GUANGZHOU INTERNATIONAL AWARD FOR URBAN INNOVATION RULES AND PROCEDURES

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General Rules

- 1. The Guangzhou International Award for Urban Innovation (abbreviated as the "Guangzhou Award" hereinafter) is discerned to innovative public policies, projects, business models and practices undertaken by cities and regions worldwide. Its objective is to recognize the importance of public sector innovation in promoting the sustainability of cities and regions and in advancing the prosperity and quality of life of their citizens.
- The Guangzhou Award is co-sponsored by the United Cities and Local Governments (UCLG), the World Association of the Major Metropolises (Metropolis), and the City of Guangzhou of the People's Republic of China.
- The Rules and Procedures are drafted based on the objectives of the Guangzhou Award, in an effort to ensure its objectiveness and impartiality.
- 4. The Guangzhou Award is open to all city and regional governments around the world, including members of UCLG and Metropolis.
- 5. The Guangzhou Award strictly abides by the principles of impartiality, equitability and openness, in an effort to ensure operational transparency and independence.
- The Guangzhou Award Organizing Committee is responsible for the organization
 and implementation of all affairs related to the award. The Guangzhou Award
 Secretariat takes care of the assessment organization of the Award and the daily
 work involved.

Award Set-up

Starting from 2012, the Guangzhou Award will be organized biennially, producing
 winners each cycle.



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- 8. Winning submissions should be original and applicable undertakings that are still ongoing or have been recently completed. They should provide evidence and/or indicators of substantial impact and/or success in meeting the initiative's stated objective(s).
- Each Guangzhou Award winner will receive a cash prize of 20,000 US Dollars, making the total amount of cash prize 100,000 US Dollars.

Assessment Criteria

- 10. The following criteria are applied in the Guangzhou Award assessment.
 - i) Innovativeness: the extent to which a forward-looking policy, an original project, new business model or creative practice has been developed to address a major social, economic, environmental or governance issue;
 - Effectiveness: the extent to which the initiative has achieved or is well
 on its way to achieving its stated objective(s) and/or desirable
 outcomes;
 - Replicability/Transferability: the value of lessons learned from the initiative in inspiring others to adopt new policies or good practices;
 - iv) Significance: the importance or relevance of the initiative in addressing problems and issues of public concern.

Assessment Institutions

- 11. The Guangzhou Award Organizing Committee, jointly established by the UCLG, Metropolis, and the City of Guangzhou, is responsible for the organization and implementation of assessment activities.
- 12. Following authorization from the Guangzhou Award Organizing Committee, the Guangzhou Award Secretariat undertakes the following responsibilities in the assessment activities:

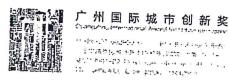




- Handle such daily work as liaison, database establishment and management, and others;
- ii) Propose nominations to the Organizing Committee for the appointment, supplements or renewal of members of the Technical Committee and the Jury;
- iii) Plan and organize award-related activities, such as news conferences, award ceremonies, academic seminars, exhibitions, and others;
- iv) Receive and handle consultations and suggestions relevant to the award;
- v) Propose adjustments in rules and regulations relevant to the award.
- 13. The assessment institutions under the Organizing Committee are consisted of the following:
 - A Technical Committee, which is responsible for selecting a shortlist of initiatives to be submitted to the Jury for final consideration;
 - ii) A Jury, which selects the award winners from the shortlist to be submitted to the Organizing Committee.
- 14. Qualifications of the Technical Committee and the Jury are as follows:
 - Members of the Technical Committee are nominated by the Guangzhou Award Secretariat and appointed upon approval from the Guangzhou Award Organizing Committee;
 - ii) The Jury is consisted of no less than five members as jointly identified by the UCLG, Metropolis and the City of Guangzhou.

Submissions

- 15. To file a submission for the Guangzhou Award, applicants should complete and submit the Guangzhou Award Application Form.
- 16. Applicants should be responsible for the authenticity and legitimacy of the completed application forms and other materials.



Selection Procedures



- 17. The Guangzhou Award short-listed initiatives are selected by the Technical Committee.
 - The Technical Committee formulates its own working methods in accordance with the goals and objectives of the Award;
 - ii) Following the selection procedures and guidelines, the Technical Committee selects a shortlist of up to 15 initiatives to be submitted to the Jury.
- 18. The Jury will vote and select up to five (5) Guangzhou Award winners.
 - The Jury will review and vote on the final winner list based on the shortlist submitted by the Technical Committee;
 - ii) The Jury reserves the right to award less than five winners in any given cycle.
 - The Jury's decision is final and not contestable.

Award Presentation

- 19. The Guangzhou Award Organizing Committee organizes the award ceremony, on which occasion winners receive a cash prize, trophy and certificate.
- 20. The list of winners will be announced at the award ceremony.

Supplementary Articles

- 21. The Guangzhou Award Organizing Committee reserves the right to revise and interpret over the Rules and Procedures.
- 22. The Rules and Procedures shall come into effect as of the date of promulgation.



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GUANGZHOU INTERNATIONAL AWARD FOR URBAN INNOVATION SUBMISSION GUIDELINES 2016

These Submission Guidelines are based on the Rules and Procedures of the Guangzhou International Award for Urban Innovation (abbreviated as the "Guangzhou Award" hereinafter), in order to ensure successful organization of the

I. ABOUT THE GUANGZHOU AWARD

award activities and the impartiality of the award itself.

The Guangzhou Award is co-sponsored by the United Cities and Local Governments (UCLG), the World Association of the Major Metropolises (Metropolis) and the City of Guangzhou. The aim of the Guangzhou Award is to recognize innovation in improving social, economic and environmental sustainability in cities and regions and, in so doing, to advance the prosperity and quality of life of their citizens. Presented biennially, the award encourages innovation in public policy, projects, business models and practices.

II. OBJECTIVES

The objectives of the Guangzhou Award are to:

- Recognize innovation as a key contributing factor in meeting the social, economic, environmental and governance challenges facing a rapidly changing world;
- 2. Promote the sharing and exchange of lessons learned from successful innovation;
- 3. Provide a platform for the documentation, dissemination and analysis of the local implementation of the Sustainable Development Goals.

III. THE AWARD

The Guangzhou Award will be discerned to up to five (5) cities for each award cycle. Each of the winning cities will receive a USD 20,000 cash prize, a trophy and a commemorative certificate designed for the award.

The winners of the Guangzhou Award are also invited to attend special events including the Guangzhou International Conference on Urban Innovation, an exhibition and the award ceremony.





IV. ELIGIBILITY:

- 1. The Guangzhou Award is open to all cities and regions worldwide, including members of UCLG and Metropolis.
- 2. An initiative that is entered for the Guangzhou Award should meet the following eligibility criteria:
 - a) It should be an original undertaking such as a new policy, project, business model or practice that promotes social, economic and/or environmental sustainability in a city or region;
 - b) It should be an ongoing or recently completed initiative (within the past two years);
 - c) It should provide evidence and/or indicators of substantial impact and/or success in meeting the initiative's stated objective(s).

Cities and local authorities are encouraged to submit several initiatives that support a given policy including those that are implemented in collaboration with private and civil society partners.¹

- 3. The Guangzhou Award recognizes innovations in various thematic areas and domains. As a general guideline, innovative initiatives may be recognized within the social, cultural, economic, environmental, governance and technological domains of sustainability, including, for example:
 - a) Infrastructure and public services: innovation in the provision of sustainable and resilient public services and infrastructure, including new business models, innovative financing mechanisms and instruments; strengthening capacity; increasing productivity; reducing cost and bureaucracy; and developing performance measurement tools and benchmarks;

¹ While the Award is discerned directly to a city or local authority, the Jury reserves the right to attribute the innovation to actions undertaken by the city's private and/or civil society partners.



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- b) Participatory planning and good governance: innovation in participatory and integrated planning, design and decision making; improved transparency, accountability and responsiveness in public administration; regulatory and/or administrative reform; citizen/client orientation;
- c) Partnerships: building new partnerships between government, private sector and civil society; enhancing civic engagement; implementing new business models; establishing cross-jurisdictional collaboration; fostering community empowerment;
- d) Technology: innovative use of technology to optimize resource use and allocation; boost efficiency and effectiveness in such areas as e-government, water, waste and energy management; improve transport and logistics and access to public services;
- e) Resilience: Improve resource efficiency; mitigate and adapt to climate change; improve resilience to disasters and implement holistic disaster risk management;
- f) Social inclusion and gender equality: improve social inclusion through, among others, local economic development and decent work for all; affordable housing; affordable and accessible transport; integrate immigrants; and end all forms of discrimination and violence against all women and girls.
- 4. Submissions that do not succeed in being selected for the Guangzhou Award may re-submit in subsequent cycles should there be new evidence or indicators of impact or change.

V. ASSESSMENT CRITERIA

The major criteria for innovation to be considered for the Guangzhou Award include:

- Innovativeness: the extent to which a forward-looking policy, an original project, new business model or creative practice has been developed to address a major social, economic, environmental or governance issue;
- Effectiveness: the extent to which the initiative has achieved or is well on its way to achieve its stated objective(s) and other socially desirable outcomes;



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- Replicability/Transferability: the value of lessons learned from the initiative in inspiring others to adopt new policies or good practices;
- 4. Significance: the importance or relevance of the initiative in addressing problems and issues of public concern.

Each assessment criterion will carry an equal weight in the overall evaluation.

VI. SUBMISSION PROCESS

- Submitters are encouraged to complete the registration form (see Annex I) and send it to the Guangzhou Award Secretariat before 31 May 2016, so that the Secretariat could follow up and provide assistance where necessary.
- Submissions should be made in accordance with the application form (see Annex II), which is available on the Internet and can be downloaded from the official website of the Guangzhou Award at http://www.guangzhouaward.org.
- 3. Submissions should be made electronically in English and formatted to fit single-sided pages of A4 paper using Times New Roman 12 or 14 point font size. An optional copy in a language other than English may be included together with the compulsory English version.
- 4. Submitters should include the following supporting materials as an integral part of their submission:
 - a) Articles appearing in newspapers, professional journals, newsletters or other publications;
 - b) Photographs, videos and/or other graphic materials;
 - c) Maps and graphic materials.
- Apart from the written report and supporting materials, submitters are encouraged to provide audio visual materials on DVD/CD or by email.

Submissions should be sent to the Guangzhou Award Secretariat before 31 July 2016 by Email at info@guangzhouaward.org, or by mail at 3901, Pearl River International Building 112#, Yuehua Lu, Guangzhou, P.R. China (510030).



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All submissions and supporting materials received will be acknowledged and will not be returned to the submitters.

The organizers reserve the right to publish submissions, wholly or in part, to further promote and disseminate lessons learned from urban innovation.

VII. SELECTION PROCESS

Submissions received by the deadline of 31 July 2016 will undergo a three-step evaluation process:

- Step I: review by an internationally and gender representative Technical Committee comprising of experts with extensive experience in different domains. This committee will select no more than forty-five (45) excellent initiatives from all submissions. It will then select from the deserving initiatives a shortlist of up to fifteen (15) outstanding initiatives of comparable merit. The Technical Committee will meet in person in Guangzhou for up to four working days;
- 2. Step II: review by the general public. Short-listed submissions will be posted on the <u>Guangzhou</u> Award website where the public will be invited to state their preferences and comments. The submission that receives the most positive comments and feedback will be recognized and discerned with a special certificate of appreciation.
- 3. Step III: review by an independent Jury. Short-listed submissions will be evaluated by an independent Jury composed of no less than five (5) eminent personalities. The jury will undertake a paper evaluation and an evaluation based on the oral presentation of each of the shortlisted initiatives at the Guangzhou International Conference on Urban Innovation. The Conference is designed to promote the sharing of lessons learned from the shortlisted initiatives with other cities, practicing professionals, civil society organizations, academia, the media and the general public.

The Jury will present its final decision during the award ceremony.



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The Jury has the mandate to select up to five (5) award winners from the shortlist. The Jury reserves the right to award less than five (5) initiatives but not more than five (5) initiatives in any given cycle. The Jury also reserves the right not to give any awards if the short-listed initiatives are considered unworthy of international recognition.

The Jury's decision is final and not contestable.

VIII. CERTIFICATES OF APPRECIATION

Besides the five (5) awards, the Organizing Committee of the Guangzhou Award also intends to recognize one of the short-listed initiatives for their popularity with the public.

IX. THE GUANGZHOU INTERNATIONAL CONFERENCE ON URBAN INNOVATION, EXHIBITION AND THE AWARD CEREMONY

The Guangzhou Award Ceremony shall be held after the Jury's decision and upon the conclusion of the Guangzhou International Conference on Urban Innovation.

All short-listed initiatives will be invited to send two participants to attend the Conference.

Short-listed initiatives will also be asked to send additional material for an exhibition on urban innovation. The exhibition is open to the general public and may be shown in other venues inside and outside China.

The winners will be presented with their awards including trophies and certificates at the award ceremony. The winners will be requested to provide their bank account information for transfer of the USD 20,000 cash prize.

The award shall be discerned to the Mayor or a senior representative of the winning city.



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X. THE 2016 GUANGZHOU AWARD TIMETABLE

November 2015

Call for submissions

31 May 2016

Deadline for registration (expression of interest of

submitting for the Award)

30 July 2016

Deadline for receipt of submissions

August-September 2016

Evaluation by the Technical Committee

October 2016

Short-listed initiatives are notified of selection and

may be requested to send additional supporting

materials

November 2016

Final evaluation by the Jury and award ceremony

Annex I: Registration Form Annex II: Application Form



ANNEX I:

Registration Form 2016 Guangzhou International Award for Urban Innovation

Please complete the following registration form and return it to the Guangzhou Award Secretariat at info@guangzhouaward.org by 31 May 2016.

Title of the Initiative		
Organization	·	
Name of City/Local Authority		
Country/Region		
Contact Person:		
Title (Dr./Mr./Mrs./Ms./Miss)/		
Given Name/Family Name		
Job Title		
Phone (including full code)		
1 mone (merading run code)		
Fax		
E-mail		
Address		
Country/Postcode		
Journal of the state of the sta		
Website of the Initiative		
(if available)		
How did you get to know the	Guangzhou Award Website	
Guangzhou Award?	Email Invitation	H I
	Participating in the 1 st & 2 nd Guangzhou Award	$H \mid$
	International Conferences	$H \mid$
	Sister Cities	HI
	Consulates in Guangzhou	HI
	UCLG	HI
	Metropolis	H
	Media Reports	H
	Others (Please specify)	ĦI

The Guangzhou Award Secretariat:

Tel: +86-20-66289390

Fax: +86-20-66289391

E-mail: info@guangzhouaward.org

Website: http://www.guangzhouaward.org

Address: 3901, Pearl River International Building, 112#, Yuehua Lu, Guangzhou, P.R.China

(510030)

ANNEX II:

Application Form

2016 Guangzhou International Award for Urban Innovation

Please complete the following application form and return it to the Guangzhou Award Secretariat at info@guangzhouaward.org by 31 July, 2016.

A. Profile of the Initiative

[37]			
Name of City/Community:			
Name of Province/State:			
Name of Country/Region:			
	Africa (Sub-Saharan)		
	Asia and Pacific		
Geographic Region (Please select and tick one):	East and Central Europe		
solvet and tick one).	Western Europe		
	North Africa and Middle East		
	North America		
	Latin America & Caribbean		
Title, name and position of person(s) submitting:			
1.			
2.			
3.			
Basic City Data (please use data from the UN Statistical Office):			
Population size:	on the off statistical Office);		
Surface Area:			
Population Density:			
GDP per capita:			
GINI Index:	, , , , , , , , , , , , , , , , , , , ,		
Other: (please specify)			
URL/Webpage of your city an	d vour initiative:		
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B. Title and Abstract

For a large integrated initiative, please consider submitting up to three initiatives under the same title. For example, you may wish to submit under "Low-carbon urban development for My City" an initiative on public transport, an initiative on energy efficiency in buildings, and an initiative on use of renewable energy.

Title or Tagline of the initiative (25 words max.):

Sub-Title: (optional in the case of submitting separate initiatives under the same title.):		
Start date of the initiative:		
(Please note that your initiative should have started no later than 2014)		
Tentative end date of the initiative (if not yet completed):		
Thematic areas (please tick as appropriate):		
□ Social		
□ Economic		
☐ Environmental		
☐ Governance/Management		
☐ Technology		
☐ Other (please specify):		
Abstract/Short description of the innovative initiative being submitted for Award (150 words max):		

C. Background Information

Describe the legislative or policy framework under which the initiative is taking place, for example, a public policy document at the central or local government level, a policy statement, a covenant, a compact or internationally recognized agreement including, for example, the Sustainable Development Goals, the Sendai Framework for Disaster Risk Reduction and the outcomes of COP21, etc. (80 words max)

D. Summary of the origins of the initiative:

Describe how the initiative came about and what challenges or issues of sustainable development it is meant to address using the following lead questions as your guide. (350 words max)

1. Describe briefly the reason(s) for undertaking the initiative including social, economic, political or cultural challenge(s) or issues confronting the city/region/community. Include where relevant number of people, enterprises or institutions affected.

2. Describe the goals of the initiative in terms of desired change or outcome and timeframe for achieving the change or outcome (for example, change in policy, strategy, business model, technology, means of implementation, financing arrangements, human development and empowerment, measuring and evaluating progress and impact, etc.).		
3. Describe whether the innovation involves any partnership (public-public, public-private, public-community, etc.) and if yes, who is or was the leading partner(s), the role they each played and whether other parties have benefited or are benefiting from your innovation and how?		
4. Describe the resources used for implementing the initiative, including funding/financing strategy or arrangements and any significant contributions that are not in cash, for example, in human, technical or managerial resources.		
E. Summary of the innovative aspect(s) of the initiative:		
Describe the innovation for the initiative using the following lead questions as a guide. (350 words max)		
1. Describe whether the initiative should be considered evolutionary or revolutionary. Evolutionary would imply that innovation evolved over time based on lessons learned from experience and that the		

learned from experience and that the changes or outcomes are cumulative. Revolutionary would imply something quite new or something that has been

	borrowed from elsewhere but never been tried before in the sector or context in question and therefore bears a certain degree of risk.
	Describe whether the innovation was inspired or borrowed from other experiences and what the linkage with the other preceding experiences is.
	3. Describe where the innovation is being applied, for example, in policy or strategy; planning, design and implementation; business model or financing arrangement; tools and technology; governance and administration; etc.
	4. Describe whether there was or are any obstacles or resistance to the innovation and if so, how were/are they being overcome.
	Summary of the desired change or outcome and how it is being
D a	escribe how the initiative, and in particular the innovation, is or will be making qualitative and/or quantitative change and how that change or outcome is sing measured. (350 words max)

1. What change(s) or outcome have you already achieved or hope to achieve? Please describe the nature of the change or outcome in, for example, improved quality of life; new levels of social, economic or environmental sustainability, including new attitudes and behavior; improved efficiency, effectiveness, accountability or transparency, etc. Please describe the scale of the change, for example, primarily

local, regional, national or global and where possible, please quantify the changes or outcome being achieved.
What indicators or metrics are you using to assess the change? Describe who is doing the measuring, and who is using the measurements and how.
3. Describe any specific tools or methods that were developed or applied to improve the chances to attain the desired outcome or change, for example, new working methods, new data and information, new incentives or disincentives, new means of communications and knowledge, new technology, etc.
How does the initiative and its intended change(s) or outcomes contribute to a new image or reputation for your city or community?
. Detailed description of the initiative and innovation
hoose any of the above headings or a portionless or a portion of the portion of
hoose any of the above headings or a particular aspect of the initiative that you wish

G

C to highlight and that you think best describes the reasons why the innovative aspect(s) of the initiative could be of benefit to improving social, economic and environmental sustainability in cities and regions and, in so doing, to advance the prosperity and quality of life of their citizens. (400 words max)

H. Relevance of the initiative to the 2030 Agenda for Sustainable Development, commonly referred to as the "Sustainable Development Goals".

Please tick the most appropriate boxes and provide a brief description of the relevance of your initiative in relation to the relevant goal(s). Please also refer to the complete text of the Sustainable Development Goals at:

www.un.org/sustainabledevelopment/sustainable-development-goals/

CHRI
Goal 1: End poverty in all of its forms
Goal 2: End hunger, achieve food security and improved nutrition and
promote sustainable agriculture
Goal 3: Ensure healthy lives and promote well-being for all ages
Goal 4: Ensure inclusive and equitable education and promote life-long
learning opportunities for all
Goal 5: Achieve gender equality and empower all women and girls
Goal 6: Ensure availability and sustainable management of water and
Sanitation for all
Goal 7: Ensure access to affordable, reliable, sustainable and modern energy
Tot all
Goal 8: Promote sustained, inclusive and sustainable economic growth, full
and productive employment and decent work for all
Goal 9: Build resilient infrastructure, promote inclusive and sustainable
industrialization and foster innovation
Goal 10: Reduce inequality within and among countries
Goal 11: Make cities and human settlements inclusive, safe, resilient and
sustainable
Goal 12: Ensure sustainable consumption and production patterns
Goal 13: Take urgent action to combat climate change and its impacts
Goal 14: Conserve and sustainably use the oceans, seas and marine
resources for sustainable development
Goal 15: Protect, restore and promote sustainable use of terrestrial
ecosystems, sustainably manage forests, combat desertification, and halt
and reverse land degradation and halt biodiversity loss
Goal 16: Promote peaceful and inclusive societies for sustainable
development, provide access to justice for all and build effective,
accountable and inclusive institutions for all
Goal 17: Strengthen the magnet of the strengthen the st
Goal 17: Strengthen the means of implementation and revitalize the Global
Partnership for Sustainable Development

In the case of Goal 11, please tick the relevant targets:

	Toront 1. A C
	Target 1: Access for all to adequate, safe and affordable housing and basic services and upgrade slums
	Target 2: Access to safe, affordable, accessible and sustainable transport systems for all
	Target 3: Participatory, integrated and sustainable human settlement planning and management
	Target 4: Safeguard cultural and natural heritage
	Target 5: Reduce deaths and number of people affected by disasters with particular focus on the poor and people in vulnerable situations
	Target 6: Improve air quality and manage municipal and other wastes
-	Target 7: Universal access to safe, inclusive and accessible green and public spaces, in particular of women, children older persons and persons with disabilities
	Target 8: Support positive economic, social and environmental links between urban, peri-urban and rural areas
«I	Target 9: Improving resource efficiency, mitigation and adaptation to climate change, resilience to disasters and implement holistic disaster risk management
	Target 10: Support least developed countries in building sustainable and resilient buildings utilizing local materials

I. Descriptive material in annex to the document

These are materials destined to allow members of the Technical Committee and the Jury to have a better understanding of the context of your initiative which is a very important consideration. Additional material can be submitted in DVD or CD formats. Please do not exceed the specifications below; anything that exceeds these specifications may not be availed to the Technical Committee or the Jury. Please provide, where possible and relevant, the following:

- ◆ Up to 5 press clippings or copies of covers and tables of content of reports published on the initiative. Please embed this material on A4 pages.
- ◆ Up to 5 photos that best illustrate the initiative (.jpeg at 72 dpi, 500 x 700 px max). Please embed this material in two (2) A4 pages with titles.
- Up to 5 graphics that best illustrate the initiative (.pdf format, 72 dpi, A4 size max). These graphics could illustrate for example, trends, ratios or percentages; tools or technologies; etc. Please embed them on A4 pages.
- ♦ 1 map that best illustrates the physical context of the initiative (.pdf format, 72 dpi, A4 max)
- ◆ 1 chart that best illustrates the initiative (.pdf format, 72 dpi, A4 max)
- 1 technical drawing reduced to fit A4 format

I. Additional material

Any additional material such as videos should be submitted on a DVD/CD or by email to the Secretariat at info@guangzhouaward.org.