

**The Secretary General**

Barcelona,  
4<sup>th</sup> September 2017

**Subject: CALL FOR TENDERS – Ref. 003-2017**

Dear Tenderer,

We are pleased to publish an open call for collaboration in and contributions to the **development of the 5th Global Report on Local Democracy and Decentralization (GOLD V): 'Localizing the Sustainable Development Goals and the Global Agendas'**. This tender, ref. 003-2017, calls specifically for contributions to a regional chapter on **Asia-Pacific**. All information related to the purchasing procedure is contained in Annexes 1 and 2. We kindly recommend you to read it carefully and follow the instructions contained in these documents.

UCLG is the world organization representing local and regional governments. The contracting party in this tender will be the UCLG World Secretariat, based in Barcelona (Spain). The contract will be governed by Spanish law and the courts of Barcelona.

The principles of transparency, publication and dissemination, free access, equality, competition, economy and fairness will be respected by UCLG in this tender.

Yours sincerely,

**Josep Roig**  
Secretary General

Documents attached:

- Annex 1 (1.a, 1.b, 1.c): Technical Terms of Reference
- Annex 2: Contractual References



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**Ref. 003-2017 - Annex 1**

**5<sup>th</sup> Global Report on Local Democracy and Decentralization (GOLD V):  
'Localizing the Sustainable Development Goals and the Global  
Agendas'**

**REGIONAL CHAPTER ON ASIA-PACIFIC**

**TERMS OF REFERENCE**

The following Terms of Reference (ToRs) define the institutional context, the objectives, contents, deliverables and schedule for the production of the GOLD V Report. The report is composed of one chapter for each of the UCLG world regions (see Annex 1.c for details), hereinafter 'regional chapters', and a metropolitan chapter. The preparation of the GOLD V report will also include work on the *Country Fact Sheets* that the Global Observatory has developed over the past few years: more details on this task are provided in Annex 1.b. **Tender Ref. 003-2017 calls for contribution specifically on the regional chapter for Asia-Pacific.**

Private or public institutions, groups of experts, academics, Universities, research groups or individuals can participate by sending **a technical and financial proposal to develop the regional chapter in reference**, alongside the respective country fact sheets. The candidates' technical proposal must demonstrate their understanding of the ToRs, provide evidence of their experience and knowledge of the issues and the countries of the region, and provide a record of previous research experience on the subject, as well as the methodology to achieve the expected results within the defined deadlines and ensure as comprehensive a regional coverage as possible.

**1 Introduction**

The adoption by the UN and the international community of the 2030 Agenda for Sustainable Development, the New Urban Agenda (NUA), the Paris Climate Agreement and the Sendai Framework for Disaster Risk Reduction, calls for partnerships at global, national and sub-national levels to implement these accords and turn their commitments into reality. In the [Bogotá Commitment](#) – the main political output of UCLG's World Congress in 2016 – local and regional governments expressed their political will to turn these global goals into reality in towns, cities and territories. In October 2016, the [Global Taskforce of Local and Regional Governments](#) convened the **2<sup>nd</sup> World Assembly of Local and Regional Governments**, during the Habitat III conference in Quito, to reaffirm its political will to contribute to the New Urban Agenda. It is upon this legacy that UCLG is now defining its strategy about the monitoring and reporting processes for the implementation and localization of the global agendas.

These inspirational – and hopefully transformative – accords relate to the work that local and regional governments are already actively putting in: their local agendas overlap significantly



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with the global ones. Many local and regional authorities have been 'localizing'<sup>1</sup> the global agendas even before these were officially adopted by Member States at the UN level. The current global consensus on development is an outstanding opportunity to empower sub-national governments to implement their plans and policies, while also improving their dialogue and collaboration with national and international institutions.

Although the official follow-up and review processes for the global agendas are led by national governments, local and regional governments have long played a valuable role in monitoring and reporting on the achievement of the global agendas.<sup>2</sup> For its part, the international community initiated a monitoring and reporting mechanism that refers specifically to national governments (which are expected to submit Voluntary National Reviews: 22 countries reported in 2016 and 44 in 2017)<sup>3</sup> and UN agencies. This mechanism relies extensively on quantitative measurements (namely, 234 indicators to date). The United Nations [High-Level Policy Forum on Sustainable Development](#) (HLPF) has defined four yearly evaluation cycles for thematic reviews: *Eradicating poverty and promoting prosperity* (in 2017, SDGs 1, 2, 3, 5, 9 and 14); *Transformation towards sustainable and resilient societies* (in 2018, SDGs 6, 7, **11**, 12 and 15); and *Empowering people and ensuring inclusiveness and equality* (in 2019, SDGs 4, 8, 10, 13 and 16). Goal 17 (means of implementation) is assessed transversally throughout the reporting process. These cycles will be renewed every four years.

The involvement of local and regional governments in the reporting process is essential to localize goals and targets and foster dialogue and collaboration between the national and sub-national levels. It is also key to empower local and regional governments towards more effective implementation. Reporting from the perspective of local and regional governments, however, also implies adopting a more specific and unique approach. **Local and regional government reports should build on the assumption that successful implementation of the SDGs at the national level *always* stems from empowered and capable local and regional governments, as a way to promote a territorial approach to development.**

A valuable sub-national reporting framework should take into consideration at least two fundamental aspects: first, the **political processes** that the implementation of SDGs is eliciting at the global, national and local levels, and their impact on sub-national governments – i.e., the extent to which there is an enabling environment (in terms of institutional and legal framework, decentralization of powers, human capacities and resources); second, an **evaluation of the implementation process**, in order to analyse the role of local and regional governments in the achievement of the goals and assess their impact at national and local level.

A localized reporting process will also build on knowledge and experience of UCLG Sections, Committees, Working Groups and Observatories, as well as on the information provided by other local and regional government networks and partners and civil society organizations. This broad, inclusive process is the only way to ensure a sufficiently diverse range of perspectives on the implementation process at local and regional level across the world. The GOLD reports published over the last twelve years provide unique and valuable experience in this kind of analytical task. With this in mind, it is UCLG's intention that the Fifth GOLD Report act as an accurate, reliable mechanism for global reporting on the localization of the SDGs.

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<sup>1</sup>Localizing' means taking into account sub-national contexts, challenges, opportunities and governments at all stages of the Agenda, from the setting of goals and targets, to determining the means of implementation and using indicators to monitor progress.

<sup>2</sup>Paragraph 84 and 89 of the 2030 Agenda states that the High Level Policy Forum (HLPF) should carry out regular reviews in line with Resolution 67/290. The HLPF shall also support the participation of major groups – including local authorities – in the follow-up and review process. The 2030 Agenda, as well as the UN SG Report A/70/684 in par. 105-108, also calls on these actors to report on their contribution to the implementation of the Agenda. Paragraph 163 of the NUA acknowledges the importance of local governments' active participation in the follow-up and review. It encourages sub-national governments to develop implementable F&R mechanisms at the local level.

<sup>3</sup> To access the Voluntary National Reviews, link to the [High-Level Political Forum](#), within the UN Sustainable Development Knowledge Platform and then to the VNRs

## 2 General background on UCLG and the GOLD Report

United Cities and Local Governments (UCLG) is the largest world organization of local and regional governments. Headquartered in Barcelona, UCLG's mission is "to be the united voice and world advocate of democratic local self-government, promoting its values, objectives and interests, through cooperation between local governments, and within the wider international community". Present in 140 of the 193 UN Member States in seven world regions, UCLG's members include over 1,000 cities across 95 countries, as well as 175 Local and Regional Government Associations (LGAs and RGAs), and different committees and working groups – organizations that represent cities and local governments at national level within a given country and at continental level (through Regional Sections in each continent) – meaning that UCLG represents almost every LGA in the world.

The triennial GOLD reports are an important part of UCLG's quest to become an international reference point for information about local and regional governments, local democracy and decentralization worldwide. UCLG's Global Observatory on Local Democracy and Decentralization (GOLD) aims to: share information on local democracy and decentralization throughout the world and evaluate the progress and setback and promote dialogue and partnership between local authorities and national governments, international institutions, and academics. UCLG policy councils, sections and committees will be involved and will contribute to the analysis.

In line with its strategic objective of strengthening the voice of local and regional authorities at the international level, UCLG launched, in 2013, the Global Taskforce of Local and Regional Governments (GTF), bringing together the main local and regional governments organizations, both members and non-members of UCLG. The main objective of the GTF is to provide a joint response by sub-national governments to the Global Development Agendas. To this end, UCLG will develop the GOLD V report to contribute to the monitoring and reporting processes; to assess the creation of adequate 'enabling environments'; and analyse the initiatives developed by sub-national governments in order to localize the 2030 Agenda – while also strengthening the voice of the Global Taskforce within the international community. Members of the GTF will be consulted and involved in the development of the report.

## 3 Fifth Global Report on Local Democracy and Decentralization: Localizing the SDGs

This document defines the scope, means and goals for the preparation of the fifth report of the Global Observatory on Local Democracy and Decentralization (GOLD V). As with previous iterations of the publication, the report will be available in both electronic form and hard copy. GOLD V aims to report on the global process of 'localizing' the Sustainable Development Goals (SDGs) and other relevant agendas (e.g., the Paris Climate Agreement and the New Urban Agenda), linking this process to the evolution of an enabling environment (in terms of decentralization, territorial policies and reforms, stronger sub-national governance capacities and resources) for local and regional governments to act and contribute to their achievement.

In order to do so, GOLD V will also rely on past knowledge and information on which previous GOLD reports built. One of the aims of the report is, in fact, to update this information and provide a comprehensive overview of local and regional governments in each region of the world, and study how their evolution and development is contributing (or otherwise) to the localization of the SDGs.

In many respects, this report can be seen as a new approach to the process of decentralization around the world, almost fifteen years after GOLD I. This project is also indebted to the other GOLD reports and the more specific, theme-driven analyses they performed (e.g., on finance, access to basic services, and the urban agenda), as well as to the studies carried out by the [Global Observatory on Local Finance](#) and the [International Observatory on Participatory Democracy](#) (OIDP). Finally, the report will also seek consistency with the method, analysis and findings of the local and regional government report to the 2017 High Level Political Forum (HLPF), [National and Sub-National Governments on the way towards the Localization of the SDGs](#).

This call for editorial contributions seeks a systematic analysis of the impact of the implementation of the SDGs and the others global agendas on two key levels:

1. **National political processes and the link between national policies and the challenges of localization.** The analysis would explore whether institutional relations within national and sub-national systems have been affected, altered or renewed as a consequence of the implementation of the SDGs, the NUA, the Climate Agreement, and the Addis Ababa and Sendai agendas. Research would focus, in particular, on inter-institutional relations; the balance between national and sub-national governments; and the impact on national policies, regulations and institutional frameworks in support (or otherwise) of the localization process, i.e. those measures that create an enabling environment for local and regional governments (through decentralization, stronger sub-national governments capacities and improved local resources, etc.). The analysis should also link any progresses or setbacks to the achievement of UCLG's 2016 [Bogotá Commitment](#).
2. **The role of local and regional governments in support of the implementation and localization of the SDGs.** This dimension should be analysed through the lens of local and regional governments' concrete experiences and practices. What initiatives have been developed in each region's countries to raise awareness and involve sub-national governments in the localization of the SDGs? What local and regional government-driven initiatives to localize the SDGs have been put in place? How do the SDGs and the other global agendas impact on local and regional strategies and local plans? How do local and regional governments integrate the different goals and targets in their daily activities and initiatives? How they involve local stakeholders (civil society, private sector, etc.)? When implementing SDG 11 on sustainable cities and human settlements, for example, the role and actions of local and regional governments can be particularly impactful, given that its key targets address fundamental issues of urban and territorial development – e.g., planning, housing, basic services, mobility, environment, resilience, culture, prosperity as a critical dimension of urban and territorial development, etc.

GOLD V aims to contribute to the global conversation on the localization of the SDGs, putting forward a different methodology. While the international community is formally engaging in a mostly quantitative monitoring process that sees national governments as the main interlocutor, GOLD aims to develop more qualitative assessments that put the experiences of local and regional governments at the core of the analysis. The report should provide local and regional governments with a unique platform to voice their involvement, commitment and results, as well as their needs, in the achievement of the SDGs.

## 4 Structure of the GOLD V Report

### A. The following is a preliminary design for the GOLD V Report's structure:

1. **Preface:** it will be developed by UCLG in close collaboration with its Presidency, so as to highlight the key political messages.
2. **Introduction** [approx. length: 5 pages] This part will introduce the concept of 'localization' in support of the global agendas, their goals and their targets. The introduction will present the rationale for the analysis of enabling environments and the localization process. It will also present the report's structure, methodology and analytical framework.
3. **Seven regional chapters:** Africa, Asia-Pacific, Eurasia, Europe, Latin America, Middle East and West Asia, and North America [approx. length: 220-225 pages, max. 40-45 pages for certain regions and about 20 pages for others].
  - i) The core of the report will be dedicated to the analysis of each of the seven UCLG world regions. **Each regional chapter will feature an analysis of political change and innovation at sub-national level**, as prompted by national policy reforms (e.g., decentralization, territorial reforms, intergovernmental finance) and by the implementation of the SDGs (e.g., tailored policies or programmes to support

the SDGs at the local level and the involvement of LRGs). The aim of the regional chapters is to provide as complete a picture as possible of emerging trends and dynamics of localization and evolution among local and regional governments. Regional chapters should also present outstanding examples of local and regional governments' (LRGs) initiatives – at municipal, regional and national level – that support the alignment of local development strategies and plans with the SDGs; identify local priorities and foster local initiatives (e.g., poverty reduction, gender inequalities, climate change mitigation, urban resilience, innovative integrated planning processes, water and sanitation, territorial alimentary systems, culture, etc.); and study the role of local governments in the mobilization of local stakeholders (civil society and private sector among others). Whenever possible, the chapter should mention how international cooperation can contribute to the localization process.

- ii) In some cases, the chapters could likely be divided into sections for relevant sub-regions, or highlight specific countries whenever necessary (e.g., the case of China and India in Asia).
  - iii) The analysis will benefit from the information collected via the GOLD *Country Profiles*, the report by UCLGA and Cities Alliance on *Assessing the Institutional Environment of African Local Governments* (a similar initiative is underway in the Asia-Pacific region), LGA reports and Voluntary National Reviews submitted by national governments to the UN, and other contributions from LRG organizations and networks. The analysis can also be strengthened by case studies (to be defined jointly with UCLG) that illustrate how local and regional governments are acting in order to align their local plans, initiatives and strategies with the SDGs. As further detailed in Annex 1.a, each chapter should have a similar structure and follow this blueprint.
4. **One chapter for Metropolitan Areas** [approx. length: 15-20 pages]. This part will be developed in partnership with Metropolis, the world organization of metropolitan areas, a member of UCLG. This chapter will analyse the specific role of larger cities in the implementation of the SDGs, and how their initiatives and financing and governance arrangements could contribute to (or hinder) the implementation of the SDGs.
  5. **Conclusions and policy recommendations** [approx. length: 15-20 pages]: the Conclusions should be based on key 'lessons learned' extracted from each chapter that illustrate the opportunities and challenges of localization for national and sub-national governments. This section should advance crucial policy recommendations and actions that national and sub-national governments – as well as international institutions – should consider undertaking in order to ensure the achievement of the SDGs and strengthen the role of LRGs in this process. Special attention should be given, in particular, to the successful implementation of UCLG's Bogotá Commitment and the outcome document of the 2<sup>nd</sup> World Assembly of Local and Regional Governments, which includes policy recommendations on areas that go "beyond the SDGs", such as the "right to the city" or "culture as the fourth pillar of sustainability".

According to the input received by awarded tenderers, and after consultation and revision with UCLG statutory bodies, UCLG will develop a set of recommendations, in close contact and collaboration with UCLG's Presidency, Policy Councils, World Secretariat and its regional sections.

#### **B. Country Fact Sheets (see also Annex 1.b)**

The country fact sheets (all technical information on their development is available in Annex 1.b below) are to be considered as: a) key input and information for the report's chapters; b) core information to be used and developed within the Global Observatory on Local Democracy and Decentralization and the Global Observatory on Local Finance.

Accordingly, the contents of the country fact sheets for the Global Observatories must

consider the overall goals of this study. They should provide a periodic assessment of progress (and/or regress) in decentralization and local democracy, as well as the involvement of LRGs in the localization of the SDGs. Public finance data should be provided for time series with a span of (if possible) at least three years. Country fact sheets should not be longer than 2-3 pages, according to the size and structural complexity of each country. As already mentioned, Annex 1.b presents key information about and a blueprint of the fact sheets.

## 5 Deliverables

The main deliverable of this tender is **one regional chapter on Asia-Pacific** to be included in the GOLD V Report. The chapter must describe the process of 'localization' of the SDGs and the other global agendas, the development of political and institutional enabling environments, and the role of local and regional governments in the localization of these agendas, according to the instructions and definitions presented in this document and the details and instructions provided in Annex 1.a. As part of this tender's deliverable, the chapter will also be supported by several **country fact sheets** describing the political and financial context of local and regional governments in each country (as per the instructions and models available in Annex 1.b). Further details on the composition of each region and the requirements for these outputs are available in Annex 1.c. This tender's deliverable specifically covers:

- **Asia-Pacific (max. 45 pages) + summary (max 3 pages) + country fact sheets (approx. 15-20 countries)**

All the documents should be delivered in good English according to international publishing standards.

## 6 Time schedule

**Major deadlines** are listed as follows:

- Delivery of the chapters of the Global Report: **February 2019**
- Publication of the Global Report: **May-June 2019**, before the UN HLPF (July 2019)

This tentative time schedule, albeit tight, has to be further detailed as follows:

- **Before 30 October 2017:** Set-up of research teams for the elaboration of the chapters of the Global Report and proposed authors for country fact sheets;
- **Starting from December 2017:** drafting of the regional chapters and collection of country fact sheets;
- **Before 15 May 2018:** presentation of a preliminary progress report that will help UCLG to present a report to the HLPF in July 2018. Presentation of the first draft of the country fact sheets;
- **Before end of September 2018:** first revision and edition of the country fact sheets;
- **Before 30 September 2018:** dissemination of the first drafts of the regional chapters of the Global Report;
- **October-December 2018:** analysis and revision of the regional chapters;
- **January 2019:** global meeting to review and validate the regional chapters and the country fact sheets; proposed amendments by UCLG members;
- **February 2019:** revision of the regional chapters based on the amendments discussed in January's global meeting;
- **March 2019: finalization of the global report (introduction, regional chapters, conclusions).**
- **April-May 2019:** final edition, lay-out and publication of GOLD 5.

## **7 Main purpose of the Tender**

UCLG is opening a call for proposals. The call is open for private or public institutions, groups of experts, academics, Universities, research groups or individuals to submit their proposals to collaborate on the development of the GOLD V Report, in accordance with the instructions and requirements presented in this document.

In order to be awarded the tender, the physical or legal persons applying to the call will have to submit the outcome of their study in accordance with the requirements presented in this document and within the deadlines established in it. UCLG's research group will interact at all times with the awarded tenderer throughout the process, providing guidance and recommendations with regard to the object of the analysis.

Once the awarded tenderer and UCLG agree on a definitive draft of the contents, UCLG remains free to expand, reduce, edit, alter or modify the contents according to the outcomes and input of consultations with the political and statutory membership of UCLG. In this regard, UCLG cannot guarantee that the contents definitively submitted by the tenderer will ultimately be published within the GOLD V Report in their integral and exact form. Similarly, UCLG will arrange for the publication of the GOLD V in languages other than English. UCLG reserves for itself any decision about whether the contents of the Report in other languages will correspond to the original contents in their entire and exact form, or whether any partial excerpts or executive summaries will be curated.

On the other hand, the GOLD V Report will state the authorship of each regional chapter clearly and unequivocally – including mentions of the physical and legal persons that have partaken in the drafting and development of each chapter, alongside a clear statement or disclaimer that the opinions expressed in each chapter of the GOLD V report do not necessarily correspond to the authors' as expressed in their submitted materials.



## Annex 1.a – Structure of Regional Chapters

The recommended format for the development of all regional chapters – including the one on Asia-Pacific – is as follows:

### 0. **Executive Summary** (2-3 pages)

#### 1. **Introduction** (1 page max.)

Very briefly, present the SDGs implementation process in the region. Briefly assess the political and socio-economic context and trends of the countries of the region. Conclude by presenting the structure of the whole chapter.

Please use tables with basic data (socio-economic and demographic data), indicate the human development index, institutional arrangement – unitary/federal - and political regimes – e.g., democracy and transparency indexes (yet to be discussed). Map the region with graphics to make key information clearer and more accessible.

#### 2. **The national context: do local and regional governments have access to an adequate enabling environment for the implementation of the SDGs?** (and other development agendas: New Urban Agenda, the Paris Climate Agreement, AAAA and Sendai Framework for Disaster Risk Prevention) (10 to 20 pages)

This section will explore the impact of SDG implementation on the national context. It will focus on the political processes elicited by SDG implementation at the national level. It will emphasize the link between national policies, sub-national governance and the challenges of policy localization. Analysis will focus on inter-institutional relations (e.g., multi-level governance and regulatory reforms); the distribution of competences between national and sub-national governments, the decentralization of financial resources, and the impact on national policies on 'localization'. The focus will be on what the *UN Guidelines for Voluntary National Reviews*<sup>4</sup> defines as "policy and enabling environment" for any levels of government and stakeholders involved.

#### **More in detail:**

- Briefly describe national SDG implementation frameworks: what is the situation in each country (e.g., is there a national commitment or national strategy)? Are the SDGs integrated in national development strategies and plans? What institutional mechanisms were created for the implementation of the SDGs and the NUA? What mechanisms were established to ensure national coordination, follow-up, and multi-stakeholder involvement in the reporting process? How do national governments define the role of local and regional governments in the implementation of the SDGs (e.g., key partners, mere implementation partners, no clear role)? Are national government facilitating the involvement of local and regional governments (e.g., via specific outreach initiatives for LRGs, participation of LRGs in the consultation process and in national follow-up mechanisms)?
- Briefly **describe the situation of local and regional governments in the different countries of the region** (this section will be primarily based on the inputs collected for the country fact sheets, LRGs reports and complementary documentation). Whenever possible, compare the current situation with the context described in GOLD I (or other sources) in order to identify progress or regress over at least a decade. The analysis should consider the following guidelines:
  - a. *Evolution of local and regional governance context:* briefly **present the key policies of the last decade regarding local and regional governments** (decentralization trends, legal and institutional reforms), the current situation and status of local/regional authorities (e.g., existence of elected, appointed or mixed local/regional authorities and the celebration of regular local/regional

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<sup>4</sup>The report is available online at this address:  
[https://sustainabledevelopment.un.org/content/documents/11819Voluntary\\_guidelines\\_VNRs.pdf](https://sustainabledevelopment.un.org/content/documents/11819Voluntary_guidelines_VNRs.pdf).

elections, etc.), respect of the principles of local self-government and subsidiarity.<sup>5</sup>

- b. *Structure of national territorial organization*: briefly describe **the structure of government, the number and nature of any tiers of sub-national government** (e.g., states, counties, municipalities, and possibly sub-municipal entities), as well as any distinct arrangement for rural or urban areas, capital cities, metropolitan areas with specific governance structure. Refer to main territorial reforms in the last decade if necessary.
- c. *Link territorial organization with debates on territorial cohesion and inequalities*: **make reference to the evolution of regional imbalances or increasing disparities between regions** (urban vs. rural, inequality within metropolitan areas, marginalization of intermediary cities and small towns). These dimensions can be particularly relevant for the implementation of the global agendas (e.g., SDG 10, New Urban Agenda, etc.). Refer to supranational institutions with direct impact on local and regional governments (e.g., the European Union) whenever necessary.
- d. *Evolution of key functions and responsibilities of sub-national governments*: briefly present **the core competences of sub-national governments as defined by law**. Review the main trends in the distribution of powers in specific fields, according to their relevance for the SDGs and the NUA.
- e. Financing local development: briefly analyse **the distribution of financial competences between central** (or regional, in federal countries) **and local/regional governments** and the evolution of these trends over the last decade. Summarize the information using key ratios – e.g., ratio of local revenues and expenditures relative to those of national governments and GDP, ratio of local public investment expenditure/total civil public investment expenditure.<sup>6</sup> To assess the capacity of local governments to undertake their competences, **present an analysis of the structure of local expenditures** whenever possible, based on UNSD’s “COFOG sectors”, the share of investments across levels of governments, and local governments’ access to financing (borrowing or financial markets) of basic services and infrastructures, in accordance with the Addis Ababa Agenda for Action on Financing for Development.<sup>7</sup>
- f. Whenever possible, explore **the main challenges in terms of human resources that are hindering local capacities**, particularly for countries with critical shortcomings in this area.
- g. Wherever relevant, mention whether the localization of the SDGs is considered in international cooperation policies.

At all times, use tables with key figures and maps to simplify the presentation of the information and the comparison between countries within the region.

- **Intergovernmental relations: multi-level governance mechanisms** (e.g., brief presentation of central government oversight of LRGs, mechanisms for consultation and resolution of conflicts) and assessment of their transparency and inclusiveness. The analysis must assess if the implementation of the SDGs has had any impact on national/local governments relations (e.g., participation of LRGs in high-level mechanisms or national consultation mechanisms created to coordinate and ensure the

<sup>5</sup> In federal or quasi-federal countries (e.g., Italy, Spain, South Africa), the powers of federal states and regions regarding local government may affect the activity of local governments. This issue has several dimensions: namely, the allocation of tasks and the conditions according to which they are performed; the supervision by state or regional authority; the financial relationships.

<sup>6</sup> If possible, calculate these ratios – local expenditures, revenues and investments – relative to the population. Collection of this data can be facilitated, for a number of countries, through the report of OECD and UCLG, *Subnational Governments Around The World - Structure and Finance. A contribution to the Global Observatory on Local Finance* (2016).

<sup>7</sup> *Ibid.* With regard the AAAA, see in particular paragraph 34.

follow-up of the SDGs); assess any changes in national/sub-national relations for conflict resolution and in control over local governments (e.g., respect of local autonomy or stricter control on local government's decisions, local budgets, staff recruitment, etc.). Special attention should be paid to financial relationships between central/regional and local authorities to support LRGs in the localization process: assess the enabling multi-level governance framework (if present) set up to enhance dialogue and collaboration between national and sub-national levels of government, in accordance with principles of local autonomy and subsidiarity.

### **3. Local and regional governments' contribution to the localization of the SDGs** (10-15 pages)

This section will explore **the process of SDG implementation and localization by adopting a sub-national (bottom-up) perspective**, mapping local and regional governments' initiatives to raise awareness about the SDGs, create ownership and integrate the SDGs and other global agendas in their strategies and actions. It will contribute to the process of monitoring the localization of the SDGs. It should take into consideration the inherent diversity of LRGs, bringing forth a qualitative assessment that values bottom-up narratives and the direct involvement of local authorities and communities. It will offer local and regional governments the possibility to share experiences, stories, successes and weaknesses, in the attempt to gain ownership of the localization process.

#### **More in detail:**

- **The role of local/regional government associations and networks (LGAs) in the localization of the SDGs:** this section should analyse communication and outreach initiatives aiming to create ownership at the sub-national level; advocacy by associations and networks to defend the interest of LRGs before national governments and international institutions; as well as alliances and partnership initiatives with different stakeholders (e.g., civil society, private sector, and academia) to support the localization of the SDGs. It should assess how LGAs promote peer-to-peer learning, capacity-building, decentralized cooperation, and how they foster innovation in local governance, monitor the localization process, document and disseminate lessons learned at national, regional and global levels.
- **Local and regional government driven initiatives to localize the SDGs:** develop a mapping analysis of how local and regional governments are integrating the SDGs (and other global agendas) in their local development strategies and actions. What strategies are being used for the alignment of local/regional development plans with the SDGs? What plans, strategies or updated existing tools are being tailored to meet the needs of different types of cities and territories (metropolitan areas, intermediary cities, regions, counties, etc.)? What are the priorities and major gaps identified by cities and territories? What consultative and participatory mechanisms have been promoted to facilitate the involvement of local stakeholders (civil society, private sector, etc.)? How are LRGs adapting their organization, budgets and actions plans to such strategies?
- **Alignment of national and local strategies:** describe whether, to what extent and how national strategies (if any is available) for the alignment of national and sub-national development plans are affecting (if at all) sub-national governments. Are their approaches top-down (e.g., in Egypt), bottom-up (e.g., in several European countries), or a mix of both (e.g., in Colombia)? Is coordination between local and regional plans and national strategies (e.g., National Urban Policies, or NUPs) for the implementation of the SDGs or the other development agendas hindered or facilitated? What initiatives have been promoted by LRGs to foster bottom-up approaches to the implementation of the SDGs (e.g., in the Netherlands)?
- **Means of implementation:** present key programmes or initiatives that have been put in place over the last few years – or that are going to be adopted soon – in support of the localization of the SDGs and the other global agendas. Analysis should include multi-level coordination mechanisms, the mobilization of local resources and investment

policies, innovative sectoral policies (e.g., basic services provision, housing, urban planning, gender equality, culture, etc.), capacity-building programmes, local data collection, etc. With regard to other agendas, particular attention should be paid to the definition of National Urban Policies, territorial reforms, etc. The analysis should pay particular attention to financing policies that could improve the implementation of different goals and targets, in particular for poorer and more vulnerable groups.

This section should accompany its analysis with **multiple examples and case studies based on local and regional governments' experiences of various types and in different countries**. Interviews, quotes and excerpts from local representatives and leaders will be also valued. A specific attention should be given to gender equality policies in localization processes. The narrative should focus on successes and challenges, emerging issues and lessons learned. In their account, the document can refer – whenever possible – to SDG indicators collected by national and international institutions. If necessary, the authors can also produce and advance any additional indicators that they deem relevant.

#### **4. Conclusions** (2 pages)

The conclusions should sum up the common features and the main divergences between the countries of the region, as regards the process of localization of the SDG, enabling environments –with particular attention to decentralization trends – and the capacity of local and regional governments to drive change, innovation and put initiatives into place. They should highlight the key lessons learned, the opportunities and challenges yet to be addressed in the framework of the localization of the SDGs and the other global agendas.

## Annex 1.b - Structure of Country fact sheets

Over the last few years, the Global Observatory on Local Democracy and Decentralization and the Global Observatory on Local Finance (in collaboration with the OECD) have produced and developed *country fact sheets* that provide basic analytical information on the political, institutional, economic and financial organization and performance of a number of countries around the world. To date, the latest and most thorough revision of the country fact sheets was carried out by UCLG and the OECD in 2016, with a study titled *Subnational Governments around the World*. The study is available online at this address: <http://www.uclg-localfinance.org/observatory>.

The study features country fact sheets for 101 countries from all regions of the world.

Country fact sheets are one of the two key deliverables and tasks of this tender.

The main objective of the tender as regards country fact sheets is threefold:

- a) **Revise and update** with the latest available information the 101 country fact sheets already developed and published by UCLG and the OECD;
- b) **Expand** as much as possible the number of available fact sheets to include countries currently not in this group: the tender requires increasing the number of available country fact sheets to about 120-130 countries;
- c) **Adapt** the existing fact sheets and draft the new ones in accordance with the tool's new structure, as explained in detail in the sections below.

**Applicants should refer to Annex 1.c for a list of fact sheets** that require updating, countries that require the creation of a fact sheet, and other information about the countries to be included in their study. New fact sheets to be developed *ex novo* by awarded tenderers can refer, as a guideline or blueprint, to previous tools and models adopted by UCLG for similar studies. These include: GOLD country profiles (not updated since 2010; available at this link: <https://www.gold.uclg.org/country-profiles>); country analysis by the Commonwealth Local Government Forum (CLGF, <http://www.clgf.org.uk>); the country profiles of the report, *Assessing the Institutional Environment of African Local Governments*, developed by UCLG Africa in collaboration with Cities Alliance;<sup>8</sup> several publications on local governments in Europe edited by the Council of European Municipalities and Regions (CEMR);<sup>9</sup> the "Local Democracy" series published by the Council of Europe;<sup>10</sup> and the publications of the Network of Associations of Local Authorities of South-East Europe (NALAS).<sup>11</sup>

At the current stage, proposals should follow the following structure and guidelines:

### Presentation

Basic socio-economic data: area, population, urban population, GDP per capita, real GDP growth [WB Income classification yet to be considered], Human Development Index, form of state (unitary/federal), form of government (e.g., parliamentary, presidential) [global Democracy Index yet to be considered], agenda of national and local elections, percentage of women councillors/mayors.

### Territorial organization

A table should sum up the number and features of sub-national government tiers and LRGs. This part should describe the country's territorial administration and clarify whether any levels are not regarded as local self-government; whether a distinct arrangement exists for rural or urban areas, capital cities, metropolitan areas; and whether there are any sub-municipal entities (e.g., villages, parishes, etc.).

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<sup>8</sup> Available online at: <https://localdemocracy.net/2013/12/26/uclg-africa-report/>.

<sup>9</sup> See for instance:

[http://www.ccre.org/img/uploads/piecesjointe/filename/CEMR\\_structures\\_and\\_competences\\_2016\\_EN.pdf](http://www.ccre.org/img/uploads/piecesjointe/filename/CEMR_structures_and_competences_2016_EN.pdf).

<sup>10</sup> Available online at: [http://www.coe.int/t/congress/Activities/Monitoring/documents\\_en.asp](http://www.coe.int/t/congress/Activities/Monitoring/documents_en.asp).

<sup>11</sup> See for instance: [http://www.nalas.eu/Publications/Books/FD\\_Rep\\_2017](http://www.nalas.eu/Publications/Books/FD_Rep_2017).

### **Sub-national government's legal frameworks**

Quick briefing on decentralization trends: constitutional provisions (and, in particular, constitutional guarantees for local self-government), main legislative and regulatory sources, recent legal and territorial reforms regarding local and regional governments over the last 5-10 years (and whether such reforms are being considered). The status of sub-national authorities: elected, appointed, mixed; their term of office, any quotas for women representatives. Framework for citizen participation: any law or regulation to support citizen participation in local decision-making.

### **Sub-national government's responsibilities**

Brief presentation of main competences and tasks of sub-national governments (SNGs) as defined by law (including discretionary scope). Review of main trends in the distribution of powers in selected sectors (taking in special consideration those fields linked to the SDGs). Graphic aid (maps, tables) could be used to facilitate the presentation of the information, to be defined in consultation with UCLG. Provisions on SNG staff: absolute and relative figures if available; their status in the administration.

### **Sub-national Government Finance**

Tables with key indicators:

#### **• Expenditures**

- Total amounts of national and sub-national government/local expenditures (in \$US PPP);
- Ratio of sub-national government/local public expenditure as a % of GDP;
- Ratio of sub-national government/local public expenditure relative to general government expenditure;
- Ratio of sub-national government/local public investment expenditure relative to total civil public investment expenditure and as a percentage of total SNG expenditure and total GDP.

#### **• Expenditure by functions (% of sub-national government/local expenditure, COFOG nomenclature)**

#### **• Revenues**

- Total amounts of national and sub-national government/ local revenues (in \$US PPP);
- Ratio of sub-national government/local public revenue as a percentage of GDP;
- Ratio sub-national government/local public revenue relative to general government revenue;
- Sources revenues (tax, grants and subsidies, other revenues) as percentage of total GDP and SNG revenues.

#### **• Sub-national governments debt**

- Total amounts of national and sub-national government / local debt (in \$US PPP)
- Ratio of sub-national government / local public debt as a % of GDP and as % of public debt.

[Ratios per inhabitant are still under consideration]

Brief analysis of indicators: tax revenues (including authority on tax setting), transfers (grant, subsidies) and other revenues, equalization mechanisms, as well as indebtedness and creditworthiness of SNGs.

### **Intergovernmental relations**

Multi-level governance mechanisms (e.g., brief presentation of central government overview of LRGs, mechanisms for consultation and resolution of conflicts), provisions on transparency in management and operation, local government performance. Role of national associations of local and regional governments.

### **SDGs and other global agendas**

Participation of sub-national governments in the reporting process and in national mechanisms of coordination and follow-up. Brief reference to LRGs' initiatives and contributions to the implementation of the agendas. National urbanization strategies.

## ANNEX 1.c.

The UCLG network is a decentralized structure composed of seven regional sections; a metropolitan section; and UCLG Regions. The following is a list of the countries that form each of the UCLG Regions. Countries in **bold** already have a fact sheet which needs to be updated and revised; the fact sheets for countries in *italics* are yet to be developed as part of this tender's deliverables, in accordance with the instructions provided in this document. The remaining countries are not considered a requirement for the completion of the tender's tasks.

### • Asia-Pacific region

- **East and Northern Asia:** **PR of China**, DP Republic of Korea, **Japan**, **Republic of Korea**.
- **South Asia:** *Bangladesh*, Bhutan, **India**, Maldives, *Nepal*, *Pakistan*, *Sri Lanka*.
- **South-Eastern Asia:** Brunei Darussalam, **Cambodia**, **Indonesia**, *Lao People's DR*, **Malaysia**, *Myanmar*, **Philippines**, *Singapore*, **Thailand**, Timor-Leste, **Vietnam**.
- **Pacific:** **Australia**, **New Zealand**. [**Small Island States:** Melanesia (*Fiji*, New Caledonia, *Papua New Guinea*, *Solomon Islands*, *Vanuatu*), Micronesia (Guam, *Kiribati*, Marshall Islands, Federated States of Micronesia, *Nauru*, Northern Mariana Islands, Palau), Polynesia (American Samoa, Cook Islands, French Polynesia, Niue, *Samoa*, Tokelau, *Tonga*, *Tuvalu*, Wallis and Futuna Islands)].

Other regions included in the Report (this list for information only):

### • Africa region

- **East Africa:** *Burundi*, *Djibouti*, Eritrea, **Ethiopia**, **Kenya**, *Madagascar*, *Rwanda*, Somalia, South Sudan, Sudan, **Uganda**, **Tanzania**. [**Small Island States:** Comoros, **Mauritius**, *Seychelles*]. **Central Africa:** **Cameroon**, *Central African Republic*, **Chad**, **Congo**, *DR Congo*, *Equatorial Guinea*, *Gabon*, *São Tomé and Príncipe*. **North Africa:** *Algeria*, *Egypt*, *Libya*, *Mauritania*, **Morocco**, **Tunisia**. **Southern Africa:** **Angola**, *Botswana*, *Lesotho*, **Malawi**, *Mozambique*, *Namibia*, **South Africa**, Swaziland, *Zambia*, *Zimbabwe*. **West Africa:** **Benin**, **Burkina Faso**, **Cabo Verde**, *Côte d'Ivoire*, *Gambia*, **Ghana**, **Guinea**, **Guinea-Bissau**, *Liberia*, **Mali**, **Niger**, **Nigeria**, **Senegal**, *Sierra Leone*, **Togo**.

### • Eurasia region

- **Central Asia:** **Kazakhstan**, **Kyrgyzstan**, *Mongolia*, *Tajikistan*, *Turkmenistan*, *Uzbekistan*. **Caucasus:** *Armenia*, *Azerbaijan*, *Georgia*. **Eastern Europe:** *Belarus*, *Russian Federation*, *Ukraine*.

### • Europe region

- **Albania**, *Andorra*, **Austria**, **Belgium**, *Bosnia and Herzegovina*, **Bulgaria**, **Croatia**, **Cyprus**, **Czech Republic**, **Denmark**, **Estonia**, **Finland**, **France**, *FYR of Macedonia*, **Germany**, **Greece**, **Hungary**, **Iceland**, **Ireland**, [**Israel**],<sup>12</sup> **Italy**, *Latvia*, *Liechtenstein*, **Lithuania**, **Luxembourg**, **Malta**, **Moldova (Republic of)**, *Monaco*, **Montenegro**, **Netherlands**, **Norway**, **Poland**, **Portugal**, **Romania**, *San Marino*, **Serbia**, **Slovakia**, **Slovenia**, **Spain**, **Sweden**, **Switzerland**, **United Kingdom**.

### • Latin America and the Caribbean region

- **Caribbean:** *Cuba*, **Dominican Republic**, *Haiti*. **Central America and Mexico:** *Belize*, **Costa Rica**, **El Salvador**, **Guatemala**, **Honduras**, **Mexico**, *Nicaragua*, *Panama*. **South America:** **Argentina**, *Bolivia*, **Brazil**, **Chile**, **Colombia**, **Ecuador**, *Guyana*, **Paraguay**, **Peru**, *Suriname*, *Uruguay*, *Venezuela*.

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<sup>12</sup> For political reasons, Israel is a member of the Council of European Municipalities and Regions (CEMR), the European section of UCLG, and not of the MEWA region.

- **Middle East and West Asia (MEWA) region**
    - **West Asia:** *Afghanistan, Iran.* **Middle East and the Gulf:** *Bahrain, Iraq, Jordan, Kuwait, Lebanon, State of Palestine, Oman, Qatar, Saudi Arabia, Syrian Arab Republic, Turkey, United Arab Emirates, Yemen.*
  - **Northern America region (including some Caribbean countries)**
    - **Northern America:** *Canada, United States of America.* **Caribbean:** *Antigua and Barbuda, Bahamas, Barbados, Jamaica, Saint Kitts and Nevis, Saint Lucia, Saint Vincent and the Grenadines, Trinidad and Tobago.*
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## **Ref. 003-2017 - Annex 2 CONTRACTUALLY-BINDING CONDITIONS**

**Ref. Tender: 003-2017**

<b>Publication date:</b>	04-09-2017	<b>Deadline for submitting tenders:</b>	25-09-2017 18:00
<b>Document:</b>	<b>Development of the 5th Global Report on Local Democracy and Decentralization (GOLD V). Regional chapter on Asia-Pacific</b>		
<b>Name and address of the Contracting Authority:</b>	ORGANIZACION MUNDIAL DE CIUDADES Y GOBIERNOS LOCALES UNIDOS (UCLG) Avinyó 15 08002 Barcelona (Spain) Tel: +34 933428750 Fax.: +34933428760 e-mail: tender@uclg.org		
<b>Short Description:</b>	<i>More information included in Annex 1</i>		
<b>Contract type:</b>	Services contract		
<b>Duration of the contract:</b>	October 2017 – September 2019		
<b>Procedure type:</b>	Open procedure		
<b>Budget:</b>	<b>Asia-Pacific up to max. EUR 30,000.00 (if applicable, VAT included)</b>		
<b>Language of the services and communication:</b>	English		
<b>Language submission (preference)</b>	English		
<b>Status:</b>	Open		
<b>Notification of award to the successful Tenderer:</b>	Approximately 15 days after deadline for tenders		

- 1) The contractor is responsible for implementing the task entrusted to it in the Terms of Reference (see Annex 1)
- 2) Legal aspects:
  - UCLG may require information on the Tenderer to comply with their obligations relating to the payment of social security contributions or the payment of taxes in accordance with the legal provisions of its country.
  - Following the notification of the successful bid, the Tenderer(s) to which the contract is to be awarded must supply evidence about fiscal residence in their country.
  - The Tenderer and its staff must comply with human rights and undertake

not to offend the political, cultural and religious mores of the country(ies) where the action is implemented. In particular, and in accordance with the applicable basic act, tenderers who have been awarded contracts must comply with core labour standards as applicable and as defined in the relevant International Labour Organization conventions.

- Intellectual property originated by the successful Tenderer shall be the sole and exclusive property of UCLG.
- 3) Drafting and content of the tender documents to be submitted by the Tenderer.** Tender documents must contain the following provisions and information:
- Description of the Tenderer (Organization, Expert, Consultant, Company, etc.) and the persons having powers of representation, decision-making or control.
  - Key experts and CVs, in the case of individuals involved.
  - Technical offer according to the requirements outlined in Annex 1, specifying the chapter (or chapters) to which the proposal refers.
  - Financial offer including indirect tax if applicable (for either the chapter or each of the chapters covered by the tenderer’s proposal).
  - All financial identification information including the financial identification number. In a later phase of the contract drafting, the bank account details should be provided to UCLG.
- 4) The set of tender documents need to be sent to UCLG by e-mail to [tender@uclg.org](mailto:tender@uclg.org) no later than the date and time indicated in the deadline above. No Tenders will be accepted beyond the submission date, unless informed otherwise on the website.**
- 5) In case additional information is required to submit the proposal, we kindly invite you to contact UCLG by writing to the e-mail address [tender@uclg.org](mailto:tender@uclg.org). Only relevant questions in writing concerning clarifications of the Tender will be answered.**
- 6) Tenderers are entitled to withdraw their offer at any time.**
- 7) UCLG might request additional information with relation to the proposal in the case of unclear concepts raised to UCLG. If this is the case, the Tenderers whose submissions require clarification will be asked to reply within a reasonable deadline set by the assessment team. If the Tenderer submits a self-declaration/statement as documentary proof, the contracting authority reserves the right to ask for further documentary evidence.**
- 8) If UCLG suspects that a candidate, tenderer or applicant does not comply with the rules, it must ask the candidate/tenderer/applicant to provide evidence demonstrating actual compliance with the applicable rules.**
- 9) Evaluation Criteria: UCLG will ensure that the awarded tenderer does not have a potential conflict of interest with the organization and will decide whether or not the submitted proposals:**
- Comply with the essential requirements of the tender dossier: technical, administrative and financial.
  - Satisfy the requirements set out in the tender dossier.
  - Contain the complete documentation.
  - Use the correct language required in the tender dossier.
- The selection criteria concern the Tenderer’s capacity to execute the contract. The successful tenderer will be the applicant submitting the least expensive tender classified as ‘technically compliant’ during the evaluation.
- 10) The tenders will be assessed according to the eligibility and the financial, economic, technical and professional capacity of the tenderers. Tenders will be compared and the contract awarded. The decision of who is the successful tenderer will be final.**

**11) Choice of contractor:**

As a result of its deliberations, UCLG will decide on the following recommendations:

- Awarding the contract to the tenderer that has submitted the least expensive offer and complies with the formal, technical, administrative and financial requirements.
- Cancelling the tender procedure.

Once the contract has been awarded, the successful tenderer will be notified.

**12) Once the tenders have been analyzed, they are compared and the successful tenderer is chosen. No negotiation is allowed.**

**13) UCLG must ensure equal treatment of tenderers and keep the tenders confidential.**