common across the Caribbean region;
2. Supporting a knowledge-sharing and capacity building platform to learn from common challenges, adapt innovative responses, and report on progress towards effective informal settlement upgrading;
3. Enabling a shift among national governments across the Caribbean region towards the design of city-wide informal settlement upgrading plans and initiatives consistent with CSISU priorities and principles.

The CSISU acknowledges UN-Habitat's broad definition of informal settlement and focuses on what is commonly referred to in the Caribbean as squatter settlements (See Learning Box 1). Squatter settlements are typically illegally sub-divided, contain substandard housing, with access to services procured through unauthorized third parties. While squatter settlements operate outside legal and regulatory systems, they can include well-built homes and access to many basic services. "Informal Settlement" in a Caribbean context also extends well beyond illegal occupation and subdivision of land. It represents a continuum of informality comprising the majority of built form, including a general lack of compliance with planning and building code requirements.

UN Habitat's definition recognizes slums as the most deprived and excluded form of informal settlement. The term "slum" has derogatory connotations in the Caribbean region, with slum upgrading typically associated with the regeneration and renewal of legally built housing

developed through formal planning permissions that is in poor condition, overcrowded and with access to services limited by neglect or inadequate incomes. Slum housing is often publicly owned and typically located in central parts of the city. While the cases studies and lessons learned presented in the strategy focus on squatter settlement upgrading, much of the CSISU can be applied to urban regeneration and renewal.

BOX 1: UN Definition of Informal Settlement¹

Informal settlements are areas where,

1. inhabitants have no security of tenure vis-à-vis the land or dwellings they inhabit,
2. neighbourhoods usually lack, or are cut off from, basic services and city infrastructure,
3. housing may not comply with current planning and building regulations, and
4. housing is often situated in geographically and environmentally hazardous areas.

Households located in informal settlements face five "deprivations", and are lacking in...

1. durable housing (a permanent structure providing protection from extreme climatic conditions);
2. sufficient living area (no more than three people sharing a room)
3. access to improved water (water that is sufficient, affordable and can be obtained without extreme effort)
4. access to improved sanitation facilities (a private or public toilet shared with a reasonable number of people); and
5. secure tenure (de facto or de jure secure tenure status and protection against forced eviction)



informal settlement of Sophia, Georgetown, Guyana, ©UN-Habitat/Kirsten Milhahn

1.2 The CSISU: A Uniquely Caribbean Approach to Informal Settlement Upgrading

The CSISU is enabled by UN-Habitat within the framework of the Participatory Slum Upgrading Programme (PSUP), a joint initiative with the European Commission's Africa-Caribbean-Pacific (ACP) Secretariat. Sixteen of the 79 ACP member states are located in the Caribbean region, including all CARICOM members with the exception of Montserrat² (See Figure 2).

The CSISU's geographic focus on the Caribbean is critical to its success. Opportunities for learning and training are grounded in experiences and methods relevant to the region. To this end, the CSISU builds on challenges and responses to urban informal settlement upgrading that are common to countries across the region. At the same time, the CSISU recognizes the tremendous physical, cultural, and socio-economic diversity evident within the region.

The CSISU – as a regional strategy - is more than simply the sum of national experiences. It offers a template for the design of national strategies grounded in both international and Caribbean best practices, to be adapted to local contexts under the leadership of national governments.

1.3 The regional institutional and policy context

The success of the CSISU will depend on partnerships with regional institutions that share a commitment to the values and priorities laid out in the strategy.

The Caribbean Community (CARICOM)

envisioning a region that is integrated, inclusive and resilient. Its fifteen member states work collaboratively to advance values of social and economic justice, good governance and sustainable development.

Figure 2: CARICOM Member States³



The Caribbean Development Bank (CDB)

invests in the inclusive and sustainable growth and good governance of 19 borrowing member countries⁴. The CDB has prepared two new policies that align with the CSISU priorities. The CDB Housing Sector and Urban Sector Policies and Operational Guidelines will guide future investment in the area of urban informal settlement upgrading and will help Caribbean countries achieve SDG 11 to “make cities inclusive, safe, resilient and sustainable”. The policy emphasis will also enable a shift from silo-based programming and time-limited projects to a more collaborative, integrative and forward-looking approach that treats housing and urban development in a more integrated manner. CDB regional technical assistance will build national capacity aligned with these urban and housing sector policies.

The Caribbean Urban Agenda (CUA) has been developed through collaborative dialogue among Caribbean urban and land management professionals and practitioners within the framework of the annual Caribbean Urban Forum (CUF). The CUA explicitly addresses the informal sector as one of five higher priorities. Four other priorities are local economic development and poverty alleviation; enabling mechanisms for government and professionals; governance and natural hazards and disaster management.

The Inter-American Development Bank (IDB) supports economic development, social development and regional integration across Latin America and the Caribbean through project financing and technical assistance to 26 borrowing member countries, including nine located within the Caribbean⁵. IDB project activity that enables informal settlement upgrading has been delivered through a series of Neighborhood Upgrading and Low-Income Housing Loans and an Emerging and Sustainable Cities Initiative (ESCI). IDB lending activity is guided by its 2016 Urban Development and Housing Sector Framework. Aligned with SDG 11, the Framework aims to “extend the full benefits of sustainable and productive urbanization to all residents of Latin American and Caribbean cities⁶.”

Ministers and High Authorities on Housing and Urban Planning from Latin America and the Caribbean (MINURVI): All CARICOM and ACP member states are represented in MINURVI's General Assembly, which offers

a unique platform to address issues of sustainable urbanisation common to countries across the Caribbean.

The Organisation of Eastern Caribbean States (OECS): The OECS Commission is committed to working with its nine member states to build national capacity through regional mechanisms.

The University of Technology (UTech) and the University of the West Indies (UWI): Regional post-secondary academic institutions offer opportunities for partnership, particularly with respect to shared learning and filling the data gap.

The 2017 Regional Action Plan (RAP) for the Implementation of the New Urban Agenda in the Caribbean is led by the Economic Commission for Latin America and the Caribbean (ECLAC) and UN Habitat in order to offer Caribbean-specific guidance for resilience building in the face of climate change⁷.

BOX 2: Recent IDB Caribbean Urban Upgrading Financing

The Inter-American Development Bank has invested in the area of urban upgrading in six of its nine Caribbean Borrowing member states, within the past ten years.

- Bahamas: Sustainable Nassau Action Plan (SNAP)
- Barbados: Housing and Neighborhood Upgrading Program
- Guyana: Low-income Settlements Program, Adequate Housing and Urban Accessibility Program, Support for the Development of a National Housing Strategy
- Jamaica: Montego Bay-Implementing Emerging and Sustainable Cities Action Plan
- Suriname: Paramaribo Urban Rehabilitation Program, Low-income Shelter Program
- Trinidad and Tobago: National Settlements Program I & II, Neighborhood Upgrading Program

These projects are part of investments of over US\$600 million in urban programming across the Caribbean region since 1968, with valuable lessons learned and experiences to be shared.⁸



The CSISU has been developed on the basis of a commitment to achieve change ensuring a common focus on sustainable and equitable urbanisation consistent with UN Habitat's strategic plan for 2020-2023.

1.4 The CSISU Within a Global Development Framework

Within a global context, the CSISU contributes directly to sustainable and equitable urbanisation by supporting achievement of Sustainable Development Goal (SDG) 11 Target 1: “By 2030, ensure access for all to adequate, safe and affordable housing and basic services and up-grade slums⁹” and the New Urban Agenda commitment to “Leaving no one behind¹⁰”.

Progress towards SDG 11 will also contribute to achieving related SDGs, notably 1 (End Poverty), 5 (Achieve Gender Equality) 10 (Reduce Inequality) and 13 (Take climate action). Similarly, the CSISU and its strategies relates to the Small Island Developing States (SIDS) Accelerated Modalities of Action¹¹, known as the Samoa Pathway. Much like the CSISU, the Samoa Pathway outlines a basis for action relying on development models for the implementation of sustainable development and poverty eradication in SIDS.

UN Habitat has played an enabling role in the preparation of the CSISU, ensuring a common focus on sustainable and equitable urbanisation consistent with UN Habitat's strategic plan

for 2020-2023¹² and reflecting the objectives and principles of UN Habitat's PSUP – The Participatory Slum Upgrading Programme. (See Learning Box 10 for the PSUP principles).

The connection between the CSISU and the SDGs is also reflected in the United Nations Multi-Country Sustainable Development Framework (MSDF) in the Caribbean for the period 2017-2021¹³. Developed in 2016, The MSDF identifies four priority areas: (1) an inclusive, equitable, and prosperous Caribbean; (2) a healthy Caribbean; (3) a cohesive, safe, and just Caribbean; and (4) a sustainable and resilient Caribbean. Priority Area 4 focuses on support to strengthen resilience by mitigating the effects of climate change, disasters and environmental degradation on sustainable development, livelihoods, and the economies.

1.5 Intended impact of the CSISU: A Theory of Change

The following tables lays out the pathway that will move the strategy from a set of discrete activities to measurable results by 2030. The mechanisms for measuring this change are laid out in the Monitoring & Reporting framework for the CSISU, presented in Part 4 Implementing Upgrading Strategies.



Kids playing in a public space in Canterbury informal settlement in Montego Bay, Jamaica,
©UN-Habitat/Kirsten Milhahn



Squatters settlement of Sophia, Georgetown, Guyana, ©UN-Habitat/Kirsten Milhahn



A newly built bridge is part of the upgrading process in Sophia, Georgetown, Guyana, ©UN-Habitat/Kirsten Milhahn

Table 1: The CSISU Theory of Change

Impact by 2030			
<p>Overall Vision: The CSISU will support achievement of SDG 11 Sustainable Cities & Communities Target 11.1 Ensure access for all to adequate, safe and affordable housing and basic services and up-grade slums. Indicator 11.1.1 Proportion of urban population living in slums, informal settlements or inadequate housing reduced by 50%</p> <p>The CSISU will also support implementation of the New Urban Agenda, ensuring that “no one will be left behind” and “enabling all inhabitants, whether living in formal or informal settlements, to lead decent, dignified, and rewarding lives and to achieve their full human potential.”</p>			
Activities		Outcomes	Impact
<p>National governments, in partnership with regional institutions and UN Habitat will...</p> <p>A1. Prepare regional and national guidelines consistent with the CSISU principles and strategies</p> <p>A2. Build and support learning platforms grounded in best practices and experiences relevant to the Caribbean</p> <p>A3. Maintain ongoing consultation with public, private and civil society stakeholders on informal settlement upgrading and development impacts</p>	<p>Leading to</p>	<p>O1. Informal settlement upgrading policies, strategies and programs are established by national governments, grounded in international and regional best practices and recognizing approaches and challenges common across the Caribbean region</p> <p>O2. Knowledge-sharing and capacity building meetings, workshops and events offer ongoing opportunities to learn from common challenges, adapt innovative responses, and report on progress towards effective informal settlement upgrading</p> <p>O3. National governments across the Caribbean region support the design of city-wide informal settlement upgrading plans and initiatives consistent with CSISU priorities and principles</p> <p>O4. Informal settlement upgrading is addressed through regional policies, and integrated into regional institutional political agendas</p>	<p>Enabling</p> <p>I1. Informal settlement upgrading policies, strategies and plans receive political support and are implemented</p> <p>I2. New resources are attracted into the informal settlement sector, including international lending and grants, national government funding, and private sector investment, including household investment</p> <p>I3. Systems are in place for regular monitoring and reporting on implementation of informal settlement upgrading strategies and progress towards achieving SDG 11.1 and related development goals of reducing inequalities and urban poverty</p>
<p>Implementing the CSISU will also contribute to the achievement of related SDGs:</p> <p>SDG 1 End Poverty in all its forms everywhere: Target 1.2 By 2030, reduce at least by half the proportion of men, women and children of all ages living in poverty in all its dimensions according to national definitions / Indicator 1.2.1 Proportion of population living below the national poverty line, by sex and age</p> <p>SDG 5 Achieve gender equality and empower all women and girls: Target 5.1 End all forms of discrimination against all women and girls everywhere / Indicator 5.1.1 Whether or not legal frameworks are in place to promote, enforce and monitor equality and nondiscrimination on the basis of sex</p> <p>SDG 10 Reduce inequality within and among countries: Target 10.1 By 2030, progressively achieve and sustain income growth of the bottom 40 per cent of the population at a rate higher than the national average / Indicator 10.1.1 Growth rates of household expenditure or income per capita among the bottom 40 per cent of the population and the total population</p> <p>SDG 13 Take urgent action to combat climate change and its impacts: Target 13.1 Strengthen resilience and adaptive capacity to climate-related hazards and natural disasters in all countries / Indicator 13.1.1 # of deaths, missing persons and persons affected by disaster per 100,000 people</p>			

Part

2

**INFORMAL SETTLEMENT
IN THE CARIBBEAN**

2.1 Profile of urbanisation and informal settlement

The CSISU understands informal settlement as a response to shelter land and housing systems lacking the capacity to adequately provide for

shelter needs and access to employment and services driven by urbanisation. While these factors affect households across the socio-economic spectrum, informal settlements are disproportionately represented by lower income households.

Table 2: Estimates of urbanisation and informal settlement across the Caribbean region¹⁴

ACP Country	Urban population (% of total population)		Total Population		Population living in slums (% of urban population)
	2000	2018	2000	2018	
Antigua and Barbuda	32.1	24.6	76,016	96,286	4.8% (2005)
Bahamas	82.0	83.0	298,051	385,640	n/a
Belize	45.4	45.7	247,315	383,071	10.8% (2014)
Barbados	33.8	31.1	271,515	286,641	n/a
Cuba	75.3	77.0	11,126,430	11,338,138	n/a
Dominica	65.3	70.5	69,650	71,625	12.0% (2015)
Dominican Republic	61.8	81.1	8,471,321	10,627,165	12.1% (2014)
Grenada	35.7	36.3	102,833	111,454	6.0% (2005)
Guyana	28.7	26.6	746,715	779,004	33.1% (2014)
Haiti	35.6	55.3	8,463,806	11,123,176	74.4% (2014)
Jamaica	51.8	55.7	2,654,701	2,934,855	60.5% (2005)
St. Kitts and Nevis	32.8	30.8	44,074	52,441	n/a
St. Lucia	27.8	18.7	156,729	181,889	11.9% (2005)
St. Vincent and the Grenadines	45.2	52.2	107,784	110,210	n/a
Suriname	66.4	66.1	470,949	575,991	7.3% (2014)
Trinidad and Tobago	55.9	53.2	1,267,153	1,389,858	24.7% (2005)

BOX 3: The Challenge of Monitoring Urbanisation in the Caribbean Region

Measures of urbanisation within the Caribbean vary across countries, making comparability and aggregation a challenge. A more accurate and consistent comparison of the level of urbanisation across countries would help build a better evidence base for policy making. A working definition of Caribbean urbanisation would be grounded in measures of the non-agricultural economic sector, the extent of employment integration between major cities and surrounding settlements and relative population density.

In the absence of consistent definitions, estimates of urbanisation in the Caribbean are often underreported. Relying on a measure of the population within the boundaries of the country's two largest municipalities, the UN Population Division's World Urbanization Prospects counts urbanisation levels in Trinidad & Tobago at 8.4% in 2016¹⁵. In contrast, Trinidad & Tobago's 2013 National Spatial Development Strategy estimated almost three-quarters (72%) of Trinidad and Tobago's population estimated to be living in urban areas as of 2012¹⁶.

A 2016 study by the IDB (McHardy and Donovan) calculated Guyana's urban population at 61%, more than twice as high as estimates reported in Table 2 above. This calculation considers actual urban footprints and the 'overspill' of human settlements beyond administrative boundaries. In fact, more than 90% of Guyana's population live in a near-continuous urban footprint along the coast that represents only 5% of total land area. Similarly, Barbados' urban population is defined as 70% within the 2017 Physical Development Plan, more than twice as high as estimates identified in Table 2¹⁷.

Relying on minimum density and settlement sizes using thresholds appropriate for other regions is problematic. For example, a 2009 World Bank definition of "urban" included a minimum settlement population of 50,000 and minimum population density of 150 persons/KM2. Applied to the Caribbean, a number of states would be defined as entirely non-urban¹⁸.

See Learning Box 10 PSUP Principle 4 Evidence-based and strategic for improved coordination and investment

2.2 A typology of Caribbean urban informal settlements

While informal settlement occurs across the region, its form and characteristics are diverse. While the data are inconsistent, urban informal settlement in the Caribbean is characterized by a significant proportion of high-density populations concentrated in coastal and hillside areas located within rapidly growing urban regions. These settlements face particular challenges in terms of vulnerability to climate change and disaster risk, unaffordable and sub-standard housing conditions and socio-economic inequality. These risks are traded-off against access to employment, services and amenities offered. Three of the more common types of urban informal settlement are presented here through satellite imagery and photographs.

Type 1 High Density Urban Hillside Settlements

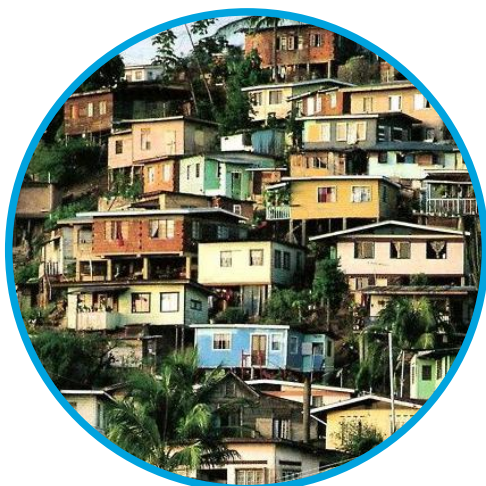
Case Study 1: Sogren Trace/Upper Gonzales, East Port of Spain, Trinidad & Tobago¹⁹



Sogren Trace/Upper Gonzales within East Port of Spain, Trinidad

A 2007 survey undertaken in the Sogren Trace-Upper Gonzales community identified 1,355 households and a total population of 5,089 persons, with 63% of all households reporting their tenure as squatting²¹. The area is characterized mainly by single family units on small and unevenly sized lots distributed among a number of public housing buildings. Steep topography and unstable slopes contribute to land slippage, poor on-lot drainage, and downstream flooding. Sanitation occurs by means of pit latrines and septic tanks. Upgrading plans call for a re-lotification exercise to generate a total of 1,460 lots. Over half of these will be smaller than 400 square metres, including well over 100 lots of under 200 square metres. A total of eighteen households are recommended for relocation, to occur within the community limits. Twenty-two new multi-family lots were created to achieve an acceptable minimum lot size by amalgamating the smallest lots. Upgrading work related paved roads and footpaths face constraints due to gang violence which occurs throughout the area.

Martissant is a primarily residential district located on steep hillsides close to the centre of Port au Prince. With an estimated 2009 population of 262,530, it is home to about ¼ of the capital's population. The area is dominated by informal settlement. The area experienced considerable violence during the political upheaval of the 2000s and suffered significant damage as a result of the earthquake of January 2010.



East Port of Spain hillside community²⁰

“

Barbados' Urban Development Commission (UDC) is managing a program to improve quality of life in this settlement, which is now served by several paved roads and access to utility services such as electricity, potable, piped water and telephone.

Informal settlement upgrading work in the area has been led by FOKAL, established in 1995 as a Haitian Non-Profit Foundation with a mission to support democratic development through individual and collective action. While FOKAL's mandate focuses on education, environment, culture and the arts, it regularly partners with international organisations to broaden the impact of their work to address community priorities such as access to drinking water, improvements to drainage and creation of public space. FOKAL relies on a community development model grounded in community engagement and community prioritized investments through grant funding. Communities lead the process of project identification and participate in project design and implementation. FOKAL manages the engagement process, secures financing and manages the projects. An example of upgrading

work within the Martissant community of Takwet Nan Beyn focused on introducing an integrated drainage and staircase system to improve mobility and reduce flooding. Efforts also focused on creating much needed public space.

Sophia is a grouping of 6 former sugar plantations within the City of Georgetown first settled informally in the mid-1980s. The first generation of residents occupied large lots and constructed small homes. Housing was largely self-built, with residents relying on least-cost wood construction. The area is now home to approximately 4,200 households, translating into a total population of close to 20,000 persons. The area includes households representing a range of socio-economic backgrounds, from labourers to lawyers.

Type 1 High Density Urban Hillside Settlements

Case Study 2: Martissant, Port au Prince, Haiti²²



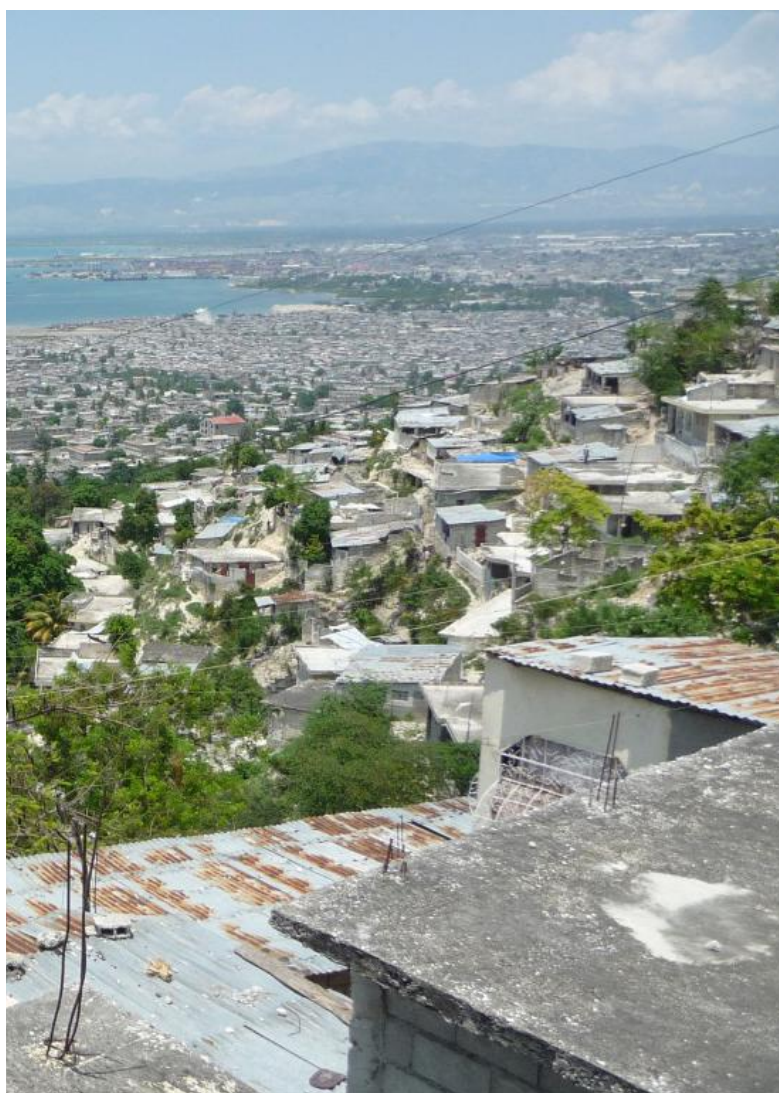
Drainage system upgrade in Martissant²³



Creation of public space in Martissant²⁴



The Commune of Martissant within Port au Prince, Haiti



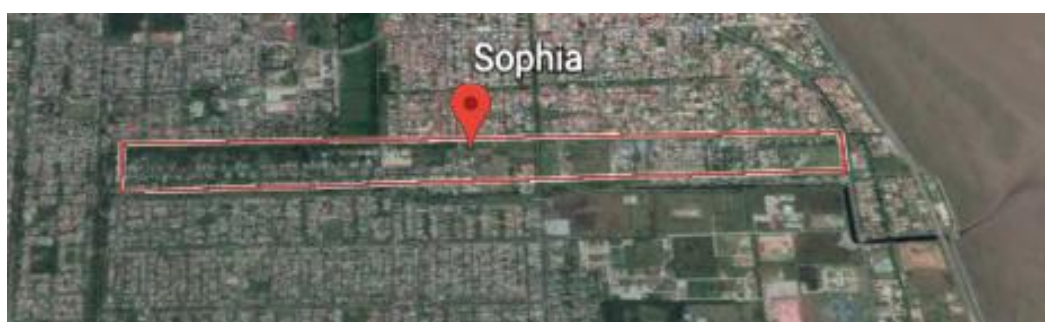
View from Martissant²⁵

Type 2: High Density Urban Flat Informal Settlements**Case Study 3: Sophia, Georgetown, Guyana²⁶**

Housing quality in Zero Tolerance Area in Sophia



Self-financed home construction



Context Image: Sophia within Georgetown, Guyana

Access to and within the area is constrained by a grid of canals with few bridge crossings or roads linking the area to the wider street network. Each primary canal has a reserved strip of land in the centre, reserved for canal maintenance and considered a Zero Tolerance Area for upgrading, but currently occupied by several hundred dwellings.

The Central Housing & Planning Authority (CH&PA) established a plan in 2001 to extend legal status to the occupants and improve infrastructure. Much of the work in the area has been financed by the IDB. The current

project, an IDB-financed Adequate Housing and Urban Accessibility Program, was approved in late-2017 to deliver three objectives: Improve housing conditions and access to basic infrastructure for low income communities; Enhance urban mobility and safety; and Strengthen national and local capacity to operate and maintain urban services. These investments have supported road works, bridges, and housing, as well as community facilities including schools, health centres, community centres and play fields. Better quality housing in the area is indicative of the impact of regularisation, even where formal title has not been secured. Home construction has largely been done at the expense of the homeowners, though some subsidy has been offered over time in the form of construction materials. Regularized homes now generally have access to electricity, water, public lighting and roads. A high proportion also have sewage in the form of septic tanks



The varied national responses to informal settlement presented in the next section suggest the importance of adapting regional and international best practices to local realities, while understanding the common features that cut across informal settlements throughout the region.

Case Study 4: Waterhall Tenantry Lands, St. Michael, Barbados²⁷



Waterhall Land Tenantry within Greater Bridgetown



Waterhall road right of way and housing stock

“Informal Settlement” in Barbados refers to settlements not adhering to planning regulations. Tenantry Lands are the primary form of informal settlement, home to approximately 80,000 persons live²⁸. Tenantry Lands originated with granting of a right to purchase of land on plantation sites extended to former slaves. Rights of occupancy remained informal, while basic services and infrastructure remained undeveloped.

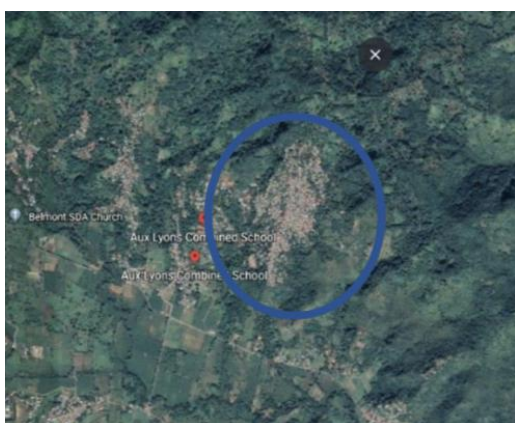
Waterhall Land in St. Michael, Barbados, is a privately owned tenantry comprised of one hundred and fifty-five (155) lots, with a high density of mostly single storey houses. Waterhall is located in a mixed-use area, in close proximity to a public market, supermarkets and shops, churches, a post office and a police station. Several major transportation routes also intersect within walking distance. Barbados’

Urban Development Commission (UDC) is managing a program to improve quality of life in this settlement, which is now served by several paved roads and access to utility services such as electricity, potable, piped water and telephone. More recently, UDC's role has included facilitating the subsidized purchase of 82 lots, and construction of six houses to replace poor condition housing owned by the land tenants.

Removal of forest vegetation has contributed to the degradation of the water catchment area, an issue of particular concern in the south of St. Vincent. Settlement in proximity to the shoreline has contributed to human-induced coastal erosion.

While densities, topography, access to services, and socio-economic profile vary across these settlement types, these examples also share

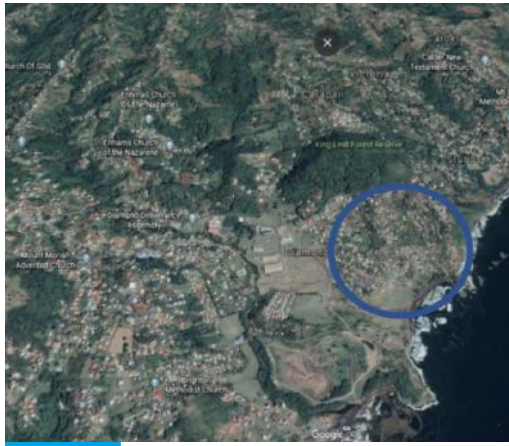
Case Study 5: Au Leon, Dennery, Saint Lucia²⁹



Au Leon, Dennery District, Saint Lucia



Hillside informal settlement of Aux Lyons

Case Study 6: Diamond, St. Vincent & The Grenadines³⁰

Diamond settlement



The view of Diamond looking northwest

important features related to vulnerability, precariousness and marginalisation. The varied national responses to informal settlement presented in the next section suggest the importance of adapting regional and international best practices to local realities, while understanding the common features that cut across informal settlements throughout the region.

2.3 Selected national approaches to informal settlement upgrading

Governments across the region have developed programs aimed at some combination of upgrading infrastructure and regularising title. The following describes the response of eight national governments across the Caribbean: Dominica, Guyana, Haiti, Jamaica, Saint Lucia, St. Kitts & Nevis, St. Vincent & the Grenadines and Trinidad & Tobago. Table 5 in Part 5 offers a summary snapshot of national informal settlement upgrading capacity.

Dominica³¹

As with other Caribbean countries, informal settlement in Dominica stems from a combination of land and housing markets unable to respond to the needs of Dominicans, and weak enforcement of planning and building regulations and property rights. Consistent with regional trends the majority of squatter areas are located on state lands, in close proximity to Dominica's two major urban centres, Roseau and Portsmouth. The number and characteristics of squatter settlements and their populations are unknown.

Regular interventions to address informal settlement date to the 1980s, with successive governments introducing a range of initiatives aimed at legalizing land title and upgrading access to services. Tenure and physical regularisation are enabled by Dominica's Squatter Regularization Policy and the State Lands Act No. 25 of 1998. Eligibility is limited to squatters who were in illegal occupation of State Lands without permission prior to January 1, 1998. Within the past decade, a squatter regularisation programme led by the Government of Dominica's Housing Division has focused on establishing legal land title, with land sold at a deeply discounted rate of \$1.00 per square foot, regardless of market value. This heavy subsidy is recognized as having the unintended consequence of encouraging others to squat on state land.

Guyana³²

A total of 27,570 households are known to be residing on State Lands in 231 informal settlement communities. This represents over 110,000 persons or 15% of the population. A national Squatter Regularisation & Relocation Programme has been in place since 1990. Implemented by the CH&PA, its main goal is to ensure security of tenure and adequate housing provided for persons living in informal housing areas. The program involves three broad activities, notably (1) establishing a perimeter survey and lot layouts; (2) upgrading physical infrastructure; and (3) transferring legal title. Structures located in areas deemed "Zero Tolerance", are identified for relocation, and are excluded from titling or upgrading works. As indicated in Table 3, CH&PA's work has resulted

Table 3: Status of Guyana's Informal Settlement Regularisation Program, 1990-2015³³

Type of Area	No. of areas	No. of Households	No. of persons	Beneficiaries of intervention measures		
				Areas	Households	persons
Areas for supportive interventions	186	26,370	105,480	114	20,440	81,760
Zero tolerance areas	45	1,200	4,800	-	400	1,600
Total	231	27,570	110,280		20,800	83,360

in the regularisation of lots in 177 informal settlement communities, benefiting 20,400 households out.

Haiti³⁴

The Inter-ministerial Committee for Territorial Development (CIAT) plays a coordinating role within Haiti, working with multiple ministries, departments, donor agencies and NGOs to deliver informal settlement regularization and upgrading activities. In the absence of an overarching national program, upgrading in Haiti is delivered by means of discrete projects. URBAYITI is a recently launched program funded by the European Commission with a significant slum upgrading component. It aims to strengthen urban governance and the resilience of urban areas and their populations. URBAYITI evolved from PARAQ (Program of

Support for Neighbourhood Reconstruction & Development), an EU-financed programme carried out between 2012 and 2018. PARAQ relied on a participatory approach to develop comprehensive neighbourhood plans for 9 communities, benefitting 170,000 people through a 74.5 million Euro investment in infrastructure, housing and livelihoods enhancement.

While accurate measures are unavailable, the scale of informal settlement is extensive. Senior officials responsible for planning and development estimate that 80 percent of all new construction can be defined as "informal". Effective governance is a high priority, including the need for a national policy framework and inter-agency coordination mechanisms.



Guyana, Georgetown informal settlements. ©UN-Habitat-Kirsten Milhahn



View over the informal settlement of Canterbury in Montego Bay, Jamaica, ©UN-Habitat/Kirsten Millhahn

Jamaica³⁵

A 2008 rapid assessment of squatting identified over 750 squatter settlements in Jamaica with a population of 600,000, or 20 percent of the population. Over 80 percent of these settlements were located in urban areas. The Government of Jamaica launched a new national survey of squatter settlements in July 2019.

Jamaica's current national development plan, Vision 2030, integrates informal settlement upgrading across all its four goals. Jamaica's response to informal settlement has been grounded in principles of upgrading and regularization, rather than eradication and relocation, for over forty years.

This response was reflected in the National Settlement Upgrading Programme of the 1970s and 1980s and Operation PRIDE – The Programme for Resettlement and Integrated Development Enterprise - launched in 1994. PRIDE resulted in the regularisation of 113 squatter settlements, with over 10,000 titles issued. While PRIDE was largely wound down by 2008, it offers a legacy of empowering community organisations to play an integral role in managing and financing upgrading activities. Ongoing initiatives include the Jamaica Land Titling Project, the Planning Institute of Jamaica's Community Renewal Program and efforts by local governments to implement the Cities Alliance's 'Cities without

Slums' action plan. Delivery of upgrading activities fall within the mandate of the Ministry of Economic Growth and Job Creation and its Squatter Management Unit.

St. Kitts & Nevis³⁶

Squatting has been recognized as a problem for close to twenty years and is considered to be the result of an unmet need for shelter. Squatter settlements are located on the island of St. Kitts, typically on the periphery of established formal settlements. Their unplanned and managed nature translates into negative environmental impacts with adverse impacts on health, unclear land tenure status, lack of basic urban services and infrastructure. A significant proportion of residents of informal settlements have low incomes. Responsibility for informal settlement upgrading rests with the Urban Development Unit, within the Ministry of Public Infrastructure, Post, Urban Development and Transport. The Unit was established in 2017 and operates under the Development Control and Planning Act.

Saint Lucia³⁷

A 2007 survey conducted by the Government of Saint Lucia identified 6,000 households in 33 informal settlements on State lands, accounting for 10% of all households. Saint Lucia's response to informal settlement takes the form of PROUD: The Programme for the Regularization of Unplanned Developments. Established in 1999, PROUD is implemented

through Saint Lucia's Department of Housing, Urban Renewal and Telecommunication. Title regularisation and physical upgrading work occurs exclusively on State Lands.

PROUD has relied on a mix of government support and continuous financing from the Caribbean Development Bank since 2000. This includes PROUD Phase I Shelter Development Project (2000-2010) and PROUD Phase II Settlement Upgrading Project (since 2011). PROUD III was launched in 2013 as a revolving fund of EC10 million+ collected from sale of titled plots.

To date, PROUD has benefited 1,890 households with improved access to services and basic infrastructure. An additional 1,543 households are expected to benefit by the end of 2020.

St. Vincent & the Grenadines³⁸

In 2006, the Government of St. Vincent and the Grenadines mandated the Ministry of Housing, Informal Human Settlements, Land and Surveys and Physical Planning (HILP) to implement a national Informal Human Settlements Upgrading Programme. The Programme's focus was on nine well-established informal settlements, that had been in existence for an average of over twenty years. The 2006 assessment identified a total of 742 households living in these nine settlements, with an average household size of 6 persons. Current estimates suggest that 4,452 persons live in informal settlements³⁹.

Work launched in 2006 included a comprehensive assessment of these nine informal settlements and preparation of a costed plan for the development and upgrading of physical infrastructure and community facilities. Housing needs and opportunities for improvements to the existing stock were also considered. Finally, the assessment included an analysis of land ownership and the need for regularisation of land title. Working through the Ministry's Community Development Unit, this process was to be undertaken in partnership with local communities.

While HILP has a formal mandate to coordinate upgrading work, the actual implementation of informal settlement upgrading is distributed across multiple ministries and agencies. For example, the St. Vincent & the Grenadines Basic Needs Trust Fund, financed by the Caribbean Development Bank and implemented by the

Ministry of Agriculture, is one of several agencies that has conducted informal settlement upgrading work. The Ministry would benefit from a national strategy and community-level plans to provide guidance for priority investments for informal settlement upgrading.

Trinidad & Tobago⁴⁰

One in five households in Trinidad lives in an informal settlement. The majority of these, 60,000 households, live on 396 sites on State lands, while an estimated 30,000 households live on private lands. To this end, the LSA relies on a combination of tenure regularisation aimed at offering security of tenure and infrastructure development, including upgrading of roads, drains, water physical upgrading. Tenure regularisation begins with an issuance of Certificate of Comfort to eligible households. To date, the LSA has received 22,303 applications for certificates of comfort and issued 8,000. Infrastructure development activities have reached a total of 24 informal settlement areas, which have been fully developed, including 4,074 lots and 3,662 households.

Financing of upgrading activities has relied on a combination of domestic and international financing, including a series of IDB-financed Programs: National Settlements Programs Phase I 1989-1994; National Settlements Program 2nd Stage 2002-2010; Neighborhood Upgrading Program 2011-2017. A recently approved IDB-financed initiative will invest US\$50 million in an Urban Upgrading & Revitalisation Program. The Programs four components include (1) Urban Upgrading: the regularization of squatter settlements on State-owned lands; (2) Affordable Housing Grants; (3) Urban Regeneration / Revitalization with an emphasis on improving public space; and (4) Strengthening of Housing and Urban Development Sector.

2.4 Informal settlement: A common challenge across the Caribbean Region

The informal settlement typologies and national informal settlement upgrading programs highlight varied responses to informality, while also underlining the commonality of the challenges associated with informal settlement upgrading. Innovations such as incremental security of tenure, negotiated performance-based planning standards, and participatory community planning are counterbalanced

by profound challenges associated with the complexity of informal settlement upgrading.

The CSISU strategic priorities and implementation tools are a response to five of these common challenges:

i. Weak governance

A lack of effective governance and inter-agency coordination mechanisms hampers implementation. This includes a lack of an overarching policy framework, plan, guiding vision, and the difficulty of building decision making systems to connect multiple government agencies, international donors and non-profits.

ii. Socio-economic vulnerability and diversity

A second common challenge and opportunity is the socio-economic diversity of informal settlements. Residents of squatter settlements, shanty towns, and bidonvilles are not simply the lowest income households. In fact, limited compliance with planning rules and building codes is evident across all socio-economic groups. However, the poor and marginalized are disproportionately represented within informal communities and are the most vulnerable to climate-related hazards, the risks associated with inadequate infrastructure and housing quality, and the impact of crime. Informal settlement upgrading must move beyond delivering basic infrastructure and services to enable sustainable livelihoods, poverty reduction and crime prevention. A starting point is the essential need for social surveys to properly establish a baseline understanding of socio-economic conditions and ensuring program design reflects this diversity.



The CSISU strategic priorities and implementation tools are a response to five of these common challenges: Weak governance, socio-economic vulnerability and diversity, vulnerability to hazards, weak regulatory capacity and data gaps.

iii. Vulnerability to hazards

Vulnerability to climate and hazard risk is a cross-cutting characteristic of informal settlements, especially those situated in close proximity to the coastline or on hillsides. The majority of urban settlements across the Caribbean are located in coastal areas. However, urban informal settlements are particularly vulnerable due to the combination of a lack of adequate infrastructure, substandard housing, low incomes, and tendency to locate in areas more likely to be exposed to climate and hazard risk. As evidenced in recent year by events in the Bahamas, Dominica and Haiti, vulnerability to exposure to natural hazards such as flooding and landslides is extreme within informal settlements.

iv. Weak regulatory capacity

A fourth challenge relates to regulatory enforcement. Relocation and containment have been met with limited success, while the capacity to rely on existing planning, engineering & building standards imposes significant constraints to upgrading. The ability to extend programs to private lands is also constrained by existing legislative and regulatory regimes. Overcome these limitations requires active and early community engagement, adapting existing tools and legislation, and establishing a long-term commitment to informal settlement upgrading.

v. Data gaps

Finally, an important consideration in preparing national strategies and plans focused on informal settlement upgrading is the data gap. The lack of consistent, comparable and accurate knowledge of the number, location, or characteristics of informal settlements and their residents limits any capacity to formulate and implement solutions.

These common challenges and the approach to responding to them are addressed in Part 3: CSISU Strategic Priorities and Part 4: Implementing Informal Settlement Upgrading Strategies.



Road and drainage constructions are part of the upgrading process in Sophia, Georgetown, Guyana, ©UN-Habitat/Kirsten Milhahn



Settlers of Sophia, Georgetown, Guyana, ©UN-Habitat/Kirsten Milhahn

Part

3

STRATEGIC PRIORITIES

The nine strategic priorities identified below respond to the common challenges within the region, draw from practical experience within the region and reflect global best practices to achieve successful informal settlement upgrading. These strategic priorities are consistent with the principles of the Participatory Slum Upgrading Programme presented in Learning Box 10.

BOX 4: Trinidad & Tobago - Guidelines for Regularization of urban Informal Settlements

The 2010 guide to the regularisation of urban hillside informal settlements prepared for Trinidad & Tobago's Land Settlement Agency and Ministry of Housing & Urban Development highlighted five key differences between the largely rural sites of the previous programmes and urban hillside sites:

1. Urban sites have a higher density of development and more established communities constraining capacity for improvements or establishing new rights-of-way
2. Tenure arrangements are more complex in urban areas
3. The level of investment in buildings and infrastructure is higher in urban areas
4. Greater concentrations of social and economic challenges in urban areas such as poverty, crime and unemployment
5. Environmental problems are more severe in high density hillside urban contexts with immediate downstream consequences

3.1 Understanding Upgrading as a Response to Urbanisation

Informal settlements exist as a result of rapid urbanisation: driven by the pursuit of improved quality of life through access to urban employment and urban services, and the lack of capacity to offer appropriate housing in sufficient supply. However, informal settlement is not limited to the highest density inner city areas. It includes informal settlement in suburban areas and the urban fringe, with the understanding that these communities rely on urban employment and services.

Urbanisation is the result of movement of people from rural areas and from international migration. Historically, international migration has originated from the least advantaged

countries in the region such as Haiti, Guyana and St. Vincent. More recently, Venezuelan nationals fleeing social unrest have migrated to the Caribbean in the tens of thousands, including an estimated 40,000 in Trinidad & Tobago and 35,000 in Guyana⁴¹. International migrants face a double threat of eviction due to insecure tenure and residency status, with a tendency to settle in locations particularly vulnerable to hazard. (See Learning Box 6)

3.2 A Risk-Based Approach to Upgrading for Community Resilience

The Caribbean region is highly vulnerable to a number of natural hazards such as hurricanes, earthquakes, volcanic activity, drought, tsunamis, flooding, and landslides. This high level of vulnerability is linked to poverty, past unwise and unsustainable land use practices, excessive deforestation, poor building practices, unplanned settlements in environmentally sensitive areas and inadequate solid and liquid waste management.

Inadequate drainage systems, location in environmentally vulnerable areas, poor housing quality, limited access to basic services and precarious livelihoods all combine to place informal settlements and their inhabitants at greatest risk to regular environmental and health hazards and extreme climate-induced events. (See Learning Box 5)

Risk assessment prior to any upgrading is an integral part of informal settlement upgrading methodology in several Caribbean countries. In Guyana, the CH&PA includes identification of site suitability for regularization in advance of any upgrading work. Assessment criteria include risk/exposure to hazards, need and cost. In Saint Lucia, detailed hazard assessments are carried out before infrastructure upgrades in areas



Understanding informal settlement in the context of urbanisation creates opportunities for leveraging innovation in energy efficiency, sustainable livelihoods, and crime prevention. Most importantly, a focus on urbanisation requires policies and strategies that rely on methodologies and practices and tools that are different from those used in a rural context.

BOX 5: UN Habitat Guidance on Pro-Poor Climate Action and Informal Settlement⁴²

UN Habitat's 2018 guide to enable climate action in informal settlements lays out nine key tenets that should be applied when considering and implementing climate change measures in informal settlements. As a starting point, the guide identifies three mutually reinforcing factors that cause informal communities to be more vulnerable to the risks of climate-related natural hazards:

Physical location: informal settlements are more likely to be located on steep slopes, in floodplains, or in close proximity to shorelines and watercourses;

Socio-economic status: residents of informal settlements are disproportionately characterized by poverty, poor health, and precarious livelihoods, leaving them with limited capacity to respond to and recover from climate impacts; and

Political influence: informal settlements and their residents are often politically and institutionally marginalized, translating into limited investments in preventive infrastructure and services.

See Learning Box 10 PSUP Principle 5 Climate compatible and environmentally sound for healthier cities

known to be vulnerable. In Jamaica, one of three criteria for prioritising interventions is an early assessment of any serious threat to human safety. In all these instances, relocation is recommended only where necessary: to protect lives, accommodate critical infrastructure, or to protect Environmentally Sensitive Areas.

3.3 A Community-Based Approach to planning as a Starting Point in Upgrading

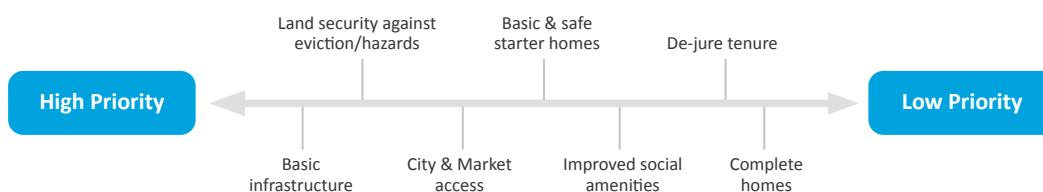
An essential starting point for preparing to upgrade an informal settlement is to engage in a process of meaningful dialogue with local communities within the framework of a community planning exercise.

Constructing a collaborative vision, a set of shared objectives and a multi-stakeholder partnership-based investment plan helps address many obstacles to successful upgrading. Outcomes of open dialogue include introducing a community-based governance model, establishing local employment targets and community contracting systems into the upgrading process, relying on community-based risk assessment as an input to decision making about the need for risk reduction investments or relocation of households and structures, and a collaborative approach to establishing appropriate planning and engineering standards



Informal Settlement of Liliput near Montego Bay, Jamaica, ©UN-Habitat/Kirsten Milhahn

Figure 3: Criteria for allocation of scarce public resources⁴³



3.4 Treat Security of Tenure as a Transition along a Continuum

In an environment of scarce resources, governments are wise to adopt city-wide approaches using incremental upgrading designed to maximize program reach in multiple sites and contribute city-wide development, responding to high priority needs. While achieving security of tenure is a critical outcome of informal settlement upgrading, this concept is not synonymous with full legal title. Experience in the region suggests an opportunity to consider a range of approaches to achieving tenure security lying somewhere between the fully illegal and legal, and recognizing established social arrangements around tenure.

A policy response is needed to enable residents to move through the continuum over time, rather than expecting a big jump from illegal to legal.

Sufficient security of tenure can be achieved by a combination of formal recognition of the settlement, establishing a cooperative working relationship with community groups, and investing in basic infrastructure and services.

Developing a more nuanced approach to achieving security of tenure is needed to respond to legal and policy requirements that currently guide the design of IFI-financed informal settlement upgrading programs.

Experience suggests that access to full title is not necessarily a high priority of residents of informal settlements. In its survey of resident's priorities, Trinidad & Tobago's Land Settlements Agency has found that tenure regularisation is consistently of secondary importance in comparison to improvements to physical infrastructure (See Figure 3). In Haiti, the goal of establishing full legal tenure among residents of informal settlement has been described as a priority only "in the minds of professionals⁴⁴"

There is little evidence from the Caribbean that suggests households rely on land title and equity as a means of financing home improvements through formal lending. Instead, beneficiaries of informal settlement upgrading rely on savings or remittances to fund incremental improvements to their property

BOX 6: Vulnerability to Natural Hazards: Shanty Towns in the Bahamas

Informal settlement in the Bahamas are commonly referred to as "Shanty Towns," defined by a 2013 assessment as a "cluster of dwellings which do not meet minimum environmental or regulatory standards with respect to water supply, solid waste management, sewage disposal, general aesthetics and structure." Shanty Towns have emerged as a result of migrants from surrounding islands seeking a more secure quality of life. They are located almost entirely on crown land and are characterized by a lack of legal land tenure, overcrowding of poorly built dwellings, inadequate sewage systems, and uncollected solid waste. Informal settlement in the Bahamas is concentrated on the islands of New Providence and Abaco. A 2013 Shanty Town Report identified 730 households in New Providence and 1,024 in Abaco. In January 2018, the government of the Bahamas committed to social policy reforms aimed at upgrading living conditions of Shanty Town dwellers. Actions included an Assessment of shanty town residents; Inspection of physical structures; Identification of housing options for relocation; and a legislative review.

A follow-up 2018 assessment identified 915 dwelling structures in Abaco with an estimated population of 3,581, a 10.6% reduction from 2013. The majority of these dwellings were concentrated in two communities: The Mudd (470 dwellings) and the Peas (174), both built using abandoned construction materials in a low-lying area vulnerable to flooding. Residents from these communities did not or could not leave the area when Dorian made landfall on Great Abaco Island as a category 5 hurricane. Some chose to protect their homes and belongings, while others sought shelter in local churches. In the aftermath of Hurricane Dorian, dozens are known to be dead. Because residents were not formally registered with the authorities, the number of missing is unknown. These two communities have been fully destroyed and may never be rebuilt.

and home. The weak link between land title and access to formal credit is supported by international evidence outside the region⁴⁵.

The process of land titling is time-consuming and expensive, resulting in the need to make trade-offs between delivering full title and delivering basic services. Findings of a recent

independent review of IDB's Upgrading Programs in the Caribbean found that these have proven effective in reaching vulnerable populations and improving well-being through basic services. However, IDB financed programs have been less effective in delivering land titles. The incremental approach in T&T and Guyana is innovative and effective in improving perceived

BOX 7: Guyana CH&PA Community Participation Model

CH&PA relies on a community participation model as an integral part of upgrading, grounded in 8 guiding principles:

- Principle 1. Share Information: CH&PA implementing PR strategy including hosting community meetings, using print and electronic media, etc. to inform communities/stakeholders of programs/projects
- Principle 2. Engage Local Democratic Organs: in order to obtain their inputs at the design, planning, implementation & evaluation stages.
- Principle 3. Build Leadership and local capacity: Through training, coaching and mentoring.
- Principle 4. Ensure Inclusiveness and Develop Partnerships: Collaborating and consultations with stakeholders who complement government activities while also providing a voice for the vulnerable and marginalized groups.
- Principle 5. Help facilitate community empowerment to take Action: Through the implementation of a community demonstration project.
- Principle 6. Promote a Culture of Maintenance: All projects must be accompanied by a realistic maintenance plan.
- Principle 7. Gather Information: Obtain feedback through community meetings, workshop sessions, qualitative or quantitative data.
- Principle 8. Monitor & Evaluate: Collect and report on what is being done correctly and what needs to be changed.

The CH&PA also notes five critical success factors to successfully involving the community in the process of upgrading:

1. Facilitate the establishment of a community group where none exists or strengthen existing groups
2. Support formal registration of a community group under the Friendly Society's Act or equivalent
3. Support community groups through training, coaching and mentoring
4. Facilitate the development of networks among the community groups and other stakeholders including local authorities, national government agencies, non-governmental organisations and faith-based organisations
5. Provide support for the implementation of community projects identified as a community priority.

BOX 8: Guyana and Saint Lucia– Full title as a low household priority

An informal settlement in Guyana is considered fully regularized when the infrastructure has been upgraded and legal title issued. This process requires amortized payments by beneficiary households covering at least a portion of the costs of lot upgrades. Once an initial payment is made, occupants are issued a "Letter of Allocation" from CH&PA. The CH&PA has observed that households in receipt of a Letter of Allocation will rarely continue making subsequent payments needed to secure full title. Households are able to secure access to basic services like water and light with the benefit of a Letter of Allocation. In effect, the "Letter of allocation" issued by CH&PA has evolved into a form of provisional title offering an adequate degree of tenure security. As a result, and despite highly subsidized terms, take-up of full title by eligible households is very low. In one informal settlement where 1,008 lots were fully upgraded, a total of 800 households were deemed eligible for acquiring full land title. Of these 800 households, 223 submitted an application and initiated payment. However, only 163 households actually collected their documentation.

Saint Lucia's experience has been similar. Dozens of households in Saint Lucia are eligible to collect their title document but have not done so. This despite their lot having been surveyed based on an approved plan of subdivision, and household payments made in full, with the only remaining step to present proper identification. As with Guyana's Letter of Allocation, the "Offer Letter" provided by PROUD serves as a form of provisional title for occupants. Cabinet approved a new rule in 2014 whereby security of tenure could be secured by occupants of State Lands who acquire a "Letter of Attestation" signed by a parliamentarian or respected citizen, attesting to their having occupied State land for at least 5 years.



Informal Settlement of
Westminster near Georgetown,
Guyana, ©UN-Habitat/
Kirsten Milhahn



Children from the Diamond River
Dam Settlement in the suburbs of
Georgetown, Guyana,
©UN-Habitat/Kirsten Milhahn

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If the goal of informal settlement upgrading is to maximise the reach of public-sector led investments, then the focus must be on a mix of basic services upgrading while achieving tenure security without full titles.

security. The review found that trying to move past the first stage of title regularisation has proven time consuming and contributed to expensive site development requirements.

If the goal of informal settlement upgrading is to maximize the reach of public-sector led investments, then the focus must be on a mix of basic services upgrading while achieving tenure security without full title. While full title regularisation can be an option available to interested households, this process should not disrupt the process of delivering priority physical investments.

3.5 A Comprehensive Approach to Upgrading: City-wide Planning

In the absence of a national informal settlements policy or strategy, informal settlement upgrading tends to focus on specific sites in isolation from any broader context.

A more integrated City-wide approach to informal settlement upgrading includes understanding informal settlements within their broader geographic context, considering the urban-rural linkages that drive informal economies. From a hazard risk reduction perspective, understanding informal settlements within their coastal watersheds is also necessary.

BOX: 9: Trinidad & Tobago: An Incremental Approach to Land Title Regularisation

Trinidad & Tobago's State Land (Regularisation of Tenure) Act 25 of 1998 established an innovative approach to achieving security of tenure. Delivered as a phased process, title regularisation begins with the Certificate of Comfort (CoC), the first in a three-phase approach to achieving full title. Subsequent phases of the titling process include a 30-year statutory lease, and a 199-year Deed of Lease.

The CoC is a provisional form of tenure that takes the form of a physical document extending to eligible individuals a right to protection from eviction from State Land. The CoC does not ensure any legal right to ownership of occupied lands. If an individual granted a CoC is required to be relocated, the CoC includes a guarantee of an alternative lot.

Eligibility for a Certificate of Comfort is limited to those individuals who have (1) been living in a legally designed squatter settlement, (2) prior to the 1st of January 1998, and (3) submitted an application for regularisation prior to October 27, 2000.

The statutory model for incremental tenure in Trinidad faces a number of challenges. The absence of any time limits or incentives for beneficiaries of regularization projects to take further action has limited the transition beyond the CoC. While a total of 8,000 CoCs have been prepared, with over 22,000 applications having been received, fewer than 200 thirty-year statutory leases had been issued by 2019, almost all since 2017. No 199-year Deeds of Lease had been issued by 2019.

BOX 10: The Participatory Slum Upgrading Program (PSUP)

The Participatory Slum Upgrading Program (PSUP) was initiated by the ACP in 2007, financed by the European Commission and implemented by UN-Habitat. The PSUP advocates for evidence-based decision making based on multi-stakeholder input to inform planning approaches and interventions in the form of city-wide slum upgrading and prevention strategies.

City-Wide Slum Upgrading Strategies are grounded in 6 PSUP Principles:

1. Integrated and coherent for an enabling policy environment
2. People-centered and participatory leaving no one behind
3. Incremental and affordable for equity in cities
4. Evidence-based and strategic for improved coordination and investment
5. Climate compatible and environmentally sound for healthier cities
6. Participatory and transferable towards prosperity for all

The PSUP is now in its third phase (2017-2021), reaching 190 cities in 40 countries. The PSUP has supported city-Wide Slum Upgrading Strategies and associated resource mobilization strategies in 5 Caribbean countries: Guyana, Haiti, Jamaica, St. Vincent & the Grenadines and Trinidad & Tobago.

3.6 An Integrated Approach to Upgrading: Social Inclusion and Protection

A city-wide approach to informal settlement upgrading must consider inter-related social and economic development priorities. Upgrading physical infrastructure and addressing security of tenure must be accompanied by a deliberate focus on protecting and enhancing livelihoods, generating opportunities for social enterprise, enabling access to finance, and ensuring access to health, education and social services. Community contracts and sustainable livelihoods integrated into physical upgrading must also be considered as mechanisms to address youth unemployment and gang activity.

Explicitly integrating a socioeconomic component to upgrading begins with social surveys and working with communities using a participatory model to identify gaps and opportunities for intervention.

Planning for sustainable livelihoods is particularly important in the context of relocation. The reluctance to be relocated is as much a fear of the loss of livelihoods as it is about the fear of losing shelter. The traditional approach has relied on offering adequate alternative shelter to a relocated household without consideration of any impacts on livelihoods or social networks. Precarious livelihoods will not survive a relocation, which may also result in an associated loss of family ties and social networks.

3.7 Public Sector-led Investment in Strategic Infrastructure Based on Appropriate Standards

As discussed in Strategic Priority 4, the focus of informal settlement upgrading must be on reaching the maximum number of beneficiaries through priority physical infrastructure and essential services. These investments will address issues of basic quality of life and environmental protection. The range of public investments include multi-purpose mobility networks (roads, stairs, pathways); water & sanitation; drainage / stormwater management; public space and access to health and education facilities. The specific investments will be defined by available resources and collectively identified priorities.

Integral to successfully investing in public infrastructure is relying on context-sensitive planning and engineering standards. These planning and engineering standards will evolve over time, reflecting and adapting to changing local conditions and emerging technologies. The main planning and development standards to re-consider include⁴⁶:

- Lot Size: National norms are generally not easily applied due to limited land suitable for development.
- Site development: These would have to accommodate the existing investment in housing stock and community formation.
- Vehicular Access: Historical expectations that each parcel must have direct vehicular access has to be rethought.

Context-appropriate and dynamic standards should reflect the need to adhere to a minimum performance, balancing resilience to natural hazards, long term operating and maintenance costs and affordability. Findings of a recent review of IDB upgrading programs in the Caribbean found that while these have proven effective in reaching vulnerable populations,

BOX 11: Saint Lucia's Collaborative Approach to Appropriate Standards

The establishment of appropriate standards as part of Saint Lucia's squatter regularisation programme is undertaken by means of a collaborative approvals process involving PROUD – the Programme for the Regularization of Unplanned Developments - and members of the Planning Board. The process begins with pre-approval consultation, with the Planning Board offering guidance to PROUD regarding submission of a plan proposal. Standards that reflect the reality of each site are considered on a site-by-site basis. Notable among these standards is the urgency of securing approval for lot sizes well below the 3,000 sq.ft. prescribed minimum and permitting access from residential properties to roads via footpaths.

The collaborative working relationship is based on a spirit of PROUD committing to move towards full planning, engineering, environmental and health standards, with Planning Board recognizing the constraints faced by informal settlement areas. The collaborative process includes roundtable stakeholder meetings that serve as a pre-approval phase to facilitate PROUD proposals for subdivision of land being approved. Pre-consultations with approvals agencies have included site walk-throughs to sensitive approvals agencies to local circumstances. Agencies provide PROUD with a report recommending a way forward.

BOX 12: Using Comprehensive Development Areas to Introduce Strategic Public Infrastructure in Trinidad & Tobago

The 2010 Manual for the Design and Development Project for the Regularization of Informal Settlements was designed in response to a lack of systematic approaches to the tenure regularization process and the absence of planning and development standards suitable for the special conditions of squatter regularization in urban hillside settlements in the Greater Port of Spain area. The manual offers a nine-step process for regularisation:

1. Classify Settlement & Determine of Regularization Strategy
2. Initiate Local Project Steering Committees
3. Negotiated Local Area Development Plan
4. Initiate LSA Component on State Lands
5. Initiate Immediate Environmental Remediation
6. Negotiate partnerships with private landowners
7. Declare Area for Comprehensive Redevelopment under Act 35:01
8. Proceed to regularize private areas by acquisition (limited), Highways Act, Municipal Corporations Act.
9. Initiate Relocation/Redevelopment where necessary

The manual presents several options for implementing this process on both State and private Lands. Option 1 for State lands focuses on upgrading physical and community infrastructure in collaboration with local communities, with residents improving their own houses as resources permit. Option 2 considers the involvement of residents in readjusting plot boundaries to achieve more efficient and equitable land use. Regularization options on private lands begin with the declaration of the area for comprehensive redevelopment under the Town and Country Planning Act (Part II Section 5), as the statutory basis for rationalizing lot layout and implementing infrastructure plans. This is to be carried out in conjunction with State acquisition of rights of way for improving trunk infrastructure, social, recreational and cultural facilities, and the introduction of land sharing to enable residents and land-owners to re-arrange lots so that land-owners can recover part of the site for development.

As the existing regulatory standards cannot be applied to these urban hillside settlements, a pre-requisite for any upgrading project is approval from key regulatory bodies. A first step is to formally mandate a special standing committee of approval and regulatory agencies – including local governments – to facilitate the regularization of informal settlements. This steering committee would participate in the initial stages of the Design process and remain as on-going partners during implementation.

See Learning Box 10 PSUP Principle 1 Integrated and coherent for an enabling policy environment

the loans have been expensive to implement. The requirement to adhere to full planning and engineering standards has had a notably significant impact on costs. One example of a shift towards meeting full standards resulted in per lot upgrading costs increasing from US\$5,000 to US\$19,000 resulting in significant reduction in the number of beneficiaries⁴⁷. At the same time, the long-term operation and maintenance (O&M) costs of upgraded infrastructure must be considered. In Trinidad, O&M costs for roads and drains are the responsibility of local authorities. Involving

agencies responsible for O&M in the early stages of the upgrading process will mitigate their future reluctance to assume responsibility for infrastructure built to a standard that involves low upfront costs and high O&M costs.

3.8 Investing in Affordable and Adequate Housing Systems

The housing system forms an integrated continuum, with the needs of the most vulnerable, low income households and middle-income households particularly interconnected. As a result, weak capacity to deliver housing to middle income households, related to a lack of conventional mortgage financing systems, place considerable pressure on this continuum. Evidence from the housing market in Trinidad and Tobago suggests that lower income households are being squeezed out of housing options⁴⁸. While evidence suggests that private developers have generally satisfied the housing demand of higher



National housing policies are needed to establish the inter-connection between informal settlement upgrading and wider investments in a functioning housing market.

income groups, housing demand of middle- and low-income groups have far outstripped supply of serviced land, affordable housing and accessible housing finance. The inability of the housing market to satisfy the needs of middle-income households places pressure on housing and land that would otherwise reach lower income households.

This requires both incentivizing private investment for homeowners and rental housing for lower middle and middle-income households on one end of the spectrum, building on traditions of incremental self-built housing, while making carefully targeted state investments in subsidized social housing at the other end.

In contrast to State-led investment in public infrastructure, emphasis on housing should be placed on incentivizing and leveraging private household investments. Incentives can be matched with a role by the State in the form of core housing intended to be developed incrementally, and state incentives for private investments in rental housing. Evidence from across the region suggests a strong willingness to pay for housing improvements once security of tenure has been established.

Guidance is needed on how to move towards promoting more resilient forms of construction and towards achieving higher density forms of housing. Options for introducing affordable higher density housing include:

- Row housing – with freehold ownership of the house, and possible shared ownership of public space
- Two-storey structure with a single owner, with 1-3 rental units on the ground floor
- A combination of the two – row housing containing secondary suites

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Prospect Affordable Housing Project in Georgetown, Guyana. The Government builds houses for low income families and slum dwellers. Prospect is part of a relocation project in the capital.
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BOX 13: Saint Lucia's Affordable Rental Housing Solution⁴⁹

An "accessory apartment," also known as an accessory dwelling or secondary suite, is defined as a residential dwelling located on the same property as an existing primary dwelling. The accessory apartment is accessible from an entrance separate from that of the primary dwelling. It may be located under the same roof as the primary dwelling or may be a detached structure that is smaller in size than the primary dwelling. In the Caribbean context, an accessory apartment typically takes the form of one to three apartment units built on the ground floor of a two-storey structure, with the top floor occupied by the property owner.

This type of housing is the most popular type of private rental in Saint Lucia due to an accepted building form and personal preferences. There is a strong market for two-storey homes, privately owned, with one or two ground level rental units to help homeowners recover costs. Private landlords prefer these one-on-one tenant relationships as purpose-built multi-family rental is deemed to be too complicated for a small private investor.

BOX 14: Incremental Core Row Housing⁵⁰

Since many low-income families cannot afford a fully developed house, select programs in developing countries have provided them with the building blocks to make their own homes. The philosophy is that it's preferable to give an industrious individual part of a good home instead of a complete low-quality home. After Constitución, Chile was hit by a massive earthquake, resulting in the destruction of 80% of all structures, the architectural firm Elemental was commissioned to create a master plan. Elemental retained the two-storey building types common in the area but provided only half a house for each household. The first floor of the finished half is made of concrete floors and the second is unfinished plywood. Each house is just big enough to meet minimum standards for low-income housing. The houses came with only one sink in the kitchen and everything families wouldn't be able to build alone, such as the foundation, plumbing, and electricity. The government provides roads, drainage, sewage, garbage collection and infrastructure, while residents provide their time, labour, and extra materials. The project does not simply provide lower-income residents with good-quality housing, it makes sure that they have a personal connection and sense of ownership over their dwelling. By building two-storey townhouses the project encourages denser development and reduces land consumption.

Evidence from Guyana (Sophia), Haiti (Canaan), and Trinidad (IDB Home Improvement Program) demonstrate the capacity for residents of informal settlement to invest in housing once security of tenure has been established. This reflects both the socio-economic diversity of households living in informal settlements (from labourers to university professors to lawyers), as well as the capacity for residents to leverage local resources whether through savings or from overseas remittances.

3.9 Replicating Effective Practices for Relocating Households

Relocation is a necessary element of informal settlement upgrading. The need for relocation relates to protection of vulnerable households facing exposure extreme risks, to enable strategic investment in public infrastructure, and to protect fragile ecosystems. Effective enforcement practices in the region rely on a mix of legislative tools and community-based self-enforcement through effective community engagement. Community engagement works as a means of achieving self-policing and establishing openness and trust needed to

make difficult decisions about relocation. However, community engagement cannot be rushed and will typically exceed formal project timeframes.

Careful attention must be made to livelihoods and social networks of individuals identified for relocation. What has become clear over time is that the quality of housing is only one of several factors considered by residents of informal settlement. Simply offering a comparable or even better-quality housing situation fails to account for access to social supports and income-generating activities associated with the status quo.

Clearly defined procedures must be put in place for relocation. Guidance is needed to determine how much or how little investment should occur in the new site and associated housing to which occupants are being relocated. Too much subsidy will create an incentive for illegal occupation. Too little investment may serve as an obstacle to successful relocation. Consideration must also be made for dismantling structures left behind following relocation. If not removed, these structures

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Prospect Affordable Housing Project in Georgetown, Guyana, ©UN-Habitat/Kirsten Milhahn

will soon be occupied either through a sale by the previous occupant, rental or inviting family members to occupy the structure.

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may serve as an obstacle to successful relocation. Consideration must also be made for dismantling structures left behind following relocation. If not removed, these structures will soon be occupied either through a sale by the previous occupant, rental or inviting family members to occupy the structure.

The approach to in-situ regularization championed over the last 30 years within the region requires a reconsideration, particularly in light of growing vulnerability to natural hazards in coastal areas. The scarcity of financial resources available for upgrading offers a strong rationale for limited relocation within communities to optimize layouts, increase densities in order to reduce per lot infrastructure costs. The correct intervention in support of relocation in the context of vulnerability and risk assessment is one that finds the elusive balance between in-situ upgrading, relocation and enforcement.

BOX 15: Guyana's Zero Tolerance Areas and Saint Lucia's Special Enforcement Areas

Guyana's CH&PA has defined "Zero Tolerance Areas" where upgrading will not occur, and where residents need to be relocated and structures demolished. In reality, relocation remains more of a policy intent than a practice. A number of residents who have been offered new lots have simply refused to move. There have been isolated instances of relocation. For example, a total of 266 households were relocated in 2009 from the Guyana Power company reserve. Despite this approach, residents of Zero Tolerance Area are able to secure access to electricity, either illegally or by exploiting the lack of coordination and communication between CHPA and utility companies. While the existing legislation is adequate, challenges to relocation and resettlement in Guyana include:

- Financing the relocation, including development of a new site and provision of some form of housing to compensate for the loss of housing from the original site
- Introducing higher density housing. The current approach relies entirely and exclusively on the single detached dwelling
- Enforcement is limited by human capacity. They do rely on Rangers, but these individuals enforce rules like waste disposal, not building standards or land use policies.

Saint Lucia PROUD sites are designated as Special Enforcement Areas. Section 24A of the Land Development (Interim Control) Act of 1971 as amended by Act No. 11 of 1990 states that Cabinet may declare any area to be a Special Enforcement Area for the purpose of preventing squatting or other forms of unauthorized development. The SEA facilitates the use of enforcement in order to relocate structures due to exposure to hazards, or to enable provision of infrastructure, and to control new occupation.



Through Prospect, families from low-income backgrounds have the opportunity to buy affordable houses at subsidized prices, Georgetown, Guyana, ©UN-Habitat/Kirsten Milhahn

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Voluntary relocation is a necessary element of informal settlement upgrading. The need for relocation relates to the protection of vulnerable households facing exposure to extreme risks, to enable strategic investment in public infrastructure and to protect fragile ecosystems.



Prospect Affordable Housing Project in Georgetown, Guyana,
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Part

4

**IMPLEMENTING INFORMAL
SETTLEMENT UPGRADING
STRATEGIES**

Regional and national stakeholders consulted during the process of preparing the CSISU have identified five factors necessary for the successful implementation of an informal settlement upgrading strategy. These are consistent with global best practices.

4.1 Cross-Cutting Governance and Coordination

National policies or strategies which explicitly lay out a city-wide approach to informal settlement upgrading within the framework of urbanisation are essential instruments for enabling leadership across responsible ministries and agencies. Inherent in a national policy or strategy is a collectively constructed vision to guide implementation of upgrading activities. A national framework will acknowledge that the failure to upgrade informal settlements poses a threat not both vulnerable residents and fragile ecosystems.

National guidance is necessary for navigating the complexity of informal settlement upgrading in an urban context, addressing its multi-sectoral nature, the need for inclusive participation from the outset, the necessity of public infrastructure reaching households on both public and private lands, and the

challenge of relocation. A national policy or strategy will serve as an inter-agency coordinating mechanism, offering guidance not only within the national bureaucracy, but acknowledging and enabling a role to be played by local authorities as a key partner in informal settlement upgrading. Establishing a coordinating mechanism begins by explaining the legal and regulatory context and offering procedural guidance on their implementation. Attention to the existing legal framework enabling national policies may require amending existing legislation or introducing new legislative and regulatory tools to fill gaps. National strategies may identify legal bottlenecks and facilitate and focus long-term advocacy efforts to bring about necessary changes. Finally, a nationally defined informal settlement upgrading framework will guide and enable community-level plans for upgrading. These community-level plans will offer a vision and decision-making framework to facilitate important choices and tradeoffs among difficult questions of relocation, planning and engineering standards and regularization of title. Examples include the choice between a more targeted approach to infrastructure improvements or more broad-based redevelopment to introduce higher density and more resilient forms of housing and more efficient infrastructure upgrading.



Representatives of the Community Department, Ministry of Communities, Central Housing and Planning Authorities, Georgetown, Guyana, ©UN-Habitat/Kirsten Milhahn

BOX 16: Community-Based Coordination for Urban Informal Settlement Upgrading in Trinidad & Tobago⁵¹

Trinidad & Tobago established an inter-agency coordination mechanism convened by the Ministry of Housing and LSA in order to implement an urban informal settlement upgrading pilot program. While the coordinating committee was meant to be appointed by Cabinet, it relied instead on the Local Government Act-enabled coordinating committee. The committee was funded through a mix of international project financing and PSIP

A community coordinating committee was also established, with communication facilitated by including many of the same members as the inter-agency committee. A community organisation was at its centre, serving as general contractor and responsible for procurement, troubleshooting, and problem solving. The community organisation received 10% of project funding, with its priorities guided by a Comprehensive Local Area Development Plan, prepared in consultation with local stakeholders.

Other measures used to enable community-based approach to implementation:

- Local Area Development Plans and Engineering Designs accounted for the extra time needed to support community-based implementation.
- A social assessment of participating communities was essential, including using the assessment to identify actions to implement social development.
- LSA delivered training and capacity building based on a community needs assessment
- The project relied on development standards designed to be appropriate to site-specific conditions

See Learning Box 10 PSUP Principle 4 Evidence-based and strategic for improved coordination and investment

4.2 The CSISU as a Platform for Training and Capacity Building

The process of preparing and implementing the CSISU offers a platform for training and building capacity among regional decision makers, practitioners and professionals. This includes private sector, civil society and community-based organisations engaged directly in informal settlement upgrading. Training workshops, online policy dialogues, and access to technical guides will collectively engage and maintain open lines of communication among stakeholders from across the region. The content of training and capacity building activities will focus on knowledge and experiences developed within the Caribbean region, and international best practices appropriate to the region. Within the context of the Sustainable Development Goals, the CSISU will serve to strengthen national capacity to monitor and report on progress towards SDG 11.

4.3 Financing Informal Settlement Upgrading

With the exception of Haiti, most financing in the Caribbean for urbanization and informal settlement will be through lending. Financial institutions like the CDB and IDB have co-financed significantly in urban and informal settlement upgrading projects in partnership with national governments over the past 50 years. However, an ongoing obstacle to

successful informal settlement upgrading is the capacity to finance infrastructure investments and fund their ongoing O&M.

There is a strong cost-benefit rationale for informal settlement upgrading both because of the capacity for leveraging private investment in housing upgrading, and accounting for the savings due to reduced flooding, environmental protection.

The current generation of financing aimed at reducing vulnerability to climate and disaster risk tends not to explicitly acknowledge the role played by informal settlement; this despite

BOX 17: The Caribbean Urban Forum as meeting place for professionals and policy makers

The Caribbean Urban Forum (CUF) is a three-day conference designed to address specific policy issues within the Caribbean urban sector. It brings together land use practitioners, policy makers, academics and allied professionals interested in urban and land management issues within the Caribbean in an effort to further advance land use planning and urban management within the Region. The conference not only supports the collaborative efforts of planners in the Caribbean and wider America's region but across the globe. The CUF was originally launched in 2011 in Guyana, coordinated the blueSpace – Caribbean Network for Urban and Land Management. The ninth annual CUF took place in Trinidad in 2019, with the tenth annual CUF scheduled to take place in Guyana.

BOX 18: Saint Lucia Revolving Fund⁵⁵

Phase III of Saint Lucia's Programme for the Regularisation of Unplanned Developments (PROUD) was launched in 2013 as one of two revolving funds: The Settlement & Tenantry Upgrade Revolving Fund (STURF) and the Sites and Services Revolving Fund (SSRF).

The STURF was established with revenue generated from the sale of upgraded lots under earlier phases of PROUD. The SSRF was established using revenue generated from the sale of serviced lots through a Ministry of Housing Sites and Services programme. Both PROUD and the Sites and Services Programme were jointly financed by the CDB and the Government of Saint Lucia.

As part of a formal governance structure established jointly by the Caribbean Development Bank and Government of Saint Lucia, the Department of Housing, Urban Renewal and Telecommunication is responsible for the management of the use of the STURF and SSRF. Within the Department, specific responsibility for implementing STURF rests with PROUD. No legal amendments were required to establish the governance framework, with existing legislation considered adequate for enabling land transactions and procurement activities under both the STURF and SSRF.

The STURF had accumulated in excess of EC10 million by 2019 and continues to grow through the ongoing sales of rationalized lands. The use of STURF by PROUD is intended for two purposes: Consultancies, including design work and Infrastructure development. The revolving fund also allows PROUD to fast-track preparatory work, such as perimeter surveys and securing regulatory approvals.

informal settlement representing the areas most vulnerable to disaster risk. An opportunity exists to better integrate the lessons learned from informal settlement upgrading with disaster vulnerability reduction financing, and reflecting the priorities laid out in the CSISU in project preparation.

More clearly aligning informal settlement upgrading with community resilience, mitigating exposure to hazard risk and addressing climate action will increase opportunities for accessing financing opportunities through the Global Environment Facility (GEF)⁵², Green Climate Fund (GCF)⁵³ and the Adaption Fund launched in 2007.⁵⁴

A second opportunity relates to the state subsidies for the costs of informal settlement

upgrading. This tendency results in multiple unintended consequences including incentivising additional squatting, and the failure to maximize the number of vulnerable households reached.

Finally, the socio-economic diversity of informal settlements evident across the region offers an important opportunity to leverage private investments from those most able to pay. The evidence borne by experience across the region, from Haiti to Trinidad, confirms that residents of informal settlement have some capacity to pay for investments that they have identified as priorities. While the most vulnerable will require some form of subsidy, these subsidies must be targeted and consistent with a clear understanding of local socioeconomic characteristics.

BOX 19: Learning Box 19 UN Habitat Community Managed Funds (CMF)

The goal of the Community Managed Fund (CMF) is to establish and implement a financing facility for community-led upgrading activities. Community managed funds comprise a combination of grants and loans for community-led development activities designed to complement prioritized upgrading interventions. The grant facility is intended for small- to medium-scale projects relying on community-led project implementation. A revolving micro-credit loan facility enhances community access to affordable financing and is designed for larger-scale self-help improvement in areas such as housing and livelihoods development

The CMF is delivered with the community responsible for decision making, management, and implementation, with the support of local intermediaries such as municipal governments or NGOs. The CMF blends financing from multiple stakeholders to provide sustainable financing for community engagement. The CMF has been implemented in nine African countries (Kenya, Ghana, Senegal, Niger, Burkina-Faso, Cameroon, Malawi, Mozambique and DRC) in the earlier phase of PSUP and will be delivered in 20 partnering cities PSUP's current phase. Its strengths include high take up, very high repayment and low default rate, community engagement and increased trust among key stakeholders. Its challenges are overcoming weak administrative capacity, including record-keeping, and demand exceeding supply.

See Learning Box 10 PSUP Principle 6 Participatory and transferable towards prosperity for all

4.4 Filling the Data Gap: Measuring Informal Settlement Characteristics

The unauthorized nature of informal settlement makes it difficult to measure. Reliable, timely and comparable data needed for evidence-based decision making to support informal settlement upgrading is typically unavailable across the region. While governments rely on national censuses of population for decision making, these are undertaken no more frequently than once every ten years. Censuses may occur less frequently due to financial and political constraints. For example, the most recent official census in Haiti took place in 2003.

The national census is also of limited value in measuring unauthorized conditions. Where questions about tenure are included in census, responses suggest that no more than 5.0% of the population lacks formal or legal tenure. A report by Saint Lucia's Central Statistics Office on the 2010 Population and Housing Census indicated that 0.1% of respondents identified their land tenure as "squatting". According to its 2012 Census, squatting accounted for 1.8% of tenure across all of Guyana's major cities and towns, ranging from 0.2% in Rosehall and Corriverton to 3% in New Amsterdam.

BOX 20: Monitoring Informal Settlements in Trinidad

Based on a series of social surveys conducted between 2009 and 2012, Trinidad & Tobago's Land Settlements Agency developed an estimate of the extent and characteristics of informal settlement across the country. The survey included the identification of informal settlements, a physical survey of structures, and a household survey to capture socio-demographic characteristics. Surveys were limited to State lands.

Survey results suggest that informal settlement on State Lands comprises a total of 60,000 households located in 396 informal settlements across the country. Another 30,000 households were estimated to be located on private lands. This translates into informal settlement accounting for approximately one in five households.

The LSA is now preparing for a new survey of informal settlement on State lands. In addition to mobilizing a large team of surveyors and data analysts, the methodology will rely on sophisticated data collection and management tools such as drones, LIDAR, and geographic information systems. Rather than requiring three years, this new approach is expected to take as little as three months.

An accurate and detailed profile of informal settlement requires some combination of physical and social surveys. While new technologies and data sources can reduce the costs, these surveys are necessarily resource intensive. As a result, few countries in the region have undertaken a comprehensive national survey of informal settlement within the past decade. Where these have been done, the tendency is to limit survey activity to informal settlements located on State lands.

In Saint Lucia, the most recent survey of informal settlement was undertaken in 2007. No plans are in place to conduct a new comprehensive survey. The government of St. Vincent & the Grenadines last undertook an assessment of informal settlement in 2006, focused on nine established informal communities. Trinidad & Tobago's Land Settlement Agency undertook a series of comprehensive surveys between 2009 and 2012, but there were limited to informal settlement on State lands. Guyana's CH&PA focuses on lands for which they have responsibility.

Establishing a consistent evidence-based profile of urbanisation and informal settlement across the region will offer a baseline for measuring progress towards meaningful targets. The capacity to understand the extent and characteristics of informal settlement will also help inform future generations of national policies needed to guide implementation of informal settlement upgrading.

4.5 An Informal Settlement Upgrading Monitoring and Reporting Framework

Reporting on progress towards targets is an integral part of any successful strategy. The success of the CSISU will be measured by the Theory of Change presented in Part 1. Part 5 offers a series of tools to monitor and report on the implementation of the CSISU, at a regional and national scale. These tools rely on key indicators, recommended actions and best practices to guide the design of national informal settlement upgrading strategies and enable ongoing monitoring, reporting and evaluation to 2030. These include a Checklist of recommended actions and best practices for implementation of the CSISU (Table 4); Monitoring Tool to measure national progress towards implementation of the CSISU (Table 5); and Regional Performance Monitoring Framework (Table 6).

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The unauthorized nature of informal settlement makes it difficult to measure. Reliable, timely and comparable data needed for evidence-based decision making to support informal settlement upgrading is typically unavailable across the region



Informal Settlement of William Street, Montego Bay, Jamaica. ©UN-Habitat/Kirsten Milhahn



William Street, Montego Bay, Jamaica. ©UN-Habitat/Kirsten Milhahn

Part

5

**TOOLS TO MONITOR PROGRESS
TOWARDS IMPLEMENTATION**

Table 4: Checklist of recommended actions and best practices for implementation of the CSISU of Change

Strategy Components	Recommended strategic action	Best Practices
SP1: Understanding Upgrading as a Response to Urbanisation	1. Prepare a national informal settlement upgrading strategy addressing themes of land and housing systems, international migration, energy efficiency, sustainable livelihoods & crime prevention.	Informal settlement upgrading strategy designed to address unique dimensions of the urban context (Learning Box 4)
SP2: A Risk-Based Approach to Upgrading for Community Resilience	2. Develop a risk assessment methodology, to be implemented prior to upgrading works	Implement climate action measures designed for informal settlements (Learning Box 5)
SP3: A Community-Based Approach to Planning as a Starting Point in Upgrading	3. Engage community stakeholders from the outset of upgrading activities within the framework of a local area planning process	Upgrading delivered within a Community participation model (Learning Box 7)
SP4: Treat Security of Tenure as a Transition along a Continuum	4. Improve security of tenure among beneficiary households based on analysis of socio-economic surveys and needs assessment	Tenure regularisation process recognizes a transition along a continuum of tenure security (Learning Box 8)
SP5: A Comprehensive Approach to City-wide Upgrading	5. Design infrastructure upgrading within the context of adjacent neighbourhoods and the wider infrastructure grid	City-wide slum upgrading through the PSUP (Learning Box 10)
SP6: An Integrated Approach to Upgrading: Social Inclusion and Protection	6. Ensure national and local upgrading strategies includes social assessments of poverty, livelihoods and crime, by age and sex	City-wide slum upgrading through the PSUP (Learning Box 10)
SP7: Public Sector-led Investment in Strategic Infrastructure Based on Appropriate Standards	7. Design public sector investments to reach the maximum number of households identified within national strategies and local area plans, reflecting socio-economic and needs assessment analyses	Upgrading plan of subdivision and infrastructure layout approved based on context-sensitive negotiated standards (Learning Box 11) Upgrading delivered with the use of Comprehensive Development Areas enabled through Planning legislation (Learning Box 12)
SP8: Investing in Affordable and Adequate Housing Systems	1. Prepare a national housing policy designed to reach a continuum of middle and lower-income households with a range of housing solutions	State-enabled delivery of affordable rental housing through accessory dwellings (Learning Box 13)
	2. Support livelihoods by designing appropriate financing products accessible to target households and designed to improve household investments in informal settlement upgrading and housing	State-enabled delivery of higher density affordable core housing Profile (Learning Box 14)
	3. Design programs to contribute to housing that is more resilience to hazards and reflects improved quality of materials and building techniques	Guidance on Pro-Poor Climate Action and Informal Settlement (Learning Box 5)
SP9: Replicating Effective Practices for Relocating Households	4. Establish social & economic safeguards based on a participatory process for sustainable resettlement of communities in environmentally sensitive areas or prone to life-threatening natural risks.	"Zero Tolerance Areas" are combined with resettlement practices that integrate shelter and sustainable livelihoods (Learning Box 15)
IM1: Cross-Cutting Governance and Coordination	5. Establish a framework for coordination and collaboration including institutional arrangements for inter-agency coordination and community-based governance	Inter-agency and community-based coordination, identifying roles and responsibilities (Learning Box 16)
IM2: The CSISU as Platform for Training & Capacity Building	6. Provide a range of tools & guides to support national and municipal governments to participate in/host regional training & knowledge-sharing events	CUF used to host Informal settlement upgrading workshops (Profile 17)
IM3: Financing Informal Settlement Upgrading	7. Design innovative financing mechanism to facilitate sustainable informal settlements upgrading including affordable and sustainable financing products for residents of informal settlements to enable self-help improvement in housing and community driven development for small scale infrastructure ad service provision.	Innovation in financing including Revolving Funds (Learning Box 18) and Community Managed Funds (Learning Box 19)
	8. Create predictable financing and loan financing for informal settlement upgrading	
	9. Prepare cost-benefit analyses of and business cases for informal settlement upgrading options	
IM4: Filling the Data Gap: Measuring Informal Settlement Characteristics	10 Identify informal settlements typologies and appropriate strategies and actions through a national/city level dialogues to measure progress and monitor the implementation.	Surveys of informal settlement rely on new data gathering technology (Learning Box 20)
	11. Establish national/city level database with to establish physical and socio-economic characteristics informal settlements and their residents to be able design appropriate actions	
IM5: Monitoring and Reporting on the CSISU	12. National monitoring and reporting system developed and implemented	Monitoring and Reporting Framework (Tables 5 and 6)

Table 5: Monitoring Tool to measure national progress towards implementation of the CSISU of Change

Country	National Policy/ Strategy	Institutional Lead	National Program	Active Financing	Data collection	Pop living in slums	
						2020 estimate	2030 target
1. Antigua and Barbuda		CHAPA					
2. Bahamas					2013/2018	6,100	3,050
3. Belize							
4. Barbados		UDC				86,000	43,000z
5. Cuba							
6. Dominica	Yes	Hsg Division	Yes				
7. Dominican Republic							
8. Grenada							
9. Guyana		CH&PA	Yes	IDB	2015	110,000	55,000
10. Haiti			Yes	EU			
11. Jamaica	Under development	MEGJC			2008/2019	600,000	300,000
12. St. Kitts and Nevis		UDI					
13. St. Lucia		DHURT	Yes	CDB	2007	24,000	12,000
14. St. Vincent & the Grenadines		HILP	Yes		2006	4,452	2,226
15. Suriname							
16. Trinidad and Tobago		LSA	Yes	IDB	2012/2019	360,000	180,000

Table 6: Regional Performance Monitoring Framework of Change

Expected Accomplishments	A response to common challenges	Key performance indicators	Baseline (2020)	Target (2030)	Strategic recommendations	Strategy section
Overall Vision: support to achieve SDG 11		1. Proportion of urban population living in slums, informal settlements or inadequate housing		Reduced by 50%	1. Regional partners and UN Habitat establish a regional technical cooperation facility to support all three areas of expected accomplishment: policy, city-wide programs, and capacity development. implementation.	Cross-cutting
EA1. CSISU serves as a guide for the preparation of national informal settlement upgrading policies, strategies and programs, across the Caribbean region	1. Weak governance <ul style="list-style-type: none"> • lack of overarching policy/plan/vision • weak inter-agency coordination 	2. # of countries that have developed informal settlement upgrading policy or strategy 3. # of countries that have established governance model for interagency coordination			2. Regional partners and UN Habitat offer technical support to national governments in order to prepare national informal settlement upgrading policies or strategies. 3. Regional partners and UN Habitat offer technical support to national governments to establish multi-governance framework to undertake inter-agency coordination to support implementation of informal settlement upgrading programs.	IM1
EA2. CSISU enables shift towards designing of city-wide informal settlement upgrading plans and initiatives consistent with CSISU priorities and principles.	2. Socio-economic vulnerability and diversity <ul style="list-style-type: none"> • need for surveys to establish baseline 3. Vulnerability to hazards <ul style="list-style-type: none"> • Inadequate infrastructure & Substandard housing • Low incomes • Tendency to locate in high-risk areas 	4. # of countries or cities that have launched citywide informal settlements plan or program 5. # of countries that have accessed financing for informal settlement upgrading through international financial institutions or domestic budgetary support			4. Regional partners and UN Habitat support the needs of national governments in implementing informal settlement upgrading programs, ranging from support for design of hillside drainage and sanitation systems, to establishing community managed funds, regional database, guides on building codes, retrofitting infrastructure on hillside informal settlements upgrading, financing mechanisms, delivery mechanism 5. Regional partners, UN Habitat, and national governments prepare a series of national data collection surveys to measure the demographic diversity of informal settlements.	IM3/IM4
EA3. CSISU becomes a knowledge-sharing and capacity building platform to learn from common challenges, adapt innovative responses, and report on progress towards effective informal settlement upgrading	4. Weak regulatory capacity <ul style="list-style-type: none"> • Limited success with relocation or containment • Inappropriate planning, engineering & building standards 5. Data gaps <ul style="list-style-type: none"> • Need for accurate & comparable characterisation of settlements and residents 	6. # of countries that have conducted national or city-wide profiling & baseline data collection 7. # of countries that are monitoring & reporting on CSISU implementation			6. Regional partners and UN Habitat prepare ToR to develop a regional guide to preparing national housing strategy, including support for regional workshops/ online fora to share best practices and improve housing sector capacity; Information, education and communication (IEC) programs to build awareness 7. National Governments and Regional partners identify a focal point for coordinating networking and using the 2020 Caribbean Urban Forum as a learning and information sharing platform. 8. Participating national governments, in partnership with regional organisations and UN Habitat, establish systems to monitor and report on progress towards achieving the activities and outcomes identified in the CSISU.	IM2/IM5

Annex 1: References and Resources

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Endnotes

- ¹ United Nations. 2017. Habitat III. Issue Paper 22. http://mirror.unhabitat.org/downloads/docs/13555_1_596472.pdf
- ² Antigua and Barbuda, Bahamas, Barbados, Belize, Cuba, Dominica, Dominican Republic, Grenada, Guyana, Haiti, Jamaica, St. Kitts and Nevis, St. Lucia, St. Vincent and the Grenadines, Suriname and Trinidad and Tobago.
- ³ Map source: <https://energy.caricom.org/wp-content/uploads/2019/02/CARICOM-Map-w-Logo.png>
- ⁴ Anguilla, Antigua and Barbuda, Barbados, Belize, British Virgin Islands, Cayman Islands, Dominica, Grenada, Guyana, Haiti, Jamaica, Saint Kitts and Nevis, Saint Lucia, Saint Vincent and the Grenadines, Suriname, the Bahamas, Trinidad and Tobago and Turks and Caicos Islands
- ⁵ The Bahamas, Barbados, Belize, Dominican Republic, Guyana, Haiti, Jamaica, Suriname, Trinidad and Tobago
- ⁶ IDB. 2016. Urban Development and Housing Sector Framework Document. Housing and Urban Development Division. <http://idbdocs.iadb.org/wsdocs/getdocument.aspx?docnum=40768953>
- ⁷ <https://www.cepal.org/en/publications/42147-subregional-action-plan-implementation-new-urban-agenda-caribbean-prioritizing>
- ⁸ Inter-American Development Bank (IDB). 2018. Informal Settlements, Neighborhood Upgrading and Squatter Regularization: The Experience of the Inter-American Development Bank in the Caribbean 3rdACP-EC-UN-Habitat International Tripartite Conference Brussels, November.
- ⁹ United Nations. 2015. The 2030 Agenda for Sustainable Development. <https://sustainabledevelopment.un.org/?menu=1300>
- ¹⁰ United Nations. 2016. The New Urban Agenda. The Quito Declaration on Sustainable Cities and Human Settlements for All. <http://habitat3.org/wp-content/uploads/N1639668-English.pdf>
- ¹¹ <https://sustainabledevelopment.un.org/sids2014/samoapathway>
- ¹² United Nations. 2019. UN Habitat Strategic Plan 2020-2023. http://mirror.unhabitat.org/downloads/docs/13555_1_596472.pdf. The plan's 4 goals are: Reduced spatial inequality & poverty in communities across the urban-rural continuum; Enhanced shared prosperity of cities and regions; Strengthened climate action & improved urban environment; and Effective urban crisis prevention and response.
- ¹³ United Nations. 2016. Multi-country Sustainable Development Framework in the Caribbean. 2017-2021. <https://www.unicef.org/about/execboard/files/UNDAF-MSDF-Caribbean.pdf>. The MSDF defines how the UN will jointly achieve development results in partnership with 18 Caribbean countries and Overseas Territories, including all ACP and CARICOM member states.
- ¹⁴ World Development Indicators. <https://data.worldbank.org/indicator/sp.urb.totl.in.zs>. Urban Population: UN Population Division. World Urbanization Prospects: 2018 Rev; Total population: UN Population Division. World Population Prospects: 2019 Revision; Population living in Slums. UN HABITAT, retrieved from the UN MDG database. mdgs.un.org; Dominica data from IDB. 2016. Urban Development & Housing Sector Framework, Figure 5.
- ¹⁵ See: <https://tradingeconomics.com/trinidad-and-tobago/urban-population-percent-of-total-wb-data.html>
- ¹⁶ See: https://www.planning.gov.tt/OurTnTOurFuture/documents/Surveying_the_Scene_web.pdf
- ¹⁷ See: <http://www.townplanning.gov.bb/pdp/>. This estimate relies on GDP per capita, employment in the agriculture sector and population density as important predictors for urbanisation. See: 2012 <https://paa2012.princeton.edu/papers/121285>.
- ¹⁸ World Bank. 2009. World Development Report. Reshaping economic geography. <https://openknowledge.worldbank.org/handle/10986/5991> = The index identifies an area of 1 square kilometer as urban, agglomerated, or dense if it satisfies the following three conditions: Its population density exceeds a threshold (150 persons per square kilometer); It has access to a sizable settlement within some reasonable travel time (60 minutes by road); The settlement it has access to is large in that it meets a population threshold (more than 50,000 inhabitants)
- ¹⁹ Google Earth image accessed from <https://earth.google.com/web/@10.65221159,-61.4974742,87.97474873a,3810.92726738d,35y,0.00000001h,45.01764259t,0r/data=Ck8aTRJFCiUweDhjMzYwN2Y0MDZjYTBkN2Y6MHHIM2NkODcwMjRmOGIzMGZGRDEHn80TCVAIR5ssdtv07AKgpMYXZlbnRpbGxIGAEgASgC>
- ²⁰ Downloaded from <https://www.pinterest.ca/pin/440156563572476179/>
- ²¹ Source. Trinidad & Tobago Ministry of Housing, 2010. Manual of Processes and Guidelines. Volume 2.
- ²² Google Earth image accessed from <https://earth.google.com/web/search/martissant+23+port+au+prince/@18.52773165,-72.35877901,36.19310543a,2992.44372173d,35y,0h,0t,0r/data=CigiJgokCaBmFYE8iDJAECot9MxBhjJAGYo7yz2JFILAIQvYX9jF1LA>
- ²³ Downloaded from <https://journals.openedition.org/factsreports/2828>
- ²⁴ Accessed from <https://journals.openedition.org/factsreports/docannexe/image/2828/img-8.jpg>
- ²⁵ Accessed from <https://journals.openedition.org/factsreports/docannexe/image/2828/img-6.jpg>
- ²⁶ Google Earth image access from <https://earth.google.com/web/@6.80762882,-58.13910736,4.61355229a,5690.18593639d,35y,0.00000001h,44.99999232t,-0r/data=ChYaFAoML2cvMTJ4cTl2MmN2GAEGASgC>. Photos courtesy the author.
- ²⁷ Google Earth image access from <https://earth.google.com/web/@13.10809548,-59.61551379,19.02478247a,2634.03274206d,35y,0.00000001h,45.01022594t,0r>. Photos courtesy Barbados Urban Development Commission.
- ²⁸ Outside of Tenantry Lands, approximately 6,000 persons live in squatter settlements with no legal tenure of any kind. Barbados does not currently have a dedicated Squatter Regularisation or Upgrading Unit.
- ²⁹ Google Earth image access from <https://earth.google.com/web/search/aux+lyons,+saint+luccia/@13.94388909,-60.90205349,114.94587946a,5457.01891599d,35y,0h,0t,0r/data=CigiJgokCUBP01FMiTJAEUvnLmPmhdJAGb6QuCyxVFLAITmxc6s6GFLA>. Photos courtesy the author.

- ³⁰ Google Earth image access from <https://earth.google.com/web/@13.1427545,-61.16704822,56.05786711a,3716.44869724d,35y,-0h,45.00905879t,360r>. Photos courtesy the author.
- ³¹ Baptiste, Isaac. 2013. Land Policy Issues Paper: Commonwealth of Dominica.
- ³² CH&PA. 2019. Engagement and Participation in the Transformation of Informal Settlements in Guyana. Guyana. Presentation at the June 11 Policy Dialogue Workshop on Caribbean Strategy on Informal Settlements, Port of Spain, Trinidad & Tobago.
- ³³ Source: CH&PA. 2019. Engagement and Participation in the Transformation of Informal Settlements in Guyana. Presentation at the June 11 Policy Dialogue Workshop on Caribbean Strategy on Informal Settlements, Port of Spain, Trinidad & Tobago.
- ³⁴ Sources include an August 1, 2019 national stakeholder workshop hosted by CIAT; and "Informal Neighborhoods in Haiti: Lessons learned and priorities" presented at a June 11, 2019, PSUP Regional Meeting, Port of Spain, Trinidad.
- ³⁵ Government of Jamaica. 2014. National Report for Habitat III.
- ³⁶ Williams, Patrick I. 2013. St. Kitts and Nevis Land Policy Issues Paper. Prepared for The Social and Sustainable Development Division (SSDD) of the Organisation of Eastern Caribbean States (OECS).
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- ³⁸ Morris, Osei. 2007. Assessment of Informal Settlement in St. Vincent & the Grenadines.
- ³⁹ Presentation at October 15-18 2019 UN Habitat Workshop on Financing Informal Settlement Upgrading, Georgetown Guyana.
- ⁴⁰ Frojmovic, Michel. 2015. An Evidence Base for the Housing & Settlements Sector of Trinidad & Tobago. Country Development Challenges document. Prepared for the Inter-American Development Bank.
- ⁴¹ Source: <https://www.cfr.org/in-brief/venezuelan-exodus>
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- ⁴³ UN Habitat. 2019. Presentation at Workshop on Financing Informal Settlement Upgrading. Georgetown Guyana, Oct 15-18.
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- ⁴⁵ Sanjak, Jolyne. 2012. Land Titling and Credit Access – Understanding the Reality. <https://www.land-links.org/issue-brief/land-titling-and-credit-access/>. In most developing world environments, the ability to leverage a title for credit is limited. In the vast majority of places where USAID programs operate, there should be no expectation that land titling will produce greater access to credit.
- ⁴⁶ Trinidad & Tobago Ministry of Housing. 2010. Manual of Processes and Guidelines.
- ⁴⁷ IDB. 2018. Informal Settlements, Neighborhood Upgrading and Squatter Regularization
- ⁴⁸ IDB. 2010. Trinidad and Tobago Neighborhood Upgrading Program (TT-L1016) Loan Proposal. <http://idbdocs.iadb.org/wsdocs/getdocument.aspx?docnum=EZSHARE-30737981-12>
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- ⁵² <https://www.thegef.org/>
- ⁵³ Established in 2010 as part of the financial mechanism of the United Nations Framework Convention on Climate Change. <https://www.greenclimate.fund/>
- ⁵⁴ The Adaptation Fund was established under the Kyoto Protocol and since 2010 has committed US\$ 720 million to climate adaptation and resilience activities. <https://www.adaptation-fund.org/>
- ⁵⁵ Government of Saint Lucia. 2016. Governance structure for management & operations of the Settlement Upgrade and Sites and Services Revolving Funds.



GANDH

GANDH
MEN

Green and red umbrella

Red umbrella

Cart with produce (bananas, mangoes)

Man on bicycle



Caribbean Strategy for Informal Settlements Upgrading

A guide to inclusive and resilient urbanisation



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