



Transparency and Good Governance at the Municipal Level

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Prepared for:

Infrastructure Canada

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Transparency and Good Governance and the Municipal Level

In recent years, Transparency has assumed prominence in improving governance, primarily through the increased attention given to increasing citizen participation, enhancing civil society engagement in the public arena, fostering closer accountability, as well as in combating corruption. Transparency has been recognized as a means of ensuring an informed citizenry and for pursuing a collective vision. It exposes the public space thus allowing every stakeholder to remain aware of achievements and builds community by enabling every member to identify with processes, results and outcomes. Indeed, through transparency the boundaries of responsibility and actions are rendered visible thus easily determining the locus of accountability. In addition, transparency can limit incidences of corruption which tend to thrive in closed systems that are ridden with ambiguity and discretionary behaviour. Transparency is therefore a central pillar of good government.

Traditionally, transparency, both as a mechanism to improve governance and to combat corruption, has been focused at the national level. This is understandable because corruption (the most conspicuous consequence of lack of transparency) is often most visible at the national level, and because national level institutions have been the primary entry point for tackling corruption. More recently, however, there has been a shift towards enhancing transparency at the local level. It is being increasingly recognized that building transparency is important for addressing some of the major challenges to sustainable development at the local level.

The forces of globalization and the movement towards decentralization are putting cities and local governments under increased pressure to deliver an ever-expanding range of benefits and services. The realization of these expectations, however, is affected by several important realities related to urban governance. For example, the emerging partnerships between local governments, the private sector and civil society in sustainable development requires not only a reconfiguration of public space, which was previously dominated by government only, but also new mechanisms for creating operational linkages among these different actors. This is even more important due to the enlarged area of competence required by local authorities, the increased volume of resources under its authority and the expanded scope of transactions being handled by local governments. In fact the complexity of local governance not only makes it vulnerable to corruption but also renders it susceptible to alienation from its citizenry.

It is within this context that Transparency International Canada initiated this preliminary research project on transparency and its related effects at the municipal level. The objective of this research was to determine if this was indeed an issue requiring more attention in Canada and to explore the feasibility and utility of developing a tool to enhance transparency at the municipal level in Canada.

Organization of this Report

This report is divided into three main sections. The first section summarizes the information assembled in the appendices on the most relevant literature on transparency at the municipal level and including data gathered from newspapers databases from across Canada as well as a collection of relevant research conducted by other Transparency International chapters and organizations such as the World Bank.

The second section focuses on interviews with key informants and lays out their opinions on the need and feasibility of developing a tool for assessing and monitoring transparency at the municipal level.

The final section is based on the two previous sections and lists the details of the prominent persons advisory group on transparency and good governance and sets out a framework for an international symposium on transparency and good governance at the municipal level to be held in Canada in 2005/06.

SECTION ONE

Background Information On Transparency, Corruption And Good Governance At The Municipal Level

As part of our initial research we carried out a thorough scan of public and subscription-based news databases to identify the scope and depth of transparency issues in three major municipalities in Canada (Vancouver, Toronto and Montreal). In addition, we compiled an inventory of resources from both national and international sources on the issues related to promoting transparency and good governance at the municipal level. All of these resources (identified below) appear in the appendices.

Title	Source	Description
Transparency and Corruption Articles (Montreal, Toronto & Vancouver)	Newspaper Databases (Subscription Service)	Collection of news stories on municipal transparency and corruption from Toronto, Montreal and Vancouver.
Measuring Transparency in Municipal and Central Governments, Japan	Freedom of Information Citizen Center and the National Citizen Ombudsman Liaison Conference.	The aim of this project was to create an index in order to measure the level of transparency in municipal and central government in Japan.
Surveys on Corruption in Madagascar	Transparency International-Initiative Madagascar (TI-IM)	The aim of this project was to analyse the extent and nature of corruption in the private sector and society at large in Madagascar. It consisted of two opinion polls undertaken in the private sector and in individual households.
Municipal Government Evaluation Instrument, Nicaragua	Grupo Cívico Ética y Transparencia (EyT)	This is an instrument for measuring performance in transparency, citizen participation, administrative probity and the efficacy of municipal administration, developed jointly by Grupo Cívico Ética y Transparencia and the mayors of specific municipalities in Nicaragua. Its purpose is to contribute to good governance at the local level.
Corruption Perception Index Background 2003	Transparency International	Describes results and methodology used in TI's Corruption Perception Index.
Building Better Governance	UK Audit Commission	Newsletter describing the work of the audit commission in the UK and its role in ensuring good governance.
Canadians and Government Corruption	Leger and Leger Marketing	Research detailing Canadians view of corruption at all levels of government in Canada.

The Canadian Government Current Status, Legislation & Policy	Mark S. Schwartz – Transparency International	the <i>Criminal Code</i> which prohibits several activities: bribery (s.119,120), frauds on the government and influence peddling (s.121), fraud or a breach of trust in connection with the duties of office (s.122), <i>municipal corruption</i> (s.123), selling or purchasing office (s.124), influencing or negotiating appointments or dealing in offices (s.125), possession of property or proceeds obtained by crime (s.354), fraud (s.380), secret commissions (s.426), and laundering proceeds of crime (s.462.31)
Making Local Accountability Work in British Columbia	Patrick J. Smith and Kennedy Stewart (Institute of Governance Studies, Simon Fraser University)	The need for increased accountability in municipal governance has meant that local governmental attitudes and accountability aspects of the Municipal Act of British Columbia have become important elements in the current round of rethinking on possible municipal legislative revisions. This paper explores some of the changes under review in BC municipalities.
Open and Transparent Municipal Governance: Enabling corruption-free governance at the local level	11th International Anti-Corruption Conference Municipal Approaches to Internal Corruption Seoul, Korea and Washington, D.C., USA	The world's largest distance learning initiative for municipal officials began four years ago as a modest collaboration between Mexico's Monterrey Institute of Technology and the World Bank Institute. Since then, 12,000 city officials throughout Latin America have boosted their skills in municipal management, finance, and anticorruption.
Measurement of Governance and Corruption at the Municipal Level: some illustrations and challenges for the future	Daniel Kaufmann, World Bank Institute	Municipal approaches to internal corruption, XI IACC, Seoul, Korea, May 26th, 2003 URL: http://www.worldbank.org/wbi/governance/pdf/11iacc_kauf_municipal.pdf
National Survey on Corruption and Good Governance -	Transparencia Mexicana	Description of methodology and results of transparency survey on experiences and perception of corruption within three levels of government
Pilot Survey for Francophone Africa: Nature, Scope and Incidence of Corruption	Transparency International	Survey tool used in Francophone Africa
Corruption in the Public Sector – The Contemporary Canadian Experience	Transparency International - Canada	Presentation prepared by Detective Inspector of RCMP - www.transparency.ca/Vancouver/GermanPM.pdf

Functionality of Anti-Corruption Tools in Prague, Bratislava and Budapest	GfK Praha	The international survey explores the functionality of a selection of anti-corruption tools used in the public administration of the capitals of Visegrad countries.
Opinion poll on Corruption in the Palestinian society	The Coalition for Accountability and Integrity	As part of preparations by the Coalition for Accountability and Integrity (AMAN) the Coalition assigned the Palestinian Center for Political Studies and Surveys to conduct an Opinion Poll in the Palestinian Territories regarding of the phenomenon of Nepotism and favoritism, the causes, forms, spheres, and scope.

SECTION TWO

Key Informant Interviews Concerning The Development Of A Transparency Tool For Municipalities

Introduction

As part of its inquiry TI-Canada sought to carry out a limited needs assessment among relevant stakeholders and engage with them and other experts to gauge their interest in research around the topics of transparency and good governance at the municipal level, and gather their feedback on what they perceived to be the most problematic areas concerning related to these issues at the municipal level. In addition, we also gathered their opinions on the need and feasibility of developing a tool for assessing and monitoring transparency at the municipal level.

Methodology

A total of 30 key informants were interviewed or surveyed for this research project from a database of < 125 people. This represents a response rate of approximately 23% which is very high for this type of electronic survey. For details regarding the survey population and survey recipients please refer to the appendices.

The interviewees came from various walks of life and included journalists, lawyers, corporate directors, ethics practitioners, former mayors, current provincial politicians, RCMP agents, former federal politicians, heads of governance NGOs, community group leaders, auditors, municipal bureaucrats, city councillors, academics, business association leaders and business people.

Some people purposely declined to participate (ie. the office of the auditor general) because of lack of specific knowledge at the municipal level. While others may have chosen not to participate because of fear in how the data might be used. Of particular interest was a response which we received from a private sector group which was inadvertently sent to us rather than the CEO. While we alerted the individual of the error immediately, it does underscore some of the challenges in eliciting frank and honest responses from certain stakeholder groups. The name of the individual has been removed but the contents of the e-mail appear below.

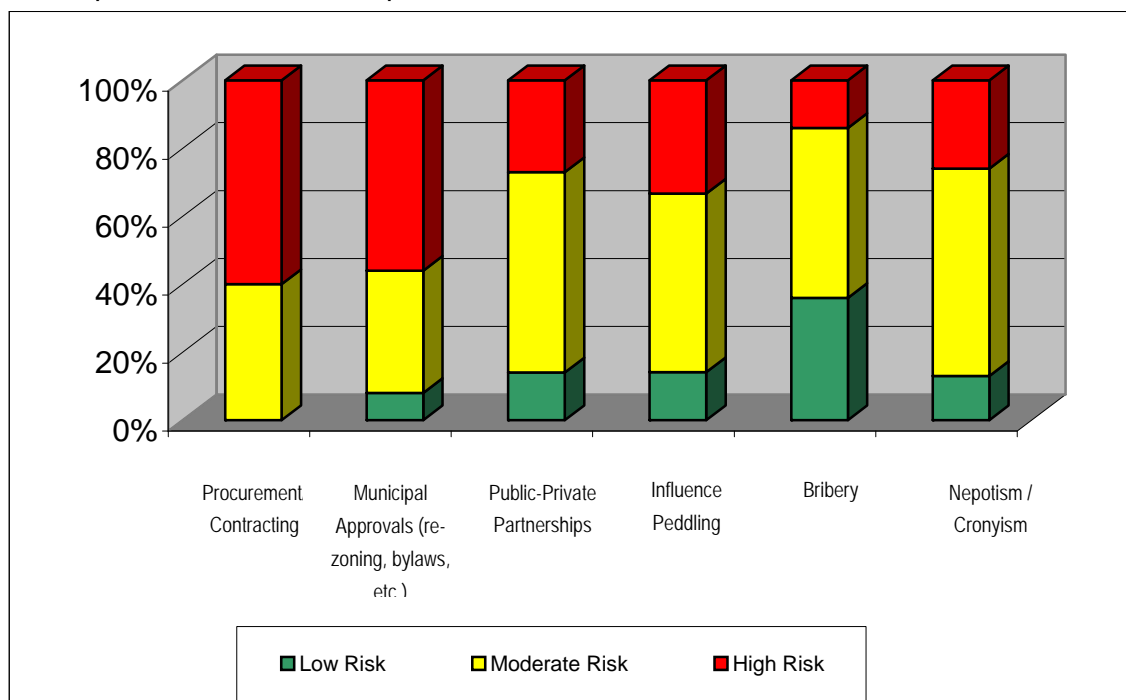
“[Name of CEO], I have not heard of the organization. I did take a look at the questions on the survey and they are generally asking for our "opinions" on corruption at the municipal level. I think the questions are generally innocuous but given who our shareholder is I would suggest that the most prudent course of action is avoid any suggestion we have concerns about corruption at the municipal level. Also, given the MFP inquiry and its objective I think we'd be better served to simply stay away from this topic.”

Generally, we received excellent cooperation from our subject-matter specialists and their feedback and comments helped to inform this report. A summary of their responses appear below. Please note that the focus of the research was to gather meaningful qualitative data from subject matter specialists and that this report, while containing some quantitative data, does not purport to be scientifically valid.

I. Perception of Risk at the Municipal Level

The first task of this survey was to identify the areas where lack of transparency and its related effects are most problematic at the municipal level. Based on our research the most problematic areas are in procurement / contracting and municipal approvals (ie. re-zoning, by-laws, etc.).

Q = In your opinion, what areas present the greatest risk of corruption / corrupt practices at the municipal level?



II. Types of Corruption / Corrupt Practices at the Municipal Level

Informants recorded numerous types of corruption / corrupt practices at the municipal level. Respondents self-defined “corruption” and/or “corrupt practices”. Most concerns centered around contracting processes. We have placed the responses in broad (and rather arbitrarily defined) categories and have eliminated some responses that were duplicate in nature.

Contracting Processes

- Corrupt tendering practices
- Rigged Construction Contracts
- Kick backs from suppliers
- Unfair procurement (intervention within municipality to ensure outcome)
- Complicated tenders
- Irregular municipal purchasing procedures
- Side payments to municipal purchasers
- Procurement decisions based on insider links and arranged tender dealings

Conflicts of Interest

- Close links between developers and city staff
- Campaign Contributions from Developer
- Conflict of interest (especially with developers)
- Conflict in Contract Awards

Bribery

- Bribing re. Rezoning
- Bribes from developers in permitting process
- Greasing Palms of key players
- Payback for zoning decisions, equipment contracts, service contracts
- Bribery of Building Inspectors
- Bribery for development variances
- Bribery of building officials and inspectors to obtain permits
- Bribery of elected municipal officials to obtain development approvals
- Bribery of Planning Staff to obtain recommendations for approval for development

Gifts / Sponsorship

- Hockey tickets to politicians and/or staff
- Dinners and lunches sometimes with spouses
- Christmas gifts such as liquor chocolates, etc.
- Sponsoring events for municipal employees such as Christmas party a ball team, etc.
- Tickets and dinners from lobbyists

Election-related concerns

- Inappropriate election contributions to city councillors
- Election campaign financing
- Campaign contributions from real estate developers
- Lobbying improprieties/bribery
- Campaign help to politicians in return for favourable votes on projects
- Election cheating (many types)

Breach of Duty

- Staff and councillors Ignoring city charter/municipal act
- Sale of municipal assets for less than market value
- Misappropriation of funds/assets

Lack of Transparency /Democratic concerns

- Inappropriate use of in-camera meetings
- Non-public altering of official records
- Dishonesty concerning legislative options

Fraudulent Expense Accounts

- Reimbursing Inappropriate Expenses
- Double expensing of expenses
- Expense account abuse

Cronyism

- Awarding contracts to people affiliated with municipality

- Patronage appointments based on connections not qualifications
- Awarding contracts to cronies at inflated prices
- Nepotism
- Nepotism in municipal hirings
- Zoning regulation changes based on friendships among colleagues rather than disinterested analysis

Criminal Activity

- Organized Crime
- Internal theft/fraud
- Theft / Fraud

Others

- Public/private partnerships
- Influence on Provincial Boards that are supposed to be arms length dealing with municipal approvals
- Another area of activity which may lend itself to corrupt practice is licensing

III. Utility of a National Survey of Transparency at the Municipal Level

Most respondents were positive about the development of national survey tool monitoring transparency and its related effects at the municipal level but some also noted that this would be very difficult to do and others suggested that a survey would only re-affirm public perceptions and not necessarily uncover new data. Economists such as Daniel Kaufmann at the World Bank Institute suggest that these types of perceptions are important indicators and are an essential part of improving transparency and good governance.

The qualitative responses from participants appear below. The question was - **Do you think a national survey focused on corruption at the municipal level would be useful? Why or why not?**

- *Indeed I do! So we can raise awareness that there is indeed corruption in Canada and do something about it.*
- *Yes. Even if it found nothing initially it would raise profile of possibilities*
- *Yes - we need to understand the situation at a local level which people can easily grasp*
- *Yes - if the answers are truthful and contain examples along with useful ways of correcting the problem or referrals to companies/businesses/NGOS that can provide guidance on the issues.*
- *Yes - if for no other reason that it will remind politicians, civil servants and private sector of a zero-tolerance policy on unethical and illegal or even questionable behaviour the inevitability of auditing and the absolute need to be both seen to be honest and to be honest.*
- *Yes, a national survey would be useful. It would equip... [response cut –off]*
- *What I suspect would be most useful would be the development of standards or a code of behaviour or even indicators of integrity in governance. If a survey were seen as a step toward such a development I suspect it would have greater value.*
- *Generally I don't think there's much corruption in the big cities except in unusual circumstances such as in Toronto under Mel Lastman. I suspect these problems will be addressed by the new council. I believe the provincial government of Harris/Eves encouraged an atmosphere prone to corruption which made for bigger problems. That*

government is also gone. For these reasons I'm not convinced it's worth putting much time and effort into a corruption survey in Ontario or in large cities in other provinces.

- It would be useful as it will provide data on which to base an awareness program that may help to reduce what is clearly a problem
- Yes - if done properly. Because different provinces have different municipal acts and development approval statutes the survey should break results down by province. Very difficult to do an accurate survey because corruption at municipal level is very hidden where it exists and difficult to nail down.
- Such a survey would be useful but I wonder how accurate the results would be. Presumably your organization has experience with this however.
- Certainly. It would bring to light and group together a lot of the issues that are often treated as isolated incidents.
- Yes. It is probably where we are most corrupt and it might stimulate action by voters.
- I'd anticipate that the issues will be pan-Canadian i.e. similar types of corruption will appear in similar sized cities across the country. It would be useful to verify this hypothesis however.
- Municipal corruption is pervasive but difficult to pinpoint and expose. It is a product of a particular culture an informal system of favours that involves both giving and taking; indeed many prominent charities play a central role (remember Patti Starr) albeit unwittingly in most cases. It is rarely documented and even the most painstaking investigations (MFP inquiry in Toronto) usually fail to expose it. Thus I am sceptical of the value of a high-level survey.
- No - unless real action is taken to eliminate the problem
- Maybe depending on how done. A public perception survey would be important but might reveal more about the current state of Canadian attitudes towards government than about corrupt practices. It would be important to check public perceptions against other perceptions (e.g. contractors, partners) and indicators such as numbers of prosecutions\investigations for corrupt practices.
- Not sure - who will be surveyed and how? If a survey is done it is important to have the questions and their interpretation analytically separate and discrete. I am worried about the categorization #2 above for example which mixes corrupt practices with areas of municipal endeavour in which corruption might occur.
- It could be useful if you were really able to get the information needed. However, after 20 years working in a senior position in municipalities I saw very little of what could be classed as corruption. Municipal politicians from my experience seem to vote for the benefit of their community. There are so many rules surrounding municipal business because municipalities as creatures of the province have no real authority thus cannot make laws that would assist their friends.
- I believe it would be. Just as developing country analysis has discovered decentralization can open up more corruption at a level where it is harder to monitor and counter so I think a careful study of municipal concerns in Canada would reveal we have more problems to counter than we sometimes think.
- I think research or an inquiry would be of more use---a survey will not reveal that which is not publicly known.
- Yes. It would highlight an issue that is not a serious problem in many places but can bring government into discredit in some places.
- Yes it is useful. It helps set the groundwork to prevent municipal corruption and sets the stage for things like Codes of Conduct Integrity Commissioners etc.
- Yes....it would close the information gap....there are some indicators and numbers for the provincial and federal levels but not so much at the municipal level
- No. Everyone will label politicians and bureaucrats as corrupt even though less than 1% actually succumb to criminal activity. The results will be skewed. [from MPP]

IV. What Respondents Want to Learn from a Transparency Tool

Participants varied in what they would want to learn from a proposed national survey on transparency and corruption. Many participants seemed interested in learning the extent of corruption at this level, the level of awareness in the public and who was benefiting – but there were also many respondents who wanted to learn more about what preventative mechanisms were most effective in stemming corruption. The responses from the key informants follow (duplicate responses eliminated).

The question was: **What 3 things would you most want to learn from this proposed survey on transparency and corruption at the municipal level in Canada?**

- *Where is corruption the greatest – where is it happening?*
- *Are people concerned about it – do they think it's a problem?*
- *Who is benefiting*
- *Level of occurrence*
- *Level of knowledge by staff/councillors*
- *Worst offenders*
- *What kind of corruption concerns people*
- *Is there a sense of urgency around this problem?*
- *Issues where corruption exists*
- *Possible methods to correct issue*
- *Corrective action taken by municipality*
- *That instruments are in place that will reassure the public that our political system does not allow for abuse*
- *To be assured that transparency mechanisms are in place are being employed effectively and that there are consequences for misdeeds*
- *That there is a reaffirmation of something known as the public good and that it is to be held up without reservation by both our elected representatives and our career public service*
- *What areas do present the greatest risk of corruption*
- *Methods of corruption*
- *Sources of corruption (i.e. did bribes originate most from developers or service companies or construction, etc.)*
- *Commonality of expectations across Canada*
- *How much money is involved? – Dollar values involved*
- *What is best development approval set up to avoid corruption. (I.e. Where there is an appeal board like the OMB does this lessen the opportunity for corruption?)*
- *Does an 'integrity commissioner' operation at a municipal level or other safeguards lessen corruption?*
- *Perceptions of municipal suppliers*
- *Perceptions of developers*
- *What type of corruption prevails?*
- *Who is committing the corruption? (i.e. politicians staffers)*
- *Means taken to address/correct these issues*
- *Evidence – not - opinions*
- *People involved*
- *Prosecutions*
- *Measures taken by municipalities*
- *Official, employee and citizen understanding of what constitutes corruption*
- *Official, employee and citizen understanding of how conflict of interest is distinguished from corruption or if in their minds it is.*

- *Officials et al understanding of the meaning of public service vis-a-vis integrity in public service*
- *Areas where the procurement system could be strengthened*
- *Is there corruption at the municipal level? If so then how is it played out? in what areas? and by whom?*
- *How it is handled if there is corruption present?*
- *Comparative levels of corrupt practice in different cities/provinces*
- *Information on best practices for countering municipal level corruption (such as e-procurement systems)*
- *The extent--- (which again will not be learned from a survey)*
- *The most vulnerable/or susceptible municipal positions*
- *Level of official whether elected or non-elected*

V. Potential Actions Stemming from the Proposed Survey

We wanted participants to go beyond the “nice-to-know” aspects of this type of survey/tool to actually think about what they could do with the information in their respective organizations. The responses often depend on the individuals’ organizational affiliation.

- *Include in papers/books about subject. Supplement other studies – [Academic]*
- *Develop an action plan for dealing with the issue*
- *Discuss them in the CA magazine. Discuss them amongst audit firms of the Municipalities. Develop best practices for municipalities Issue guidance on common problems and discuss solutions – {Provincial Gov’t Auditor}*
- *Other than my role as an ordinary citizen (voting communicating support or not for particular policies, etc) I would hope that over time we'd see a rediscovery of the value of the professional public service [Academic Administrator]*
- *Identifying the areas of greatest risk of corruption and the methods used for corruption could help municipalities develop systems to reduce the risk of corruption and to assist residents to become more aware of what to watch out for. – [Municipal NGO]*
- *While I think there is great value from TI’s global perception index I believe that to be useful in the Canadian municipal context we need to understand more. The highest value I believe would come from developing a sense of public expectations for proper public behaviour of municipal officials. – [Global Organization of Parliamentarians Against Corruption GOPAC]*
- *We could make the results public use them in speeches and meetings with municipal officials and generally use them to make the public aware of the problem reducing the risk of the prevalence of corruption – [Corporate Director]*
- *I think it would be useful for the city of Toronto personnel and councillors setting up integrity safeguards at the City. I would not be the best person to attend a conference or contribute from the City. Someone from the CAO’s office and the integrity commissioner who will be appointed. – [City Planning Department]*
- *I would use the results in my teaching and writing – [Academic]*
- *It could be used as a tool to demonstrate to local government agencies throughout the world that you can run operations at the local level without corruption and have a successful community and that good ethical behaviour should be a value for all politicians. - [Municipal Consultant]*
- *Write a story – [National Post]*
- *Campaign*

- *Be more pro-active in assisting municipalities identify red flags for problems and put in place more appropriate control mechanisms.* – [Deloitte & Touche]
- *Be able to learn from situations experienced by other municipalities i.e. how they occurred and how they were addressed.* – [Municipal Accounting Firm]
- *I would be happy to publicize any hard newsworthy findings. I do believe the subject needs more attention than it receives.* – [Globe and Mail]
- *I have doubts that anything will really be done. Most people know that governments are full of people more interested in personal gain than in public service.* – [Private Business]
- *Would use as input for the Network on Democratic Renewal that the Parliamentary Centre is in the process of establishing.* [Parliamentary Centre]
- *Use for educational purposes research possibly* – [Municipal Lawyer]
- *My institution is a governance institute with a strong focus on anti-corruption work. We would use these results to develop project proposals for strengthening anti-corruption efforts in local governance work here in Canada and in broader comparative projects involving developing countries and their decentralization initiatives.* – [Parliamentary Centre]
- *More research---aiming for more accountability... NOTE---the next question---why are you assuming that 'codes' or 'best practices' are the answer rather than strict legislated accountability regulations with jail/fine sanctions attached!* - [Nathanson Centre for Organized Crime]
- *It would indicate provincial legislation that was needed or identify some municipal best practices to deal with the problem.*
- *Use it to buttress arguments for an Integrity Commissioner, a stronger Code of Conduct a Lobbyist Registry etc.* – [City Councillor]
- *Education and awareness*
- *Develop or improve our actual intelligence gathering, Develop proactive methods of investigations for fighting effectively and efficiently these criminal activities* [RCMP]

VI. Additional Commentary from Informants

Informants were asked to make any additional comments regarding the proposed survey tool. Their responses appear below.

- Consider developing the survey so that it can be benchmarked against international data if applicable.
- Provide enough opportunity for the respondents to elaborate on responses and an area for other comments or examples
- Review actual court cases on corruption where politicians and/or those requesting their inappropriate services were found guilty to determine the most often used methods of corruption. Identify those municipalities where in fact persons were found guilty for municipal corruption. Focus should be placed on provincial governments to require municipalities to become more transparent.
- If it is possible pick the survey recipients based on their likely knowledge of the municipal business environment.
- Make contact with organizations working in the municipal field for information advice and perhaps cooperation (e.g FCM the Urban Institute Association of Clerks and Treasurers of Ontario).
- Any area of endeavour might be subject to corruption at some point. As I said above it is very important to be analytically clear.

- You could try to get support from some of the municipal associations such as the Assoc. of Municipalities of Ontario the Federation of Canadian Municipalities or the Association of Municipal Managers Clerks and Treasurers of Ontario. Prof. Andrew Sancton of the Univ. of Western Ontario oversees a Master's Degree in Municipal Public Administration and might be interested.
- I think it would be important to cover a wide set of provinces/cities in such work given great regional variations in this country.
- Speak to those who have been caught, i.e.: Gyles - Mississauga, Jakobek - Toronto, Jeff Lyons - Lobbyist, Chris Stockwell, MPP - prior to 2003
- Try to get the buy-in of as many stakeholders as possible, ie police forces, Justice Depts, Law firms, Municipalities, Provinces and Federal Government

VII. Conclusions

Generally, our expert informants felt that the development of a tool to enhance transparency at the municipal level would help to contribute to good governance and be a welcome development especially if it was used as an assessment tool for municipalities to evaluate their own transparency.

Based on these findings, the Board of Transparency International Canada is planning to host an international symposium in 2005/06 to learn more from the experiences of national and international experts and develop a practical tool for assessing and monitoring transparency at the municipal level.

SECTION THREE

Preliminary Framework For International Symposium On Developing Assessment And Monitoring Tools For Transparency And Good Governance At The Municipal Level.

International Symposium on Transparency and Good Governance

Based on our research, we concluded that there was a great deal of interest surrounding issues of transparency and good governance at the municipal level in Canada. The overwhelming conclusion of the research was that the issue was an important one and that action was required – however, there was considerable diversity on what that action should be.

Accordingly, the Board of Transparency International Canada has decided to pursue an initiative to gather a select group of Canadian and international experts at a symposium on municipal governance in order to share experiences and discuss strategies for enhancing transparency at the municipal level. This proposed ‘symposium’ will not be an open conference but rather a facilitated event in which invited experts and stakeholder will be exposed to international developments in this area and be encouraged to work together to develop meaningful strategies that can be implemented to develop a survey and monitoring tools that will assist municipalities in assessing and improving their transparency and ultimately help them towards developing better systems of governance.

Some of the outcomes of the symposium might include (but are not limited to)

- Recommendations to municipal, provincial and federal governments
- The development of specific tools, policies and/or procedures
- Dissemination of best practices on municipal codes and integrity systems, and
- The development of a survey instrument to assess and monitor transparency at the municipal level.

Formation of a Prominent Persons Advisory Group

While TI-Canada has long been recognized for its work on corruption and bribery at the international level, it has less experience working with municipal governments. As such over the last few months, it has set up a special ad hoc advisory group made up of prominent persons to help it shepherd this initiative and bring it to fruition. The advisory group will provide strategic advice, suggest possible attendees, and help develop the symposium programme and content.

Currently the advisory group is made up of the following individuals:

- **David Crombie**, (Former Mayor of Toronto and Federal Cabinet Minister) Canadian Urban Institute

- **Pat Moyle**, (Executive Director, Association of Municipalities of Ontario and Current CAO of the Municipality of Caledon) Caledon, ON
- **David Mullan**, (Law Professor and City of Toronto Integrity Commissioner) City of Toronto Integrity Commissioner, 15th Floor, West Tower, City Hall, 100 Queen Street West, Toronto, ON, M5H 2N2
- **Bill Norrie**, (Former Mayor of Winnipeg and Current Manitoba Conflict of Interest Commissioner), Conflict of Interest Office 1035-405 Broadway Ave. Winnipeg, MB

The advisory group is scheduled to meet in April to give strategic advice on the symposium program content and suggestions of possible invitees.

Preliminary Symposium Framework

The purpose of the symposium is two-fold: 1) to raise awareness about assessment and monitoring mechanisms being used internationally as tools to promote transparency and good governance; and, 2) to get feedback and buy-in from participants on the development of a particular survey assessment tool for use in Canadian municipalities and strategies for implementation.

While there is a desire to start this work as soon as possible, there is a possibility that we would tie this project (possibly the presentation of the results of the first pilot) to the World Urban Forum taking place in Vancouver in June 2006

It should be emphasized that this is only a preliminary framework and is subject to change based on our discussion with the advisory group and others.

Draft Program

Pre - Symposium	<ul style="list-style-type: none"> • Background paper circulated to invitees and electronic survey distributed to participants
Day One (Evening) Welcome Reception Keynote Address (TBD)	<ul style="list-style-type: none"> • Registration and Reception • Keynote Address: Setting the Stage – how the forces of urbanization, globalization and decentralization are shaping cities in the 21st century and how transparency can improve the quality of urban governance by enhancing inclusion in cities, improving accountability and fostering civic engagement

Day Two (All Day)	
Welcome	<ul style="list-style-type: none"> • Symposium chair welcomes delegates and lays out objectives and task for day
Feedback Session	<ul style="list-style-type: none"> • Review results of pre-symposium survey and discuss
Topic One (Example)	<ul style="list-style-type: none"> • Transparency and Good Urban Governance: Is this topic relevant for Canadian Municipalities?
Topic Two (Example)	<ul style="list-style-type: none"> • Strategies to Support Transparency in Local Governance: Assessment and Monitoring
Presentation	<ul style="list-style-type: none"> • Lunch Time Presentation from Int'l Expert
Survey Design Topics	<ul style="list-style-type: none"> • Survey design experts present methodology behind tools and some things to consider when designing assessment tools.
Tool Development Session	<ul style="list-style-type: none"> • Facilitated session on developing an assessment and monitoring tool. (Possible break-out session)
Strategy Session	<ul style="list-style-type: none"> • Discuss implementation strategies and how to overcome possible barriers.
Post-Symposium	<ul style="list-style-type: none"> • Together with survey design experts develop draft tool • Circulate tool for comments and revisions • Finalize transparency assessment and monitoring tool and initiative pilot stage.

Preliminary Budget

Currently we envision approximately 40 people attending the symposium (35 from across Canada and 5 international experts). A location has yet to be identified.

Description	Budget
Symposium Event Coordinator ¹	\$10,000
Office Costs (Courier, Telephone, Photocopies, etc)	\$500
Pre-Symposium Advisory Group Meeting (in-person)	\$5,000
Room Rental ²	\$1,000
Reception (Public) ³	\$3,000
Travel for International Guests (5) ⁴	\$10,000
Travel Subsidies for Canadians (35) ⁵	\$27,000

Accommodation (40 people x 2 nights) ⁶	\$12,000
Lunch and Coffee Breaks	\$2,000
Audio-Visual Equipment Rental	\$1,000
TOTAL	\$71,500

Assumptions:

1. Based on 20 person days (incl. development of pre-symposium survey)
2. Based on 1.5 day rental
3. Public event for 100 people
4. Based on \$2000 per flight average (economy class)
5. Amount of subsidy to be divided among out-of-town participants
6. 1 night accommodation = \$150