GUIDE TO THE GLOBAL COMPACT FOR LOCAL GOVERNMENTS

Converting the Global Compact into Good Practice

Regional Support Center
Latin America and the Caribbean

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Leaders at the Core of Better Communities
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This document has been translated by the Global Compact Cities Programme from the original spanish version to english. Whilst all care has been taken to represent the original content as accurately as possible, there may be misinterpretations.

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Both versions of the Guide to the Global Compact for Local Government - the original Spanish publication - and this subsequent English translation, can be accessed directly from the following websites:

www.icma.org/latinoamerica
www.centroregionalpmal.org
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GUIDE TO THE GLOBAL COMPACT
FOR LOCAL GOVERNMENTS

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The English language version of
‘Guía del Pacto Mundial para Gobiernos Locales’

The translation of the original Guía del Pacto Mundial para Gobiernos Locales has been undertaken by the Global Compact Cities Programme, the urban arm of the United Nations Global Compact. The development and international dissemination of the English language version is a partnership project with the Regional Center for the Support of the Global Compact in Latin America and the Caribbean.
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To facilitate wider international access to this Guide in support of local government’s implementation of the ten principles, the Global Compact Cities Programme (in late 2013) undertook to translate the original Spanish publication into English. This commitment was made as part of the secretariat’s partnership with the Regional Center for the Support of the Global Compact in Latin America and the Caribbean. The following members of the Cities Programme team are warmly acknowledged for their substantial efforts: Research Associate, Sandra Moye, who translated the publication from Spanish to English; Melissa Postma, who designed and edited the layout of the English version; and Zulaikha Hussain Shihab who managed the new project with Elizabeth Ryan, and contributed editing.

Given the deep connection between Latin America - Mexico in particular - and this document, we are proud and honoured to present the work of leading Mexican photographer, Gerardo Borbolla in this translated version of the Guide to the Global Compact for Local Government. We thank Borbolla for his generous contribution.

It is a pleasure to make available this valuable resource for more Global Compact city participants. I would like to offer a special acknowledgement to primary author, Octavio E Chaves and our partner, Diana Chavez for making this project possible.

Professor Ralph Horne
Director, Global Compact Cities Programme
Preface

Increased migration to urban areas has resulted in more than half of the world’s population now living in cities. Therefore, how cities function strongly impacts the nations they are based in, especially in highly urbanized regions such as Latin America. As a result local governments have increased strategic value to seek and apply solutions to the major challenges of globalization, such as complying with human rights, combating poverty, climate change, improving living standards with access to health services, potable water and education, sanitation and energy services. Local governments are employers, consumers, suppliers and distributors; above all, they can be an example of good (or bad) practice, for their citizens and the businesses that operate in their territory.

It is expected that by 2020 the proportion of the world’s population that live in cities will reach 60% and that in the next few years, 90% of population growth will take place in urban areas. These predictions demonstrate trends that need to be considered by local governments. The largest cities in the world will no longer belong to the ‘developed’ world, and instead be seen in newly emerging or developing countries. Cities such as London, Paris and New York, may remain wealthier, but will not lead the megapolis. Only Tokyo and Seoul are predicted to be part of the top ranking cities.

The second significant trend is that urban growth will occur mainly in Asian cities, especially in China. Chinese cities are expected to overtake the rate of growth in Latin American cities. The third important trend is that a majority of urbanization will take place in small and medium cities. It is estimated that by 2020 there will be more than 500 urban centres of more than 1 million inhabitants.

Cities are hubs where people can grow wealth, production and creatively flourish. On the other hand, it is also a place where poverty is centralized, disparities are prominent and people’s health, especially among the poor, are threatened due to a lack of or inability to access clean water, solid waste disposal systems, and other sanitation issues.

The UN Habitat report on Cities and Climate Change, states that cities are responsible for 70% of greenhouse gas (GHG) emissions. The report goes on to explain that local initiatives are paramount in addressing climate change as cities can play a crucial role in reducing GHG emissions and are a site where emissions reduction policies can be put in place.

Therefore, in a world where the urbanization process is accelerating, cities can become workshops to face the challenges of promoting local actions, intended to satisfy social and environmental needs imposed by global realities such as climate change, geopolitics, economic fluctuations and new technologies. Consequently, cities can play a role in translating the Global Compact’s Ten Principles into positive and concrete results based on innovative and adequate proposals in the local context.

Cities, led by local governments influence the impact of global trends within a country. Their policies, decisions and behaviour affect, impact and contribute to trends such as climate change, geopolitical processes, the economy, development of new technologies and the eradication of poverty to name a few. These policies can have both positive and negative implications.
Local governments have different legal responsibilities in different countries. All local governments have the capacity to develop a series of mechanisms that allow the promotion of social cohesion in its cities, whether it is directly or indirectly. These mechanisms include; for example, the efficient use of public services, but also the establishment of multilevel relationships for good governance and to promote strategic thinking and active citizenship.

Local governments generate demand; they hire external and local companies to which they can demand certain conditions. Local governments can also employ people from diverse levels of education. They have a responsibility in terms of health, education and rights. Local governments have to respond to the unstoppable machine that a city is: with its homes, housing demand, services, population expansion, changing needs, its concentration of an active age population. Cities are a world in themselves, and local governments along with citizens and other interested actors, are captains that dictate where the city is headed and how it is run.

All these responsibilities are encapsulated in the principles. Principles such as fighting against corruption, promoting employee education, technological improvements for more sustainable systems, increasing public-private administrative capacities to deal with their environments, environmental protection, protection of citizen’s rights, promoting labour rights, the protection of women as citizens and workers and promoting and protecting human rights. These are just some of the areas that local governments can act upon.

Therefore, well thought out, well governed cities have the capacity to promote and implement the United Nations Global Compact’s Ten Principles. With the aim of collective sustainability, all local governments could work towards achieving these principles.

Mireia Belil
Director, Fundacio Forum Universal de les Cultures
Introduction

Recognizing the roles of a number of different actors in development and growth, the Global Compact focuses on collaboration between levels of government, businesses and society with the aim of including the private sector as a fundamental actor in addressing the challenges of globalization. The Global Compact was endorsed by the UN Secretary General in 1999 during the Economic Forum in Davos.

The Global Compact stands on Ten Principles which have a four themed focus: human rights, labour standards, environment and anti-corruption. Such areas are a part of the businesses and individuals’ daily agendas and create a Corporate Social Responsibility (CSR) which should be extended to the broader community.

Since its launch, the Global Compact has become the world’s largest corporate social responsibility initiative with more than 12,000 signatories from 145 countries, of which, around 10,000 belong to the corporate sector and 2,000 are non-corporate such as civil society organizations, unions, public administrations, among others. The Global Compact established the Cities Programme in 2003, as the urban arm of the UN Global Compact. In the spirit of the Global Compact, the Cities Programme focuses on collaboration between all levels of government, business and civil society to enhance sustainability, resilience, diversity and adaptation of cities in the face of complex urban challenges. As at July 2014, it has 87 participants which range from world capitals and states to small municipalities.

Interest and participation is high amongst different government levels in Latin America, including the Latin American Division of the International City/County Management Association (ICMA) (Asociacion Internacional de Administracion de Ciudades y Condados, Division Latinoamericana), and the Caribbean Regional Centre for the support of the Global Compact (Centro Regional para America Latina y el Caribe en apoyo al Pacto Mundial). Participating parties consider the Global Compact very important in public administration. This is the result of a shared vision between the various Global Compact Local Networks in the region, given that the participation of these organizations is key to achieve actions designed to support social and environmental demands posed by globalization.

It is essential to point out that local governments, as part of the Nation State, have enough resources to achieve the success of the Global Compact. Firstly, because social responsibility is an intrinsic part of public entities, and they are obliged to observe the declarations reflected in their country’s law. Secondly, they are economic agents, which allow them to demonstrate the implementation of the Principles through their operation schemes and public policy development. Thirdly, it is worth noting that public entities exert persuasive pressure in their immediate environments along with other economic players (softpower).

It is important to emphasize that the Global Compact Principles, in their nature, represent elements for which implementation is wide and diverse. In consequence, there is no single model for implementation. The extended spectre of scenarios opens the possibility of establishing alternatives according to the context of each signatory party. The challenge is to take present-day opportunities to develop innovative and adequate proposals for the local environment that bring together the different actors involved.
This guide was designed to assist local governments and their public entities in the implementation of the Global Compact, particularly for establishing programmes and actions with concrete achievements around the Ten Principles and its four main themes. For this purpose, it includes three municipal experiences and international expert reviews, which were given the opportunity of carrying out field exercises on the implementation of the Global Compact. The participants were the municipalities of Aguascalientes and Chihuahua, and the Zacatecas Institute for State Workers (Instituto de los Trabajadores al Servicio del Estado). The exercise’s results demonstrated the potential of the Ten Principles as central elements in local public administrations operations, from which, this guide was designed for its implementation in the Latin American and the Caribbean context.

With the inclusion of local governments in the Global Compact initiative, whilst recognizing the relevance of governments role in people’s quality of life, it offers an extraordinary opportunity for such entities to become active promoters of the Principles, through precise practices that span from adequate environment for communities, economic and social development, to capacity development that allow local actors to utilize the Ten Principles as a key practical tool.

The promotion of the principles, through local government operations, aims to generate a multiplying effect based on specific practical examples that serve as a reference point. With this, strengthen the competitive potential in localities, which inevitably results in more and better opportunities for local development and a dignified life for citizens in the community.

According to the above, an invitation is extended to all interested Latin American local governments to familiarize themselves with this guide, in order to strengthen their role as agents, and to apply the Ten Principles in their sphere of influence.

With this act of translating the Guide to the Global Compact for Local Governments into the english language, this invitation is now extended to cities, states and municipalities across the world.

Photograph by Gerardo Borbolla, 2012
1. Social Cohesion and Inclusion

The Global Compact is an initiative of the United Nations that promotes universal principles regarding human rights, labour standards, environment and anti-corruption. This proposal advocates a voluntary approach in which the actors commit to implement the Ten Principles in their daily operations.

It is important to note that the Global Compact is not a certifying or regulatory instrument; that is, it does not impose or evaluates actions of participant institutions. Nevertheless, it defines guidelines for those organizations that want to participate in the global network that support the Ten Principles around four themes:

The Ten Principles

**HUMAN RIGHTS**
1. Businesses should support and respect the protection of internationally proclaimed human rights; and
2. make sure they are not complicit in human rights abuses.

**LABOUR**
3. Businesses should uphold the freedom of association and the effective recognition of the right to collective bargaining;
4. the elimination of all forms of forced and compulsory labour;
5. the effective abolition of child labour; and
6. the elimination of discrimination in respect of employment and occupation.

**ENVIRONMENT**
7. Businesses should support a precautionary approach to environmental challenges;
8. undertake initiatives to promote greater environmental responsibility; and
9. encourage the development and diffusion of environmentally friendly technologies.

**ANTI-CORRUPTION**
10. Businesses should work against corruption in all its forms, including extortion and bribery.
The UN Global Compact asks companies to embrace, support and enact, within their sphere of influence, a set of core values in the areas of human rights, labour standards, the environment and anti-corruption.

These principles are derived from international pacts and agreements relative to four strategic areas:

- **Human Rights**: The Universal Declaration of Human Rights, 1948.
- **Labour Standards**: The International Labour Organization’s Declaration on Fundamental Principles and Rights at Work, 1998.

It is also worth mentioning that since 2000, the Millennium Development Goals (MDG) signed by UN state members have become a reference for the Global Compact, as well as for government signatory states. The MDGs consist of quantifiable goals for which the compliance period is 2015. They encompass the main required variables to focus government and social policy, in order to promote more sustainable and just development.
2. Participation

Background

Global Compact Cities Programme

Participation of local governments in the Global Compact commenced as early as June 2001 with the commitment of Melbourne (Australia) followed by Nuremberg (Germany) and Bath Northeast Somerset (UK) in 2003. The Global Compact Cities Programme was established in 2003 as an international secretariat and hosted by the Committee for Melbourne. It had developed a city specific framework that catalyses and combines the resources of government, business and civil society in order to find concrete solutions seemingly intractable urban social, economic and environmental issues, termed the Melbourne Model. In 2005, Porto Alegre (Brazil) joined other cities like San Francisco (USA) and Berlin (Germany) in trialling the new Melbourne Model in specific projects for their cities. There were fourteen cities in total who trialled the model, and were termed Innovating Cities.

The hosting of the international secretariat was taken on by RMIT University in 2007. Today Global Compact cities can participate in the Cities Programme at three levels — signatory, leading and innovating. As at July 2014 there were 87 Global participant cities and regions. The most significant growth in recent years has been in Latin America.

Global Compact Leader’s Summit

The participation of local governments in this global initiative increased in the Global Compact Leader’s Summit in 2007, and its succeeding summit in 2010 (this summit is held every three years and is headed by United Nations Secretary General). For its participants, the Leader’s Summit is the most important event regarding Corporate Social Responsibility (CSR) which is organized by the United Nations. Participants in this conference, in addition to reiterating their support of the Global Compact, ratify their commitment to UN to use their sphere of influence and global reach for identifying strategic priorities and clear operations for the Pact and the actors involved.

The Summit encourages the objectives of strengthening the commitment among global decision-makers to the Ten Principles and proposes the initiative as a strategic direction for international and local agendas. In that manner, it also promotes a closer relationship with governments to carry out projects, local initiatives and campaigns with a more significant social impact.

In this sense, and in the context of the Global Compact Leader’s Summit in 2007, a meeting with Ministers and State Secretariats from more than 20 countries was organized. During this meeting, the document; ‘The role of governments in promoting citizens corporate responsibility’ was presented, which addresses the role of governments as sponsors and key players in the acceptance and implementation of the Global Compact Principles. It emphasizes that “it is of government’s interest that the private sector’s voluntary actions complement and support existing policies and regulations where possible”.

**Rio+20 Corporate Sustainability Forum**

In June 2012, the UN Global Compact hosted the Rio+20 Corporate Sustainability Forum (Rio+20 CS Forum) in Rio de Janeiro, Brazil as one of the lead events connected to the Rio+20 UN Conference on Sustainable Development. This four day forum was organized into six streams of which ‘cities and urbanisation’ was one, reflecting the increasing profile of cities and urbanisation as a critical issue area and as a site for addressing sustainability and the ten principles. The other five streams were: Energy and Climate; Agriculture and Food; Water and Ecosystems; Social Development; Economics and Finance of Sustainable Development. Nine workshops were run in the Cities and Urbanisation theme and drew presentations and projects from local and state governments, corporations, UN agencies and NGOs, individually but more commonly in collaboration with other sectors and players.

**Softpower**²

The concept of softpower advocates that governments can achieve the realisation of policy and compliance goals through means other than regulatory. Joseph Nye states that, softpower is the ability to obtain desired outcomes through attraction and persuasion, rather than the use force or by giving money³.

For example, a study by the Global Compact Office in ten countries — Germany, Canada, Denmark, France, Italy, Lithuania, the Netherlands, United Kingdom, Sweden and Switzerland — concluded that governments:

- recognize the importance of involving the business sector in global efforts in issues related to sustainable development.
- incentivize the business sector for voluntary instruments used and designed to increase their contributions to global public goods.
- employ a wide range of softpower strategies to involve the business sector in new levels of conscience and involvement, without limiting to the “regulation/voluntary” dichotomy.

In terms of the relationship between governments and Corporate Social Responsibility (CSR), it emphasized that in this field, the government’s role has been applying a free and non-legislative system, characterized as softpower. The arguments that support this voluntary approximation include:

- the difficulty of “one fits all” regulations for companies with different sizes, sectors and operation focus.
- the necessity to incentivize the business sector’s diverse and creative innovative initiatives.
- the importance of CSR and its recognition as an essential activity for business ownership and direction.

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² ‘Soft Power: Hard Evidence — How governments are using the art of encouragement and persuasion to advance corporate engagement on social and environmental issues’, Global Compact Office, 2006.

Ten government softpower measures were identified in the study:

1. **Establishment of adequate conditions**
   Government ensures that necessary conditions for discussion and development of CSR are met. This might include leadership from the government itself, as well as implementing corporate social responsibility on their own.

2. **Conscience creation**
   Governments actively pay attention to issues and general aspects of CSR, while stimulates public debate.

3. **Promotion**
   Governments invite businesses and communities to participate and support CSR specific activities and initiatives.

4. **Capacity building**
   Governments participate in capacity building for businesses, civil society and public actors that contribute to the understanding and commitment to CSR initiatives.

5. **Open call**
   Governments as agents of change and promote events and platforms that facilitate access to key businesses and civil society actors.

6. **Intervention**
   Governments play an active but neutral mediation role between stakeholders through the promotion of common ground and agreements.

7. **Research**
   Government contributes to filling in the gaps in knowledge and behaviour by managing research commissions focused on voluntary co-operative initiatives.

8. **Anchoring**
   While the majority of CSR initiatives are non-government in nature, there are various ways for governments to directly participate in the establishment and promotion of processes or institutions.

9. **Alliances**
   Governments have various options for participation — directly or indirectly — in corporate citizens’ initiatives; for example, the establishment of public-private alliances.

10. **Tool development**
    Recognizing that the business sector sometimes need practical assistance and the government can undertake actions that favour the development of CSR tools.

Hence, these and other possible softpower activities can be executed individually or in combination, bearing in mind the distinctions between them.
Relevance

As previously explained, the Global Compact is based on the necessity to align private organizations' policies and practices with universally accepted values and ethical goals. For governments, ensuring precise following of the Ten Principles acquires more relevance due to the two-fold function that public institutions carry out:

1. Social responsibility is a part of its nature and they are obliged to comply with the legal framework in which Nation State commitments are expressed. Additionally, in line with the Global Compact, they must address social, labour, environmental and corruption issues that arise from day-to-day operations, as well as the development of public policy within a determined territory.

2. As agents of the change as well as economic and social actors that increasingly gain more relevance in the development agenda, they carry out actions in providing information about the Principles and its benefits through their influence on society.

Therefore, it has been proven that including governments in this alliance can be extremely beneficial due to their broad reach. Governments have the privileged position of influence as a point of inspiration and encouragement for other organizations and institutions.

It is worth remembering Eleanor Roosevelt’s message, who, in her role as President of the Commission, insisted that the Universal Declaration of Human Rights is relevant only if these rights are valid in those “small spaces” (individual’s world), otherwise they would be meaningless. Mary Robinson, former UN Human Rights High Commissioner, added: “decentralization (now a reality in many parts of the world) requires solid local governments to ensure that human rights are fulfilled". These ideas coincide with the Global Compact’s Principles. Implementation in local public administrations, whose importance—in their roles as models or drivers—is reflected in their contributions to nations’ growth from their individual spheres.

If there is evidence or suspicion of transgression of the Ten Principles, it is valid to review the case and assign a panel comprised by three experts, not related to the government sector, and reserve the right for an audience for those involved. This procedure will determine whether the public entity remains and under which conditions, or discharged from the active participants' list.

Global Compact website

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4 For more information visit: www.centrorregionalpmal.org
5 Source (March 2008) visit: www.udhr.org/history/Biographies/bioer.htm
6 Mary Robinson, Keynote Address XCII ICMA Annual Conference, September 13, 2006, San Antonio Texas.
Objectives

According to the aforementioned twofold role of governments (institutions with social responsibility and economic and social agency in a local context) aligned with the Global Compact and their contribution to the solutions of the grand challenges of globalization, in this case from the local perspective, the objectives of their participation in the Global Compact are to:

- represent an example of social responsibility for businesses and organizations in the application of the Ten Principles.
- support efforts to enhance and spread CSR, as drivers, intermediaries and agents of change among different actors in society.
- link all society’s sectors — private, governmental and civil — with the aim of realizing the vision of a more sustainable, inclusive and humane global economy.

In relation to the local government’s twofold role and the expectations of these goals, it is worth mentioning:

- when governmental organizations focus on social responsibility, they should set an example in their operations. Consequently, it is expected that they review their employees in issues related to labour conditions (such as health, security, work environment, and others) and building capacity to adapt to change. In relation to citizens — as the sole provider of basic services and as a force of influence — in the same manner, demonstrate timely and active commitment to the environment, and issue clear and transparent reports.
- as agents and drivers of change through positive influence — softpower — governmental operations promote the Ten Principles among society, citizens, academia, suppliers and users, as well as among organizations that represent environmental or community interests.

Procedure

Public institutions in wishing to establish ties with the Global Compact’s Ten Principles, should consider:

1. endorsement of its participation in the Global Compact by the highest level of government (town council or municipality). For regional governments, participation requires endorsement through a signed document by the government’s highest elected level of authority and ratified by the highest representative of each participant area. Similarly, for decentralized public institutions, it requires explicit authorization from its highest government institution (Administrative Council or equivalent).

2. conducting the public entity’s affairs in line with the Global Compact’s principles and to be an example of good practice.

3. promoting active participation in the Global Compact among other actors such as businesses, academia and civil organizations.

4. open and timely promotion of the State, sub-national governments and public entities’ obligations with regards to the Global Compact’s Principles.
5. maintaining an active participation through, at a minimum:
   a) performing an assessment of the government’s operations regarding the Global
      Compact’s Principles within the first three months of formalizing their operation.
      The aim is to identify opportunity areas for the adequate implementation of
      the principles. The assessment will be part of the work plan in which the first
      Communication on Progress (COP) will be based, both documents are discussed
      below.
   b) establishing a detailed work plan that defines goals and the actions.
   c) annually reporting Communication on Progress (COP) that includes details of
      compliance in relation to the Principles. (Details of this document are specified in the
      Annex).
   d) facilitating Access to Information regarding acquired experiences and lessons learnt.
   e) participating in Global Compact’s activities.

6. complying with guidelines related to the use of “We Support the Global Compact” logo
   and refrain from the use of the Global Compact’s logo, which is for the United Nations’
   exclusive use.

**Recommendations for Implementation**

As a general view, commitments acquired by local governments when joining the Global
Compact, include:

- systematically reviewing regulations and keeping them updated.
- systematically reviewing internal processes and relationships with suppliers and
  citizens to identify conditions that are adverse to the Principles.
- establishing monitoring systems for programmes and actions that favour the Principles.
- establishing third party auditing systems to identify improvement opportunities for
  compliance.
- permanently promoting the Principles among government suppliers.
- carrying out internal and external continuous education programmes regarding
  the Global Compact Principles. As mentioned earlier, the universality of the Global
  Compact Principles requires an assessment of the entities involved, (in this case local
  governments), as well as their context, which will allow understanding, and with it
design and applying appropriate strategies of participation.

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7 Achievement is understood as the change of the state of things and situations, particularly in an improvement
   context. It is recommended that the work plan ensures that proposed actions are directed to offer concrete results
   that change the state of thing for society’s benefit according to the Global Compact, and avoid information
   regarding achievements and actions that are not clearly associated with it.

8 Policies regarding the use of the Global Compact’s name and logo can be accessed at:
3. Applying the Ten Principles

As mentioned above, the universality of the Global Compact Principles requires an assessment of the entities involved, (in this case local governments), as well as their context, which will allow understanding, and with it design of and applying appropriate strategies of participation.

As an example of the diverse forms of application, the Ten Principles are presented below through some examples of application, evidence and achievements. It is worth noting the importance of omitting actions required by law, except when they are necessary to achieve a substantial change in a situation that is adverse to one or several of the Global Compact Principles.

**Human Rights**

**Principle I: Support and respect the protection of internationally proclaimed human rights.**

It refers to the responsibility of all organizations to respect human rights — as a foundation for equity, freedom, justice and peace in the world — for their employees as well as in their external scope of influence.

**Expression of the Principle**

Local government respects and recognizes:

1. the right of citizens to personal and material wellbeing.
2. the right to access education and to participate in the cultural practices of the community in which the person lives.
3. the right to an adequate level of life in conditions of health and wellbeing, which include food, clothing, housing, social and security services.
4. the right to work, rest and recreation.
5. the right to apply established legal procedures.
6. all administrative processes that provide services to citizens are standardized and include all necessary requirements for service fulfilment, response times and mechanisms for clarification and reassessment.
7. the right to social security for every person.
8. and ensures the right of all people and community to live in a safe place or territory, free from risks and disasters; environmental, natural and health related.
Evidence

1. The local government has a monitoring system to ensure Human Rights are respected.

2. Promotion of Human Rights to citizens, including:
   a. explicit declaration of Human Rights and their relevance.
   b. programme of activities to encourage recreation.
   c. open calls for cultural activities and education contests.
   d. promoting the use of public parks and gardens, and supporting their maintenance.
   e. training programs regarding hygiene for outdoor food services.
   f. sporting programs for citizens.
   g. capacity building programs for small and medium companies (SMES) regarding workers’ health and wellbeing.
   h. community capacity building on civil rights, responsibilities and obligations.
   i. operating programs for vulnerable groups and reporting on outcomes.

3. Labour relations framework including:
   a. clear, transparent and equitable rules for hiring, promoting and firing employees.
   b. internal job regulations.

4. Options for employee development, including:
   a. continuous capacity building programmes for employees.
   b. cultural programmes and/or activities.
   c. sports programmes and/or activities.

5. Provision of workers’:
   a. health and security systems for employees and their families (the system can be internally run or run by a third party).
   b. pension system for workers, operated under properly established rules and with financial viability.

6. Continuous improvement programme for government processes in which citizens participate, which include:
   a. performance assessment system for each process.
   b. audit programme for main processes.

7. Each process that transforms into a public service display all information regarding requirements to access such services. Monitoring and incentive programme to enrol workers in social security systems.

8. Local government runs a protection programme for the unemployed population, which includes employment services, trades capacity building and training, and support coupons for the unemployed.

9. Local government encourage evaluation and continuous control of risks to population.


11. Local government respect and promote regulations related to transparency and reporting.
Examples of Achievement

1. Increase in the number of bilingual employees in public administrative offices continuously accessed by citizens that speak indigenous languages and the placement of visual signs.

2. Facilitate access for disabled people to public buildings.

3. Improve personnel mobility conditions, particularly police officers, according to regulations and security standards.

4. Reduction of labour accidents in high risk situations in government departments or in government responsibilities, and that all workers have social benefits granted by law, also reducing labour lawsuits.

5. Documented evidence of programmes that identify weak processes that affect the security of citizens’ heritage.

6. Periodic campaigns to disseminate citizens’ rights and that recognize branches which excelled at promoting and respecting citizens’ rights.

7. Elementary and secondary students receive annual lectures from local police about the role of the police and the respect of citizens’ rights.

8. Local government has a selection and recruitment system that ensures merit based recruitment and avoids discrimination.

9. All personnel that work for the local government have respective medical services and pension.

10. Sufficient communication channels to spread information regarding administrative services and processes in which the citizen is involved. Channels include websites and notice boards in public spaces.

11. Non-existence of solid complaints about non-payment for extra hours worked.

12. All public service offices have manuals or descriptive graphics about procedures, requirements and response times.

13. Facilities (storehouses, ongoing works, processes, administrative offices, and official vehicles) have basic security measures.

14. Local government run an information programme that promotes small and medium companies (SMEs) that are registered to a social security system. When possible, incentives are included, some of which could be fiscal.

15. Local government aims that the standard of living of recently unemployed persons does not decrease in a reasonable time period.

16. Decrease in unemployment and underemployment in the municipality.

17. Local government monitors the level of health services.

18. Local government incorporates an intersecting component of civil protection in all its programmes, through personnel capacity building so that they include labour reports and perceptions of risk, from employees and civil servants.

19. Decrease in diseases related to lack of hygiene in informal markets, food stalls and other public spaces.
Principle II: No abuse of human rights.

This principle focuses on the responsibility of the organization to avoid, in a strict and thorough manner, direct or indirect complicity, in the abuse of individuals’ human rights.

Expression of the Principle

1. Local government is responsible for mechanisms to promote and monitor human rights.
2. Attention to human rights abuse goes beyond civil rights; it is also about social rights, ethnic rights, etc.
3. Local government will combat ethnic, cultural and educational discrimination, within itself and in the population within its territory.

Evidence

1. Monitoring system to decrease the risk of abuse of human rights.
2. Monitoring system to identify situations or processes that can facilitate or result in abuse of human rights.
3. Environment of labour conditions includes:
   a. basic investment to maintain adequate labour conditions for all workers.
   b. adequate working shifts.
4. Promotion of human rights including:
   a. monitoring programme, follow up and/or channelling of abuse victims.
   b. regulations for taxi and public transport drivers in terms of long working hours.
   c. registry and training programme for private security auxiliary forces.
   d. dissemination of information, internally and for the community, and capacity building.
   e. guarantee programme for suppliers and their supply chain.
5. Compliance system for legal recourse including:
   a. monitoring instruments to ensure thorough respect for human rights policies.
   b. clear rules in corresponding manuals for civil servants actions in normal and emergency situations.
   c. clear rules and penalties relating to the actions of public forces in normal and emergency situations.
   d. capacity building programme for public forces.
   e. policies for the use of force and firearms defined in the UN Basic Principles on the Use of Force and Firearms and in the UN’s security forces code of conduct or its national equivalents.

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9 Adaptation of the principle for the government sector from its original definition “Do not complicit in human rights abuses”.

Examples of Achievement

1. Elimination of excessive working shifts, particularly, the 24 hours work with 24 hours of rest.
2. Minimal number of well-founded complaints or not proceeding complaints before the Human Rights Institution.
3. Establishment of confidential reporting mechanisms for human rights abuses with timely follow up.
4. There is a network of local organizations that monitors the respect for human rights by local authorities.
5. Local government reproduces and spreads literature about citizens’ human rights.
6. Questioning of people who are detained in custody is carried out in the presence of the citizen’s defense counsel.
7. Aims to establish working hours that allow for family time, without affecting the fulfillment of institutional objectives.
8. There is a special programme for the attention of vulnerable groups, (children in the streets, family violence, third age, indigenous groups), with the aim of strengthening their education and guaranteeing their protection.
9. There are local regulations that establish penalties for public servants that violate citizens’ rights.
10. There is a website that list public servants that are penalized for abusing citizens’ rights.
11. Facilitation for anonymous reporting of sexual abuse allegations, and all reported cases are investigated. This complaint mechanism also includes sexual harassment of employees and public servants.
12. Mechanisms that are effective, simple, with permanent dialogue between authority and citizens that allow identification of cases of rights abuses in the local territory.

Labour

Principle III: Uphold the freedom of association and the effective recognition of the right to collective bargaining.

This principle is based on the convention to establish and develop a dialogue between workers’ representatives with a focus to understand their problems and collaborate on their solutions, as a means to develop mutual trust.

Expression of the Principle

1. Local government respects, supports and promotes workers association as well as their right to negotiate collectively.
2. Local government do not intervene in workers decisions regarding affiliation affairs or in activities that imply the formation or election of representatives that defend their economic and social interests.
3. Local government recognizes collective negotiation as a voluntary process, used for defining demands and working conditions, as well as to regulate relationships between employers, workers and their organizations.
Evidence
1. Favourable conditions for the freedom of association:
   a. freedom to constitute trade unions.
   b. procedures to identify and deal with possible abuse in informal businesses.
2. Guarantees for the right to collective negotiation with organizations.
3. Promotion of the freedom of association and the right to collective negotiation.
   a. explicit statements.
   b. dissemination of information, internally, and for the community and capacity building.
   c. programme for suppliers and supply chain guarantee.

Examples of Achievement
1. Local government legally guarantees with explicit guidelines, the possible existence of two or more trade unions in government contracts.
2. Negotiation results and the derived collective contracts are accessible to all employees and the general public.
3. Non-existence of local worker strikes in the last five years due to the presence of effective communication channels between authorities and union workers.
4. Work contracts are the result of the balance between achieving better results and the improvement of working conditions.
5. Local authority organizes a “union workers’ week” that promotes knowledge about the importance and purpose of trade unions, and their contribution and obligations to the institution.

Principle IV: The elimination of all forms of forced and compulsory labour.
This principle focuses on the abolition of labour that is obtained through threat or punishment of a person, even if remuneration of compensation is given, and for which the affected person has not volunteered. The responsibility includes employees as well as suppliers’ employees.

Expression of the Principle
1. Local government favours human resource management systems that ensure adequate working conditions and avoid forced and compulsory labour.

Government-Society Alliances
2. Local government works with social and private sectors to promote the elimination of forced and compulsory working practices.

Evidence
1. Monitoring system to decrease the risk of forced and compulsory labour in the local government region.
2. Monitoring system to identify possible forced and compulsory labour situations among local workers or in the local government, particularly with suppliers.
3. Recruitment system that ensures that people are not forced to work.
4. Surveillance systems and focus on forced labour situations:
   a. procedures that report and punish labour abuses, (e.g.: charging for a position).
   b. institutional mechanisms for local employees to report confidentially.
   c. capacity building programmes about these issues are in all social programmes.
   d. policy review regarding loans to avoid labour subject to loan payments.
   e. guarantee programme for suppliers and supply chain.

Government-Society Alliances
5. Promotion towards the elimination of forced and compulsory labour:
   a. promotion of independent verification in the workplace.
   b. anonymous reporting programme for citizens, and follow up mechanisms.
   c. dissemination of community information and capacity building.
   d. open promotion to eliminate possible forced labour practices.

Examples of Achievement
1. Existence of explicit manuals and/or policies relating to forced and compulsory labour and for labour conditions regulations for employees.
2. Existence of new employee’s capacity building programme in relation to their responsibilities, obligations and labour rights.
3. Existence of a formal mechanism for employees to make complaints and suggestions — and a process to make decisions and actions with employees.
4. Human resource departments that ensure that employees have adequate equipment for the development of their activities and supervises their use.
5. Personnel registry is in the public domain.

Government-Society Alliances
7. Ongoing or already carried-out institutional communications campaigns with civil, private, academic organizations, and other public institutions.
**Principle V: Effectively abolishing child labour.**

This principle is based on the abolition of child labour. Child labour is a form of exploitation that is a violation of a human right, and it is recognized and defined by international instruments. It is the declared policy of the international community and of almost all governments to abolish child labour.

**Expression of the Principle**

1. Local government respects regulations regarding the minimum age stated in law and labour regulation; as well as international standards.
2. Local government favours conditions so that adult workers have access to safe employment, and adequate salaries and conditions, which prevents child labour.
3. Local government rejects labour exploitation, particularly child exploitation.
4. Local government promotes the elimination of risk situations that can lead to child labour.

**Evidence**

1. Monitoring system to prevent and inhibit child labour.
2. Recruitment systems that ensure the recruitment of people within the minimum working age established by national and international law.
3. Mechanisms that verify the age of internal employees, suppliers and other employers.
4. Programme that helps street children.
5. Promoting the abolition of child labour:
   a. dissemination and promotion of information to the community.
   b. guarantee programme for suppliers and the supply chain.

**Examples of Achievement**

1. Existence of explicit policies and guidelines in regulations and manuals indicating the prohibition of child labour in government, as well as in those of the actors related to government.
2. Existence of explicit policies and guidelines that prohibit relationships between government and social and economic actors that tolerate or encourage child labour.
3. Non-existence of evidenced complaints before the related human rights institution — against local government or in its territory — in relation to child labour.
4. Local government promotes that all minors of school age that live in its jurisdiction are enrolled and attend school.
5. There is an office responsible for children’s issues.
6. Local government develops a social policy and a local action programme in favour of children and childhood.
7. There is a network of childcare and infant development centres for children of young age, (childcare centres or centres from other institutions).
8. Local government has an assessment of neglected children that live in its territory. Additionally, there are programmes to identify risk cases or situations of child labour.
**Principle VI: The elimination of discrimination in respect of employment and occupation.**

This principle focuses on impeding any distinction, exclusion or preference that results in rejection or inequality in opportunities for employment or occupation applications, for any reason that does not strictly follow the inherent requirements of the job.

**Expression of the Principle**

1. Local government does not discriminate against its employees due to race, sex, age, marital status, religion, physical conditions, political and party preferences, etc.
2. Local government publicly and openly promotes a no discrimination policy.
3. Local government promotes gender equity for women before, during and after pregnancy.
4. Local government recognizes and respects migrant workers’ rights within its territory.

**Government-Society Alliances**

5. Local government establishes alliances with social and private sectors for eliminating any form of discrimination.

**Evidence**

2. Policies and mechanisms, (such as capacity building workshops and seminars), to ensure there is no labour discrimination among local employees.
3. There are ethics and/or conduct codes that promote equal opportunity in job promotions.
4. Promotion of the eradication of discrimination:
   a. promotion of independent verification in the workplace.
   b. guarantee programme for suppliers and the supply chain.
5. Programme for the protection of pregnant women, for dignified treatment and assurance of employment.
6. Programme for the protection of older men, for a dignified treatment and assurance of employment.
7. Education and professional development programme for employees.
8. Internal promotion programme with clear rules and transparent processes.
9. Clear rules for assigning salaries in based on employees’ merit and not based on political, religious, or any other kind of arrangements.
10. Programme for the promotion of information relating to non-discrimination of minority groups, local government’s educational projects and programmes.
11. Assurance that local government’s budget will have a vision of gender equality and non-discrimination.
12. Local government maintains an updated census of migrant workers that settle down in its territory.
13. Local government ensures dignified treatment by civil servants and government employees towards migrating employees.
14. Local government maintains direct aid and subsidies to migrant workers that require support within the municipal territory.
15. Local government monitors the treatment of migrant workers by the companies they contract.
Government-Society Alliances


17. Open promotion against discrimination.

18. Promotion of independent verification in the workplace, (companies, universities, commercial and civil organizations).

Examples of Achievement

1. Non-existence of complaints against local government before the body established by the State to supervise compliance of Human Rights in relation to labour discrimination.

2. There are local human resource management regulations, complemented by policies in the respective manuals that eliminate any type of discrimination (religious, political, gender, disability, and others).

3. There are mechanisms to identify and process discrimination complaints from applicants for jobs at local government.

4. There is a Human Resource department that manages, (in an autonomous way, based on established regulations), all personnel movements — income, formation, development, promotion, accidents, retirement — to prevent all types of discrimination or exclusion by sex, political preferences, religious, sexual, health, race, marital status, and other.

5. There is an institutional mechanism and guarantee of attention for complaints related to discrimination or exclusion.

6. Government’s employment application forms include a statement of no discrimination based on sex, religion, political preference or other.

7. Assurance of employment and dignified treatment for women during pregnancy and fairness in the amount of leave time required for maternity.

8. Local government ensures necessary conditions for educational development of employees at the workplace, as well as full literacy of employees and the general community of the municipality.

9. Local government reviews that the information contained in educational programmes respect and promote understanding, tolerance and friendship among groups that are different in terms of race, ethnicity, religion or political preference.

10. Resources are allocated for excluded minority groups in the programmes run by the municipality.

11. Indices on immigrant workers’ are maintained or decreased.

12. The amount of children from the families of migrant workers increase in school enrolments.

13. The number of permanent houses for migrant workers increases.

Government-Society Alliances

14. Programmes against discrimination in which the community and private sector participate.
Principle VII: Support a precautionary approach to environmental challenges.

This principle is based on prevention as a key element in local governmental strategy. This responsibility alludes to the fact that the adoption of preventive measures for the environment, is less costly and more profitable than potential damages.

Expression of the Principle

1. Local government has environmental conservation regulations and standards.
2. Local government has policies, strategies and actions to treat and re-use liquid and solid waste.

Government-Society Alliances

3. Local government works with social and private sectors to prevent environmental damage.

Evidence

1. Environmental damage monitoring and prevention system in the territory.
2. System for the prevention of pollution caused by rain water runoff.
3. Compulsory environmental impact assessment required for every public development.
4. Regulations to eliminate high polluting tyre and toxic fuel burning.
5. Guidelines for mitigating and controlling noise pollution and vibrations.
6. Minimum requirements for noise mitigation for construction and manufacturing companies.
7. Environmental regulations for government suppliers.
8. Additional regulations to regulate business that handle oils, tyres and batteries.
9. Programmes and/or fiscal incentives for companies that recycle plastic (PET), carton, junk, etc.
10. Monitoring regulations of services such as: solid waste disposition, waste water treatment and adequate water treatment for human consumption.
11. Strict application of local regulations relative to the protection of the environment, water and protected zones.
12. Reporting mechanisms for the abuse of national and local regulations related to the protection of the environment, water and protected zones.
13. Vehicle gas emission pollution verification.

Government-Society Alliances

14. Promotion of re-use, recycle and reduction of water and other products that can be reused (oil, solvents, paper).
15. Publicity campaign in alliance with social sectors on the topic of the environment.
Examples of Achievement

1. Air quality maintenance and monitoring actions, conducted by an appropriate department or external organization, to maintain adequate levels of air quality for citizens all year round.

2. Non-existence of complaints related to incorrect disposal of polluting residues in local territory. If there were complaints, they were processed following formal guidelines and were documented adequately.

3. Non-existence of complaints related to an excess in noise caused by mechanic workshops, businesses and road traffic. If they existed, they were processed following formal guidelines and were documented adequately.

4. Solid and liquid residues recycling goals are established and met.

5. Local government promotes the development of low emissions public transport and develops programmes for its greater use.

6. Attractive walking and cycling pathways are created to substitute the use of vehicles.

7. Promotion of actions that respect and favour the improvement of the environment.

Government-Society Alliances

8. All schools, housing, commercial centres and public offices have programmes to classify solid waste, (organic and inorganic).

9. All elementary and secondary schools compost organic waste and create green areas.

10. There are energy saving technology substitution campaigns, (lighting, refrigerators, heating, transport).

11. Commercial centres offer the option of packaging with paper or carton bags or in the consumer’s own bags, for reducing the use of plastic bags.

Photograph by Gerardo Borbolla, 2012
**Principle VIII: Undertake initiatives to promote greater environmental responsibility.**

This principle focuses on applying internal and external administrative, operational and production practices, that guarantee the protection of the environment, as well as requiring suppliers adhere to environmentally friendly practices.

**Expression of the Principle**
1. Local government has policies and strategies for the protection of the environment.
2. Local government designs and runs community programmes for environmental conservation.

**Government-Society Alliances**
3. Government establishes alliances with social and private sectors for implementing actions of major environmental responsibility.

**Evidence**
1. Monitoring systems for natural resource conservation within the territory.
2. Reduction of energy and fuel consumption, and greenhouse gas emissions.
3. Improvement of public transport systems.
5. Accreditation for complying with regulations.

**Government-Society Alliances**
6. Encouragement of environmental responsibility:
   a. dissemination of information, internally and in the community and capacity building.
   b. incentives for promoting environmental protection amongst the community.
   c. certification programmes for compliance with environmental regulations.
7. Environmental monitoring system.
8. Hazardous waste control system for municipal water.

**Examples of Achievement**
1. Demonstration, through indicators, of reduction in the overuse of aquifers and solid waste generation.
2. Public works that allow rain water filtration to local aquifers.
3. Cleaning and maintenance of creeks that run through the community.
4. Visible reduction in the electricity expenses of local government.
5. Appropriate certification for adequate solid waste disposal.
6. All government’s vehicles have pollution verification.
7. All governmental departments promote policies of zero use of paper for internal communications, substituted by electronic technologies.
8. Creation of public transport system for local governmental employees.
9. Review of road and traffic light systems to avoid traffic congestion.
10. Flexibility of public works to avoid inconvenience to commuters and vehicle traffic as much as possible.
11. Placement of bins for used batteries in various locations and adequate management of batteries, rechargeable batteries and those that are highly pollutant.

12. Government suppliers demonstrate respect for the environment by having a no-fines history from agencies that regulate the environment.

13. Elimination of the presence of hazardous elements in the municipality’s water.

**Government-Society Alliances**

14. There are public-private alliances for constructing parking lots in problematic zones.

15. Programmes are implemented, in partnership with business, for the collection of electronic devices, refrigerators, stoves and other domestic equipment not in use.

16. Programmes are implemented in partnership with business for the collection of used tyres.

17. Accords are established between governments, public and private entities to promote and establish non-polluting public transport.

18. Promotion to avoid acquiring disposable goods by favouring biodegradable products, and the use of recycled goods in programmes, services and government projects (e.g. waste bins, public benches, fencing, furniture and office stationery).

**Principle IX: Encourage the development and use of environmentally friendly technologies.**

This principle focuses on favouring technologies that are more beneficial to the environment instead of on the product itself. This application, as a long term strategy, encourages the operation and research areas of an organization. It includes decreasing the use of finite resources and the efficient use of existing, renewable resources as well as hard and soft technologies.

**Expression of the Principle**

1. Local government procures and promotes the use of technologies that respect the environment.

**Government-Society Alliances**

2. Government establishes alliances with social and private sectors to promote and implement actions that respect the environment.

**Evidence**

1. Monitoring systems for the use of environmentally friendly technologies.

2. Programme for formal fiscal incentives to companies that operate with alternative energy.

3. Use of alternative energy in government offices.

4. Adequate use of resources (e.g. government’s vehicles use clean energy and are constantly verified to reduce polluting gas emissions).

5. Use of waste to generate energy.

6. Internet based public services that avoid the use of motor vehicles to access government offices. Fiscal incentives to public transport companies that follow international regulations for polluting emissions.

7. Guarantee programme for suppliers and their supply chain.
Government-Society Alliances

8. Ongoing programmes that promote environmentally friendly technologies among the private and social sectors.

9. Capacity building programme for the adequate use of clean technologies.

10. Encouragement of environment protection, with recognition given to:
    a. companies that recycle water and/or use solar or wind power.
    b. small and medium businesses that use energy saving or low emissions products.
    c. education programmes for the development of environmentally friendly technologies.

Examples of Achievement

1. Guidelines that oblige construction companies to install water efficient toilets in new constructions and residential developments.

2. Substitution programme for high water consumption toilets.

3. Promotion of water efficient shower heads that reduce water consumption.

4. Participation of businesses in a fiscal incentives programme for the use of alternative energies such as solar or wind energy.

5. Electricity generation through methane gas produced in sanitary landfill, (if applicable).

6. Fiscal incentive programme for companies and businesses to encourage the shared use of private vehicles or motorcycles.

7. Public investment for the construction of alternative modes of transportation such as bicycle paths and rapid transit buses.

8. There is a department responsible for monitoring environment conditions and impacts such as polluting emissions, as well as penalizing polluters and praising clean companies.

9. Local administration facilities use alternative or non-polluting technologies.

10. Local government promotes the acquisition of buses with low emissions motors for public transport.

Government-Society Alliances

11. Science week is encouraged in all grades of schools within the territory and prizes are awarded for the best idea for use of clean technology, with support or sponsorship from local companies.

12. Inter-sectoral recognition given to innovative companies that use environmentally friendly technologies.

13. There is a Citizens Council formed by members of different social and private sectors with the aim of promoting, developing and carrying out environmentally friendly ideas and initiatives.
Principle X: Anti-Corruption

This principle refers to the elimination of bribery, extortion and any form of corruption oriented to obtaining economic and non-economic benefits. It includes the thorough practice of internal and external transparency; and requiring the same of suppliers.

Expression of the Principle
1. Local government reports and performs in a transparent way.
2. Local government has programmes for preventing and fighting corruption.
3. Local government has information systems that are available to all citizens.
4. Local government has penalty mechanisms for conduct that corrupts public service.

Government-Society Alliances
5. Local government establishes alliances with academic, social and private sectors and other public entities to identify and reduce cases of corruption.

Evidence
1. Process monitoring system to reduce the risk of corruption in local government.
2. Adequate and updated regulatory framework according to provincial/regional and/or national government provisions.
3. Policies for local employees linked to accepting gifts, participation in politics, and/or possible conflict of interest.
4. Guidelines for the conduct of government and its public servants; communication to personnel and suppliers stating the position on bribery and corruption.
5. Regulations for the sole use of the organisation’s logo and emblem and the prohibition of casual use of official images.
6. Regulation for expenses related to travel and representing the organisation.
7. Guidelines and regulations related to purchasing and procurement.
8. Regulations for transparency and access to public information.
9. Codes of conduct and/or ethics codes for authorities, employees and public servants.
10. Publicly scrutinised process of delivery receipts, with emphasis on identifying the state of each ongoing area, programme and project, lessons learnt and challenges to attend to.
11. Publication of indicators related to local government administration.
12. Public sessions of commissions or committees responsible of granting permits or passing judgement on permits or changes to land use.
13. Publication of the meeting agendas of local government’s town councils, town halls, municipal council, municipal corporation or decision making bodies and rules to make them accessible to any citizen.
14. Guarantee of citizens’ rights in favour of transparency, (for example, orderly participation in town council meetings or citizens council meetings).
15. Transparency in all official proceedings and dissemination of information about respective procedures and costs.
16. Practices to strengthen transparency and reporting systems (for example, public employees’ capacity building workshops and seminars about the topic).

17. Transparent system for allocating elected public servants’ salaries to avoid discretionary self-payment.

18. Schemes and mechanisms to address conflict of interest.

19. Mechanisms for reporting corruption and abuse that do not impact on the informer.

Examples of Achievement

1. Local government is recognized by third parties for its performance in reporting and for its transparency. For example, successful results of evaluations carried out by the corresponding government or public institutions, related to compliance, with transparency obligations dictated by law or citizen organisations.

2. Non-existence of complaints before the corresponding government or public institutions, for not delivering information.

3. Clear rules that reduce the possibility of public servants accepting gifts or invitations, (including any kind of travel) from current or potential suppliers.

4. Processing and resolving complaints related to corruption; comparison of this result to previous years.

5. No complaints from suppliers relating to tender and procurement.

6. Formalized and ongoing savings programme.

7. There is a council or decision making body formed, comprised primarily of citizens, to analyse indicators of government performance on this topic.

8. Public sessions, of at least the treasury commission/ town council/ municipal council, formalized through guidelines.

9. Internet based government procurement system.

10. Citizens’ commission that monitors the ethics of government’s procurement processes.


13. Local government has guidelines and trains public servants, (including police and traffic officers) to identify and avoid bribery and extortion in their everyday functions in local administration.

14. There are confidential channels to present complaints, seek advice or report abuse, without fear of reprisal.

15. All finance transactions are registered in accounting books that are available for inspection.

16. There are no unregistered transactions or secret accounts, nor issued documents that are not properly registered.

17. There are independent audit systems that aim to identify transactions that transgress Conduct Rules.

18. Local government allocates resources and supports the department responsible of applying anti-corruption policies.

19. Publication of public servants and employees reported or fired for acts of corruption.
4. Implementation Methodology

The proposed methodology was developed with the aim of providing guidelines for local (or sub-national) governments, municipals, state, regional and public entities in general. In a broader sense, the Ten Principles are a National State’s responsibility (considering this as the national, federal or central power entity), mainly for countries that support the conventions on which the Global Compact is based. However, local authorities are strategic actors as they constitute a direct example for their communities and play a key role in establishing platforms that promote practices that are relevant to the community; for which, their involvement is desired.

Understanding the Global Compact’s Principles and its implications is necessary to apply this guide, as well as familiarizing the support resources for implementing and promoting\(^{10}\), the implementation, administration and reporting schemes.

In addition, for this tool (based on "A Guide for Integrating Human Rights into Business Management by United Nations Global Compact and the Office of the High Commissioner for Human Rights") to become a platform for generating the Principle’s good practices, it is necessary to consider government’s duality as aforementioned, as well as:

- being congruent with International Conventions that support the Global Compact’s Ten Principles.
- being relevant for the regulatory framework in its context and sphere of influence, and for the local government’s culture.
- being precise while respecting, protecting and promoting the Principles and avoiding noncompliance.
- considering that actions and programmes are extensive to all government areas.

For an adequate comprehension, this guide leads the user through an implementation process comprised by two basic schemes, which are:

a. promotion actions.

b. reporting actions and results, which assumes that committed local governments are explicit promoters of the Global Compact and have the responsibility to lead in the implementation of the Principles. A model of the implementation process is presented in Figure 1.

\(^{10}\) Accessible at www.centroregionalpmal.org


**Promotion Actions**

1. **Global Compact Principles in Strategies and Tactics**
   
   1.1. *Establish the Global Compact’s Principles as Government Strategy*

   Participant local governments, apart from its legal obligations, have an advantageous position that at the same time entails responsibility. This establishes that by adhering to the Global Compact, they commit to explicitly support this initiative through example and to ensure that the Ten Principles are considered in all government actions. It is advisable to assign an executive who is responsible for supervising the upholding of commitments to the Global Compact.

   1.2. *Implement a Programme to Increase Awareness About the Ten Principles*

   It is recommended to develop a programme to increase awareness about the initiative and ensure there is understanding of how to facilitate compliance of the Global Compact, as well as establish tasks for participant local governments, public servants and employees.

   1.3. *Review the Current State of Compliance to Identify Opportunity Areas*

   Even if some items from the Global Compact can be considered as achieved, it is necessary to monitor the effectiveness of compliance. For which, it is recommended to review operation conditions and public policies related to the Ten Principles. A central element of the analysis is to maintain the perspective of citizens and their immediate environment.
While identifying risks, noncompliance and opportunities for improvement, an analysis according to the Principles and the potential issues, can be undertaken. Some examples include:

<table>
<thead>
<tr>
<th>Global Compact Areas</th>
<th>Sub-Topics</th>
<th>Dilemmas</th>
</tr>
</thead>
<tbody>
<tr>
<td>Human Rights</td>
<td>Public Security</td>
<td>How to address the need to maintain public order when a protest turns violent?</td>
</tr>
<tr>
<td>Labour Conditions</td>
<td>Rest and Recreation</td>
<td>How to balance the need to attend to citizens and the need for public service employees’ rest and recreation, when there are severe budget limitations to provide the number and quality of human resources required?</td>
</tr>
<tr>
<td>Labour Conditions</td>
<td>Discrimination</td>
<td>How to ensure that people with disabilities or different political affiliations have the same opportunities to work for the local government?</td>
</tr>
<tr>
<td>Environment</td>
<td>Environmental Pollution</td>
<td>How to address the need to have an adequate waste treatment agreement and the huge demand for quality basic services, with limited budgets and political pressures that could translate a technical issue into a political issue?</td>
</tr>
<tr>
<td>Anti-Corruption</td>
<td>Corruption</td>
<td>How to process a conflict of interest when there are no mechanisms or frameworks for it? Do we “hide” the issue or aim for better solutions through society’s participation?</td>
</tr>
</tbody>
</table>

It is recommended to envisage opportunity areas from three relevant conditions that allow for actions’ support and relevance:

a) attention to legal conditions (process linked to documentation and institutionalism).
b) organizational support (personnel, processes and infrastructure).
c) promotion of principles in general and in particular (suppliers and service users).
1.4. Prioritize Actions

The next step is to identify priority actions that can be classified as “required”, “expected” or “desirable”, and following these parameters categorize risks, noncompliance and identified opportunities.

A description of suggested metrics follows:

- Required: the action that has to be executed for legal framework compliance or that is demanded by society. It includes situations in which other public or private entities cannot act.

- Expected: the action that has to be assumed to comply with expectations and responsibilities of a public entity. It can vary according to the type of government entity.

- Desirable: the action that has to be undertaken to demonstrate leadership and aims for social wellbeing.

1.5. Develop a Strategy Based on Priorities

According to the identified priorities, a vision is defined and a strategy developed to achieve it. For many organizations, this process assumes an analysis of integrating each Principle in administration and operation schemes from which tasks are derived. Additionally, local governments can include them in the context of public policies that they are responsible for. It is necessary that at the end of the analysis and defining tasks, there is a correspondence with the assigned budget.

1.6. Establish Responsibilities

The Global Compact’s success in local governments resides in the commitment and political will of public servants who have to demonstrate leadership by integrating the Principles in their operations and public policies. That is why assigning a responsible public servant with decision making power and authority to influence in different government areas is crucial for achieving positive results in a reasonable period of time.

2. Global Compact Principles in Processes and Procedures

2.1. Consider All Local Government’s Aspects and Reach

Defining and documenting processes and procedures are essential for developing the Principles, since from it performance indicators, desired outcomes and impact metrics are derived. To achieve this link, it is important to establish a relationship with the Principles from the start and not lose direction.

2.2. Establish Documented Procedures to Identify Change or New Challenges, Noncompliance and Opportunities Related to the Principles

To ensure the quality of implementing the principles, a periodic review of all actions and programmes related to them is desired as an integral part of administration tasks. This review requires a regulatory system, as a code of conduct that produces a list of internal operation monitoring or guides for suppliers derived from agreements. These tools have proven to be effective mechanisms to reduce or eliminate risks and noncompliance, and to maximize opportunities.
2.3. **Learn from Other Actors’ Initiatives**

The greater the number of local governments committed to be examples of the application of the Ten Principles, the greater the number of documented experiences within the double framework. Therefore it is crucial to maintain consistent contact with: your country’s Global Compact Focal Point; or the Regional Centre for the support of the Global Compact in Latin America and the Caribbean; or the Global Compact Cities Programme, to access and learn from practices used by other local governments.

2.4. **Expect the unexpected: How to React When Procedures Are Not Enough?**

Local governments have to constantly adapt to society’s demands, which frequently cause unexpected situations that impact on compliance with the Principles. With the aim of being prepared for contingencies and having adequate flexibility, it is recommended to ensure:

- people responsible have adequate knowledge and resources (material and mainly human) to act in a professional and suitable manner.
- well defined lines of authority with concrete responsibilities.
- immediate documentation of updates and adjustments to regulations, procedures and processes.
- reporting and transparency as principles to face contingencies and update the legal framework.

3. **Global Compact Principles in Communications**

3.1. **Share the Importance of the Principles More Broadly**

Communication is a crucial part of understanding and achieving the reach and benefits that implementing the Global Compact entails. That is why it is essential to document policies, processes and procedures relative to the Principles’ practice, and communicate them to employees, public servants and the broader community. It is worth noting that it is vital to observe an adequate balance between freedom of speech and the protection of personal or private information.

3.2. **Integrate the Principles into Internal Communication**

For facilitating Global Compact compliance and enhancing its impact, it is recommended that communication with employees and public servants are framed by the Principles. Internal printed or electronic bulletins represent effective communication channels in which it is possible to integrate the Global Compact framework.

3.3. **Integrate the Principles into External Communication**

To ensure the legitimacy of government communication, a transparency framework can be established in all local governmental actions and processes. The use of official websites, electronic bulletins, official municipal/state newspapers or gazette are all recommended channels. This measure also contributes to the role of promoting universal principles ratified by national governments that make the Global Compact an excellent opportunity to strengthen links with society, as long as information is supported by actions.
4. **Global Compact Principles in Government and Society Capacity Building**

4.1. *Identify Key Groups for Capacity Building*

The organization’s personnel are the main key for adequately and successfully applying the Principles. In this sense, the Principles, being universal, have to been known by all employees and public servants, and it is necessary to identify suitable people or particular groups to deepen the understanding of the Global Compact and its implications, through capacity building. For example, those responsible for public security can do their job better if they have a better understanding of aspects related to Human Rights Principles.

In addition, local governments, in their role as agents of change for implementing the Principles in all possible society organizations, have the responsibility to facilitate community capacity building. With this purpose, it is necessary to establish mechanisms to identify groups that require capacity building and enhance its application.

4.2. *Constantly Review Diverse Capacity Building Materials*

It is recommended to continuously seek new capacity building materials and/or update current ones. The Global Compact constantly offers new relevant resources, such as materials and training experiences\(^\text{11}\).

4.3. *Select, Organize and Evaluate Capacity Building Programmes*

To guarantee a continuous improvement mechanism, capacity building requires an administration system that includes selection and updating of material, constant preparation of trainers, a registry for training provided to each employee and government officer. It is essential to evaluate such programmes.

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\(^{11}\) Accessible at: www.pactomundialmexico.org.mx

It is recommended that authorities define responsibilities of those involved and provide the necessary resources for the instrumentation process.
Reporting Actions and Results

5. Global Compact Principles in Impact Intervention and State’s Compliance Evaluation

5.1. Define Performance Indicators in All Local Governmental Functions

In order to have concrete knowledge of the advances on any action and carry out a process assessment, it is necessary to establish a performance indicators system. It is essential that indicators are designed by competent people, who will use adequate methodologies for its development and execution.

5.2. Evaluate the State’s Compliance of the Principles

Given the dynamic functions of local government, it is advisable to establish a periodic review of results and processes according to their pertinence and relevance, and to ensure its application in all relevant areas.

5.3. Analyse Compliance Evaluation Results and Modify Strategy

With results from indicators, it is pertinent to identify the cause of problems, and from there, define necessary corrective actions, as well as modifying strategies, tactics and policies.

6. Global Compact Principles in Local Government Reports

6.1. Report Impacts from the Principles

A substantial part of the Global Compact is the exchange of experiences, thus, reporting its advances, lessons learnt and challenges faced, is essential for this initiative. It is suggested that such documents include examples from other participants and, if possible, an indicators impact system (further than immediate effects, this is, effects in the medium to long term), to have a measurement of achievements given transparency of the government’s operation framework is fundamental to the commitment.

6.2. Consider the Different Audiences for the Communication of Progress (COP) and Communication on Engagement (COE)

When designing communication schemes, it is important to identify different audiences to ensure shared understanding of information.

6.3. Refer to the Global Compact’s Official Website that Contains COP and COE Reports and Activities Related to Applying the Principles12

One of the commitments taken up by Global Compact participants is to inform annually on actions and advances related to the Ten Principles. As part of the report, it is necessary to include written commitment from public servants in charge, as well as a detailed description of actions and practices, and if possible, of the performance and impact indicators that reflect changes achieved by applying the Principles. To facilitate organizational communication with all parties, it is preferable to do so via the internet, for which it is requested to link the government’s official website to the Local Network and Global Compact sites.

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12 Participants should upload the report to the Global Compact website: www.unglobalcompact.org
Annexure 1

Communication on Progress Elements

Communication of Progress (COP) constitutes a central element for the organization’s internal and external communications participating with the Global Compact. COP has to contain a clear and precise message about the relevance of the Global Compact’s Principles for the organization (in this case, the local government), application actions and quantitative measurement of the effects.

Thereafter, COP has to contain detailed and concise models and descriptions. Contents should go beyond vague sentences or trivial descriptions and avoid including previous programmes, except if they consider new or relevant elements. Further, a government administration report is not expected, but a communication about the application of the Principles in a specific period of time. In this sense, it is recommended to follow this model:

1. **Describe detailed actions for each Principle’s compliance; for which the following should be defined:**
   a. Current state or situation.
   b. Desired state.
   c. Compliance level according to impact and performance indicators, and advances within the informing period — it is relevant to take into account all related institutional practice frameworks (documentation and regulations’ reference about programmes, projects and activities), including organizational elements (people, processes, infrastructure), as well as related to general promotion (internal, suppliers and general public).
   d. Identify in order of priority: risks, noncompliance and opportunities pending (to be resolved in the next period) responsible area and assigned resources.

2. **Describe the programmes’ monitoring systems associated with the Principles, internal and external compliance review systems and impact:**
   a. Describe promotion activities and results according to Figure 1.

   It is recommended that descriptive information is brief and precise; documentation of the practices should not exceed one page per practice. In addition, it is suggested to develop the document according to the following considerations:
   - Commitment: formal acknowledgement.
   - System: from the established policy to desired outcomes.
   - Actions: precise and brief.
   - Performance indicators: identify advances and achievements (change to favourable conditions).

   Practice examples are presented for each of the Principles, which can be considered as a reference and model for a COP format.
Human Rights

Principle I: Support and respect the protection of internationally proclaimed human rights.

Background:
Local governments usually use pickup style/utility motor vehicles for the police, due to their durability and inadequate roads.

The use of these vehicles represents a labour risk for police agents since they often (in some cases by their own decision) ride in the outer tray of the vehicle with the body partially exposed. Likewise, it represents a risk for detained citizens that are handcuffed and confined to the outer tray. Although this vehicle has some sort of protection bars, detainees are handcuffed to the bars or their support. These conditions violate the detainee’s human rights.

Example of Practice:
Choose pickup vehicles with double cabins, in which the back seat can be designed for police agents or detainees. These vehicles also bring benefits in terms of optimizing police efficient mobility. In some cases, it is sufficient to equip the outer tray with security belts and protection bars.

Principle II: To not be complicit in human rights abuses.

Background:
In some Latin American countries, police forces and some medical centres have “24 for 24 hours” or “12 for 12 hours” labour shifts. These shifts consist in 24 or 12 hours continuous work hours for 24 or 12 continuous rest hours. In many cases, these shifts exceed 48 hours in seven days established as work rules or conditions. Complying with these long work shifts, besides putting in risk the compliance of labour regulations, reduces the personnel’s response capacity to stressful situations and therefore risk the personnel’s and citizen’s integrity.

Example of Practice:
Through internal work regulations, implement rules related to labour conditions and workers’ rights, specifically in terms of work shifts and benefits. Establish policies that stipulate the respect for and maintenance of working shifts no longer than 48 hours per week. For police force and medical centres establish “12 for 24” or “8 for 16” shifts.
Labour

Principle III: Uphold the freedom of association and the effective recognition of the right to collective bargaining.

Background:
 Registers show that some local governments favor the existence of only one union with the aim of facilitating negotiations. This action can encourage a monopoly by the current union, under the supposition of protecting workers’ rights, which inhibits or limits initiatives to set up an additional union, as well as incentivize local government’s complicity.

Example of Practice:
 Respect and attend to, within the internal labour framework regulations and under the corresponding labour laws, initiatives to set up new unions among workers. Union plurality can contribute to increasing the transparency or government - employee relationships, as well as promote a better labour environment reflected in increased public service productivity and efficiency.

Principle IV: Elimination of all forms of forced and compulsory labour.

Background:
 There is a perception that in some public entities an economic contribution (“pago de derecho”) is charged to obtain a job position, as a managerial or operational employee. Also, to maintain some special positions a regular payment is “demanded”.

Example of Practice:
 Define precise policies that define irregular payments to obtain or maintain a job position as “not tolerated”. Policies denounce the practice and support monitoring systems to ensure the elimination and avoid the re-appearance of this practice.
Principle V: The effective abolition of child labour.

**Background:**

The presence of homeless children is a reality in various cities, from which can arise the exploitation of children; a phenomenon that in some cases, is not dealt with by the government. This is often due to the lack of resources.

**Example of Practice:**

Develop programmes to reduce the presence of children working in the streets, especially when it is related to child exploitation and not to family needs. This programme can be carried out jointly with civil society and non-governmental organizations, and sponsored by local businesses.

Principle VI: The elimination of discrimination in respect of employment and occupation.

**Background:**

Traditionally, recruitment processes for new employees follow a mechanism in which applicants’ general and specific information, such as marital status, age, date of birth, gender, number of children, and even religious or political party preferences is required. Also, it is common to include that information as a job requirement.

**Example of Practice:**

Establish coherent policies for job description profiles that indicate the irrelevance of this type of information in the recruitment process for government positions as they encourage discrimination. Among the information considered irrelevant for almost all positions: gender, marital status, age, religious and political affiliation.
Environment

Principle VII: Support a precautionary approach to environmental challenges.

**Background:**

The lack of options and environment conservation culture result in a significant amount of household hazardous waste being disposed of inadequately. The impact of constant accumulation of those materials, even if reduced, is significant, independent of the correct operation of the confinement site. Hazardous waste management requires final disposal under more strict containment regulations than those established.

**Example of Practice:**

Sponsor a programme for hazardous waste management, predominantly for the disposal of single use and rechargeable batteries (included those used in mobile/cellular phones and electronic games). Local governments would absorb costs related to materials' final disposal and transfer to authorized confinement sites. Establish agreements with business for the collection of this source of increasingly accumulated pollution (‘contamination workers’).

Principle VIII: Undertake initiatives to promote greater environmental responsibility.

**Background:**

Re-use of materials that can be transformed for the second time or more is still an environmental challenge. Recycling implies exploiting natural resources or not renewables, through which, the lifetime of sanitary landfills is prolonged and avoids that these materials become considerable polluting risks when they are burnt or confined to inappropriate sites. Collection, management and commercialization of recyclable materials represent significant barriers in themselves, due to the minimal economic compensation from the operation and the high specialization that is required for its management.

**Example of Practice:**

Establish a local/municipal programme to collect recyclable materials and exchange them for basic household groceries, based on a materials tabulator (quantity based). Encourage government offices to provide for recyclable materials. Therefore, establishing a link between companies that require waste materials for their production processes and waste producing agents.

Background:

The use of energy for public lighting represents a significant expenditure for local governments, and in practice, this opportunity area is poorly attended. A significant amount of electricity is generated in power stations that consume non-renewable resources, and often, the facilities run without complying with regulations, for which large amounts of pollutants are released to the environment. In this sense, it is important to reduce energy consumption, which can also represent economic savings.

Example of Practice:

Use energy saving lamps for public lighting and energy saving lighting systems in local governmental public buildings and sites. Additionally, use emitted gases from solid waste confinements to generate electric energy, thus reducing polluting emissions to the environment.
Anti-Corruption

Principle X: Work against corruption in all its forms, including extortion and bribery.

Background:
Regulations and ethic codes do not allow public servants to accept gifts that compromise their decisions, and specify sanctions for noncompliance. However, its delineation is often broad and ambiguous, which allows for different interpretations. Additionally, enforcement is complex and slow, for which there are limited repercussions and the consequences do not exceed a temporary suspension from a public position.

Example of Practice:
Establish specific guidelines for public servants and employees in relation to accepting gifts. Such guidelines clearly state that they can only accept promotional material, and fix a maximum value for what is considered ‘promotional material’. In the case of noncompliance there are clearly defined, well established penalties.
Communicating on Engagement

In 2013, the United Nations Global Compact introduced Communication on Engagement (COE) for non-business participants, such as cities. This reporting mechanism aims to provide non-business participants with an opportunity to engage more actively in the initiative and to better connect with business participants.

The COE is a tool for participants to express their commitment and communicate the ways they advance the Global Compact. In the spirit of continuous improvement and engagement, non-business participants will be required to disclose specific activities in support of the initiative to stakeholders every two years.

The COE is a disclosure of specific activities that a participant takes in support of the Global Compact and its results. It is a public document uploaded to the Global Compact website. When possible, the COE must be fully integrated in the organization’s main medium of stakeholder communication, such as an annual report.

Policy

Participants in the Global Compact will be required to communicate to stakeholders on their activities in support of the initiative within two years of joining. Failure to submit a COE every two years will result in a change of participant status to “non-communicating”. Organizations that do not submit a COE within one year of becoming “non-communicating” will be expelled from the initiative.

The COE must include the following elements:

• A statement by the chief executive or equivalent, expressing continued support for the Global Compact and renewing the participant’s ongoing commitment to the initiative.
• A description of the practical actions that the organization has taken. Practical actions should relate to one or more of the specific activities suggested to each type of non-business participant in support of the initiative.
• Measurement of outcomes (i.e. qualitative or quantitative measurements of results).

Suggested Activities

There are various activities that demonstrate cities engagement with the Global Compact, for example:

1. Implement and promote the ten principles in the management and administration of the city or region.
2. Support businesses and other stakeholders in establishing or implementing sustainability initiatives that beneficial to the city, region and/or greater community.
3. Have a dedicated sustainability plan or a holistic city/regional plan.
4. Acknowledge its participation in the Global Compact publicly and promote the initiative and the ten principles within its sphere of influence.
5. Engage in Global Compact Local Network activities.
6. Utilize assessment tools and methodologies developed by the Global Compact Cities Programme, and share knowledge and innovations developed with the use of these tools.
7. Engage at the Leader level of the Global Compact Cities Programme.
8. Engage at the Innovating Level — undertaking a multi-year project to address a complex or seemingly intractable issue(s) within the city or region, which is supported by leaders across business, civil society and Government.
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