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SERVICES DELIVERY AND OPPORTUNITIES REPORT

TOWN OF SWAMPSCOTT, MASSACHUSETTS

EDWARD J. COLLINS, JR. CENTER FOR PUBLIC MANAGEMENT

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EXECUTIVE SUMMARY

Massachusetts municipalities have spent the last decade facing a very challenging financial and operating environment and will likely continue to face one for the foreseeable future. The Town of Swampscott is not immune from this and in some ways is more precariously positioned than many cities and towns in the Commonwealth.

On the expenditure side, both the number of responsibilities facing municipal governments and the relative expense of fixed costs (e.g., health care, OPEB, etc.) have been rising. On the revenue side, the two main sources of municipal revenue (i.e., state aid and property taxes) have remained stagnant. The revenue challenge can be particularly difficult in municipalities with little commercial tax base and in those that receive a smaller proportion of their budgets from state aid (i.e., often wealthier communities). In those places, most of the revenue comes directly from the residential taxpayer. Both of these are applicable to Swampscott.

In recognition of the serious financial challenges facing the Town, both Town officials and residents have been aggressively analyzing the situation and thinking about ways to mitigate it. Among these efforts was creation of the Regionalization Committee, which was authorized by Article Six of 2013 Annual Town Meeting to investigate regionalization options in earnest.

The Regionalization Committee subsequently commissioned the Edward J. Collins, Jr. Center for Public Management at UMass Boston to support its efforts by compiling a baseline inventory of how services are delivered in Swampscott and to identify candidates for alternative methods of service delivery. This report is the result of that work. It establishes the context in which the Town is operating and provides recommendations for regionalization, services sharing, contracting out of services, and numerous other opportunities for improvements in efficiency and effectiveness.

In particular, this report focuses on three tasks:

1. Creating baseline inventory of how services are delivered in Swampscott;
2. Identifying candidates for possible alternative methods of service delivery, particularly regionalization, which can be further divided into two broad categories;
 - a. Actionable short- and medium-term possibilities;
 - b. Sketches of more challenging long-term possibilities; and
3. Identifying other opportunities for potential efficiency gains and service improvements.

It is worth noting that the Town is not alone among Massachusetts municipalities in seeing regionalization as one potential long-term solution to these challenges. Regionalization has long been a popular alternative to discuss for providing the most effective and efficient services. In fact, regionalization is not new to Swampscott. The Town itself is already part of quite a few successful regionalization efforts (e.g., procurement with Salem, dispatch with Lynn, etc.). Nevertheless, despite the popularity of the topic, and with a few obvious exceptions (e.g., regional schools, libraries, water systems, etc.), regionalization efforts in Massachusetts writ large have not yet produced as many successful long-term solutions as might be expected. For that reason, while this report notes opportunities for short-term and long-term regionalization, it also provides other pathways to improved efficiency or effectiveness identified by the project team, including investigating the outsourcing of some functions, bringing other functions in-house, expanding use of technology, and increasing use of data in management.

While the focus of the report is areas for improvement, it is essential to note that the Town of Swampscott has many compelling assets. In particular, the project team believes it is important to recognize the many dedicated and skilled elected and appointed officials currently serving the Town. Through their hard work and problem-solving, the project noted that many positive changes were already underway throughout the duration of this project, including the work toward the facilities manager and the creation of a new Director of Information and Technology position.

Throughout this report, several themes emerge that are worth noting, both as potential steps toward regionalization or outsourcing, and as areas for increased efficiency and effectiveness in and of themselves.

Some of those themes relate to the need for the Town to continue moving in the direction of improved Information Technology (IT), which appears until recently to have been a lower priority. With the creation of the new Director of Information and Technology position, it has moved more to the front. This is essential for three reasons that also run as themes throughout this report: (1) Residents have expectations that their Town government will offer services and information online (and through other new platforms that appear); (2) Paper-based processes, which Swampscott is by no means alone among Massachusetts municipalities in still using heavily, are less efficient than digital processes; and (3) Adequate IT is essential for data-driven government, which itself is another direction the Town needs to move and is moving.

Another set of important themes throughout this report involves personnel. The Town's three largest non-school departments (i.e., police, fire, and public works) and several others all have cohorts of staff with significant years in service to the Town. This situation has major impacts on both costs and services provided now, and it poses both a threat and an opportunity in the future. On the positive side, these departments benefit from the high levels of experience and institutional knowledge that these long-serving cohorts provide. At the same time, long-serving employees are higher cost employees, both directly (through higher salaries) and indirectly (through receiving larger amounts of benefit days that either require backfilling or reduce departmental capacity). Proper succession planning can mitigate the risks of the departure of institutional knowledge and can provide an opportunity to systematically analyze the long-term opportunities to address personnel costs, as can periodically analyzing the use of overtime versus the cost of additional full-time staff.

Additionally, there are two other personnel-related themes worth noting: (1) There is potential for the cross-training of staff, particularly administrative staff, across municipal departments in order to improve communication and services, and (2) Several departments could benefit from their managers having a greater strategic role and less of a day-to-day role (e.g., accounting, IT, etc.), although moving in that direction will require careful planning to ensure that the day-to-day work is still done effectively.

What follows is a table of recommendations made throughout the report, along with information about their timeframe (short-term or long-term), type (regionalization or general), and potential impacts (efficiency, effectiveness, risk mitigation).

Page	#	Recommendation	Timeframe, Type, and Potential Impacts
1. Town-wide			
20	1.1	<i>Add to the number of online transaction opportunities available to the public, improve training on and access to Munis, and generally continue the progress recently begun on upgrading the Town's information technology capacity.</i>	<ul style="list-style-type: none"> • Short-term • General • Efficiency; Effectiveness
20	1.2	<i>Streamline payroll process by removing paper entry, adding benefit day tracking to pay stubs, and continuing to move remaining staff holdouts to direct deposit.</i>	<ul style="list-style-type: none"> • Short-term • General • Efficiency; Effectiveness
21	1.3	<i>Increase use of data in operations and management.</i>	<ul style="list-style-type: none"> • Short-term • General • Efficiency; Effectiveness
22	1.4	<i>Improve customer service experience by providing more and clearer information across multiple formats (e.g., physical signage in town hall, phone system, and website).</i>	<ul style="list-style-type: none"> • Short-term • General • Effectiveness
22	1.5	<i>Consider the potential of a regionalized 311 system.</i>	<ul style="list-style-type: none"> • Long-term • Regionalization • Efficiency; Effectiveness
23	1.6	<i>Increase cross-training among administrative staff.</i>	<ul style="list-style-type: none"> • Short-term • General • Efficiency; Risk Mitigation
24	1.7	<i>Investigate shared administrative staff for departments handling related services or functions.</i>	<ul style="list-style-type: none"> • Long-term • General • Efficiency
24	1.8	<i>Look for opportunities to restructure town hall or to obtain an alternate location for town hall.</i>	<ul style="list-style-type: none"> • Long-term • General • Effectiveness
26	1.9	<i>Review performance and costs of retirement system periodically to determine if remaining as stand-alone system is an optimal approach.</i>	<ul style="list-style-type: none"> • Long-term • Regionalization • Efficiency; Risk Mitigation
27	1.10	<i>Continue to move toward shared Town/School facilities department and consider longer-term opportunities for regionalization of this function.</i>	<ul style="list-style-type: none"> • Short-term • General • Efficiency; Effectiveness
27	1.11	<i>Create ad hoc committee to study succession planning in major departments and make specific recommendations for staffing and contractual changes to be made in conjunction with retirement of cohorts of senior staff.</i>	<ul style="list-style-type: none"> • Long-term • General • Efficiency; Risk Mitigation

29	1.12	Analyze spending on overtime compared with the fully loaded cost of hiring additional staff in major departments to determine which is more cost effective.	<ul style="list-style-type: none"> • Long-term • General • Efficiency
2. Police			
36	2.1	Partner with neighboring or nearby municipalities to hire a regional crime analyst.	<ul style="list-style-type: none"> • Short-term • Regionalization • Effectiveness
37	2.2	Conduct cost/benefit analysis of moving police business line to Lynn when no officers are on light duty.	<ul style="list-style-type: none"> • Short-term • General • Efficiency
37	2.3	Create ad hoc committee as described in Recommendation 1.11.	<ul style="list-style-type: none"> • Long-term • General • Efficiency; Risk Mitigation
37	2.4	Fold police department website and information into main Town website.	<ul style="list-style-type: none"> • Short-term • General • Effectiveness
37	2.5	In collaboration with DPW, examine opportunities to bring basic police vehicle maintenance in-house.	<ul style="list-style-type: none"> • Long-term • General • Efficiency
38	2.6	Identify opportunities for police/fire joint long-term planning and for cross-training of officers and firefighters.	<ul style="list-style-type: none"> • Long-term • General • Efficiency; Risk Mitigation
3. Fire			
46	3.1	Continue and, where possible, expand regional or shared training opportunities.	<ul style="list-style-type: none"> • Short-term • Regionalization • Efficiency
47	3.2	Partner with neighboring municipality or municipalities on RFP for consultant to assist with updating all departments' policies and procedures manuals.	<ul style="list-style-type: none"> • Short-term • Regionalization • Effectiveness
47	3.3	Complete technology upgrades needed to fully connect in-house department systems with dispatch system.	<ul style="list-style-type: none"> • Short-term • General • Efficiency; Effectiveness
47	3.4	Fold fire department website and information into main Town website.	<ul style="list-style-type: none"> • Short-term • General • Effectiveness
48	3.5	Create ad hoc committee as described in Recommendation 1.11.	<ul style="list-style-type: none"> • Long-term • General • Efficiency; Risk Mitigation
48	3.6	Analyze the spending on overtime compared with the fully loaded cost of hiring additional firefighters to determine which is more cost effective, as described in Recommendation 1.12.	<ul style="list-style-type: none"> • Long-term • General • Efficiency

48	3.7	<i>Conduct detailed analysis of whether a “chase car” program would make sense for Swampscott, given the characteristics of the Town and the department.</i>	<ul style="list-style-type: none"> • Short-term • General • Efficiency
49	3.8	<i>Identify opportunities for police/fire joint long-term planning and for cross-training of officers and firefighters.</i>	<ul style="list-style-type: none"> • Long-term • General • Efficiency; Risk Mitigation
4. DPW			
54	4.1	<i>Investigate regionalizing or outsourcing cemetery maintenance functions.</i>	<ul style="list-style-type: none"> • Long-term • Regionalization • Efficiency
54	4.2	<i>Continue improving use of work order system.</i>	<ul style="list-style-type: none"> • Short-term • General • Efficiency; Effectiveness
54	4.3	<i>Track vehicle maintenance in electronic format for future cost/benefit analyses of vehicle maintenance versus purchasing.</i>	<ul style="list-style-type: none"> • Short-term • General • Efficiency
54	4.4	<i>Use interns or other low-cost avenues to conduct tree inventory.</i>	<ul style="list-style-type: none"> • Short-term • General • Effectiveness
54	4.5	<i>Move responsibility for meter reading.</i>	<ul style="list-style-type: none"> • Short-term • General • Efficiency
55	4.6	<i>Create ad hoc committee as described in Recommendation 1.11.</i>	<ul style="list-style-type: none"> • Long-term • General • Efficiency; Risk Mitigation
5. Building			
58	5.1	<i>Develop inter-municipal agreement (IMA) with the City of Salem for Building Commissioner services in a way that increases role of Building Commissioner in day-to-day operations of the department over the prior IMA.</i>	<ul style="list-style-type: none"> • Short-term • Regionalization • Efficiency
58	5.2	<i>Investigate options for online permitting and digital plans submission for residents and contractors.</i>	<ul style="list-style-type: none"> • Short-term • General • Efficiency; Effectiveness
6. Town Clerk/Elections			
61	6.1	<i>Implement a digital records management system for vital records and other common records requests.</i>	<ul style="list-style-type: none"> • Short-term • General • Efficiency; Effectiveness
61	6.2	<i>Pursue codification of all town bylaws and statutes to allow for quick response to resident requests.</i>	<ul style="list-style-type: none"> • Long-term • General • Efficiency; Effectiveness

7. Personnel			
63	7.1	Create a single, stream-lined personnel action form that can be used by both Town and School departments to reduce personnel workload.	<ul style="list-style-type: none"> • Short-term • General • Efficiency; Effectiveness
63	7.2	Increase online offerings for common personnel forms.	<ul style="list-style-type: none"> • Short-term • General • Efficiency; Effectiveness
63	7.3	Create an FAQ section to reduce the number of department calls and walk-ins.	<ul style="list-style-type: none"> • Short-term • General • Efficiency; Effectiveness
8. Assessing			
65	8.1	Consider an IMA for shared assessing services, including the potential for the Town to act as lead agency, or other shared service arrangement.	<ul style="list-style-type: none"> • Long-term • Regionalization • Efficiency
9. Planning			
67	9.1	Continue increasing use of technology in conjunction with other departments, such as a digital records management system to facilitate sharing across departments, such as Building, Assessing, and ZBA.	<ul style="list-style-type: none"> • Short-term • General • Efficiency; Effectiveness
10. Treasurer/Collector			
69	10.1	Make all payments from residents available online, preferably on a common system, to reduce workload and facilitate a streamlined billing process.	<ul style="list-style-type: none"> • Short-term • General • Efficiency
11. Health			
71	11.1	Consider an IMA for regionalized Public Health Nurse Services, including the potential for the Town to act as lead agency, or other shared service arrangement.	<ul style="list-style-type: none"> • Long-term • Regionalization • Effectiveness
71	11.2	Explore creating shared grant-writer position to expand the search for regional public health grants.	<ul style="list-style-type: none"> • Long-term • Regionalization • Efficiency
12. Council on Aging			
73	12.1	Conduct feasibility study on shared senior transportation services with neighboring towns.	<ul style="list-style-type: none"> • Long-term • Regionalization • Efficiency; Effectiveness
73	12.2	Obtain additional Munis training to improve capacity for periodic revenue and expenditure tracking.	<ul style="list-style-type: none"> • Short-term • General • Efficiency; Risk Mitigation
13. Library			

14. Accounting			
76	14.1	<i>Investigate opportunities for regionalizing or outsourcing some day-to-day accounting functions.</i>	<ul style="list-style-type: none"> • Long-term • Regionalization • Efficiency; Risk Mitigation
15. Recreation			
78	15.1	<i>Analyze data to better understand recreation program and facilities use patterns and opportunities.</i>	<ul style="list-style-type: none"> • Short-term • General • Effectiveness
78	15.2	<i>Obtain additional Munis training to improve capacity for periodic revenue and expenditure tracking.</i>	<ul style="list-style-type: none"> • Short-term • General • Efficiency; Risk Mitigation
16. Technology			
80	16.1	<i>Develop IT strategic plan that includes (at minimum) security and business continuity plans, an asset inventory, procurement plans, and policies and procedures.</i>	<ul style="list-style-type: none"> • Long-term • General • Risk Mitigation
80	16.2	<i>Provide additional training on Munis software.</i>	<ul style="list-style-type: none"> • Short-term • General • Efficiency; Risk Mitigation
80	16.3	<i>Periodically evaluate software packages that may provide more municipality-wide functionality.</i>	<ul style="list-style-type: none"> • Long-term • General • Efficiency; Effectiveness
17. Harbormaster			
82	17.1	<i>Seek joint-procurement and IMAs for both short-term, recurring services and for more long-term efforts.</i>	<ul style="list-style-type: none"> • Short-term; Long-term • Regionalization • Efficiency
82	17.2	<i>Implement online renewal of mooring permits and collection of fees.</i>	<ul style="list-style-type: none"> • Long-term; Short-term • Regionalization • Efficiency; Effectiveness

PROJECT BACKGROUND

About this Project

As with many municipalities across the Commonwealth, the Town of Swampscott (hereafter, “the Town”) has recognized that it is facing a difficult financial situation and that it will likely to continue face this for the foreseeable future.

The Town is also not alone among those municipalities in seeing regionalization as one potential solution to these challenges. According to an October 2014 Financial Management Review that the Department of Revenue (DOR) conducted for the Town:

“The concept of pursuing consolidation to streamline services and minimize costs has been in the air in Swampscott off and on for the past decade. Some citizens have also proposed investigating opportunities to regionalize with neighboring communities for services like emergency dispatch, building inspection, and insurance administration. This resulted in the formation of a volunteer board known as the Article 6 Committee (after its authorizing warrant article). This is an encouraging example of the public’s interest in seeking novel solutions for maximizing resources, although the regionalization discussion lies beyond the scope of our review.”¹

Authorized by Article Six of that year’s Town Meeting, the Town created the Regionalization Committee to investigate regionalization options in earnest. Article Six reads:

“To see if the Town will create a committee to research and evaluate regionalization opportunities, including shared services, shared departments, disincorporation, or annexation by neighboring municipalities; said committee to consist of seven residents to be appointed as follows: the Finance Committee and the School Committee shall each appoint one of their members or a designee, the Board of Selectmen shall appoint one of their members, plus two residents, and the remaining two residents shall be appointed by the Moderator; reports by the committee to be made yearly at Annual Town Meeting; or take any action relative thereto.”²

The Committee then commissioned the Edward J. Collins, Jr. Center for Public Management at UMass Boston to support its efforts by compiling a baseline inventory how services are delivered in Swampscott and to identify candidates for possible alternative methods of service delivery.

This report is the result of that work. It establishes the context in which the Town is operating and provides recommendations for regionalization, services sharing, contracting out of services, and numerous other opportunities for improvements in efficiency and effectiveness.

Massachusetts Municipal Government Context

At the broadest level, Massachusetts municipalities have spent the last decade operating in a very challenging environment. The two main sources of municipal revenue (state aid and property taxes) have remained stagnant and at times even dropped. This has typically led to smaller municipal department staffs and fewer hours available to do business with municipal offices.

The revenue challenge can be particularly acute in geographically smaller municipalities with little commercial tax base and in those that receive a smaller proportion of their budgets from state aid (i.e., often wealthier communities). In those places, most of the revenue comes directly from the residential taxpayer.

On the expenditure side, both the number of responsibilities facing municipal governments and the relative expense of fixed costs (e.g., health care, OPEB, etc.) have been rising. The continued growth in state and federal mandates, personnel and finance laws, etc. means that even continuing to provide the same services requires significant changes in how municipalities do business.

In the private sector, one route to responding to these challenges would involve investment in new technologies. Yet municipal governments are slow adopters of information technology. For example, it is only in the last few years that municipalities across the Commonwealth have been moving toward offering many routine transactions online, technology widely used in the private sector for well over a decade. There are numerous reasons for the relative slowness of municipalities in adopting new technology, including: limited capital budgets, lack of experience with information technology planning and procurement, organizational culture barriers, and an incentive structure that favors maintenance of the status quo versus implementing change that risks creating major new problems.

Beyond those reasons, municipal government is heavy in the kinds of work affected by Baumol's cost disease, an economic theory that states that labor costs will rise for certain sectors even without productivity growth. The classic example is that a string quartet will always take four musicians for a live performance. In a local government context, certain functions (e.g., firefighting, assessing, inspections, etc.) face a similar challenge.

The bottom line is that municipal governments in Massachusetts are squeezed on both sides of the ledger, and the likelihood of this changing in the near future seems low.

Swampscott Context

The Town of Swampscott has many compelling assets. The Town has many skilled managers and staff, a committed core of citizens and elected officials, one of the best school systems in the state, beautiful coastline and landscape, a historic town hall and town center, and a reputation as wonderful community.

Against these assets, the Town is facing some serious financial challenges, as noted in the October 2014 Financial Management Review that the Department of Revenue (DOR) conducted in response to a request by the Town to provide "prospects for consolidating their municipal and school financial operations."³ The "Town Background" section of the report contains valuable Swampscott-specific

financial background also applicable to this report. Some of that is critical enough to be worth repeating here:

“As is typical in bedroom communities, Swampscott’s business sector accounts for only a small portion of its overall property value, at 7.4 percent. However, it comprises almost 13 percent of the town’s annual tax levy due to a split tax rate that assesses \$35.79 per \$1,000 assessed value of commercial, industrial and personal property versus the \$18.70 rate applied to residential parcels. Swampscott’s average single family property tax bill of \$8,593 ranks it within the top seven percent of communities statewide.

“The scarcity of developable land in town constrains the new growth factor in calculating Swampscott’s annual levy limit. Although Proposition 2½ otherwise restricts annual municipal levy increases to a 2.5 limit, it makes provision for adding to this limit an amount based on the value of new development growth in the tax base. This new growth figure, once certified, then becomes a permanent part of a community’s levy limit base, which continues to grow at 2.5 percent each year. Swampscott misses out on the kinds of levy increases that less developed municipalities can experience, however, since its new growth impact is mostly confined to expanded or altered existing properties as opposed to new construction. Between FY03 and FY13, the town’s new growth portion of its prior year’s tax averaged 1.3 percent, while the average statewide was 90 percent higher, at 2.48 percent. The result is more limited future budget flexibility. Based on long-term trends, Swampscott also cannot look to population growth for corresponding expansion in local receipt volumes. Since at least 1990, the town’s population has held rather steady, fluctuating slightly up or down on either side of 14,000.

“The town’s current tax levy is augmented by capital projects for which voters approved debt exclusion funding, including a sewer project, new police station, and new high school. A debt exclusion represents a temporary increase of the tax levy over the annual Proposition 2½ limit, which remains a part of the annual levy until the bond is paid off. On the near horizon are other pressing capital concerns, most prominently, the need to address the very aged Hadley elementary school. Based on discussions, the technology condition of the town also needs renewed attention and investment. As financial pressures have mounted, staffing has been stretched thin in the central municipal government and school department, which is another factor compelling efforts to find new ways to economize resources.”⁴

The Town’s own five-year forecast (2015-2019) also highlights these budget challenges. In particular, the presentation warns that the Town “Must Continue the Commitment to Increase our Reserves to ‘Best Practice’ Levels While Eliminating Our Reliance on One-Time Revenues or We will Jeopardize the Town’s Bond Rating and Cost of Capital.”⁵

It is against this backdrop that regionalization and service sharing has been raised as a potential solution.

Regionalization Context in Massachusetts

As with the rest of New England, Massachusetts is a state of mostly small population municipalities and little active county government. The median population town of the 351 municipalities in Massachusetts is the Town of Hanson, which has a population of 10,209. That means that about 175 towns have populations below 10,000. In fact, about 120 have populations below six thousand. Similarly, the median municipal budget in Massachusetts in FY14 was \$29,687,084, and the mean was \$61,148,897. Regardless of how small they are, these municipalities nominally still have the same responsibilities to the public as those with 50,000 or 100,000 people and budgets in the hundreds of millions of dollars.

In their ability to provide these services, smaller municipalities face obvious challenges in their lack of economies of scale. In a 2013 report, *The Quest for Cost-Efficient Local Government in New England: What Role for Regional Consolidation?*, the New England Public Policy Center at the Federal Reserve Bank of Boston attempted to quantify the potential savings for increased regionalization of certain services. For example, it estimated that if Massachusetts moved from its current 268 Public Safety Answering Points (PSAPs) to 14 (based on one per county), there would conservatively be total savings of approximately 60%.⁶ For consolidation of local public health departments into fully regional departments, the aggregate savings would be 50%.⁷

The realization of the problem of scale in Massachusetts local government is not a new one. In fact, regionalization and sharing of services have long been a popular alternative to discuss for providing the most effective and efficient services to the public. Another recent major report on the topic, the 2010 *Report of the Regionalization Advisory Commission*,⁸ refers to efforts in 1912 to merge Boston and many of its neighbors into a much larger single municipality. In the hundred years between them, there were dozens of reports on regionalization, its opportunities, and its challenges.⁹ At a national level, there is a decent amount of academic research into the reasons for and results of regionalization.

Despite the popularity of the topic, and with a few obvious exceptions, regionalization efforts in Massachusetts have not produced a large number of successful long-term solutions that could be used as models more broadly. There are definitely some kinds of services and functions where regionalization has proved successful in significant numbers (e.g., regional schools, libraries, water systems, etc.), and there are a few other highly-successful models in different regions of the state (e.g., the Franklin Regional Council of Governments). More recently, regional efforts around dispatch (e.g., the Essex County Regional Emergency Communications Center and the South Shore Regional Emergency Communications Center), public health (e.g., Quabbin Health District), and inspections (e.g., Sterling-West Boylston shared building inspector) have become more common, but many are too new to be able to judge their long-term success.

Given the enormous potential savings and the long history of work around the issue, the obvious question is why Massachusetts does not see a great deal more successful regionalization efforts. Quite simply, the organizational structures, finances, and local culture of Massachusetts all can be obstacles to regionalization efforts. According to the *Report of the Regionalization Advisory Commission*:

“Some of the more notable obstacles and barriers include:

- Human resources: Cities and towns many be challenged by issues related to human resources within their local departments. Some issues may include how to reconcile civil service status, seniority, or benefits between cities and towns*

that want to consolidate or share services. These issues are not exclusive to union employees.

- *Cost to conduct feasibility: In order to consider regionalizing local services, cities and towns may have to conduct a feasibility study just to determine the potential benefits of a shared service or regional function. However, though this analysis is necessary to determine whether or not a particular regional initiative is feasible, municipalities do not have the financial resources available to conduct this analysis.*
- *Financial resources: Some municipalities do not have the financial resources available to cover the up-front costs associated with collaboration or service sharing. Sometimes municipalities will not see an immediate return on their investment. These financial dynamics may impede municipalities from entering into collaborations.”¹⁰*

To this list, the Center would also add the following obstacles:

- **Organizational structure:** In many municipalities, the organizational structure decentralizes authority in a way that regionalizing a service would require the support of, or at least the lack of opposition from, multiple elected boards, committees, and officials. This can make it difficult even in the best of situations, but where there is conflict or distrust, generating the buy-in necessary can be extremely difficult.
- **Local political culture:** In many communities in Massachusetts, the local political culture has evolved in such a way as to view residents of other communities differently than neighbors. This can lead to misunderstandings and distrust of neighboring municipalities.
- **Lack of management capacity:** In many smaller municipalities, which ironically are the ones that can benefit most from regionalization and sharing services, the elected leaders and appointed managers can be so stretched trying to keep together existing operations that there is a lack of time to work through all of the obstacles noted to get to regional solutions. (Furthermore, sometimes small scale service sharing, which may save dollars in the direct service provision, can require significant management time that does not get captured in the analysis of the work.)
- **Lack of statutory tools:** Until recently, the legal tools available for regionalization were relatively limited or entailed significant hurdles. (For example, joint powers agreements, which are common in some other states, are not typically used in Massachusetts.) This has been changing, but the tools available still can be time-consuming and difficult. (See next page for general enabling statutes. A relatively complete list of enabling statutes by department is available on the Division of Local Services website¹¹ and in Appendix 2 of this report.)

Municipality-wide Regionalization Enabling Statutes (For the complete list of Regionalization Enabling Statutes, please see Appendix.)					
TYPE	CITATION	CREATION	GOVERNANCE	FINANCES	OTHER ISSUES
Intermunicipal agreements (IMAs)	40:4A	Agreement by CEOs of governmental units with approval of selectmen, mayor & council or prudential committee Contracting units include cities, towns, regional school districts, improvement districts, regional planning commissions, water & sewer commissions, counties and state agencies Approval of school committee needed if involves supplementary education centers and innovative educational programs	By agreement	By agreement	Units may jointly perform, or have one perform on behalf of others, any service, activity or undertaking any unit can perform 25 year maximum
Joint performance of services	43C:15				Consolidated municipal departments (finance, inspections, community development) may participate in IMA

For all these reasons, there are no fully regionalized examples of the three major non-schools departments in Massachusetts municipalities (i.e., police, fire, and public works), other than a few very small towns in the more rural parts of the Commonwealth.

There are plenty of regionalization successes, but they are typically for smaller services or in places with particularly striking challenges of scale. Perhaps the best example that encapsulates both of these is the Franklin Regional Council of Governments (FRCOG), which provides the following services (table taken from the *Report of the Regionalization Advisory Commission*¹²):

SERVICE	DESCRIPTION	FUNDING SOURCE
Administration and Finance	Oversight of organization; advocacy;; special projects; workshops; agency-wide expenses	Membership assessment; administrative fees
Community Coalition for Teens	Teen Pregnancy and substance abuse prevention program	State and federal grants
Franklin County Cooperative Inspection Program	Building; plumbing and wiring inspection for 18 member towns	Assessment based on permit activity
Collective Purchasing	Bidding and contracting of highway products and services and fuel for 21 towns inside and outside of Franklin County	Population-based fees
Municipal Accounting	Municipal accounting services and software via license agreement to 8 towns	Assessment based on average number of service hours per week
Regional Planning Agency	Economic development, land use, natural resources, transportation and GIS services for the region and the towns	State and federal grants
Regional Health	Professional health agent services for 8 local boards of health	Assessment based on historical or estimated use
Regional Nurse	Clinics and communicable disease response for 3 local boards of health	Assessment based on an agreed-upon scope of work
Regional Preparedness	Regional Emergency Planning Committee, board of health emergency planning services, fiduciary for Western Regional Homeland Security Council, emergency communication system oversight	State and federal grants

One important note about regionalization efforts generally. Although there is limited research on this in Massachusetts, in the project team’s observation, regionalization is most often framed as an attempt to improve efficiency and lower costs, whereas it may be as productive (or more productive) as a mechanism to improve effectiveness. The South Shore Regional Emergency Communications Center is a good example of this. While it has not provided the reductions in costs anticipated, the towns participating have seen an improvement in the level of service.¹³

Finally, there is another kind quasi-regionalization worth noting here: sharing of services between the Town and Schools (and ensuring full effective sharing of services within Town departments). As will be discussed later, the Town has already been moving in that direction with the recent work on consolidated Town-Schools facilities management.

Swampscott Regionalization Context:

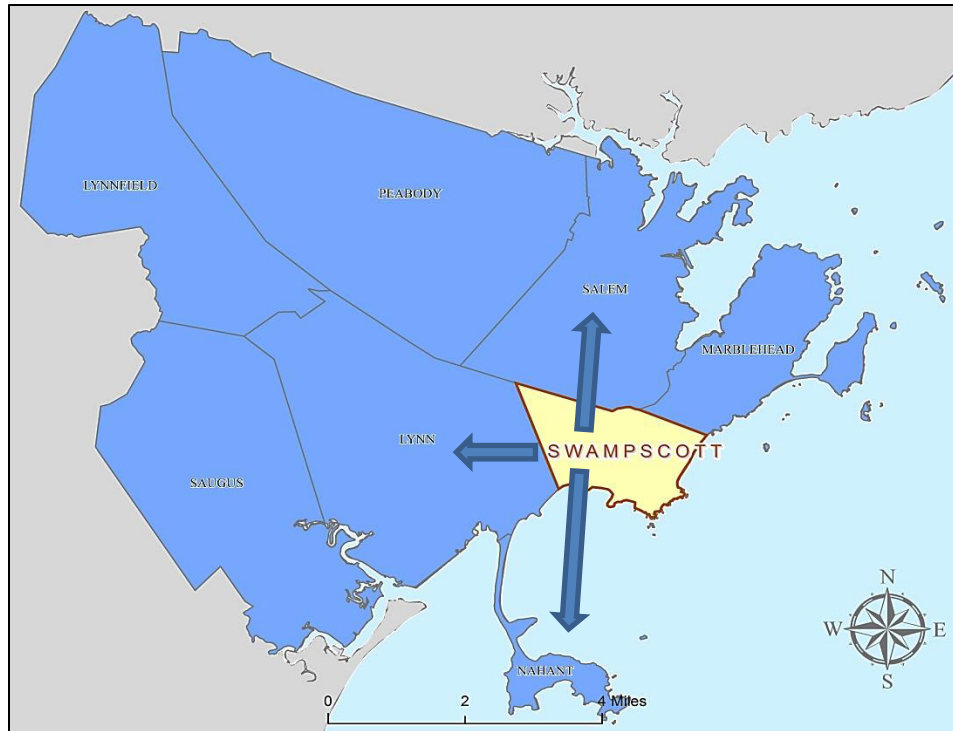
Regionalization is, in fact, not new to Swampscott. The Town itself is already part of quite a few current regionalization efforts. (See table on following page.)

Examples of Existing Regionalization Efforts in Swampscott				
Department	Services	Towns	Date Began	Notes
Police and Fire	Dispatch	Lynn	1994 (fire) and 2011 (police)	The City of Lynn provides dispatch service to both Swampscott's Police and Fire Departments.
General government	Procurement	Salem	2010	The City of Salem has provided procurement services for the town since 2010.
Schools	Education	Nahant		The Town of Nahant pays tuition costs for students in grades seven through twelve (about 150) to attend Swampscott Schools.
Schools	Vocational Education	Essex County	1913	Swampscott students attend Essex County's regional technical high school (founded in 1913).
Water/Sewer	Treatment	Lynn, Nahant, and Saugus	1985	The Lynn Water and Sewer Commission is quasi-public entity created in 1982 (service beginning in 1985) that provides waste water treatment for the town.
Library	Library network	Many	1980	The library is part of the North of Boston Library Exchange (NOBLE), which includes 28 area libraries, of which 17 are public libraries, and which was started over 30 years ago.

There are also smaller arrangements that occur between Swampscott departments and their peer departments around. For example, the fire department collaborates with neighbors to obtain hazardous materials training for multiple departments simultaneously.

In addition to those current arrangements, there have been several recent regionalization efforts the Town has participated in that have not been maintained for one reason or another:

- Building Inspector Services with Salem: Salem provided building inspector services to Swampscott beginning in 2010 until the hiring of their current Inspector of Buildings.
- Solar Energy with Salem: During 2013, the Solarize Mass Salem-Swampscott program helped increase the adoption of solar electricity by business and residents in both towns by offering savings through a better pricing structure.



Towns with existing regionalized service agreements with Swampscott.

It is worth noting that the Town has formal existing relationships with two of the three abutting municipalities (i.e., Lynn and Salem). Marblehead is the only abutter with which Swampscott has been unable to develop some kind of regionalization effort. Because regionalization does require willing partners, it is a positive sign that two of the three of the Town's neighbors have been willing to work together with Swampscott on these efforts. (The project team was told by multiple sources that the Town has approached Marblehead in the past but never received interest in sharing services.)

Prior to engaging with the Center for this report, the Town's Regionalization Committee had already been working hard on collecting information and performing analyses relevant to its mission. For example, the Regionalization Committee surveyed residents in July 2014 about how important it is that services be "delivered locally (not by a neighboring town, or through a third-party service). The results of that survey and related charts are available on the Town website.

Another analysis that the Committee performed that needs to be considered as part of this project was to look at the FY13 expenditures by department compared with nearby municipalities. (See chart below.)

FY13	Swpt	Salem	Mhd	Nahant	Winthrop	Lynn	Peabody	Revere	Beverly	Danvers	Lynnfield	Ipswich
Police	242.39	205.61	161.62	382.35	154.29	186.95	183.41	171.81	162.03	230.19	206.90	171.57
Fire	213.87	179.00	151.52	264.71	142.86	171.46	154.15	152.51	136.71	166.04	86.21	120.66
Other public safe	7.13	38.70	65.66	29.41	5.71	14.38	0.00	0.00	10.13	11.32	17.24	29.53
Library	42.77	29.03	50.51	58.82	28.57	9.96	31.22	9.65	43.04	45.28	60.34	41.72
water	256.65	116.11	156.57	294.12	154.29		74.15	100.39	106.33	279.25		221.79
sewer	156.84	171.75	166.67	264.71	251.43		189.27	222.01	210.13	237.74		146.42
trash	78.42	67.73	101.01	117.65	62.86		62.44	69.50	22.78	60.38	60.34	53.94
other dpw	71.29	79.83	95.96	117.65	125.71	100.66	107.32	65.64	134.18	388.68	413.79	178.23
debt service	420.62	183.84	222.22	58.82	57.14	132.74	117.07	106.18	184.81	215.09	267.24	90.63
retirement	263.78	275.76	101.01	176.47	148.57	240.04	156.10	185.33	205.06	150.94	146.55	98.74
schools	1760.89	1260.28	1494.95	1176.47	960.00	1161.50	1252.68	1328.19	1235.44	1260.38	1870.69	1869.33
insurance	349.33	336.24	626.26	323.53	360.00	439.71	257.56	308.88	240.51	400.00	284.48	106.26
other	221.00	280.60	343.43	294.12	182.86	221.24	165.85	250.97	243.04	267.92	189.66	227.70

Although they can help provide general context, the Center project team is wary of these kinds of analyses for several reasons. For example, the choice of comparable communities significantly affects the outcome of the comparison. Not only that, budgeting is handled very different across municipalities, making it hard to pinpoint exactly what amounts have been allocated to what budget. Finally, the functions that a given department provides vary widely from municipality to municipality, making it hard to use comparisons like this to judge efficiency.

Despite those caveats, the project team repeated the analysis the Regionalization Committee performed with FY14 numbers and also added in the state average. The chart below, which compares per capita expenditures among municipalities using the Schedule A data available the state website (which the project team acknowledges is a flawed data set), could be seen as implying that the primary drivers of Swampscott's higher per capita expenditures relative to other municipalities are: education, debt service, and fixed costs, followed by police, fire, and human services.

Municipality	General Government	Police	Fire	Other Public Safety	Education	Public Works	Human Services	Culture & Recreation	Debt Service	Fixed Costs	Intergovernmental	Other Expenditures	Total Expenditures
SWAMPSCOTT	\$ 159.32	\$ 259.31	\$ 227.85	\$ 13.58	\$ 1,838.59	\$ 85.68	\$ 102.40	\$ 48.97	\$ 380.61	\$ 672.27	\$ 39.58	\$ 43.11	\$ 3,871.26
LYNNFIELD	\$ 180.19	\$ 229.84	\$ 90.65	\$ 18.92	\$ 2,016.13	\$ 278.80	\$ 33.11	\$ 65.62	\$ 260.83	\$ 636.61	\$ 33.77	\$ 11.44	\$ 3,855.90
MARBLEHEAD	\$ 105.74	\$ 169.68	\$ 152.69	\$ 23.51	\$ 1,555.80	\$ 228.62	\$ 25.50	\$ 91.91	\$ 236.25	\$ 626.42	\$ 133.12	\$ 33.87	\$ 3,383.11
DANVERS	\$ 327.48	\$ 213.69	\$ 171.46	\$ 15.64	\$ 1,325.88	\$ 202.96	\$ 14.18	\$ 74.31	\$ 200.83	\$ 555.41	\$ 36.21	\$ 73.25	\$ 3,211.29
IPSWICH	\$ 194.22	\$ 193.99	\$ 118.32	\$ 41.05	\$ 1,688.52	\$ 214.10	\$ 40.81	\$ 51.15	\$ 296.53	\$ 184.62	\$ 18.49	\$ 97.68	\$ 3,139.47
SALEM	\$ 119.14	\$ 220.16	\$ 189.92	\$ 39.72	\$ 1,291.91	\$ 102.90	\$ 31.43	\$ 57.56	\$ 178.07	\$ 557.07	\$ 136.83	\$ 127.94	\$ 3,052.65
PEABODY	\$ 90.97	\$ 180.94	\$ 157.65	\$ 3.86	\$ 1,113.93	\$ 447.28	\$ 43.35	\$ 66.37	\$ 108.64	\$ 622.62	\$ 52.78	\$ -	\$ 2,888.41
BEVERLY	\$ 124.00	\$ 171.77	\$ 142.97	\$ 23.24	\$ 1,232.12	\$ 116.22	\$ 37.66	\$ 73.81	\$ 169.67	\$ 450.76	\$ 55.67	\$ 101.93	\$ 2,699.82
SAUGUS	\$ 90.38	\$ 201.46	\$ 141.19	\$ 38.48	\$ 1,057.58	\$ 197.09	\$ 24.86	\$ 25.73	\$ 83.73	\$ 602.86	\$ 102.83	\$ 43.09	\$ 2,609.28
LYNN	\$ 70.34	\$ 217.09	\$ 185.92	\$ 163.48	\$ 1,289.14	\$ 146.93	\$ 14.14	\$ 14.00	\$ 128.10	\$ 319.34	\$ -	\$ 0.36	\$ 2,548.83
REVERE	\$ 149.08	\$ 165.42	\$ 154.92	\$ 7.58	\$ 1,283.89	\$ 139.26	\$ 41.97	\$ 16.61	\$ 107.30	\$ 249.13	\$ 140.06	\$ 14.85	\$ 2,470.07
WINTHROP	\$ 123.70	\$ 162.38	\$ 136.62	\$ 15.58	\$ 958.34	\$ 155.38	\$ 22.39	\$ 28.46	\$ 56.63	\$ 495.49	\$ 36.91	\$ 58.16	\$ 2,250.03
Average	\$ 144.55	\$ 198.81	\$ 155.85	\$ 33.72	\$ 1,387.65	\$ 192.94	\$ 35.98	\$ 51.21	\$ 183.98	\$ 497.72	\$ 65.52	\$ 50.47	\$ 2,998.34
Difference with Swampscott	\$ 14.77	\$ 60.50	\$ 72.00	\$ (20.14)	\$ 450.94	\$ (107.26)	\$ 66.42	\$ (2.24)	\$ 196.68	\$ 174.55	\$ (25.94)	\$ (7.37)	\$ 872.92
State Average	\$ 204.83	\$ 188.29	\$ 120.68	\$ 45.14	\$ 1,504.85	\$ 268.55	\$ 41.09	\$ 62.71	\$ 199.82	\$ 368.30	\$ 56.50	\$ 111.77	\$ 3,172.50
Difference with Swampscott	\$ (45.51)	\$ 71.02	\$ 107.17	\$ (31.56)	\$ 333.74	\$ (182.87)	\$ 61.31	\$ (13.74)	\$ 180.78	\$ 303.97	\$ (16.92)	\$ (68.66)	\$ 698.76

METHODOLOGY

Data Collection and Analysis

The Center approached a number of departments to collect data that pertain to their service levels and workload. The project team collected data from the Police Department, Fire Department, Building Department, and the Department of Public Works. The data collected serve as the basis for service level data included in the report's departmental profiles. In addition, the project team has collected and reviewed a number of reports and previous analyses that help build a foundation for the existing state of services in the town. For a list of reports and documents reviewed, please see Appendix 1.

Interviews

The project team conducted seventeen formal interviews, as well as four follow-up interviews. These interviews include department heads, select board members, an administrative assistant, and the town administrator. These interviews, as well as data collection and numerous follow-up visits to the town, constitute the major source for the report's departmental profiles, recommendations and other opportunities.

Survey

The project team developed and administered a survey of the Town's Department heads. The survey aims were to collect data on a department's existing service delivery model and on cost-saving, innovation, and other departmental concerns. The study team collected all 14 surveys for a survey response of 100%. The data collected serves as a supplement to the service level data included in the report's departmental profiles. A sampling of the survey data can be found in each relevant departmental profile, and the full survey instrument is available in Appendix 4.

The departments represented in the survey are:

- | | | |
|--------------------|------------------------|-----------------------|
| • Accounting | • Recreation | • Health |
| • Personnel | • Police | • Building |
| • Library | • Public Works | • Treasurer/Collector |
| • Assessors | • Town Clerk/Elections | • Planning |
| • Council on Aging | • Fire | |

Review of Regionalization Literature

The project team also reviewed literature on regionalization, including:

- History of regionalization literature;
- Main theories/thought leaders;
- The difficulty of applying national context to a region-specific context; and
- Massachusetts context and the 2010 Regionalization Advisory Commission Report.¹⁴
- Survey of Massachusetts and national examples of regionalization efforts by department.

For a complete list of the literature reviewed, please see Appendix 1.

FINDINGS AND RECOMMENDATIONS

Overview

This section begins with Town-wide findings and recommendations. Following these, each department is discussed in more detail, including its background and strengths, opportunities for regionalization, and additional (i.e., non-regionalization) opportunities that the project team has identified.

1. Town-wide Opportunities

Throughout the course of this work, the project team has identified a variety of opportunities for potential improvements in efficiency, effectiveness, etc. that do not fit into a single department and/or do not fit into discussions of regionalization or alternative service delivery. Some of these opportunities also reappear within individual departments' profile.

1. Use of technology

A full IT assessment for the Town was beyond the scope of this report, but there are several issues worth addressing briefly.

Updating Information Technology (IT) is a challenging task for organizations of all sizes and across all sectors. Not surprisingly, it is increasingly critical to municipal governance as more IT tools become available and resident expectations for services increase. Research has shown that as residents become more tech-savvy, they expect their local governments to do the same.¹⁵ Even more importantly, the effective adoption of IT solutions can create major gains in the efficiency and effectiveness of local government services.

First, the project team notes that the Town has recently taken a significant step toward improving the state of its IT in creating a full-time Director of Information and Technology position. Having someone dedicated to IT is critical for an organization of the size and complexity of the Town and has the potential to improve both the efficiency and effectiveness of operations over time. Prior to this position, the IT work was performed by the Treasurer/Collector, who mostly addressed IT-related issues on weekend days.

The project team also notes that the Town is moving in the direction of online billing for more transactions and has plans to continue in this direction. This is critical, both for the efficiency gains it creates in removing people and paper from processes, and from a customer service perspective, given the public's expectations.

Another area for potential improvement in technology use has to do with the Town's primary financial management software, Munis. The Town recently upgraded its Munis software to Version 10.5. With this new upgrade, the software package has the capability to do more than it is right now. Opportunities for expanded use include the move to the Job Pay System in payroll that allows for quick updating of employee pay and job roles based on their CBA, as well as a more integrated interface allowing staff to move between modules more efficiently, among others. To take advantage of those opportunities, however, the Town will have to expand the training provided to staff.

Recommendation 1.1: Add to the number of online transaction opportunities available to the public, improve training on and access to Munis, and generally continue the progress recently begun on upgrading the Town's information technology capacity.

2. Payroll processes

Beyond these technology issues, there was one critical and regular process that is inefficient and could be improved through better use of technology. The payroll process is riddled with inefficiencies and inconsistencies.

Each week, there is a Munis Crystal Report that is printed out on 11x7 sheets and delivered to each department with employee salaries pre-filled out and hourly employees listed but not filled out. Any alterations (e.g., overtime, vacation pay, etc.) are manually written onto the report and then sent back by to Town Hall signed by the department head.

Although common in municipalities across the Commonwealth, this process duplicates data entry work, increasing the time devoted to payroll and the number of opportunities for mistakes. The project team estimates that streamlining this process via technology could save 0.2 FTEs of the four FTEs in the Treasurer/Collector's office (or 5% of the total office time). Freeing up that time would allow for the office to improve their other services without costing the Town anything. Furthermore, fixing payroll would likely free up time in other departments around the Town in a variety of ways.

There are additional areas for improvement in the payroll process, although implementation will require collaboration with staff and unions. For example, there are remain staff (e.g., administrators, custodial staff) for whom payroll is still on a weekly schedule, while most towns are moving toward bi-weekly schedules to improve efficiency. Additionally, the current payroll system does not allow for employees to keep track of benefits, such as vacation, sick, and personal time remaining.

Finally, although approximately 85% of Town employees participate in direct-deposit, there are still some holdouts. For the sake of efficiency, the Town may want to consider incentives (carrots and/or sticks) to move the remaining staff into direct-deposit.

A payroll re-design process should start with a meeting of all the parties involved in the payroll process to discuss the issues at each step along the way and to take suggestions for improvements.

Recommendation 1.2: Streamline payroll process by removing paper entry, adding benefit day tracking to pay stubs, and continuing to move remaining staff holdouts to direct deposit.

3. Data collection, analysis, and performance management

There is significant opportunity for Swampscott to become more data-driven. Some of this is dependent on the implementation of new information technology as previously noted, but it also requires training and, sometimes, a change in organizational culture.

A good example of this involves the decision about when and how to replace a vehicle. When a vehicle is aging and requires significant maintenance, the Town has (at least) three options if it wants to maintain the same number of vehicles in service. It can pay for maintenance on the existing vehicle, it can purchase a new vehicle, or it can lease a new vehicle. Each of these obviously has pros and cons. The

question is whether, when a decision like this faces the Town, the Board has the necessary data and information to weigh these options and make the most cost-effective decision for the community. Getting these types of reports and analyses depends on whether there is both the data and someone with the skills and time to do this analysis.

In multiple departments, the project team encountered officials who were interested in using more data to manage their operations, but lacked the technology and/or time to move forward. In several departments, there is already a baseline of data collection in place, although it will take time improve the quality of the data collected and to develop a comfort level with using the data for operations and reporting. (This topic will be revisited in the departmental sections of the report.)

Recommendation 1.3: Increase use of data in operations and management.

4. Customer service experience

When a member of the public arrives at Town Hall to take care of some piece of Town-related business, that person should know exactly what steps he or she will have to take, where to go to take those steps, and what forms or documents will be needed. The greater the percentage of people who meet that description, the easier it will be for those services to be delivered quickly and effectively. In order to increase the public's awareness, there are several mechanisms for providing more and better information.

The physical layout of town hall is not designed for a modern municipal government. (For more on this, see 6. *Town hall layout*.) With regard to customer service, the entrance of town hall only provides a basic list of departments and floor numbers. Given the multi-departmental appearance of many transactions, it can be difficult for people to know where to go for certain kinds of business. This means that they can easily end up lost and/or asking at the first department office they encounter. This can lead to both wasted time and frustration. One helpful way to alleviate this somewhat would be to provide signage at each entrance that not only tells exactly where different departments are located, but which departments handle which of the most common tasks. A longer-term solution that could be even more helpful (but also more challenging to implement) would be finding a senior tax work-off program participant, volunteer, or intern to act as a town hall greeter, providing clear and quick guidance for where visitors need to go for what. However, there are two challenges to making this work: (1) Finding someone with the right temperament to take up such a position, and (2) Providing the person with sufficient training to be able to do the job well. This is a situation where providing this service poorly would actually be significantly worse than not providing it all.

At the same time, the main homepage of the Town's website could benefit from improving the "Where do I Go?" section to have more tailored information. Right now, there are some useful specifics (e.g., "Beach Stickers (Purchase Online)"), but most of the options are too vague (e.g., "Permits and Licenses" takes the user to a long list of forms and documents, some related, and some not). It should be possible to use web analytics to determine what items the public seeks most and to put user-friendly information about those topics front and center on the site.

It is also the understanding of the project team that navigating the phone system can be cumbersome at times and frequently leads callers to ask questions of the town clerk's office and the town administrator's office that should have been directed elsewhere. Upgrading this system could both improve customer service and free up staff time that is currently being used redirecting phone calls.

Finally, while the Town is probably too small to develop and maintain its own 311 system, exploring a regional 311 system could be a cost-effective way to increase the Town's ability to collect information from and provide information to the public. A 311 system is a centralized call and electronic contact center, designed to handle nearly all of a municipality's non-emergency service requests, individual constituent questions (e.g., tax or citation questions) and a provider of general information (e.g., trash pick-up times). Several larger Massachusetts municipalities (e.g. Boston, Springfield, and Somerville) have developed robust 311 systems. There is also a small regional 311 serving the towns on Martha's Vineyard, in partnership with the Dukes County Sheriff's Office, as well as increasing interest in regional 311 through feasibility studies.¹⁶

Recommendation 1.4: *Improve customer service experience by providing more and clearer information across formats (e.g., physical signage in town hall, phone system, and website).*

Recommendation 1.5: *Consider the potential of a regionalized 311 system.*

5. Cross training of clerical/admin staff

Cross-training of administrative employees makes sense not only because it can provide better services to the public, allow more flexibility day-to-day, and provide back-up to functions in the case of emergencies or unexpected absences, but also because the workload of many departments is cyclical, with peak workload occurring at different points across the year and with different frequencies.

Cross-training can improve customer service and cut down on the time spent responding to frustrations of residents who were not able to get the answers they needed on an earlier visit or call. It provides an additional mechanism for support when departments are temporarily understaffed or face a surge of work. It can also lead to new ideas, as best practices for customer service, forms, data collection, etc. are shared among departments. Finally, understanding the work and challenges of other departments can contribute to a shared sense of mission among staff.

In the particular case of Swampscott, many departments are operating with only one administrative professional. Others have none. (See table on following page.) Given these numbers of departmental administrative support, cross-training can be an important tool for smoothing out provision of critical administrative support services in the event of temporary absences or departures of staff.

Administrative Employee Count				
Department	FT	PT	Admin Base Salaries*	Notes
Assessing	1	0.5	\$72,996	
Accounting	0	0	\$0	
Council on Aging	0	0	\$0	
Town Clerk	1	0	\$48,352	
Dept. of Public Works/Building and Grounds/Enterprise Funds	2	0	\$96,307	This figure is from 2014.
Health	1	0	\$48,355	
Administrator's/Selectmen Office	1	0	\$64,000	
Fire Department	0	0	\$6,328	
Building Department	1	0	\$48,316	
Library	0	0.5	\$21,825	"Secretary" in one part of budget; "Secretary/bookkeeper" in another.
Technology	0	0	\$0	
Personnel	0	0	\$0	
Veterans Agent	0	0	\$0	
Planning	0	0	\$0	
Treasurer/Collector	2	0	\$96,706	
Police Department	1	0.5	\$72,730	
Harbormaster	0	0	\$0	
Recreation	0	0	\$0	
Emergency Management	0	0	\$0	
Town Counsel	0	0	\$0	
	Grand Total	10	1.5	\$479,608
	Total in Town Hall	7	1.5	\$385,053
<i>* Does not include additional compensation or benefits</i>				

There is always some natural cross-training that occurs as employees help each other out when one department is overwhelmed with work. Given the proximity and overlaps in knowledge between the administrative staff in the Town Clerk's and Treasurer/Collector's Offices, there are numerous daily opportunities for assistance between departments. However, the Town should make cross-training a part of the regular activities of Town operations. (That may mean some negotiations with collective bargaining units, which would hopefully see the value to their own members of such an arrangement.) The goal should be that all Town Hall staff are able to answer frequently-asked questions about the processes and issues handled in other Town Hall departments, and eventually to handle many of the simpler ones. (There will always be specialization for higher-level operations of each department.)

Swampscott faces a particularly challenging environment for cross-training, given the layout of town hall. (For more on this, see 6. *Town hall layout*.) Nevertheless, this potential should be explored, given the potential benefits for customers and staff.

Recommendation 1.6: Increase cross-training among administrative staff.

Another opportunity may be to increase the number of shared administrative staff across town. Currently, the Health Department shares some of their Administrative Assistant's time with the Recreation Department, with Recreation receiving an average of five hours a week in support. This mostly informal arrangement has been in place for over ten years. However, this support does not cover the wide range of clerical and analytical support increased administrative support could offer the department. Indeed, increased cross-department support could provide much needed clerical and analytical support to a number of under-covered departments, particularly departments whose seemingly-overlapping mandates provide regular interaction, such as Building, Planning, Assessing, and Zoning Board of Appeals.

Recommendation 1.7: Investigate shared administrative staff for departments handling related services or functions.

6. Town hall layout

Unfortunately, as beautiful and historic as town hall is, the building is not well-suited for a modern municipal government operation. With different departments separated by doors and hallways, there is less of the informal exchange of information by people sitting next to each other may reduce miscommunication and lead to faster solutions to everyday issues that arise.

Additionally, as noted, the physical layout of the building makes more difficult the potential cross-training of staff on some basic duties of other departments, and makes it harder for people to find the information and services they are seeking.

There is not likely to be a cost-effective or short-term way to deal with this challenge. However, in the event that either funding or other location opportunities became available, it would be worth considering the potential gains in efficiency and effectiveness.

Recommendation 1.8: Look for opportunities to restructure town hall or to obtain an alternate location for town hall.

7. Retirement system

While a full analysis of the Town's retirement system is beyond the scope of this project, the Town's retirement system is theoretically a potential candidate for regionalization.

The Town is one of only 84 Massachusetts municipalities to maintain its own retirement system, as opposed to joining a regional system. Moreover, only six municipalities with smaller populations than Swampscott maintain their own systems, and Swampscott's system was the tenth smallest by market value of Massachusetts municipal retirement systems as of 2014. (See table on following page.)

Retirement System Data (as of 2014) – Smallest Towns Compared with Benchmarks ¹⁷								
Size Rank	Municipality	2010 Population	2014 return	5-year return	30-year return	Funded ratio	Market Value (millions)	County
1	MONTAGUE	8,437	8.17%	10.07%	9.34%	74%	\$34.40	Franklin
2	ADAMS	8,485	1.10%	7.27%	8.08%	77%	\$32.10	Berkshire
3	MAYNARD	10,106	9.93%	10.65%	8.11%	64%	\$37.00	Middlesex
4	HULL	10,293	8.23%	9.97%	8.05%	54%	\$38.00	Plymouth
5	CLINTON	13,606	8.29%	9.75%	7.83%	60%	\$39.50	Worcester
6	NORTH ADAMS	13,708	12.28%	11.82%	9.98%	65%	\$56.30	Berkshire
7	SWAMPSCOTT	13,787	9.23%	9.85%	9.29%	44%	\$44.50	Essex
8	NORTHBRIDGE	15,707	8.20%	10.17%	9.58%	65%	\$28.90	Worcester
9	FAIRHAVEN	15,873	8.25%	10.07%	9.54%	74%	\$50.70	Bristol
10	EASTHAMPTON	16,053	8.23%	10.06%	8.43%	71%	\$43.30	Hampshire
	ESSEX	743,175	9.33%	10.55%	8.94%	48%	\$370.60	Essex
	STATE	6,547,817	8.26%	10.16%	9.69%	68%	\$74,300.00	n/a
	COMPOSITE	n/a	7.81%	10.08%	9.43%	???	???	n/a

Despite Swampscott being on the smaller end of the spectrum, the potential financial gains from regionalization may not be enough to justify it. In terms of its rate of return, the Swampscott system's results appear to be roughly on par with the Essex County Regional System and the State system. A large part of the reason for that may be because roughly 75% of the assets are invested with PRIT (Pension Reserves Investment Trust Fund), which is a "pooled investment fund that invests the assets of the Massachusetts Teachers' and State Employees' Retirement Systems, and the assets of county, authority, district, and municipal retirement systems that choose to invest in the PRIT Fund."¹⁸

Given the comparable returns and the heavy reliance on PRIT, there are two other questions that could be analyzed to determine whether the current standalone approach or regionalization makes more sense: (1) Is the current system less efficient in terms of overhead and management fees than joining a regional system? (2) What are the service impacts and risks of the standalone approach?

On the efficiency question, the project team notes that the Swampscott system overhead primarily consists of 1.5 FTEs. The system utilizes space in town hall. In terms of management fees, comparing these would require a deeper analysis of the fees that PRIT charges the retirement system and the fees that the system pays to the managers of the remaining (i.e., non-PRIT) investments. Such analysis is beyond the scope of this report.

On the service impacts question, there are positive and negative sides to the current approach. One of the pros is that employees and retirees have access to retirement system staff in town hall to answer questions as needed. On the flip side, given that there are only 1.5 FTEs for the system, there is inherent risk of continuity of services in the event of the departure of those staff. This was essentially what prompted the Athol retirement system in 2014 to disband and join with the Worcester Regional Retirement System via a special act of the legislature (Chapter 360 of the Acts of 2014). The prolonged illness of the system's administrator exposed the challenges of managing such a small system locally.

When those factors are all taken into account, the case for regionalizing is not a clear one. Because of that, the best approach may be to take up the issue of a regionalized retirement system at regular intervals to analyze at a deeper level of whether it would be more advantageous to join a larger system, including comparing rates of return and overhead costs with regional systems.

Recommendation 1.9: Review performance and costs of retirement system periodically to determine if remaining as stand-alone system is optimal approach.

8. Shared Town/School facilities position

The project team understands that the Town and Schools are moving ahead with a shared facilities manager position. This is an important step that many municipalities are taking. Although it may entail an increase in costs over the short-term, it has the potential to save significant amounts and improve the quality of Town (and Schools) services over the long-term.

Savings and improvements arise in several ways. First, under the current arrangement in Swampscott, for many facilities-related projects department heads are the de facto project managers, something that they were never trained to do and that takes away time from managing their departments. Second, with each department managing a piece of the Town's property, opportunities for better bids on facilities contracts are being lost, and differing parts of the Town are getting varying service from contractors. Finally, without a facilities manager, maintenance is more likely to be reactive than preventative, leading to higher-cost repairs and shorter facilities lifespans.

As the Commonwealth puts it in its own facilities maintenance directive: "The goal of the Preventive and Scheduled Maintenance Standard is to effectively and efficiently support the life cycle of the facility by eliminating unplanned shutdowns and realizing life-cycle cost savings. This high-level goal will be achieved by accomplishing the following:

- Maintenance of a safe, healthy, and comfortable environment for occupants.
- Replacement of system components at the appropriate time to ensure cost-effective, reliable plant operation.
- Prolong equipment life and maximize the productive lifespan of the building.
- Maximize building efficiency.
- Optimize inventory control.
- Lower operating costs and control large spending spikes by avoiding a deferred maintenance approach and incorporating a planned budget approach.
- Protect the Commonwealth's capital investments. Childcare centers, hospitals, correctional facilities and any other specialized facilities must comply with specific requirements set forth in regulatory standards, and addressed in facility-specific supplements to the FMMS."¹⁹

Even as the Town and Schools move toward a shared facilities position, both should be on the lookout for opportunities to regionalize these services with neighboring municipalities. The towns of Hamilton and Wenham, along with the Hamilton-Wenham School District, have been studying a shared facilities manager for several years now²⁰, but they have not managed to reach agreement on how to move forward. In Swampscott's case, given that the Town and Schools are just now constructing a shared facilities manager, there may be the opportunity further down the road to expand that facilities management function by finding a regional partner, but not at this time.

Recommendation 1.10: Continue to move toward a shared Town/School facilities department and be consider longer-term opportunities for regionalization of this function.

9. Succession planning and analyses of departmental staffing needs

As detailed in their respective sections, the Town's three largest municipal departments (i.e., police, fire, and public works) all have cohorts of staff with significant years in service to the Town. This situation has major impacts on both costs and services provided now, and it poses both a threat and an opportunity in the future.

Currently, these departments are benefitting from the high levels of experience and institutional knowledge that the long-serving cohorts provide. At the same time, long-serving employees are higher cost employees, both directly (through higher salaries) and indirectly (through receiving larger amounts of benefit days that either require backfilling or reduce departmental capacity). As a result of these more senior cohorts, these departments (and potentially others in Town that the project team did not analyze) may be facing relatively higher current personnel costs.

In the future, the risk is that the institutional knowledge of long-serving employees is lost, if succession planning is not carefully considered. The opportunity is to systematically analyze the impacts of the departures on future personnel budgets and to look for long-term opportunities to smooth out the increases in personnel costs.

Understanding the likely long-term staffing levels and demands may also make future opportunities for regionalization easier to take advantage of, because it will give the Town more lead time to develop appropriate plans for those opportunities.

Because this will require a long-term planning, it may be helpful for it to be in the purview of an ad hoc committee that will have the time and mandate to focus specifically on these issues.

Recommendation 1.11: Create ad hoc committee to study succession planning in major departments and make specific recommendations for staffing and contractual changes to be made in conjunction with retirement of cohorts of senior staff.

Additionally, the question was raised to the project team about the level of overtime (OT) spending in various departments. OT in municipal government is unavoidable in some circumstances. (For example, backfilling to meet minimum shift requirements in the event of sickness.) As such, OT is explicitly budgeted for in annual budgets, usually building from previous budgets or expectations of new programs and funding. However, the level of OT above expectations is inherently a management issue. The typical department has strategies to reduce OT available to them (e.g., capping daily or weekly vacation time to maintain minimum staffing levels). Unfortunately, many departments across the Commonwealth do not maintain the data necessary to analyze and manage OT on a granular level. Maintaining this level of data can help the department assess whether certain categories of benefit time (i.e., vacation, sick, or personal time) are key drivers of OT. They can also identify patterns of particular shifts, days of the week, or months of the year related to these drivers.

Looking at the public safety departments, Swampscott police currently maintains daily OT data, with records dating back to FY12. (During FY13, the department also conducted a week-by-week analysis of OT due to injuries and staffing vacancies.) However, the daily data is tracked by rank (not by individual

officer), does not track the cause of the OT incurred, and is often done retrospectively, not during the day the OT was incurred. Swampscott Fire does not maintain any systematic records of OT causes, favoring a methodology for modeling the department's OT risk given current staffing levels. The system factors in total hours of sick, personal, and vacation time provided in the current collective bargaining agreements and derives the total resultant OT cost that these hours will create. Using this figure, the department can build an expectation of OT for a given period and track against these expectations.

Given the lack of a targeted OT tracking system, the departments should begin tracking OT categories and the hours, dollar amounts, shifts, date, time and employee(s) that correspond to those categories: What caused the drop below minimum staffing guidelines: sick time, personal time, vacation time or injuries? How much backfill resulted? Were there other causes of OT: training, "hold-overs," etc.?

With this data, the department can build a picture of patterns in OT and which categories are major cost drivers:

- Are there are patterns in average OT/backfill totals on certain days of the week, times of day, or months?
 - Days of Week: Saturdays (in conjunction with Sundays and Fridays) are often high in every category.
 - Months: Look for seasonality, particularly with IOD, to look for abuse.
 - Shifts: Look to see if there is more overtime on one shift compared to others. Inquire whether someone was out IOD on this shift, whether the shift has more senior officers (hence with more days off), etc.
- Are there other costly categories, and should these group as an "other" category or remain on their own? Certain categories (e.g., back-fill and hold-overs) should correspond to call volume. Does this pattern hold?

Pulling together these patterns and identifying gaps where increased staffing could most effectively reduce OT, it should be possible to model alternative scenarios. This could include differential staffing models to alleviate OT for certain shifts.

Furthermore, this level of data can lead to an assessment of whether the department's resources would be best employed in either continuing generally with current staffing levels at the cost of incurring overtime or increasing the number of personnel. This Overtime vs. Hiring analysis hinges on the idea that there is a certain "tipping point" at which the cost of current OT and the cost of additional personnel are equal. As long as the department is below that tipping point, current staffing levels are prudent from a financial standpoint. At the point the department exceeds that level, it may justify the cost of additional personnel.

Once the department has collected sufficient data on OT use (ideally, at least a year's worth), it should be possible to go through each shift and note what impact a hypothetical additional employee or employees would have had. Completing this analysis will show many dollars in OT the additional employee or employees would have saved. (There are additional complexities to this. For example, new employees themselves receive training, vacation time, sick, time, etc., so not every hour of their time will be available to offset OT.)

The other critical step is to determine the total cost of a new employee, including not only salary, but also all benefit costs (e.g., health care, retirement, OPEB, etc.). Typically, for analyses, municipalities use a percent of salary as a way to estimate the total cost. For example, a municipality might decide that the

total benefit costs are 35% of the salary, so when comparing OT to hiring, it would be important to compare the costs of OT to 135% of the cost of each additional person hired. The project team was not able to determine what number Swampscott uses for this type of analysis.

Once the department has both the potential savings and potential costs of a new employee or employees, it will be possible to see whether it makes financial sense to increase staffing or continue at current levels of OT use. (Note that there are also plenty of non-financial impacts that may factor into the decision. This analysis is just about financial impacts.)

Recommendation 1.12: *Analyze spending on overtime compared with the fully loaded cost of hiring additional staff in major departments to determine which is more cost effective.*

2. Police

Mission:

The Swampscott Police Department is a community-oriented police department, committed to providing professional service to all, with fairness, compassion and respect, regardless of religion, age, race, color, creed, nationality or lifestyle. Working in concert with the community we endeavor to prevent crime, protect life and property, and preserve the peace, order and safety in Swampscott. We nurture public trust by holding ourselves to the highest standards of performance and ethics.

Staffing Information (FY16)

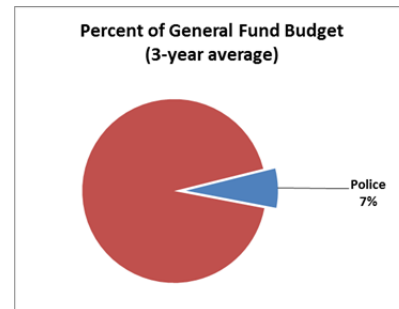
The department has 32 sworn officers:

- 1 Chief
- 1 captain
- 4 lieutenants
- 6 sergeants
- 20 patrol officers

Other staff:

- 1.5 administrative assistant FTEs
- 0.5 “matron” FTEs

Budget Information



Top Five Services/Functions Provided by the Department

Services/Functions	Public Protection	Crime Prevention	Family Services	Traffic Management	Preserve Order/Peace
Approximate % time spent...	20	20	20	20	20
Approximate % budget spent on...	20	20	20	20	20

General Background:

The Swampscott Police Department serves the Town via 4/2 staffing schedule, which means that each officer works four days and then has two days off. Each shift is eight hours and includes three officers and lieutenant in the role of shift commander. Of the three officers on each shift, two are out on the street in the Town’s two patrol sectors. The third is often at the desk, answering calls to the department’s business line, handling walk-ins, and completing reports and paperwork. However, when extra assistance is needed, the desk officer leaves the station and provides that help. In addition, the chief, captain, and administrative assistants typically work within regular business hours. The department has two detectives, although one spends a significant portion of time on court duty. Additionally, the department has one school resource officer dedicated to the Swampscott Schools and funded by the School Department.

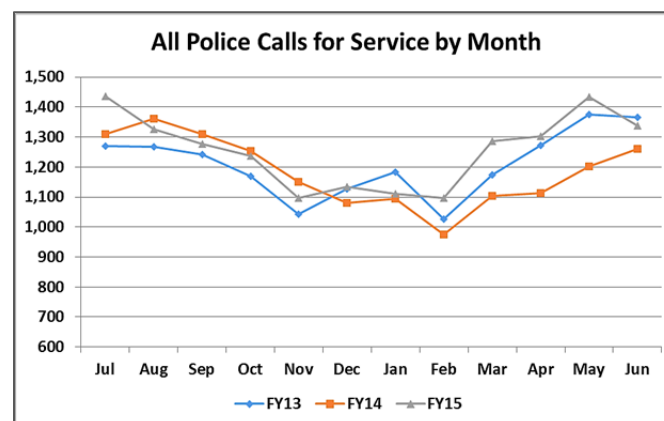
As with most police departments, the range of issues that the department responds to is wide, including such varying issues as animal attacks, motor vehicle accidents, domestic disturbances, fights, reports of suspicious activity, shoplifting, breaking & entering, and much else. (See table on following page for Top 10 Call Types in FY13-15.) The calls can also be broken down by the type of criminal activity that they entail, according to the FBI’s National Incident-Based Reporting System (NBIRS), which breaks crimes into “Group A” and “Group B.” Using that breakdown, the largest number of crimes in Swampscott over

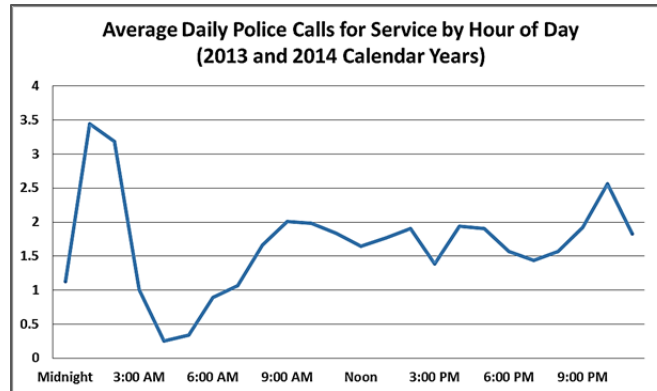
the three year period from FY13 to FY15 were “Crimes against property,” which includes crimes like arson and burglary, but also embezzlement and fraud. (See below for breakdown of police department calls broken down by NIBRS category.)

Top 10 Police Department Call Types (FY13-FY15)			
Rank	Call Type	Number	Percent of Total
1	Motor Vehicle Stop	6,821	15.57%
2	Building Check	6,161	14.07%
3	Check Area	4,242	9.69%
4	Park and Walk	3,379	7.71%
5	Alarm	2,674	6.11%
6	Medical	2,674	6.11%
7	Motor Vehicle Parking Problem	1,767	4.03%
8	Designated Traffic Enforcement Post	1,595	3.64%
9	Suspicious Activity	1,415	3.23%
10	Other General Service	984	2.25%
Total Percent from Top 10 Call Types			72.40%

Police Department Calls Grouped by Category (FY13-FY15)	
Category of Call	Number
Group A: Crimes Against Persons	508
Group A: Crimes Against Property	1,227
Group A: Crimes Against Society	15
Group B Crimes	278
Other calls for service	41,771

The project team broke down available calls for service data in several ways in order to look at patterns of call volume. Looked at by month, there is clear season variation in the calls for service. Broadly speaking, the department receives more calls for service in the summer than the winter, with spring and fall coming somewhere in between. In terms of hour of the day, there is a major spike of calls for service right after midnight, followed by a similarly large drop. When the numbers are broken down further, much of the initial late night spike is building checks, premises checks, and well-being checks. Other than building checks, calls for service do seem to be lowest between midnight and 6 am. After that, call volume seems to be more or less steady throughout the course of the day.



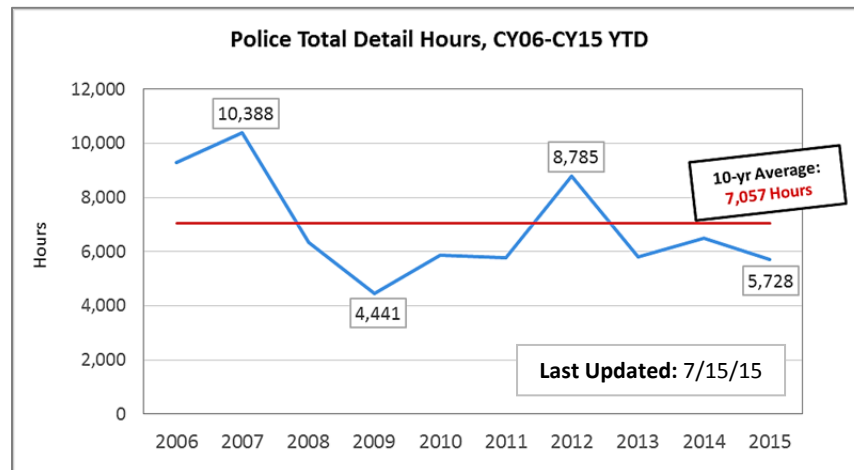
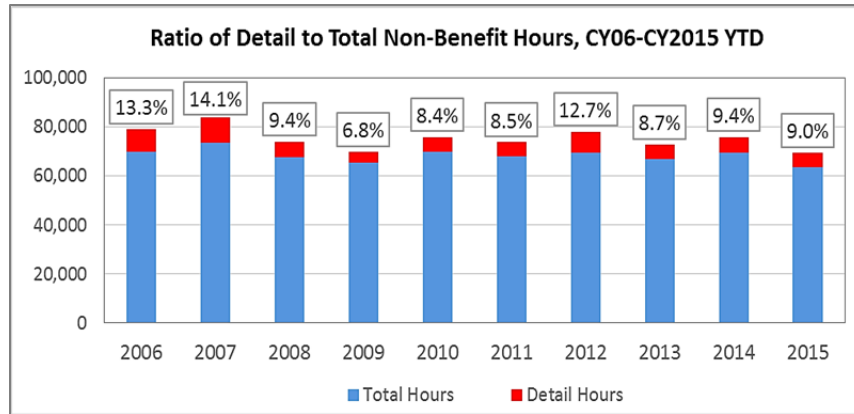


In addition to responding to calls, the department provides many additional services. For example, all department detectives investigate criminal cases, one detective serves as school resource officer providing security for the school community and a mechanism for the schools to interact with police in a non-confrontational setting, and another detective sergeant serves the court officer.

The police also handle details, of which the department estimates that about 90% are for utility company work in Swampscott and that sporting events account for much of the rest. The Town charges a 10% administrative fee on top of the overtime cost for the officers. Given the payment structure, these details have no direct cost to the Town and may in fact be a slight net gain. The department also notes that there are no outstanding bills for detail work at the time of this project.

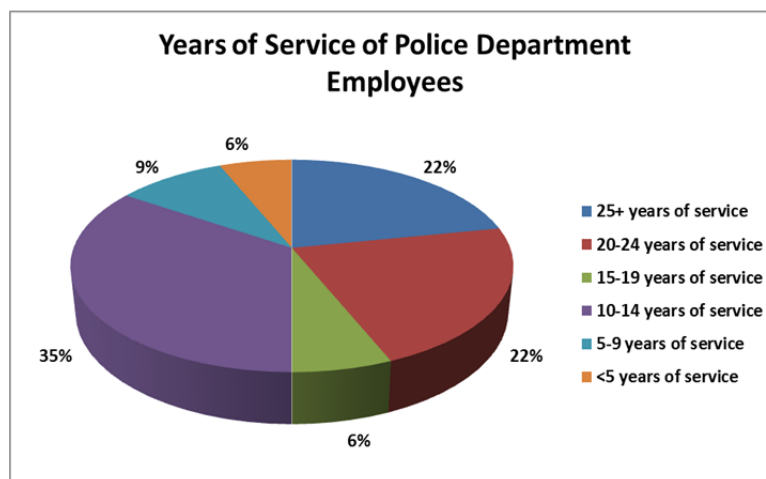
The department regularly receives more detail requests than it can fill on demand, such that the department must fill excess detail assignments with Marblehead officers when Swampscott officers are unavailable or delay filling the assignment. The figure on the following page shows the ratio of total detail hours to total non-benefit hours (Base, Overtime, and Details). Over the past 10 years, details have represented a range of about 7%-14% of these hours, with the current year below the average ratio of 10%. The past three years are also below the ten-year average of total police detail hours (following page).

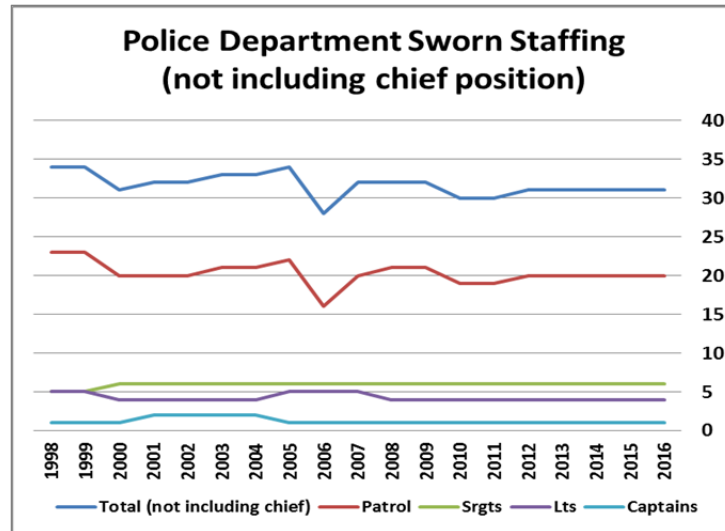
The project team was asked whether details can lead to any negative service effects. The team has no evidence of this case in the Town. However, it should be noted that there has been research on how increased hours and fatigue affect officers. One study found that fatigued officers use more sick time, have time management issues (reporting for duty on time), make mistakes on departmental and court paperwork, sleep on duty, experience more accidental injuries on duty, and are at a higher risk of being seriously injured or killed because of lack of focus and not recognizing danger signs.²¹ Another study found that, within the study population, 17% of the accidents or on-duty injuries occurred when the officers were working overtime, and the officers with injuries were more likely to work small amounts of overtime (less than 4 hours) or full overtime days (more than 7 hours) than their non-injured counterparts.²² Given this research, periodically evaluating the impact of details on department operations is worthwhile.



Strengths:

As with other major departments, the department has an extremely stable workforce with significant institutional knowledge. Almost a quarter of the department (22%) has over 25 years of service, and nearly half the department (44%) has over 20 years of service. That kind of stability and knowledge is valuable for providing effective services.





The department is working toward Massachusetts Accreditation, a goal it hopes to obtain by the close of the fiscal year and which will demonstrate the department's professionalism and commitment to meeting external standards. As of 2013, approximately 50 municipal police departments had received accreditation and another 80 were in the process of getting accredited.²³ Becoming an accredited department may help reduce the Town's insurance liability (although the project team was not able to verify that). More importantly, the steps taken to achieve accreditation will push the department toward changes that will improve the quality of services it provides.

The department also recently moved into a new, more centrally located police station that better meets the needs of a modern police department.

Potential Challenges:

Although itself a small town, Swampscott has larger urban centers on much of its border. As a result, the Town can face considerable challenges in regards to the spillover effect of crime from neighboring communities. The September 9, 2015 arrest of a Lynn man is a recent example. As reported by the Patch news service, the man was arrested by Swampscott police for a breaking and entering incident that occurred in Marblehead.²⁴ This is further exacerbated by the lack of major highways and roads nearby, which can increase the number of people who drive through Swampscott.

Another potential challenge involves staffing. As noted, the police department (along with other departments in Town) has a workforce of significant length and stability. The downside of this is the short-term impact on departmental costs and the potential longer-term impact on institutional knowledge. Almost a quarter of the department has over 25 years of service, and nearly half the department has over 20 years of service. Years in service have multiple direct and indirect impacts on departmental expenditures. Most directly, officers earn more through steps, longevity, and incentive pay as they accrue more years in service.

Indirectly, the amount of vacation allotted for each officer grows along with years in service. For example, a second year officer earns two weeks of vacation time each year, while an officer with 30 years of service would earn five weeks. (Additionally, years in service can sometimes be associated with increases in injuries on duty, adding even further burden to departmental budgets, although the project

team does not have data to examine that in Swampscott's case.) That extra earned time off means that a department will have to either run with fewer officers or backfill with overtime.

The longer term challenge of these cohorts with extensive years in service is the potential for them all to retire around the same time. If not adequately planned for, this has the potential to remove substantial institutional knowledge rapidly. Also, the time lag for hiring and training officers means that there is the potential for additional spikes in overtime use around those transitions, if there is not enough notice of retirement and/or planning for departures.

Finally, another challenge of note was the loss of a detective that handled domestic violence and child abuse in the Town. Current staffing is about 1.5 detectives, plus a School Resource Officer (SRO). This cut, from the previous three, plus the SRO, means the detectives are unable to specialize on specific subjects, in addition to an increase in workload.

Regionalization Opportunities:

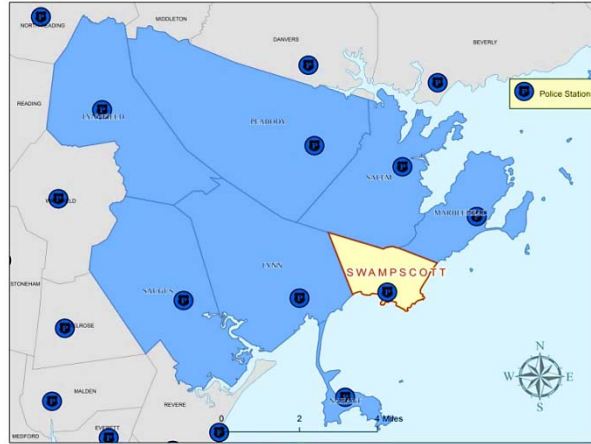
As suggested by the Regionalization Committee's survey, the residents of the Town are not enthusiastic about regionalizing police services. Given the powers and duties that police departments have, it not surprising that the public wishes to retain full local control over the department.

While there is an enabling statute for a regional police district (see Appendix 2), the project team has no examples of it being used at this time. For that matter, the project team does not know of any fully regionalized police departments in the Commonwealth. While the towns of Chesterfield (pop. 1,222) and Williamsburg (pop. 2,427) recently studied sharing a police department, they ultimately decided it was not feasible and abandoned the efforts.²⁵ A similar feasibility study between the Cape towns of Eastham (pop. 4,956), Orleans (pop. 5,890), and Wellfleet (pop. 2,750) in 2010 did not result in police department regionalization.²⁶ The proposed police merger between the Towns of Ashby and Townsend failed due to the potential loss of Ashby's dispatch team and late-night patrol.²⁷

Outside of Massachusetts, there have been a few successful police department mergers.²⁸ However, the story is broadly similar to attempts in the Commonwealth, in that many feasibility studies seem to go nowhere.

Although if a fully shared or regional department is unlikely in the near term or even medium term, there are opportunities to regionalize certain functions within police that would likely be acceptable to residents and that might lay groundwork for more substantial regionalization at a later date.

In fact, as noted previously, there are already several police functions that are regionalized with the City of Lynn. These include dispatch services, which is a significant and mission critical function, as well as multiple smaller functions, including use of Lynn's lock-up services (which saves money on matron costs and reduces liability) and its firing range (although the latter has not been utilized yet). Additionally, the police department participates in multiple regional police department initiatives, including the School Threat Assessment Response System (STARS), Northeastern Massachusetts Law Enforcement Council (NEMLEC), and the Northeast Homeland Security Regional Advisory Council (NERAC). They also utilize the Mass Police Training. Additionally, while not regionalization per se, Swampscott, Marblehead, and Lynn have an arrangement where if no officers from the municipality in question are available for police details that are needed, the opportunity will be given to officers from the other municipalities to take them.



Beyond these existing regionalized efforts, there are several other potential regionalized opportunities worth noting. At the top of this list would likely be a regional crime analyst. Because crime is something that often needs to be understood on a regional level and can have a regional impact, sharing a crime analyst makes great sense from a theoretical perspective. On a more practical level, surprisingly few municipalities in Massachusetts have a dedicated crime analyst. The project team estimates that there are 37 analysts in Massachusetts police departments serving as dedicated crime analysts, the vast majority in much larger municipalities. Not surprisingly, few municipalities of Swampscott’s size have one. Currently, the nearest municipality with a dedicated full- or part-time crime analyst is Danvers. In many cases, crime analysis is delegated to an officer with other responsibilities. While this can be successful in some situations, there are skills, knowledge, and training that a dedicated crime analyst can provide that not all regular officers have. This includes providing analysis to help plan directed patrols, crime trends analyses, and crime mapping (something that the Swampscott Police Department has done in the past and is working on implementing more systematically). Purchasing part of the time of a regional crime analyst could provide the Town with those skills in a way that is more affordable.

Recommendation 2.1: Partner with neighboring or nearby municipalities to hire a regional crime analyst.

An additional issue raised during the research for this project was the possibility of taking the regionalization of dispatch with Lynn one step further and having the police department business line moved to Lynn during non-business hours (assuming Lynn were willing to accept this arrangement), so that the desk officer could be deployed out of the station.

While attractive at first, there are several issues that reduce the effectiveness of this strategy. First, the quality of service provided by the business line could decline, because Lynn dispatch would not have the familiarity with Swampscott and will be focused on emergency calls, rather than lesser issues coming in through the business line. Second, one of the added values of the desk officer position is that it provides a “light duty” opportunity for officers not able to fully return to duty from injury. Removing the desk officer position means that officers would remain out injured until they were fully ready to start working again. Given minimum staffing needs, this means that the Town would have to pay someone else to be on the shift, driving up costs. There also have been incidents in the station itself when having an officer at the desk proved necessary to resolve the situation. Finally, it is worth noting that the desk officer will go out on a call if the situation requires it. Having said that, it may be worth a deeper analysis of this issue to determine in more detail the cost and service impacts.

Recommendation 2.2: Conduct cost/benefit analysis of moving police business line to Lynn when there are no officers on light duty.

Other Opportunities:

One opportunity that ties directly to the challenges of the department's large number of high years in service officers is the potential to begin thinking long-term about changes that could be made as the most senior cohort retires. Beginning to think about that succession planning now will hopefully make the transition smoother and also provide for thinking about potentially how to reduce the impact of future cohorts of officers that accrue significant years in service.

Recommendation 2.3: Create ad hoc committee to study succession planning in major departments and make specific recommendations for staffing and contractual changes to be made in conjunction with retirement of cohorts of senior staff.

While the police department provides a great deal of useful information for the public on its website, this site is an entirely separate URL and has a completely different appearance from the rest of the Town's website. Historically, this has been common across the Commonwealth among police and fire departments. However, it can create confusion among the public and duplicates website services that the Town is already getting through its main website vendor.

Recommendation 2.4: Fold police department website and information into main Town website.

The department currently has basic service performed on its vehicles at local stations. Depending on Department of Public Works (DPW) capacity and planning, it would be worth exploring whether DPW could handle police department vehicle maintenance in-house.

Recommendation 2.5: In collaboration with DPW, examine opportunities to bring basic police vehicle maintenance in-house.

Another idea raised during the course of this project was that of a public safety commissioner, a position that would combine the roles of police chief and fire chief. While there are a few such positions around the nation, there are certainly not many, and the project team has seen none here in Massachusetts.

In theory, there may be some benefits in terms of coordination of services and cost savings to creating such a position in place of a police chief and fire chief. In practice, however, there are many issues that make it unlikely to be successful in the near term. More than any other two departments, police and fire are frequently involved in life or death situations, involving both the public and their own personnel. For that reason, ensuring that the leaders of each department have all the knowledge, experience, and credibility necessary to make the best possible decisions for their departments is absolutely essential.

The problem is not that one person couldn't gain both sets of knowledge and experience. With enough time and training, certainly someone could theoretically obtain the knowledge, expertise, and credibility to run both departments. Instead, the problem is that right now, there are few if any people who have these for both. There is a bit of a catch-22 in the situation. Because there are few people qualified to be a public safety commissioner, there is no reason to create such positions, but because there are few such positions, there is little incentive for someone to seek out the training and experience that it would take to serve in one. Furthermore, creating a public safety commissioner position and putting someone

in the position who only had experience in one department would be a highly risky proposition. In short, there needs to be a pool of qualified candidates before creating such a position would become a potentially viable option.

This is not a situation that the Town can solve on its own. However, if the Town were serious about wanting more integration between police and fire, and potentially setting up a situation in the long-run where there could be a public safety commissioner, there are some small steps that the Town could take now. The first step could be to create additional opportunities for joint long-term planning and collaboration. This step would likely be easier in Swampscott than in many municipalities, due to a positive relationship between the police and fire departments (something that is not always the case). A second small step would be to find ways to cross-train police and fire department staff (e.g., training police officers as paramedics). Structured properly, this may start to provide a pathway toward the long-term potential creation of a public safety commissioner position. At the same time, differences in culture between departments are always challenging, and enabling cross-training would obviously entail costs in the short run.

A final consideration, if a public safety commissioner position eventually came to be, would be how to ensure that both police and fire departments retained a level of day-to-day operational oversight similar to that currently provided by two chiefs. In this case, the Town would have to think very carefully about the roles, responsibilities, and authorities of the “number two” (e.g., Captain, Deputy Chief) positions on each side, likely increasing those positions’ responsibility and authority.

Recommendation 2.6: *Identify opportunities for police/fire joint long-term planning and for cross-training of officers and firefighters.*

3. Fire

Mission:

The mission of the Swampscott Fire Department is to provide optimum protection from fire loss, and prompt and professional response to medical emergencies. Our objective is always to prevent loss of life and property through a proactive approach for fire prevention, however when fire does occur to contain and extinguish it with minimum loss.

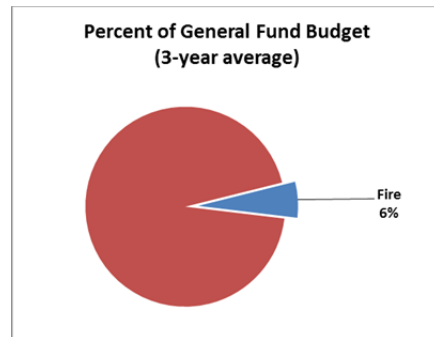
Staffing Information (FY16)

The department has 34 officers:

- 1 chief
- 1 deputy chief
- 4 captains
- 4 lieutenants
- 24 firefighters

The department has no administrative staff.

Budget Information

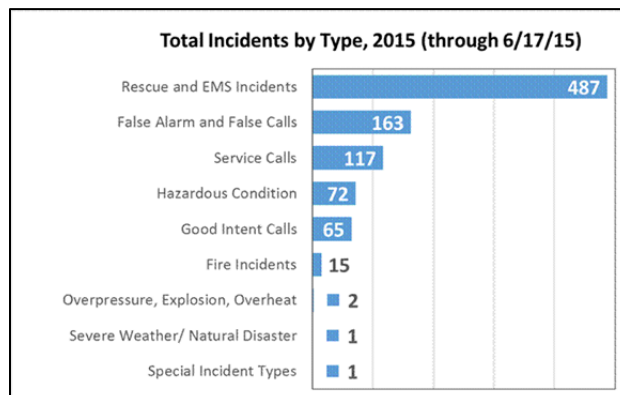


Top Five Services/Functions Provided by the Department

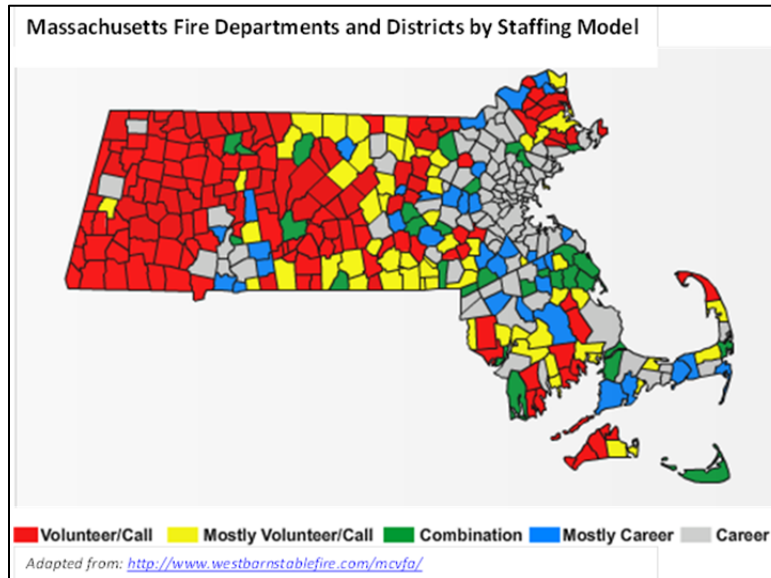
Services/Functions	EMS	Fire Suppression	Hazard Abatement	Code Enforcement	Public Education
Approximate % time spent...	54	3	33	9	1
Approximate % budget spent on...	32	32	32	3	1

General Background:

The department serves the Town in the three traditional services of a fire department: Suppression, Fire Prevention, and Administration. Yet, as with many fire departments across the Commonwealth and the nation, Swampscott Fire has increasingly evolved to provide a much greater range of services. The figure below shows that Rescue/EMS occupies the greatest portion of the workload. Additionally, non-traditional services like Hazardous Conditions, Explosions, and Natural Disasters also require department responses, in addition to the more traditional fire suppression calls.

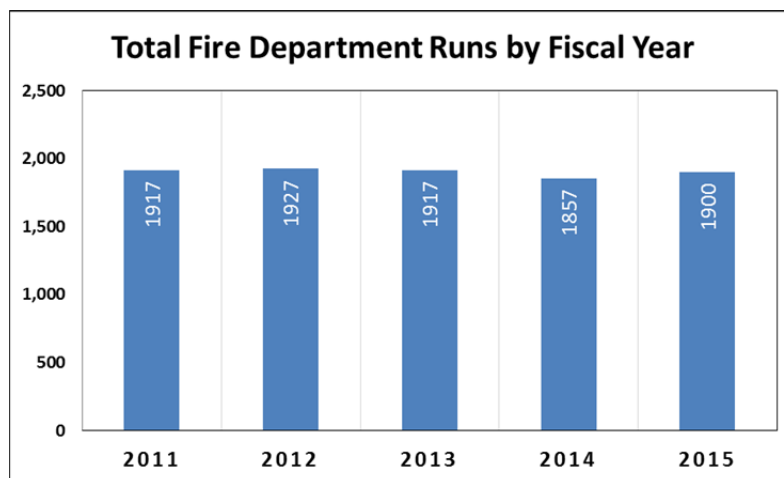


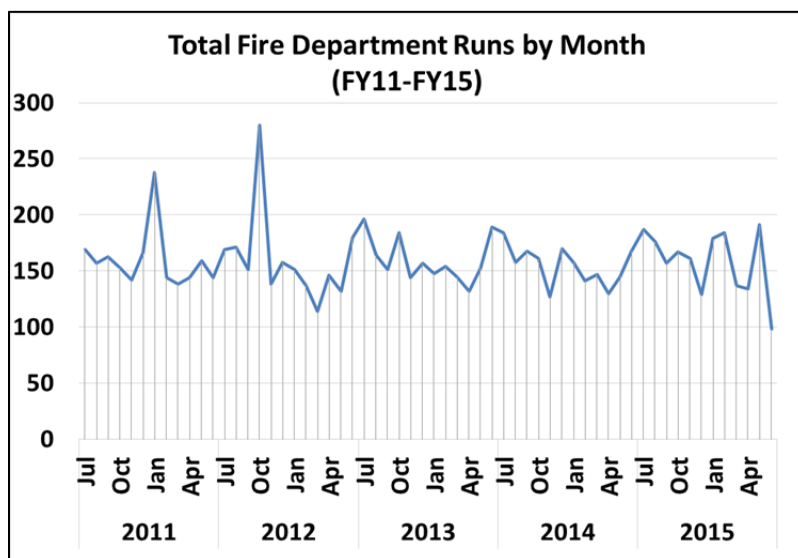
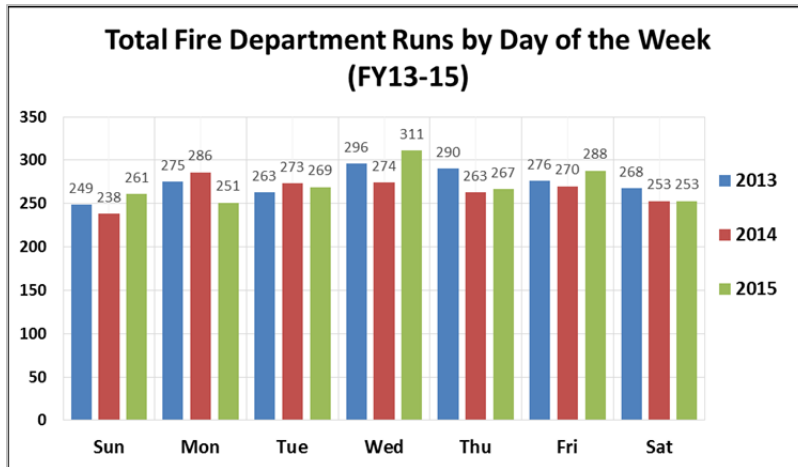
As with most of the municipalities within the Interstate 95 belt around Boston, the Swampscott Fire Department is staffed fully with career firefighters. (See map below.) Several municipalities on the north shore near I-95 are “combination” departments, with some career and some volunteer or “call” firefighters. Across the Commonwealth, mostly or fully volunteer/call departments are typically found in small towns.



The Department uses a 4-8 structure with four teams of eight personnel (Captain, Lieutenant, and six fire fighters) working 24-hour shifts. The Chief and Deputy Chief both work days.

Over a five-year period (2011-2015) Swampscott Fire has maintained a relatively uniform number of “runs,” averaging 1,903 per year (see figure below). Similarly, the department has a relatively consistent number of total runs by day of the week. (See figure on page 41.) The peak of 311 on Wednesdays did not deviate far from the average of 271 across all days of the week in FY15. There appears to be some historic seasonal variations, with a greater number of runs during the summer months and fewer during the winter months. (See chart on page 41.)

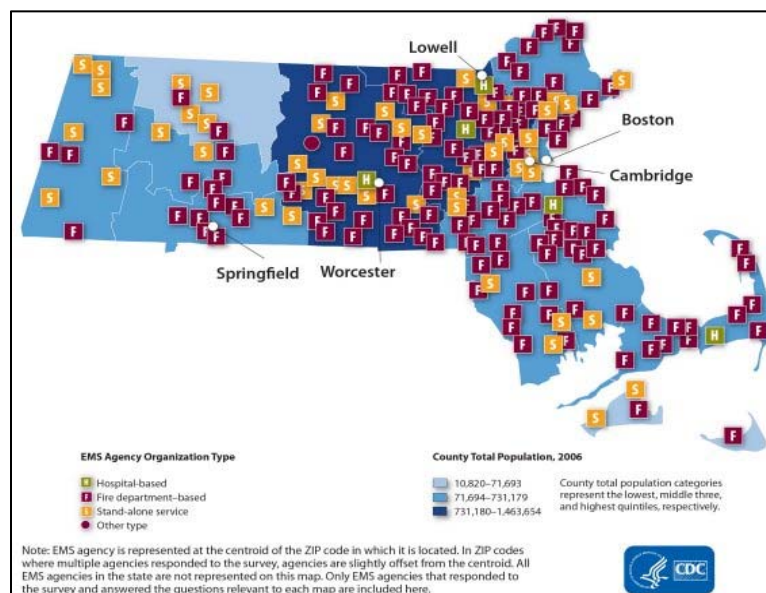




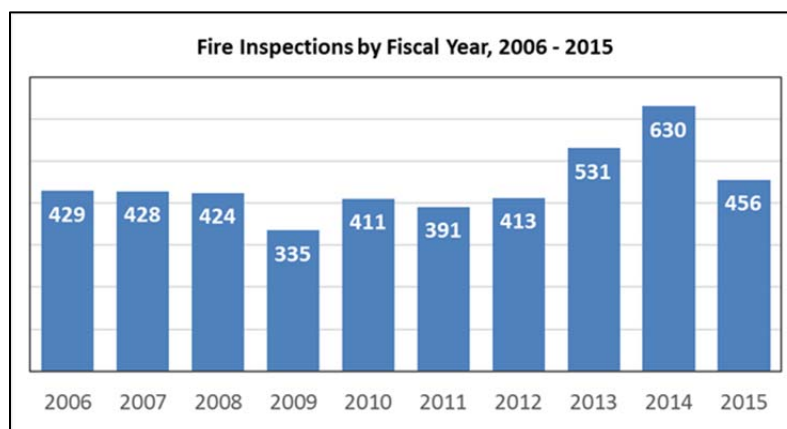
This current staffing structure is down from 1976, when there were 10-person groups and a total of 42 personnel. As recently as 2007, the team had an additional member, with one team working with a total of nine personnel, allowing them to operate two engines and one ladder. The department also runs a differential staffing model with 8-member crews for nine months of the year (March to December) and seven during the remaining months. The current structure only allows the team to operate one engine and one ladder on a call during the three lower-staff months, although the department is able to upstaff to a second engine in the case of severe weather. This structure leaves the Town frequently reliant on mutual aid from surrounding towns, which mostly is provided by Lynn and Marblehead. (See figure on page 44.)

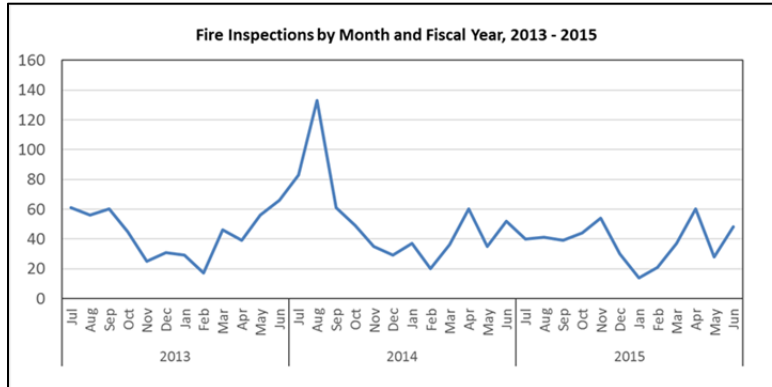
Despite the number of Rescue/EMS calls, Swampscott Fire does not provide ambulance services. Services are currently provided privately through a contract with Atlantic Cataldo. (All Swampscott Fire personnel and new hires, however, are required to have basic Emergency Medical Technician (EMT) certification.) There are a number of different models that Massachusetts municipalities use to provide EMS, including based in the fire department or as an autonomous department within municipal government. (See following map.) All of these models have their advantages and disadvantages.

A full analysis of whether Swampscott's privatized services are the optimal approach was beyond the scope of this project. However, the variables that would need to be considered to do such an analysis would include: (1) What does the current contract for the ambulance service look like? What does it cost? What services does that cost include? Does the contracted company provide Advanced Life Support (ALS) or Basic Life Support (BLS)? How many runs per year (generally, and broken down by type) does the ambulance company provide? How much time is spent on those runs? (2) What would the purchase and annual maintenance costs be for ambulances? Would there be a need to modify a station to accommodate the new apparatus? (3) How many new staff would be needed? What would the training costs be for new or existing department staff (including both direct costs and overtime to cover minimum manning)? What would the bargaining implications be? (4) What level of services would the in-house service offer (e.g., ALS or BLS)? (5) Given current and projected breakdowns of Fire Department runs, what would the impact be on fire suppression and other services? How would minimum manning numbers be impacted? This is not an exhaustive list of variables.



As part of its fire prevention work, the department also does fire inspections. Over the last eight years, the department has averaged 450 of inspections per year, and there is seasonal variation in inspections volume by month. (See following charts.)





In Massachusetts, there are few, if any, examples of fully regionalized fire services between towns. In 2012, the towns of Ashland and Hopkinton received a state Community Innovation Challenge (CIC) grant to study a merger of their two fire departments.²⁹ At the time of this report, there is no formal consolidation agreement in place.

Having said that, there are a number of smaller regionalized efforts related to Fire/EMS that already exist in Town. Since 1994, the City of Lynn has provided dispatch service to the department. This arrangement allows the department to have an “empty house,” sending additional apparatus and receive calls on the road. The strength of this relationship led Police to begin using Lynn dispatch services in 2011.

The department also seeks training savings by reaching out to regional partners. Through the Essex County Fire Chief's Association, the department attends specialized trainings (Hazardous Materials, “Flashout,” webinars, etc.) in conjunction with other fire departments, which allows them to hire trainers at lower cost.

Swampscott Fire is also a state mutual aid adopter and receives mutual aid from Fire District 5, constituting a number of Essex county communities. Mutual aid, a form of resource-sharing among fire departments, is an arrangement that Swampscott benefits from. For FY15, the Swampscott Fire Department received mutual aid 52 times while giving mutual aid 22 times (see chart on following page). Thus, in 70% of mutual aid incidents the department is the receiver of aid. (Similar results were found for Fiscal Years 2011 – 2015.)

Strengths:

One metric of fire department services is the community's ISO rating. Insurance Services Office (ISO) is a private company that provides a nationally-utilized Fire Suppression Rating Schedule (FSRS), which analyzes four categories of fire suppression: (1) fire department, (2) emergency communications, (3) water supply, and (4) community risk reduction. The resulting Public Protection Classification (PPC) is often purchased by insurance companies and used to set homeowners' insurance levels. Swampscott's upgrade to Class 4 (on a scale from 1 to 9, where 1 is the best) this year is both a positive endorsement of the fire services that the public is getting and may lead to lower homeowners' insurance costs, although given ISO's proprietary information, it is difficult to know for sure.

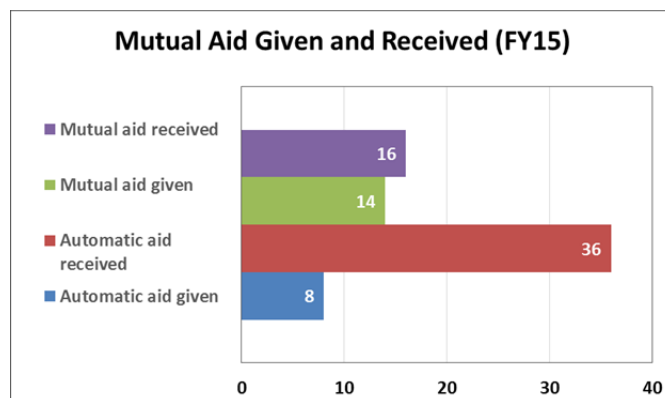
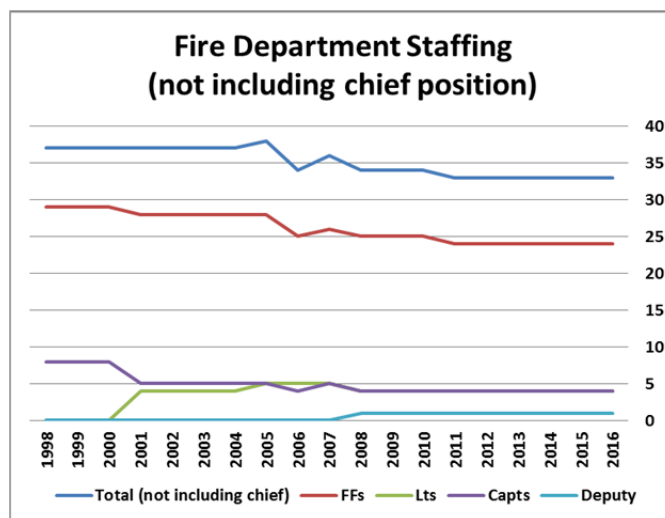
A second strength involves the purchasing practices of the department. One of the department's engines was purchased second hand (but unused) from a large department out of state that had a surplus, and the records management system (RMS) that the department uses has a low price point relative to some competing systems.

The department also has strength in the way it is staffed. All firefighters are also emergency medical technicians (EMTs). The department's lack of administrative staff is in some ways a strength, showing the efforts made toward efficiency. (It is also a challenge, as noted below.)

Finally, the regional dispatch center with Lynn also is an efficient way of obtaining dispatch services, as discussed previously.

Potential Challenges:

The size of the department is clearly the greatest challenge. As noted, the force has contracted over the years, from the highs of 10-man crews in the 1970s to the current 8-man crew structure. In addition, the department has differential-staffing systems where a crew must run with at least eight between March 15 and December, but can go as low as seven during the winter months. This leaves the Town frequently reliant on mutual aid. This perhaps becomes clearest with regard to meeting the National Fire Prevention Association standards for a single family full alarm fire. (See chart on following page.)



Single Family Dwelling Initial Full Alarm Fire Assignment Capacity*	
Task	# Needed
Incident Commander	1
Pump operator	1
Firefighters on attack lines	2
Firefighters on backup lines	2
Firefighter for attack line support	1
Firefighter for backup line support	1
Firefighters for search and rescue	2
Firefighters for ventilation	2
Firefighters to serve as RIC	2
Total if aerial device not in operation	14
Aerial device operator	1
Total if aerial device is operational	15
<i>* NFPA 1710 guidelines, 5.2.4.1.1</i>	

Currently, the department has a number of training and personnel related challenges. Training is absolutely critical for fire departments, in order to maintain knowledge and comfort with infrequently used skills and tactics. Yet training is expensive, given the need for the department to use overtime to cover departmental staffing.

Along with the concerns of additional training, there is the concern about maintaining institutional knowledge. There are three upcoming retirements (the Chief and two senior officers) and five new firefighters. The department needs to ensure that these accrued years of hands-on knowledge are maintained within the department.

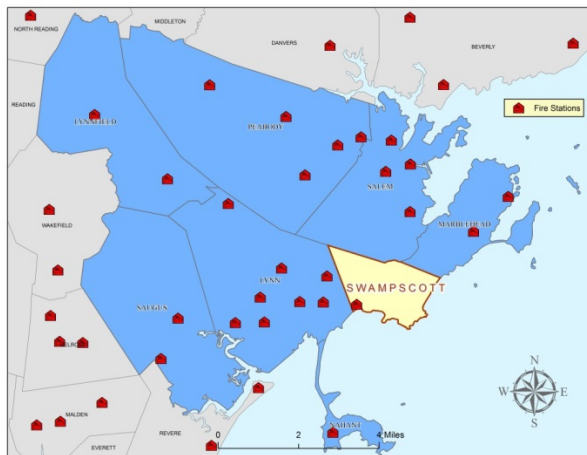
Finally, while there are of course savings from the department's lack of administrative support, it does mean that the chief and others in the department do end up having to take on more administrative tasks that may take them away from more high level managerial work that they could be undertaking.

Regionalization Opportunities:

As suggested by the Regionalization Committee's survey, the residents of the Town are not enthusiastic about regionalizing fire services.

While there may be some successful combined departments across the country, there are no fully regionalized fire services between towns in eastern Massachusetts. There are also no enabling statutes in Mass General Law (MGL) that address shared or joint Fire Departments among towns. Although MGL 48:60-80 enables the establishment of fire districts, they are in some ways the opposite of regionalization, because, where they exist, there are multiple independent fire districts within the borders of a single municipality. For example, there are five fire districts operating within the bounds of

the Town of Barnstable. Each one is its own independent government entity, with its own executive and legislative branches, and its own taxing power.



Regionalized fire departments, however, have been studied in the Commonwealth. As noted earlier, such a plan has been considered between the towns of Ashland and Hopkinton. It is worth noting the conditions that led to interest in a regionalized fire department in those two towns may also exist elsewhere in the state. In particular, Hopkinton's lack of a ladder truck made them particularly dependent on Ashland aid to respond to a fire.³⁰ Swampscott, though fully equipped with the apparatus to respond to every type of major incident, must rely on mutual aid when in-town resources are exhausted.

Although a fully shared or regional department is unlikely in the near term or even medium term, smaller regionalization efforts may have the double benefit of improving current operations and reducing long-term barriers to larger regionalization efforts.

Training related to fire and emergency medical services is often expensive. As noted, the fire department already participates in many regional and shared training opportunities. Beyond the benefits with regard to the costs of training, these provide important opportunities for firefighters to get to know each other in a professional context other than the emergency situations where they are going to need to have to rely on each other. Regional and shared trainings should continue and new opportunities for regional or shared training should be sought.

Recommendation 3.1: Continue and, where possible, expand regional or shared training opportunities.

Additionally, the fire department's policies and procedures manual needs to be updated. This is common across the Commonwealth. Given that the process is time-consuming and likely needs to be completed in other departments in the region, a joint RFP for consulting services to update multiple departments' manuals simultaneously may be worthwhile. Although departments will not necessarily want the same policies and procedures, updating multiple together may help lead to some more harmonized policies and procedures across jurisdictions, which would again be a small but helpful step toward additional regionalization in the long-term.

Recommendation 3.2: Partner with neighboring municipality or municipalities on RFP for consultant to assist with updating all departments' policies and procedures manuals.

Other Opportunities:

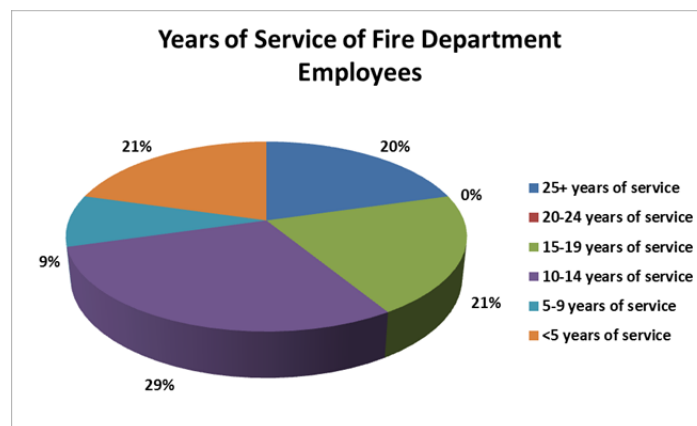
The department is continuing to investigate technology upgrades, including a potential software patch to synchronize their systems with Lynn Dispatch. This would eliminate the possibility of discrepancies between the two systems' data when investigating incidents or fulfilling mandatory reporting.

Recommendation 3.3: Complete technology upgrades needed to fully connect in-house department systems with dispatch system.

As with the police department, the fire department has maintained its own website with a great deal of useful information for the public. However, the link to the site appears to be broken at the time of this report, and the site itself is not part of the Town's website.

Recommendation 3.4: Fold fire department website and information into main Town website.

Also, as with the police department, another potential challenge involves staffing. Unlike police, the fire department has a substantial wave of new firefighters who started recently. However, like the police, the fire department also has a workforce where a large segment has significant years of service, and there are also substantial cohorts with slightly fewer years of service.



Twenty percent the department has over 25 years of service (see chart above). After that, there is a bit of a gap, and then another fifth (21%) of the department has between 15 and 19 years of service, followed by 29% with 10 to 14 years of services. Adding together those last two groups means that fully half of the department has between 10 and 20 years of service. As noted with police, years in service have multiple direct and indirect impacts on departmental expenditures. Most directly, officers earn more through steps, longevity, and incentive pay as they accrue more years in service. Indirectly, the amount of vacation allotted for each officer grows along with years in service.

This implies that, all other things being equal, there may be some moderate current impacts on personnel costs due to the age structure of the department, those will drop somewhat for a period of a five years or so, and then they will begin rising dramatically. Analyzing those impacts in more detail and

planning for them accordingly will be extremely important to understanding and controlling personnel costs in the department over the long term.

Recommendation 3.5: *Create ad hoc committee to study succession planning in major departments and make specific recommendations for staffing and contractual changes to be made in conjunction with retirement of cohorts of senior staff.*

At the same time, as discussed in the town-wide recommendations section, the question of hiring new firefighters versus paying overtime is one that many municipalities are currently examining. This is due to the fact that fire departments often have requirements that set a minimum number of firefighters that must be available, either for the shift as a whole or per piece of apparatus. Because of that, when a firefighter being out (e.g., due to vacation, sick time, injury, personal time, etc.) pushes the shift below the minimum number, the department will be required to bring another firefighter back on overtime (which is typically 1.5 times regular salary). This creates a tipping point between where it is more cost effective to pay the overtime and where it becomes more cost effective to hire additional firefighters. The analysis is complicated. It requires significant amounts of data about department operations, personnel fringe and overhead costs, and impacts of collective bargaining language. Nevertheless, if the data are available, it is a worthwhile analysis. The tipping point is different in each municipality and changes over time. As a result, the project team recommends that the department undertake such analysis every few years to understand whether the costs of overtime have reached the point of exceeding the fully loaded cost of hiring new firefighters.

Recommendation 3.6: *Analyze the spending on overtime compared with the fully loaded cost of hiring additional firefighters to determine which is more cost effective.*

In the course of this of this project, the idea was brought to the project team of initiating a “chase car” program as a way to reduce costs. Having a “chase car” means that the fire department would purchase an SUV that could be used in place of an engine to follow (or “chase”) the ambulance. This idea has been successfully used in Amesbury for several years.³¹ Given the high costs of fuel and maintenance for fire engines, as well as the impacts on overtime use and potential revenues from ambulance transports for those fire departments that run their own ambulances (which does not include Swampscott), using such an approach is seen as a way to maintain services, while cutting costs and potentially even increasing revenues. There are also claims that this can reduce response times.

While a full analysis of whether a chase car is right for Swampscott is beyond the scope of this project, the project team certainly believes that it could be worth investigating further. The variables that the Town would need to analyze include: What are the relative costs of fuel between the fire engines and an SUV, including both the per-unit cost of diesel (for the engine) versus regular gasoline for the SUV, and the miles per gallon the vehicles get? What have the maintenance costs been on the engines and, given their age and condition, what are they anticipated to be? How might the use of a chase car affect the use of overtime? How would the use of a chase car affect ambulance services, including any contractual impacts with the Town’s ambulance provider? How would the use of a chase car affect mutual aid?

Recommendation 3.7: *Conduct detailed analysis of whether a “chase car” program would make sense for Swampscott, given the characteristics of the Town and the department.*

As noted with regard to the police department, if the Town is interested in a public safety officer in the long-term, then it would be useful to begin providing opportunities now for joint planning and cross-training between the police and fire departments.

Recommendation 3.8: *Identify opportunities for police/fire joint long-term planning and for cross-training of officers and firefighters.*

4. Public Works

Mission:

The Department of Public Works (DPW) provides professional quality maintenance, repair and construction services while maintaining 50 miles of streets, six parks and playgrounds and the Swampscott Cemetery. The DPW is also responsible for the ongoing maintenance of three municipal buildings, 48 miles of water mains, 47 miles of sewer mains, seven sewer lift stations, the sewer pumping station and over 40 vehicles and pieces of equipment. Additionally, the DPW is responsible for rapid response to all snow, ice and other inclement weather emergencies and conditions. The DPW enforces water, sewer and drainage by-laws, grants petitions of location for utilities, and maintains engineering records and Town maps. Lastly, the DPW plays a significant role in the daily operation of other Town departments in responding to requests for service. The Department budget is divided into four divisions: Public Works (General), Cemetery, Water and Sewer.

Staffing Information (FY16)

Public Works includes the following 21.5 employees, broken down by general fund and enterprise funds:

General fund:

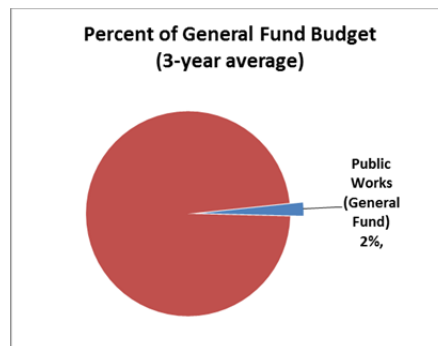
- 0.5 Director
- 3 Working Foreman
- 3 MEOS
- 0.5 Custodian

Enterprise Funds:

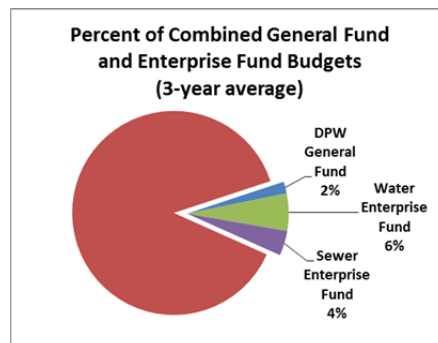
- 0.5 Director
- 1 Assistant Town Engineer
- 1 Working Foreman
- 4 MEOS
- 2 Clerical
- 6 MEOs

Budget Information

General Fund:



Enterprise Funds:



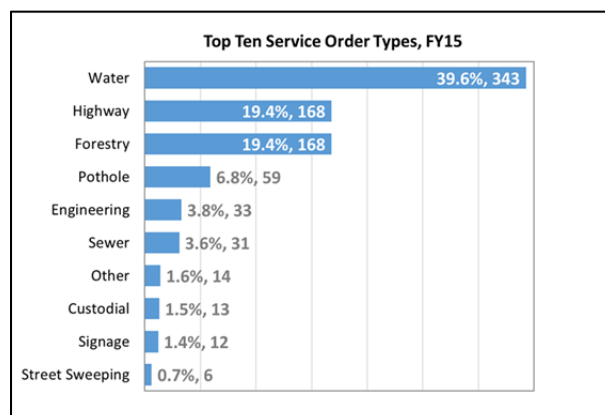
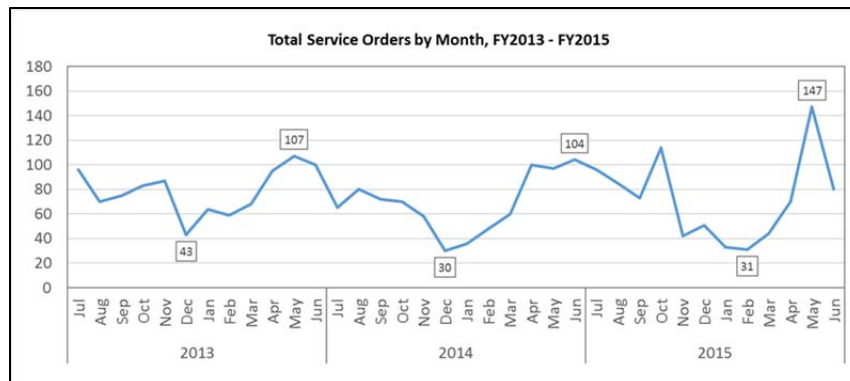
Top Five Services/Functions Provided by the Department

Services/Functions	Roadway Maintenance	Sewer and Water	Cemetery	Parks	Forestry
Approximate % time spent...	30	20	30	10	10
Approximate % budget spent on...	25	50	15	5	5

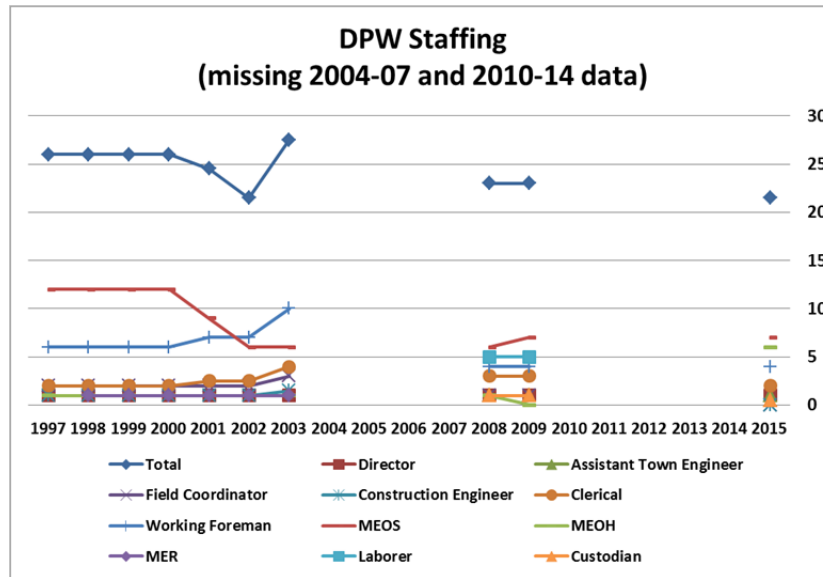
General Background:

The department averaged 908 Service Orders per year over the past seven fiscal years, with pronounced peaks in service requests coming in the spring. In 2015, the top three services requested of the agency were in Water (39.6%), Highway (19.4%), and Forestry (19.4%). (See figures below.) In addition to these service requests, the department completes a significant amount of planned work each year. According to the FY16 budget, this included the following work in FY15:

- Planted 37 new trees throughout the Town;
- Removed 24 dead, near-dead, or otherwise hazardous trees;
- Repaired prioritized sidewalks using in-house labor;
- Using Chapter 90 funding and a Town Meeting appropriation, completed a paving project which included Alvin Road, Banks Road, Burpee Terrace, Commonwealth Ave, Commonwealth Terrace, Crescent Street, Devens Road, Elliot Road, Essex Ave, Forest Ave portion), Forest Ave Ext, Juniper Road, Laurel Road, Orchard Terrace, Phillips Terrace, Pine Hill Road, Puritan Lane, Roy Street, Sutton Place, Tupelo Road, Valley Road, Woodbine Ave and Young Ave. Sheridan Road was overlaid as a temporary improvement;
- Replaced 50 street signs in Town with the new, larger-print design which completed a three year project that was done entirely in-house;
- Instrumental in the completion of the long awaited Jackson Park Playground Project;
- Oversaw the repair to the hand rails on the pier at Fisherman's Beach;
- Replaced a worn support pile on the pier at Fisherman's Beach;
- Completed the construction of the redesign of the Burrill Street/ Monument Ave/ Humphrey Street intersection in the Spring of 2015
- Replaced the fueling station at the DPW on Paradise Road.



Public works has 21.5 employees for both general fund services and water and sewer enterprise fund services. According to the DPW director, the department had more than double the current number of employees in the early 1970s. (The more recent historical staffing data obtained by the project team were incomplete. See chart below.)



In addition to work performed in-house, the DPW contracts out landscaping services for parks and other public space and often uses contractors to perform other types of services (e.g., catch basin repair). (See figure below for services contracted out.)

Services Typically Contracted Out by Swampscott DPW

- Paving
- Lawn cutting
- Catchbasin repairs
- Water main breaks (for mains 12" or greater)
- Tree work (for trees 55' or greater)
- Field maintenance (i.e., fertilizing)
- Supplemental snow plowing

Strengths:

Unusually for a public works department in the Commonwealth, divisions within DPW were eliminated several decades ago, allowing for all employees to be fully cross-trained and available to work across divisions. Compared with many public works departments, where employees only work on tasks within their division's jurisdiction, this is a highly efficient operational structure, providing flexibility and needed surge capacity across the department.

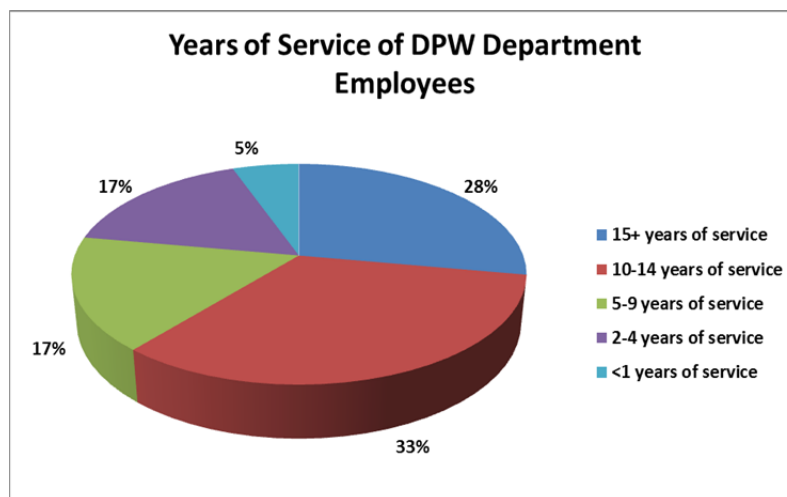
Additionally, many of the staff have been working for the Town for a long time, creating significant institutional knowledge.

The department has been relatively quick to adopt some of the technology-related solutions available for public works-related functions. For example, the department has moved to 100% radio water meter reading, allowing it to bill 4,500 meters quarterly, there is swipe card technology installed at the Town fuel pump, the department created a work order database for tracking workload, and the Town has made SeeClickFix available for residents to inform DPW of issues quickly and efficiently.

Potential Challenges:

Some of the department's strengths also contribute to its weaknesses. For example, the long-term nature of the department's workforce also means that many staff have reached the points where they receive more contractual vacation time. Additionally, seniority tends to be associated with more injuries. The increases in vacation time or injuries either reduce the amount of work the department can perform or require the use of overtime for backfilling.

In terms of technology, while the department has been an eager adopter of available technologies, it has not been as strong at fully utilizing those technologies, a common occurrence in Massachusetts municipal government. For example, the department does not use its work order data or fuel use data for analysis of operations, and use of SeeClickFix has been relatively limited, with an average of only 4 DPW requests per month since the system was launched April 2015.



Regionalization Opportunities:

There are multiple opportunities within public works for regionalization, including cemetery, catch basins, and street sweeping. Currently, the Town manages and provides Cemetery services through the Department of Public Works (General Bylaws, Article VII). Yet, this service comes at a considerable cost of resources. According to the DPW Director, cemetery management requires twenty percent (4 personnel) of the department's daily workforce and thirty percent of the department's time weekly overall. A regionalized solution may create economies of scale in cemetery management as well as free up additional workforce resources for other functions. Of the municipalities in the surrounding area, four (Lynn, Marblehead, Salem and Nahant) have a public cemetery within five miles of Swampscott Cemetery and are administered through the municipality by either a commission or department. While

the project team has not seen this regionalized in Massachusetts, they are the types of services that could be regionalized relatively easily in relation to others.

These are also services that would be amenable to contracting out, especially given that the Town already contracts for other kinds of services. Regardless of the method of service delivery, removing these services from the day-to-day purview of DPW would allow the department more time to work on more complicated and longer-term projects that the department cannot get to because of the backlog of basic work.

Recommendation 4.1: Investigate regionalizing or outsourcing cemetery maintenance functions.

Other Opportunities:

Beyond potentially contracting out opportunities noted above, the project team believes there are several important areas for operational improvements.

First, while the department is to be commended for having a functioning work order system (something many municipal DPWs in the Commonwealth do not have), the data are spread across two different systems and (partially as a result) are not being used to their fullest capacity. Currently, the department uses the Town's financial management software as its main interface for Service Orders, with a legacy Access Database serving about 25% of service orders. Regular analysis of work order data can lead to any number of opportunities for improved efficiency and effectiveness, and can more clearly demonstrate to the public the services that they are receiving from their public works department.

Recommendation 4.2: Continue improving use of work order system.

Similarly, the department provides vehicle maintenance services in-house but does not track expenditures in a way that would allow for analysis of those services or, more importantly, allow the Town to calculate when particular vehicles or equipment reach a point when the replacement cost is less than the maintenance cost. This is common in Massachusetts municipalities and perhaps less of an issue for Swampscott given its relatively good vehicle replacement schedule. Nevertheless, collecting this data would certainly for multiple ways that the Town could search for inefficiencies.

Recommendation 4.3: Track vehicle maintenance in electronic format for future cost/benefit analyses of vehicle maintenance versus purchasing.

A lack of data also became apparent around the subject of trees, which arose several times during this course of this research. While there are more than 1,000 shade trees in Swampscott, there is no inventory of those trees. As with work order data, such an inventory could provide valuable data for planning of tree-related services.

Recommendation 4.4: Use interns or other low-cost avenues to conduct tree inventory.

The water meter reading is being done by the DPW director himself, when it is a task that could be taken on by another DPW employee, allowing the director to regain time for management and planning.

Recommendation 4.5: Move responsibility for meter reading.

Finally, as noted, the long-term nature of the department's workforce also means fewer person-hours available (given increased amounts of vacation). Understanding and attempting to plan for the age cohorts moving through the system is a highly worthwhile step.

Recommendation 4.6: *Create ad hoc committee to study succession planning in major departments and make specific recommendations for staffing and contractual changes to be made in conjunction with retirement of cohorts of senior staff.*

5. Building

Mission:

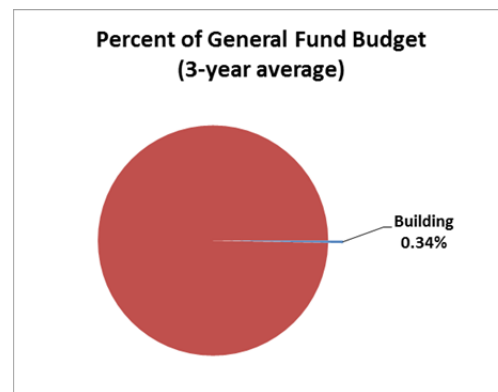
The Building Department enforces laws and state codes, promulgates and enforces reasonable rules and regulations relating to building construction, zoning enforcement, health and sanitation, and weights and measures for the purpose of protecting public health and safety. The Inspectional Services Department is also responsible for making inspections, issuing permits, licenses and certificates, and provides for appeals and variances as mandated by the state sanitary code, the state environmental code and various other State codes and Town By-Laws.

Staffing Information (FY16)

The department has 2 full-time and 3 part-time employees:

- 1 Building Inspector
- 1 Clerical
- 0.5 Plumbing/Gas Inspector
- 0.5 Wiring Inspector
- 0.5 Local Inspectors

Budget Information



Top Five Services/Functions Provided by the Department

Services/Functions	Building Permit	Building Code	Town By-law	Massachusetts General Law	Neighbor complaints
Approximate % time spent...	30	20	25	0	25
Approximate % budget spent on...	30	40	10	10	10

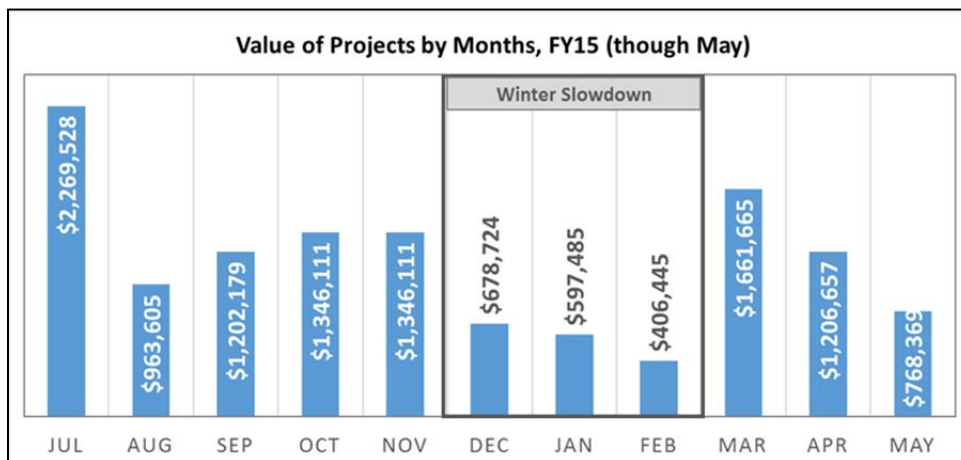
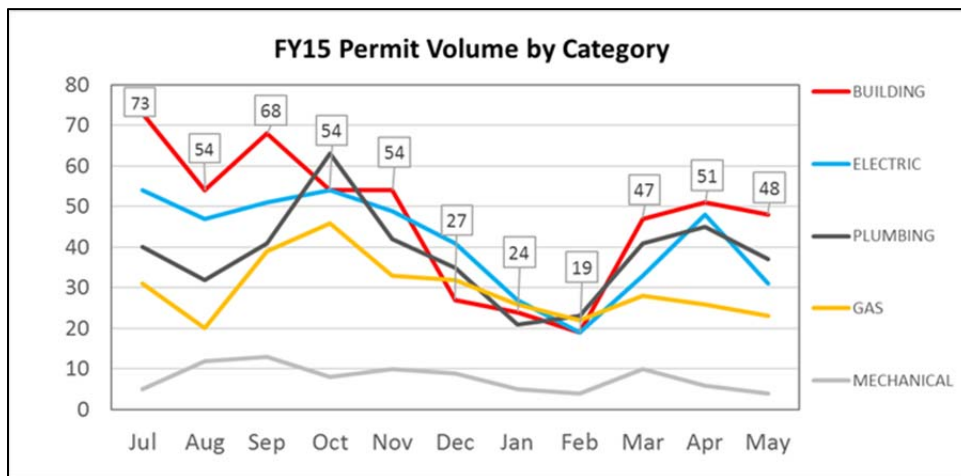
General Background:

The Building department in Swampscott has undergone a number of recent changes, including a change of leadership during the course of this project. Prior to the hiring of the previous Building Inspector, the department was regionalized with Salem, which provided building inspector services to Swampscott beginning in 2010. Although the prior arrangement worked well in some ways for the Town, it left the Town without a dedicated, full-time Building Inspector who managed the day-to-day operations.

Since the end of the regionalization, in addition to adding the full-time Building Inspector as department head, the department added a part-time local inspector. This has helped the department add significant capacity and maintain a higher level of compliance.

The department processes permits in five inspectional areas: Building, Electric, Plumbing, Gas, and Mechanical. Through May of FY15, the Building Department processed an average of 164 permits a month in these areas. (See chart on following page.). Building permits are the bulk of permits processed at an average of forty-seven a month, closely followed by electrical permits at an average of forty-one a

month. As is typical across Building Departments, there are clear seasonal trends in permit processing, with peaks into the summer months and slowdown in activity into the winter months.



Strengths:

Since the reinstitution of a full-time department head, the department has cleared a backlog of work and is better able to address all questions and code review. It has addressed concerns about being able to archive all plans, since increasing storage capacity within the office. They are increasing their ability to track permitting data, with fifty percent of their previous backlog entered.

Potential Challenges:

The department, though increasing in capacity, still has a number of concerns. At present, it does not have the data quality to determine processing time for permitting. These data would allow the department to get a sense of its current capacity. Though physical storage has been addressed for the time being, the department is concerned about future storage capacity, as it is not able to capitalize on increasing digital-submission options with their current systems.

Regionalization Opportunities:

Regionalization of inspections is one of the more common regionalization efforts undertaken in Massachusetts. For example, under the Franklin Regional Council of Governments (FRCOG), 15 towns in Franklin County currently share building inspection services. Prior to merging with FRCOG, the Franklin County Cooperative Inspection Program (FCCIP), had been in place since 1975. FCCIP provides its member towns with “[enforcement of] Massachusetts building code, plumbing, gas, and wiring regulations, inspects public buildings, and [handling of] local zoning enforcement.”³²

As noted, Swampscott itself has past experience with regionalization of building inspections, with Salem’s Building Commissioner providing services from FY11 until FY14. (See Appendix 5a. for copy of the inter-municipal agreement [IMA].) This arrangement, which cost Swampscott \$12,500 annually, provided the Town with the necessary legal requirements to run the department. (During FY13, Salem’s building commissioner began a similar role in Peabody, serving as Commissioner in all three municipalities.)

However, beginning in 2014, Swampscott hired a full-time Building Commissioner. The arrangement with Salem had only provided a Building Commissioner available for consultation and guidance or that was available for emergencies. This did not allow for a Building Commissioner that was as proactive on Swampscott-specific matters as many would have liked, nor one that could manage day-to-day operations of the department. If Swampscott were to engage in another shared-service agreement for Building Services, it should contain provisions that address the previous gaps, such as requiring a set number of hours/days that the Building Commissioner will be in Swampscott and other concrete expectations of the Building Commissioner.

Recommendation 5.1: *Develop inter-municipal agreement (IMA) with the City of Salem for Building Commissioner services in a way that increases role of Building Commissioner in day-to-day operations of the department over the prior IMA.*

Other Opportunities:

Given the importance of timeliness in permitting processes, and the number of departments involved, providing online permitting capability and digital plan submission could dramatically improve the quality of service provided by the department while reducing the costs and storage challenges.

Recommendation 5.2: *Investigate options for online permitting and digital plans submission for residents and contractors.*

6. Town Clerk/Elections

Mission:

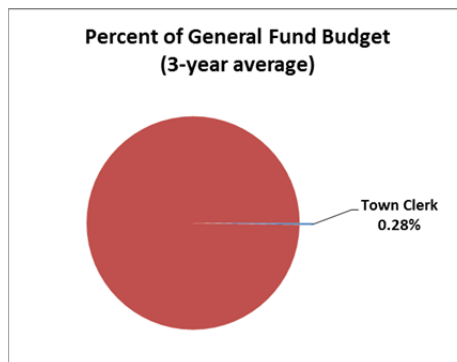
The Town Clerk is the primary agent responsible for serving the public through the provision of public records, vital statistics (births, deaths, and marriages), elections and general information. The Town Clerk is the keeper of the public record and is responsible to document and certify the actions of all Annual and Special Town Meetings. The Clerk's Office is the official filing agent for the Town and as such accepts, processes, records and maintains all municipal records including, but not limited to, notices and minutes of all public meetings, appointments and resignations of public officials, bankruptcy filings, Planning Board and Zoning Board of Appeals applications and decisions and Certificates of Business and dog licenses. The Town Clerk insures that all public records are safely preserved and readily accessible for inspection and retrieval. The Town Clerk's Office is dedicated to providing a safe environment for voting, accurate tabulation and reporting of vote counts, up-to-date voter registration (through the VRIS system and through our office filing system), as well as information for candidates and help with voter registration. Our office operates under the Campaign and Political Finance laws to keep annual financial reports up to date. This office is responsible for overseeing the Annual Street Listing as compiled through the annual census.

Staffing Information (FY16)

The department has 2 full-time employees:

- 1 Town Clerk
- 1 Clerk

Budget Information



Top Five Services/Functions Provided by the Department

Services/Functions	Customer Service	Supervisor	Elections	VRIS Compliance	Town Meeting
Approximate % time spent...	50	10	20	10	10
Approximate % budget spent on...	0	0	80	10	10

General Background:

The Town Clerk is responsible for keeping, maintaining, and preserving the Town's official vital records and statistics; keeping the public record by certifying the actions town meeting; maintaining all records of public meetings, appointments, and resignations of public officials; bankruptcy filings; Planning Board and Zoning Board of Appeals applications and decisions; Certificates of Business; and dog licenses. The Town Clerk ensures that all public records are safely preserved and readily accessible for inspection and retrieval. In addition, the Clerk is the Chief Election official, directing all election activities and ensuring the administration of fair and accurate elections.

Town Clerk activities are highly Town-specific (e.g., elections, vital records, etc.) and highly determined by state and federal statutes. Historically, this has offered little opportunity for regionalization. However, high amount of paper and process-heavy work does mean potentially more opportunities for internal efficiency gains through upgraded systems, IT, and increased training.

Strengths:

As with many town clerk offices, Swampscott's Town Clerk often plays the role of gatekeeper to many services in and outside of town, with considerable amounts of time devoted to customer service and responding to the public's calls, email, and other forms of public outreach.

In FY15, the department sought to reduce their costs associated with dog licensing while also increasing convenience for residents. Previously, each dog in town had to have a separate application, and each form was a two-part form, one for the department and one for the owner. The department reduced the form to one page and allowed an owner to register up to three dogs on a form, reducing both printing costs, staff time and processing time. In addition, the department introduced online dog licensing in the same year to further decrease the amount of paper involved in the process. Of the over 600 owners, about 80 have begun processing their dog license online. The Clerk expects more to adopt as awareness increase. The department also plans to continue increasing the number of online services, including bringing vital records requests online.

Potential Challenges:

The gatekeeper role that the Town Clerk's office plays leads to certain challenges, including constant interruptions to work flow. This is exacerbated by space constraints, with the Assistant Town Clerk located in a separate room and the lack of systematic onsite record storage. There are also occasional requests involving considerable research, reducing the time devoted to traditional duties.

Regionalization opportunities

Both in terms of its role and size, the office of the Town Clerk's office is not one obviously amenable to significant regionalization opportunities.

Other opportunities

The department's gatekeeper role could be reduced if Town upgraded the phone system (adding automation) to help direct calls to appropriate department, as previously noted. Additionally, better signage in Town Hall would help direct residents to the correct location. The Town could even explore using volunteers or the senior tax work-off program to serve as in-person "front desk" gatekeepers by the front door to better direct residents to departments and services.

The Clerk's office can also continue to increase the number of resources online to reduce the number of visits to both Town Hall and the Town Clerk. Relatedly, the Town Clerk currently uses Excel for some internal tracking and records (such as business certifications), City Hall Systems for dog licensing, as well as scanning for town meeting and election notices. However, increased use of technology can increase time savings, information sharing and improve service delivery. First, the Clerk receives many requests for records (including vital records) that require scanning or other digitization. Increased ability to create and submit records digitally or the adoption of digital records management technologies—online or

enterprise—could reduce staff time spent on digitizing, allow more cross-department record sharing, as well as move the department towards more uniform and “light-weight” record-keeping, as current storage capacity becomes exhausted.

Recommendation 6.1: *Implement a digital records management system for vital records and other common records requests.*

Currently, the Clerk fields a number of requests for records that can require extensive research of by-laws and statutes passed as far back as the founding of the town. The lack of uniform and central resource for this research can cause the work to take hours to days to fully research. Codification of Town statutes and by-laws could result in both time-savings as well as improved service delivery.

Recommendation 6.2: *Pursue codification of all town bylaws and statutes to allow for quick response to resident requests.*

7. Personnel

Mission:

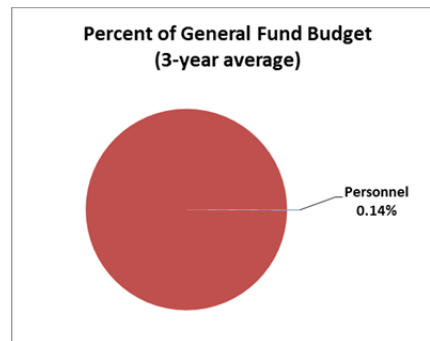
The Personnel Department establishes and maintains an equitable personnel system that promotes the efficiency and economy of government and the morale and well-being of all Town employees. The Personnel Department establishes and monitors personnel policies and procedures, ensures fair and consistent hiring activities, assists in the coordination of collective bargaining sessions, manages employee benefits and provides staff training and development opportunities. The Personnel Department is responsible for recruiting, selecting, and developing employees on the basis of their abilities, knowledge, and skills and ensuring that the work environment and the procedural guidelines of the Department are free from any instances of discrimination of any kind.

Staffing Information (FY16)

The department has 2 part-time employees:

- 0.75 Personnel Manager
- 0.5 Health & Benefits Coordinator

Budget Information



Top Five Services/Functions Provided by the Department

Services/Functions	Overseeing Benefits	Compliance with Town By-laws, State and Federal Laws	Contract Negotiations and Interpretation	Recruitment of Personnel	Back up Support to TA's Office
Approximate % time spent...	50	15	10	10	15
Approximate % budget spent on...	60	5	5	20	10

General Background:

The department has no full-time staff, with the director just above 30 hours and the benefits coordinator at 15 hours (a combined total of about 1.25 FTEs). In FY16, the department's budget increased 19% with the hiring of a part-time benefits director. The hiring was to accommodate the additional departmental purview over monitoring and administering employee and retiree benefits, due to the resignation of the previous Treasure/Collector.

In addition to the typical responsibilities for the department, the current director also serves other roles, including administering Town boards and committees.

The department is light on data use, in general, using excel for basic tracking and the Town's financial software for wage information and worker's compensation reports.

Strengths:

The department appears to have a good relationship with Town employees and unions. The department also commissioned a Compensation and Classification study in 2014 that will lead to unified and transparent job descriptions and competitive salary ranges for non-union employees.

Potential Challenges:

Currently, there is no unified Town personnel policy manual, and many policies are out of date. Also, current increases in federal regulations, such as health reform, are driving increases in department workload as the department works to be in compliance.

Regionalization opportunities:

Both in terms of its role and size, the office of the Personnel Department is not one obviously amenable to significant regionalization opportunities.

Other opportunities

There are several opportunities for Personnel to improve the efficiency of the services it provides to Town employees, although each of these require an upfront investment of time and/or resources.

Personnel action forms used by the Town and the Schools are different, leading to delays in processing and frequent requests for follow-up information. This could be remedied by a single personnel action form usable by both Town and Schools.

Recommendation 7.1: Create a single, stream-lined personnel action form that can be used by both Town and School departments to reduce personnel workload.

Similarly, many personnel forms that employees need to fill out are currently available in paper form, necessitating trips to town hall for employees working elsewhere in town. Providing these forms online can save employees significant time.

Recommendation 7.2: Increase online offerings for common personnel forms.

Finally, many questions to personnel are asked repeatedly. For questions with simple and nearly universal answers, having an FAQ section of the website could save time both for personnel and other employees. In particular, one that covers common questions regarding health and other benefits, as well as new hire protocols, would be helpful.

Recommendation 7.3: Create an FAQ section to reduce the number of department calls and walk-ins.

8. Assessing

Mission:

The Assessing Department provides the Town with fiscal stability by ensuring the Town's personal and real property is promptly, fairly, and equitably valued and classified. The Assessing Department determines fair market value of all property for the purposes of taxation. Additionally, the Department administers motor vehicle and boat excise taxes in a fair and efficient manner. The Department also administers the statutory exemption program for eligible taxpayers and administers the senior abatement work off program. In conjunction with the Town Accountant, the Assessors prepare the annual recap for the purpose of setting the annual tax rate.

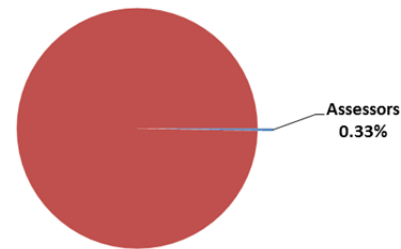
Staffing Information (FY16)

The department has 2 full-time employees and one part-time employee:

- 1 Assistant Assessor
- 1.5 Clerks

Budget Information

Percent of General Fund Budget
(3-year average)



Top Five Services/Functions Provided by the Department

Services/Functions	Setting the tax rate	Set values for taxes	Bring in new growth	Defend values at ATB	Educate the public
Approximate % time spent...	10	60	10	5	15
Approximate % budget spent on...	10	45	10	5	30

General Background:

After the eight-year tenure of the previous assessor, the Assessing department has undergone some substantial changes in its first year of new leadership. The Department of Revenue's (DOR) Bureau of Local Assessment requires that the department undergo a review and recertification of the Town's property values once every three years to ensure they are at full and fair market value. Yet, as recently several years ago, this recertification had been behind over a year. This DOR recertification is critical to the Town as it values properties for state mandated programs, is used in distributing state local aid, and is part of approving new tax base levy growth.

The department currently tracks 5,600 taxable commercial and residential parcels in a town of 3.68 square miles. According to the 2014 DLS Report, only 7.4% of the property value in town is commercial properties.

Strengths:

The recertification noted above has been achieved. The department has been able to reduce the number of abatements—petitions for the reduction of property tax—to 135 in FY15, down from about 250 in the previous fiscal year. This was despite a 14% increase in residential values from the previous fiscal year. Similarly, the department has reduced the number of appeals to the Appellate Tax Board, with only four in front of the board at this time. The department has increased its capacity to track every sale in town, categorize each property by assessment-to-sale ratio, and project and reconcile “new growth” figures, in order to keep a physical description and the valuation of every parcel current.

The department has considerable institutional knowledge. The current full-time administrative assistant has 28 years of experience in the Town, which has been bolstered by a part-time administrative assistant.

Potential Challenges:

With such a small department and one person approaching retirement, maintaining institutional knowledge will be a challenge.

Regionalization Opportunities:

Assessing is a function that is often outsourced or partially outsourced to private firms, some of which serve multiple municipalities. There are also a few examples of regionalized assessing departments. With the assistance of a Community Innovation Challenge (CIC) Grant, in 2014 the towns of Amherst and Pelham entered into an intermunicipal agreement whereby the Town of Amherst (pop. 38,000) provides assessing services to the Town of Pelham (pop. 1,300).

Although the population differential is not as large, assessing could provide Swampscott an opportunity to be the seller of shared services to the Town of Nahant (pop. 3,400), unlike many of the other regionalization opportunities, where Swampscott would be the buyer. The Town would need to investigate how much extra capacity would be needed in the department to handle the Nahant workload and whether it would be feasible to obtain that extra capacity.

Recommendation 8.1: Consider an intermunicipal agreement for assessing services, including the potential for the Town to act as lead agency, or other shared service arrangement.

9. Planning

Mission:

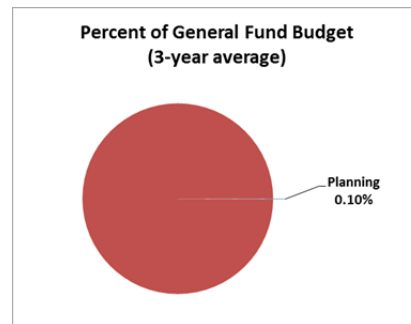
The Town Planner/Energy Efficiency Manager coordinates town-wide planning and energy efficiency policy and programs in view of balancing physical development with resource conservation and protection. The Town Planner/Energy Efficiency Manager acts as a technical aide to, and liaison between, the Planning Board, Renewable Energy Committee, the public and other town departments, boards and committees as needed. Additional responsibilities include assisting the Planning Board in the administration of the Zoning By-Law, Subdivision Control Law and Subdivision Regulations and the Renewable Energy Committee to maintain compliance with the Green Communities Act by developing municipal energy conservation measures and compliance with existing energy reduction programs.

Staffing Information (FY16)

The department has 1 full-time employee:

- 1 Town Planner/Energy Efficiency Manager

Budget Information



Top Five Services/Functions Provided by the Department

Services/Functions	Board support	Long-range planning	Permit reviews	Plan implementation	Assist applicants
Approximate % time spent...	25	25	15	25	10
Approximate % budget spent on...	10	25	10	50	5

General Background:

The single employee of the Planning Department is the Town Planner/Energy Efficiency Coordinator. This means all operational and administrative duties are conducted by the department head. In addition to these roles, the department head offers support to the Conservation Board, Zoning Board of Appeals, Renewable Energy Commission, Open Space Committee, and Energy efficiency Commission.

The department is currently engaged in developing a master plan with Metropolitan Area Planning Commission (MAPC) that will help guide the Town's planning and development through 2025 and beyond. The Town's Open Space & Recreation Plan was completed in 2013. The department also had a role in administering the SolarizeMass program, a partnership with the City of Salem for solar energy credits.

Strengths:

The department is proactive, particularly when it comes to energy efficiency. In addition to its role in administering the SolarizeMass partnership, the department recently received a Massachusetts

Department of Energy Resources Green Communities Grant to install solar street lights throughout town. The department is also one of the lead agencies in developing the Town's Master Plan.

Potential Challenges:

Much of the work related to planning is still done on paper, and each office keeps its own records. This includes both the permits themselves, as well as the bylaws and Town Meeting-related information. While bylaw research is infrequent, it has posed challenges.

The physical location of the office also affects the work flow. Being co-located with the other land use-related departments would provide for more effective and efficient services to residents and businesses working on development-related issues.

Regionalization Opportunities:

Smaller towns in Massachusetts have been known to share part-time planners. For example, the towns of Leicester (pop. 10,970) and Spencer (pop. 11,688) shared a planner for five years until this July, when Leicester decided to revert the position to full-time and add additional responsibilities.

In Swampscott, the office of Planning Department does not seem amenable to significant regionalization at this time, given the size and complexity of the community, the ongoing master plan work, the amount of development going on in Town generally, and the challenges already seen in making land use processes efficient and effective for residents and business owners.

Other Opportunities:

The major opportunities for the Planning Department include continuing use more technology moving away (and from paper-based records) and improving cross-departmental communication between the land use departments.

Recommendation 9.1: Continue increasing use of technology in conjunction with other departments, such as a digital records management system to facilitate sharing across departments, such as Building, Assessing, and ZBA.

10. Treasurer/Collector

Mission:

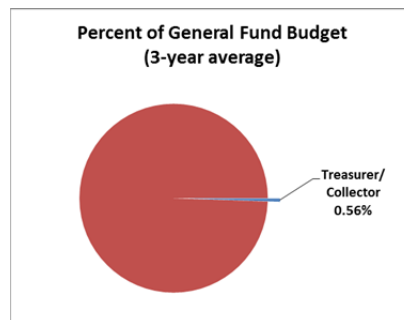
The Treasurer's Office preserves, protects and manages the financial resources of the Town, among other responsibilities. The Treasurer is responsible for receipt, accurate accounting and prudent investment of all Town funds to maximize yields while maintaining adequate liquidity and ensuring compliance with Massachusetts General Laws, Town ordinances and any other applicable financial mandates. Responsible for maintaining and paying Town payroll and managing employee benefits, such as, but not limited to, health, dental and life insurance, deferred compensation, and the Employee Assistance Program. The Collector (serving as both tax collector and town collector) is responsible for providing a single point of contact to taxpayers and municipal customers for all financial transactions. The Collector is responsible for the billing, collection and accurate accounting of all taxes, fees and charges. The Collector's Office mails and processes payments for municipal invoices each year including property and personal property tax bills, automobile excise tax bills, water/sewer usage bills, boat excise tax bills, harbor mooring fee bills, fire alarm fee invoices and varying amounts of water service, sewer apportionment, school tuition, rent and non-contributory retirement reimbursement invoices.

Staffing Information (FY16)

The department has 4 employees:

- Treasurer/Collector
- Assistant Treasurer
- 2 Clerks

Budget Information



Top Five Services/Functions Provided by the Department

Services/Functions	Customer service	Management of bank accounts	Payroll Administration	Receipt of revenue	Tax enforcement
Approximate time spent...	15	10	25	35	15
Approximate budget spent on...	20	25	20	20	15

General Background:

Although the position of Treasurer-Collector is not a new one in Swampscott, the role it fills has changed substantially over the last few years. It was relatively recently the Treasurer/Collector handled not only the traditional duties of the offices (i.e., management of the Town's funds, investments, and borrowing), as well as collections of taxes and processing of fees, charges, and other payments, but also the responsibilities for benefits, the Town's website, and the Town's information technology (IT).

In terms of its day-to-day work, according to the Town website, the Treasurer/Collector's office, among its other services and functions, issues the following bills:

- 24,000 property tax bills;
- 1,000 personal property tax bills;
- 15,000 automobile excise tax bills;
- 22,000 water and sewer usage bills; and
- 300 boat excise tax bills.

Strengths:

The Treasurer/Collector's office has been moving aggressively over the last year to move more transactions online to improve the convenience for those who do business with the Town and freeing up staff to handle less routine matters.

As a result of the efforts of the Treasurer/Collector's office and many others, the Town maintains an Aa2 bond rating from Moody's. In its most recent bond issuance in November 2014, Moody's noted "Swampscott's financial position will remain stable given management's commitment to maintaining sound reserve levels through conservative budgeting. The town has produced balanced or surplus operations for the past six fiscal years which has lead [sic] to healthier reserve levels."³³

Potential Challenges:

As with the Town Clerk, the Treasurer/Collector's office often plays gatekeeper, directing people where to go in Town Hall and answering questions as they can, interrupting the workflow of the department.

Regionalization Opportunities:

Both in terms of its role and size, the office of the Treasurer/Collector is not one obviously amenable to significant regionalization opportunities.

Other Opportunities:

Currently, there are types of payments that residents cannot make online, and there are a number of departments have their own separate online payment systems, such as Town Clerk and Recreation. All payments from residents should be available online, even though there will always be a portion of people who want to pay by mail or in person, and all should be accessible through a common system.

Recommendation 10.1: Make all payments from residents available online, preferably on a common system, to reduce workload and facilitate a streamlined billing process.

11. Health

Mission:

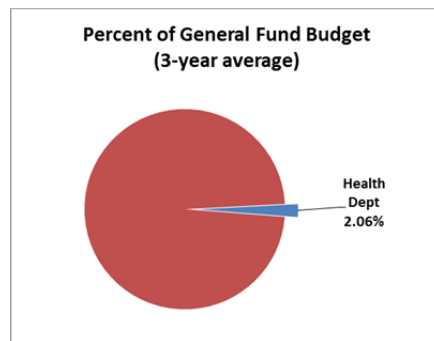
The Public Health Division promotes and protects the health and wellness of the community and performs the core functions of public health assessment, assurance and surveillance under the guidance of the Swampscott Board of Health. The purpose of the Board of Health is to promote health and well-being for the residents of Swampscott. These goals are attained by educating residents on current health issues and practices, as well as, by developing, implementing and enforcing health policies. These health policies vary in nature from topics including food establishments, dumpsters, body art, swimming pools, wells, smoking, tanning facilities, etcetera. The Board of Health constantly deals with issues of pesticides, rubbish and recycling removal, beach testing and closings, mosquito control and all other health concerns brought by the residents of Swampscott. The Board of Health works closely with other boards in determining the safest, healthiest, most desirable quality of life in our community.

Staffing Information (FY16)

The department has 2 full-time employees and 1 part-time:

- 1 Health Director
- 1 Clerk
- 0.25 Public Health Nurse

Budget Information



Top Five Services/Functions Provided by the Department

Services/Functions	Communicable Disease	Inspections	Waste Management	Environmental	Public Health Emergencies
Approximate % time spent...	5	17	65	10	3
Approximate % budget spent on...	1	5	90	3	1

General Background:

The health department consists of a full-time health director, a full-time clerk, and a part-time public health nurse. The department conducts health inspections (e.g., food service inspections, housing inspections, etc.), enforces health code regulations, provides public health information and education on topics ranging from asthma to tobacco to mosquitos, manages to the Town's solid waste contracts, and runs flu clinics. (While the Town of Marblehead and some others also have solid waste contracts in the health department, it is more commonly managed by public works departments in the Commonwealth.) Additionally, the health director also has authority for the animal control officer, who also provides animal control services to Marblehead, providing an example of an informal and unofficial regionalization.

Strengths:

The department has been effective at obtaining grants to support its public health education efforts. The solid waste and recycling contracts appear to provide the Town with favorable services.³⁴

Potential Challenges:

Given the size of the department, there are limits to the number of services that can be provided. Larger public health departments typically offer a larger range of services.³⁵

Regionalization Opportunities:

There are a number of precedents of shared public health services in Massachusetts, in addition to their prevalence nationwide. In 2009, the towns of Salisbury and Amesbury and the City of Newburyport entered into an IMA for a shared Public Health Department, Public Health Nurse, and Animal Control Services with Newburyport acting as lead agency.³⁶ (Each municipality retained its own Board of Public Health.) However, in the case of Swampscott, the Health Department has the additional role of managing the solid waste contracts, something that would add a layer of challenge to regionalizing health department services.

Nevertheless, there are more narrow examples of regionalization within public health. For example, beginning in 2013, the Hampden County Shared Public Health Nurse Assistance Program began providing services to twelve municipalities and is administered through the Pioneer Valley Planning Commission.³⁷ With the Swampscott public health nurse's weekly hours already reduced over the years from 20 hours a week to 10 hours, there may be ways to share public health nursing services that can increase the effectiveness of the service.

Recommendation 11.1: Consider an inter-municipal agreement for regionalized Public Health Nurse Services, including the potential for the Town to act as lead agency, or other shared service arrangement.

Given the existing regional grants Swampscott is involved in and the large number of potential public health grants available, the Town should explore with other municipalities the creation of a shared grant-writer that could bring in significant public health resources to the region.

Recommendation 11.2: Explore creating shared grant-writer position to expand the search for regional public health grants.

12. Council on Aging

Mission:

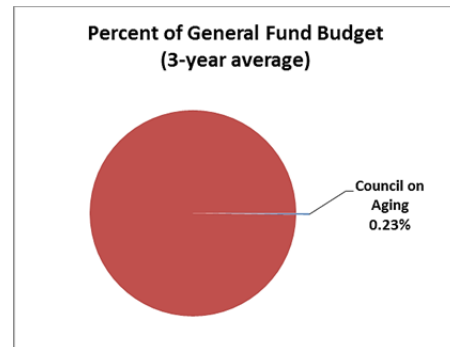
The Swampscott Senior Center identifies the needs of the town's over sixty years of age population and designs, implements, promotes and coordinates new and existing elderly services. The Swampscott Senior Center will provide an atmosphere of welcome wherein members are treated with dignity and respect. The center is open to all seniors regardless of race, color, creed or sex. An outreach program will provide support and information to those seniors unable to come in to the center. The staff will assist members and volunteers as referral resources and advocates.

Staffing Information (FY16)

The department has 1 full-time employee and 3 part-time employees:

- 1 Director
- 0.5 Outreach Worker
- 0.5 Activities Coordinator
- 0.5 Van Driver
- Additional Staffing

Budget Information (FY16)



Top Five Services/Functions Provided by the Department

Services/Functions	Meals	Transportation	Outreach	Activities	Well-being
Approximate % time spent...	15	15	15	50	5
Approximate % budget spent on...	1	20	25	35	19

General Background:

The Council on Aging department head has been in place for 10 years, in that time overseeing the move of the department from the previous Burrill Street location. The department is currently housed in the multi-purpose building at 200 Essex Street that also houses Swampscott High School, in addition to community use of building facilities. The department hosts daily meals, classes, and activities, as well as providing transportation to local businesses and the Center for its constituents. The Center also hosts and provides transportation for trips, such as to the Museum of Fine Arts and Foxwoods Resort.

Strengths:

The department relies almost entirely on part-time staff, with the Director the single full-time staff member. In addition to the Outreach Worker, Activities Director, and Van Driver, the department also has two receptionists, two additional van drivers, and as many as 60 volunteers assisting in running various programs. This results in a department that runs at relatively low-cost, given the number of staff available to the department.

Potential Challenges:

The current building sharing arrangement allowed the department to update its facilities and increase offerings for its constituents. Yet, the sharing arrangement has had its challenges.

Currently, the shared driveway and parking facilities puts seniors on the roadway with high school students and other residents, leading to road safety concerns. The department has addressed this by staggering program starts in way that doesn't coincide with start or end of day of school. However, this has not eliminated general concerns of safety of their constituency.

There are also concerns about the building sharing arrangement, in general. There are no governing principles, in writing, that outline the responsibilities of each party to each other with regards to the facility. Each party is responsible for their dedicated spaces, with all repairs, maintenance or other contracted work arranged for independently. This is a key missed opportunity for returns to scale within the building.

Further, though each party does have dedicated spaces within the building, certain key items are shared. Most notably, the technology closet (routers, modems, etc.) and temperature control components are in School spaces, leaving COA without direct control over some resources.

The existing state of technology is also a concern for the department. Currently, the department has machines that are out of date, running Windows 2003 for their operating systems. This means the department is limited in the number of recent technologies it can adopt. Though there is a fair amount of ongoing tracking through excel, the department is unable to access the higher order functions and capabilities of more recent versions. The department also has had little access to the Town's financial management software and have no staff formally trained in the software. This prevents the department from directly monitoring fund balances without reaching out to Town hall.

Regionalization Opportunities:

Regional partnerships around senior services are rare, but do exist. An example is the arrangement between Hamilton-Wenham, with Hamilton housing the Senior Center and Wenham sharing services through an intermunicipal agreement. Another area that has been explored is shared senior transportation services, with Hamilton-Wenham serving as an example of a shared Council on Aging Van since 2003. There have been a number feasibility studies, with two by MAPC as recent as 2012 and 2014, respectively.^{38,39} In order to know whether shared senior transportation services would make sense for Swampscott, significant data would need to be collected, including data on ridership, total distance travelled, and number of out-of-town trips conducted. Exploration of a shared model could also include shared long-distance activities, such as trips to casinos, among others.

Recommendation 12.1: Conduct feasibility study on shared senior transportation services with neighboring towns.

Other Opportunities:

As with several other departments, the Council on Aging could use additional training in MUNIS to be able to run reports on its revenues and spending.

Recommendation 12.2: Obtain additional MUNIS training to improve capacity for periodic revenue and expenditure tracking.

13. Library

Mission:

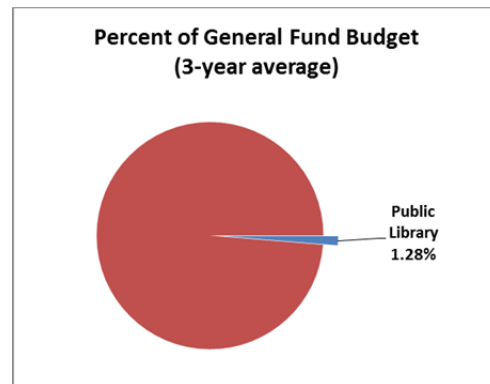
Swampscott residents and visitors of all ages have access to current information and recreational material and programs at the Swampscott Public Library. The Swampscott Public Library provides to its users the information they want, in a timely manner, opportunities and support for lifelong learning, and curriculum support for students for local schools and home-based educators. We are committed to provide educational support, current titles, and basic information to the townspeople.

Staffing Information (FY16)

The department has 4 full-time employees and 14 part-time employees:

- 1 Director
- 1 Assistant Director
- 0.5 Secretary
- 0.5 Children's Librarian
- 1 Circulation
- 1.5 Reference
- 0.5 Cataloguer
- 0.5 Library Assistant
- 1 Tech Aide
- 2.5 Adult Aide

Budget Information (FY16)



Top Five Services/Functions Provided by the Department

Services/Functions	Providing Information	Providing Materials	Computer Provision and Help	Providing Internet Access	Providing Programs
Approximate % time spent...	40	20	15	5	20
Approximate % budget spent on...	75	16	0	8	1

General Background:

In addition to its library services role, the department provides a number of programs. This includes their five book clubs, their children and teen groups, and increased offerings during the summer.

The department is staffed with a full-time Director, Assistant Library Director and Head of Technology, Head of Reference and Young Adult Services, Head of Circulation and Adult Services and part-time Administrative Assistant, as well as 13 other staff in various roles.

Regionalization Opportunities:

The department, as are most libraries in the Commonwealth, is part of network of libraries in the region North of Boston Library Exchange (NOBLE).

Regionalization Opportunities:

As part of the North of Boston Library Exchange (NOBLE), the library is already effectively a regionalized entity.

14. Accounting

Mission:

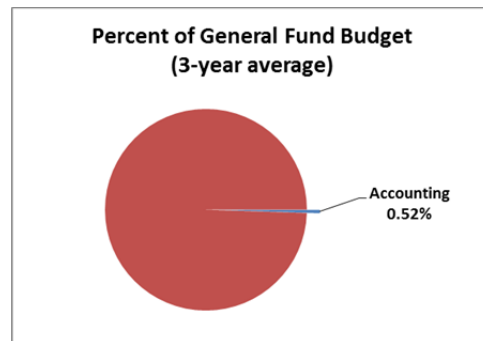
The Town Accountant provides the controllership and audit functions for the Town and its departments and agencies. The Accounting Department protects the fiduciary interests of the Town by ensuring that the financial records are accurately maintained and preserved; supervising and monitoring the expenditure of Town funds; utilizing sound accounting practices; and performing all other auditing and accounting functions pursuant to the Town Charter, Town By-Laws and laws of the Commonwealth of Massachusetts.

Staffing Information (FY16)

The department has 2 full-time employees:

- Town Accountant
- Assistant Town Accountant

Budget Information (FY16)



Top Five Services/Functions Provided by the Department

Services/Functions	Controllership and audit functions for the Town	Protects the fiduciary interests of the Town	Accurately maintains the financial records	Town Meeting Warrants	Town Budget
Approximate time spent...	20	20	20	20	20
Approximate budget spent on...	20	20	20	20	20

General Background:

The Town Accountant has many additional roles and responsibilities, including Assistant Town Manager, Parking Clerk, Chair of Traffic Commission, and overseeing the Retirement Board, as well a business management role in Schools.

Strengths:

As a result of the efforts of the accounting department and many others, the Town maintains an Aa2 bond rating from Moody's. In its most recent bond issuance in November 2014, Moody's noted "Swampscott's financial position will remain stable given management's commitment to maintaining sound reserve levels through conservative budgeting. The town has produced balanced or surplus operations for the past six fiscal years which has lead [sic] to healthier reserve levels."

Additionally, through the work of the Town Accountant and others, the Town's FY16 annual budget document received a Distinguished Budget Presentation Award from the Government Finance Officers Association (GFOA). It has received this designation for nine straight years.

Potential Challenges:

The department is currently awaiting cash reconciliations making it impossible to close the books on previous periods. As of December 2015, the department is awaiting cash reconciliations from the Treasurer's Office as far back as July 2015. This concern also leads to the persistence of late Management Letters in the past three fiscal years. According to the Town Accountant, this is a process that ideally would begin in September and a completed in December for the previous fiscal year. However, the previous two letters (FY13 and FY14) were received at least a year after fiscal year close.

Another key concern for the department is office space and layout. Currently, the department is short on storage space and expects that their current "overflow space," the third floor conference room, will be repurposed to accommodate new personnel. This adds to fragmentation of the department, with the Assistant Town Accountant in a separate room and the physical distance from other department they collaborate with. There are also staffing concerns, with department's reduction to two staff.

Regionalization Opportunities:

Some smaller Massachusetts towns have regionalized their accounting functions (e.g., the Franklin Regional Council of Governments providing accounting services to many Franklin County towns), and a few municipalities have outsourced their day-to-day accounting functions (e.g., Hubbardston (pop. 4,000) and Hanson (pop. 10,000)).

Given the critical role of accounting in a well-functioning municipality, it is absolutely essential for the Town to maintain continuity of high-quality accounting services. This argues for maintenance the status quo in the short term, while considering opportunities to reduce the risk that a departure of one of the two FTEs in the accounting office poses.

Looking for medium-term or long-term opportunities is particularly relevant for Swampscott, given the small size of the office (i.e., two FTEs), the number of other significant functions that the office of the Town Accountant currently provides beyond a purely accounting role, and the competitive market for hiring skilled and experienced Town Accountants. (The project team notes that, anecdotally, many Massachusetts towns have had difficulty filling Town Accountant positions in the last five years.)

The additional benefit of shifting day-to-day accounting work off of the Town Accountant would be to allow the position to focus more on big picture financial management and strategy (in collaboration with the Town Administrator, Board of Selectmen, Finance Committee, and others).

Recommendation 14.1: Investigate opportunities for regionalizing or outsourcing some day-to-day accounting functions.

15. Recreation

Mission:

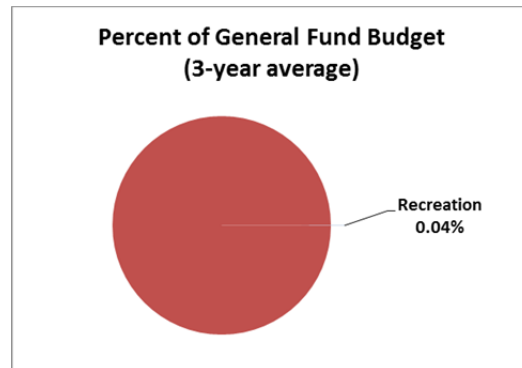
The Recreation Department provides the community with leisure time activities for adults and children. This includes beaches and lifeguards, sailing lessons, tennis, track and field, basketball, soccer, playground activities and a teen recreation center. In winter months we offer enrichment programs for both adults and children. We also provide beach and railroad stickers and collect field usage fees.

Staffing Information (FY16)

The department has 1 full-time employee and many part-time employees:

- 1 Recreation Director
- Many seasonal employees

Budget Information (FY16)



Top Five Services/Functions Provided by the Department

Services/Functions	Programs	Events	Fields	Beaches/Lifeguards	None
Approximate % time spent...	50	20	20	10	0
Approximate % budget spent on...	20	0	0	80	0

General Background:

The current Director has been in place for 11 years. Prior to this, there was not a department head in Recreation. The department also shares their administrative assistant with the health department. The department is funded by the general fund (\$30,000 in FY16) mostly for salaries (0.75 FTE). The Department runs a number of programs, with program coverage year round, including Soccer, Wrestling, Basketball, Skiing, Sailing and a Farmer's market, among others. The Department also runs a number of events, including a Car show and Outdoor Movies.

Strengths:

The department provides a large number of programs during all seasons.

Potential Challenges:

The lack of a full-time, dedicated administrative assistant leads to a lag time in the completion of administrative tasks. Additionally, the department head has not received sufficient training on Munis to be able to efficiently analyze the financial status of the department.

Regionalization Opportunities:

There are examples of shared recreation departments and services in both Massachusetts and throughout the country. The Towns of Hamilton and Wenham have shared a recreation program since FY95, merging their existing committee and commission, respectively, into the Hamilton-Wenham Joint Recreation Committee. (Notably, though the Hamilton Recreation Center became under the purview of the Joint Committee, all employees remained Town of Hamilton employees.)

In addition, the department currently engages in a number of activities with regional partners. For example, recently the Department farmed out fiber glass work to the Town of Wenham for four cracked sail boat hulls, saving the Town considerable money versus a commercial repair. The Department is also part of a regional coalition of Recreation Departments with neighboring towns (including Burlington, Marblehead, Salem, Beverly, among others), allowing member municipalities to share cost-saving or service-improvement ideas.

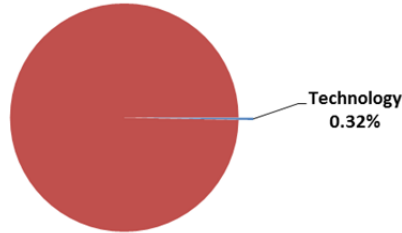
Given the nature of the department's current funding, it is unclear how increased regionalization would change the department's impact on the budget. However, such efforts could lead to an improvement in service delivery.

Other Opportunities:

Currently, the department's use of technology entails using Excel to track bills and MyRec⁴⁰ for online payments (e.g., Beach Stickers, Parking Stickers, Facilities use). However, the department is not using its current data for analysis and periodic tracking, nor is the department using Munis, the Town's financial management software, for up-to-date tracking of resources.

Recommendation 15.1: *Analyze data to better understand recreation program and facilities use patterns and opportunities.*

Recommendation 15.2: *Obtain additional Munis training to improve capacity for periodic revenue and expenditure tracking.*

16. Technology	
Mission:	
The Technology department maintains all aspects of our deployed systems throughout the town from phone switches and PC's to Swampscott's state of the art fiber optic network that connects our Town Hall, Police and Fire Departments, Senior Center, Library, High School and our Town Hall Annex. As the efficient use of our infrastructure and exchange of data between departments continues to grow, so too will the quality of service being provided to the citizens of Swampscott.	
Staffing Information (FY16)	Budget Information (FY16)
<p>The department has:</p> <ul style="list-style-type: none"> 1 Full-Time Employee 	<p>Percent of General Fund Budget (3-year average)</p>  <p>A pie chart with a single red circle representing 100% of the budget. A thin blue line points from the text 'Technology 0.32%' to the circle.</p>
Top Five Services/Functions Provided by the Department	
<i>(Given that the position was only created in the FY16 budget and filled at the beginning of this fiscal year, there was insufficient history to merit surveying on time spent on various tasks.)</i>	

General Background:

The department was created in the FY16 budget and filled at the beginning of this fiscal year. Previously, the department was filled by the Treasurer/Collector and a part-time contractor. The department currently has a Director and is funded by the general fund (\$254,500). Service operating costs are the largest component of the department (63%).

Regionalization Opportunities:

While information technology (IT) is a function that can be effectively outsourced or regionalized, it is not the time to be considering such options, given the new arrangement that has just been created. The project team believes that the new department and position will provide significant benefits to the Town and should be given time to make change before any discussions of outsourcing or regionalizing occur. There is a significant amount of short-term work to be done to get the Town caught up in its IT capacity.

Other Opportunities:

Given the increasing importance of technology to all aspects of the Town's operations and the positive steps the Town has made toward increasing its use in the creation of the department, the Town is now in a position where it has the need for and capacity to use an IT strategic plan. Such a plan would likely encompass several critical pieces. It should include (or lead to) a review of security plans and systems, in light of the increasing concerns over data security regionally and nationally. It should include business

continuity/disaster recovery plans, given the amount of information and processes now critically dependent on IT systems. Additionally, it should contain (or lead to) other important IT-related information, including an inventory of IT assets, network diagrams/flowcharts, IT policies and procedures, and opportunities for improved IT procurement.

As of yet, there isn't a strategic plan in place in the Town that addresses all of these gaps. Now that a new department and position have been created, a next logical step would be to begin working on developing one.

Recommendation 16.1: *Develop IT strategic plan that includes (at minimum) security and business continuity plans, an asset inventory, procurement plans, and policies and procedures.*

Another area of strategic interest is the Town's primary financial management software, Tyler Technologies' Munis. As mentioned previously, the Town recently upgraded its Munis software to Version 10.5. Given recent adoption of the update, the Town has made a commitment to the software for the near term. To take advantage of this update, however, the Town should expand the training provided to staff.

Recommendation 16.2: *Provide additional training on Munis software.*

Of municipalities Swampscott's size and larger in Massachusetts, Munis is the most common enterprise solution for financial functions. Though offering a high level of integration, the platform's other modules are not as universally and uniformly adopted. The ideal would be for the Town to adopt a software suite that included top-of-the-line modules for each department, rather than the current patchwork of platforms now adopted by Swampscott and many others. However, currently there are no options for integrated software packages that multiple municipal departments all feel provide the best functionality for their needs. The Town should continue to evaluate the market of complete software suites, as well as evaluating whether individual departments' current solutions are the right fit.

Recommendation 16.3: *Periodically evaluate software packages that may provide more municipality-wide functionality.*

17. Harbormaster

Mission:

As the principal public safety officer upon Swampscott waters, the Harbormaster enforces federal, state, and local laws as they affect the waterfront. This encompasses many facets including:

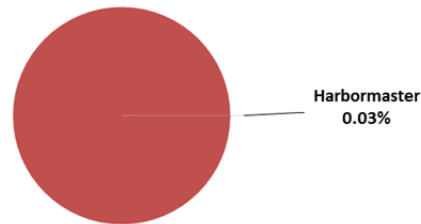
- With the assistance of the Town Treasurer/Collector and staff, manages the mooring permit system.
- Establishes mooring equipment specifications tailored to specific vessels for the purpose of assuring vessel safety while at mooring.
- Inspects mooring equipment to assure compliance to specifications.
- Places mooring equipment in the harbor to assure proper spacing between vessels while ascertaining that vessels are located where sufficient depth exists to accommodate draft and swing requirements of specific vessels.
- Patrols Town waters with an eye toward boater and bather safety.
- Performs rescues at sea from time to time as necessary.
- Maintains town boat and equipment to assure suitability for mission as an "emergency" vessel.
- With staff of Assistant Harbormasters, participates in ongoing training through the Massachusetts Criminal Justice Training Council in conjunction with the North Shore Harbormasters Association.

Staffing Information (FY16)

The department has employees:
Full-Time Employees: 0
Part-Time Employees: 3
Plus several volunteers.

Budget Information (FY16)

Percent of General Fund Budget
(3-year average)



Top Five Services/Functions Provided by the Department

(Department not included in Survey, per original scope of services.)

General Background:

The department currently has one head (the Harbormaster), and three other main staff (the Assistant Harbormasters). The Harbormaster, however, is the only paid position.

Though a law enforcement department, the Town's Harbormaster is not a sub-division of the police department and does not carry firearms. The department is responsible for enforcing a number of the state's code of regulations (CMR) and general laws (MGL), in particular MGL Ch. 90B which governs waterways.

In addition to its law enforcement duties, the department administers mooring applications and fees. The department currently has approximately 200 moorings, and projects 12-17 new moorings a year. The Town's harbor, however, has maximum of 250 possible moorings.

The Town does not have a natural harbor, which limits the types of boats it can accommodate. These harbor limitations in conjunction with the mooring maximum also limits the services the harbor provides. Though they do provide the moorings and freshwater at the floats, they do not provide electricity, fuel, pump-out or taxi services. There is also a boat launching ramp and a limited parking area.

The department is low-tech. The department has one computer and utilizes the standard office suite for its work. Though the department does use spreadsheets and compiles data, these analyses are targeted for harbor studies and capital planning, but not towards day-to-day operations. (Currently, the Harbor and Waterfront Committee is reviewing options for dredging the harbor, as well as reducing erosion and sandbars.) Online offerings for residents are also limited, though the department would like to move to online renewal of mooring permits.

Regionalization Opportunities:

The department is part of the regional North Shore Harbormasters Association, which are underneath the Massachusetts Harbormaster Association. These associations provide training in addition to other opportunities to share expertise, with monthly training sessions during the winter months for the department and 10 hours of in-service training for Assistant Harbormasters in April.

As of yet, the project team knows of no examples of regionalized Harbormasters. There are some examples, however, of regional partnerships. The towns of Chatham and Harwich received a CIC in 2012 for a Portable Closed Loop Pressure Wash Water Recycle System to reduce overall costs, including the cost of a discharge permit, fresh water and waste water contaminate disposal. Given the current harbor and waterfront needs, a joint procurement or an IMA for recurring services can help minimize both long-term and short-term costs.

Recommendation 17.1: *Seek joint-procurement and IMAs for both short-term, recurring services and more long-term efforts.*

Other Opportunities:

Recommendation 17.2: *Implement online renewal of mooring permits and collection of fees.*

APPENDIX

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3. Town organizational chart	89
4. Survey instrument	90
5. Swampscott Inter-Municipal Agreements	95
a) Building Commissioner Services with Salem	95
b) Procurement Services with Salem	100

1. Documents and reports reviewed

1. *Charter for the Town of Swampscott*
2. *General By-Law for the Town of Swampscott*
3. *Zoning By-Law for the Town of Swampscott*
4. *Town Administrator's Budgets (2011, 2012, 2013, 2014, 2015, 2016)*
5. *FY15 Budget Highlights*
6. *Annual Town Meeting Warrant Report (2013, 2014, 2015)*
7. *Town Management Letters (Fiscal Years 2007, 2008, 2009, 2010, 2011, 2012, 2013, and 2014)*
8. *Financial Forecast, Fiscal Years 2015 – 2019*
9. *Division of Local Services Review of Town/School Finance Merger (2014)*
10. *Open Space & Recreation Plan, 2013 – 2020, Town of Swampscott (2013)*
11. *Swampscott Downtown Vision and Action Plan*
12. *2004 Swampscott Community Development Plan*
13. *CY13 Police Calls For Service*
14. *2014 Town Meeting and Board of Selectmen Regionalization Updates*
15. *2014 Retirement Board Annual Report*
16. *All town job descriptions*
17. *Collecting Bargaining Agreement between Town of Swampscott and Swampscott Firefighters Local #1459, I.A.F.F., 2014—2017.*
18. *Collecting Bargaining Agreement between Town of Swampscott and The Massachusetts Coalition of Police Local 417, 2014—2017.*
19. *Collecting Bargaining Agreement between Town of Swampscott and American Federation of State, County and Municipal Employee, AFL-CIO, Council 93, Local 2610, (Town Hall Clericals Unit), 2014—2017.*
20. *Collecting Bargaining Agreement between Town of Swampscott and American Federation of State, County and Municipal Employee, AFL-CIO, Council 93, Local 2610, (Public Works Unit), 2014—2017.*
21. *Inter-municipal agreement for Building Commissioner Services with Salem*
22. *Inter-municipal agreement for Procurement Services with Salem*

2. Statutes Providing for Regionalization⁴¹

(Note: In addition to the specific statutes provided here, the Town may seek a special act of the legislature (i.e., home rule petition) for additional forms of regionalization.)

TYPE	CITATION	CREATION	GOVERNANCE	FINANCES	OTHER ISSUES
GENERAL PROVISIONS					
Intermunicipal agreements (IMAs)	40:4A	Agreement by CEOs of governmental units with approval of selectmen, mayor & council or prudential committee Contracting units include cities, towns, regional school districts, improvement districts, regional planning commissions, water & sewer commissions, counties and state agencies Approval of school committee needed if involves supplementary education centers and innovative educational programs	By agreement	By agreement	Units may jointly perform, or have one perform on behalf of others, any service, activity or undertaking any unit can perform 25 year maximum
Joint performance of services	43C:15				Consolidated municipal departments (finance, inspections, community development) may participate in IMAs
GENERAL GOVERNMENT					
Regional assessing	41:30B	Agreement approved by participating cities or towns (legislative body vote) and approved by Department of Revenue (DOR)	By agreement. Initial committee of representative assessors develops methods and procedures for sharing services of assistant assessor. Thereafter, per DOR, Board of Directors.	Fair allocation of expenses between communities per terms of approved agreement. Annual appropriation of funds.	Approval and oversight of local agreements by DOR See DOR IGR 61-402
Regional health care coverage	32B:12	Acceptance of c. 32B, by agreement of "appropriate public authorities" of 2 or more governmental units			See 32b:2(a) definition of appropriate public authority – mayor in city, selectmen in town, governing board in district, county commissioners in county (except Worcester), trustees of charter school, directors of educational collaborative
Regional retirement systems	34B:19	Statutory successor to an abolished county retirement system	Regional retirement board	Assessment by regional retirement board (how determined??)	Regional retirement board advisory council created.
Regional charter commissions and councils of government	34B:20	Regional charter commission established by acceptance by legislative bodies. Commission develops proposal for structure of a regional council of government (RCG). Council charter proposal must be approved by majority of voters in a community (referendum) for it to participate.	RCG created by charter.	Annual assessment of members	
Collective purchasing	7:22B, 22A	§ 22A – Statutory authority for joint purchases with Commonwealth or other municipalities through state purchasing agent. ("join together") § 22B - Statutory authority for joint purchases by municipalities with one serving as lead purchasing agent. ("join together")	Regulations of state purchasing agent	Each unit remains solely responsible for payments due vendor.	(Need to search regulations)
Regional service centers (for development of GIS technology and data)	21A:4B	Executive Office of Energy & Environmental Affairs (EOEEA) – Office of Geographic and Environmental Information establishes regional service centers to assist governmental units in the development and use of GIS technology.	By EOEEA	State appropriation	Coordinates GIS data sharing agreements between governmental units
PUBLIC EDUCATION					
Regional school districts	71:14-16I	71:15 Acceptance by municipalities (legislative body vote) of 71:16-16I, under agreement approved by Department of Elementary & Secondary Education (DESE)	Regional School Committee (RSC), chosen in accordance with agreement	Budget adopted by RSC, approved by 2/3 of member communities in 3 or more member districts, both members in 2 member districts	
School superintendency unions	71:61-64	Agreement of school committees of towns each with <\$2.5m valuation, & aggregate # of schools between 25 and 75. DESE can form or adjust union without regard to valuation or # of schools	Joint committee of member towns' school committees fixes salary & benefits of superintendent.	Costs allocated among members in accordance with 71:65 (which has been repealed) – so presumably by agreement	Needs 2/3 vote of joint committee & DESE approval to fire superintendent. Also, DESE approval to dissolve union.
Education collaboratives	40:4E	Agreement by school committees	Board of directors, 1 appointed by each school committee	Not determined by statute	Has own treasurer; RAN borrowing; is public employer
Joint school committees	71:63	Part of superintendency union statutes – see above			
Joint directors of occupational	71:38D	District formed by vote of towns (not school committees) to employ joint director of occupational guidance & placement	Joint committee of member towns' school committees	Joint committee annually appoints director, fixes salaries & apportions costs among members.	Any member can withdraw
PUBLIC HEALTH					
Regional health districts	111:27A-27C	Vote of municipalities (towns only, & not in Barnstable Co. under § 27A)	§ 27A: Joint health committee of member towns' boards of health, or 1 or more members from each board § 27B: single regional board of health, members appointed by	§ 27A: joint committee develops & allocates budget, which members raise in tax levy without appropriation §27B: regional board adopts budget, apportions cost	

2. Statutes Providing for Regionalization

(Note: In addition to the specific statutes provided here, the Town may seek a special act of the legislature (i.e., home rule petition) for additional forms of regionalization.)

TYPE	CITATION	CREATION	GOVERNANCE	FINANCES	OTHER ISSUES
			each municipality by whatever method it chooses	among members according to choice of formulas in statute. Assessments raised in levy without appropriation	
Joint infirmaries	47:4	Nothing in statute, presumably town meeting vote	Nothing in statute	Nothing in statute	

PUBLIC LIBRARIES

Joint public library	78:19A	Nothing in statute	Nothing in statute	Nothing in statute	§ 19A relates only to state aid reimbursement
Regional public library service	78:19C-19D	Nothing in statute; can include private as well as public libraries – see 78:19D	State Board of Library Commissioners designates administrative agency; council of members, duties prescribed by bylaws of regional system, as approved by state Board	Nothing in statute about budget; state reimbursement under 78:19C	Relates to sharing of library resource materials

PUBLIC SAFETY

Fire districts	48:60-80 (see §§ 67 & 79)	Vote of town meeting(s) to organize the fire district and department and establish boundaries of the district by petition or residents of proposed district	Elected prudential committee as CEO & district meeting as legislative body	District property tax assessed by member town assessors, collected by town collectors and turned over to district treasurer	Not clear how districts in more than one town are formed
Regional police districts	41:99A-99K	Approval of a majority of the voters of member towns (referendum)	Regional police commission organized by member towns' boards of selectmen, each appointing 2 members of the commission	Regional police commission determines its budget and assesses member towns using statutory formula based on EQV, population and miles of road of member towns	Unclear whether towns with police covered by civil service may be included
Regional EMS council (Emergency Medical Services System)	111C:4	Designated by State Department of Public Health (DPH)	10 to 35 members selected by DPH, some of which represent different aspects of EMS community	Revenue from contracts with DPH	More of an agency of the state than a separate local district
Regional emergency communication centers and PSAPs (Public Safety Answering Points/Enhanced 911 Service)	6A:18A-18J; 166:14A	Agreement between governmental bodies in regional areas determined by the state 911 department	None specified in legislation, presumably as provided in the intergovernmental agreements	Not specified in the statutes, presumably from general fund revenues in proportion to the governmental bodies as specified in the agreements	Regional communication centers and PSAPs are part of a statewide plan for emergency dispatching services provided locally or regionally. Telecommunications companies must provide capabilities to reach the 911 centers and may charge special fees to offset their costs
Mutual police aid programs	40:8G	Agreement between communities upon acceptance of 40:8G in those communities	Governed by terms of mutual aid agreement	Financed by general municipal revenues as per mutual aid agreement	Allows for mutual aid agreements between contiguous towns in and outside MA.

PUBLIC UTILITIES

Regional municipal water supply system	21:9A, 20	Two or more municipalities by vote of the legislative body	Town meeting vote or vote of town council or city council	Appropriation by each local community	
Sewer districts (re references to buy services)	83:1	Vote of sewer department in each member community, if authorized by ordinance or bylaw	Each member community's sewer department	Appropriation in accordance with contract terms	Contracts may not exceed 20 years
Regional water/sewer district commissions	40N:25	Vote of town meeting, town council or city council	Regional district commission	Regional district agreement includes financing provisions	
Regional local government unit (Water Pollution Abatement Revolving Loan Program)	29C:1	Vote of town meeting, town council or city council	Bylaw or ordinance of city or town providing service	Assessments or other charges on cities and towns receiving wastewater collection or treatment services	
Municipal Light Plant Cooperatives	164:47C	Vote of municipal lighting plants	Board of not less than 3 directors elected by and from the members of the cooperative	In accordance with cooperative agreement	
Municipal Group Electric Load Aggregation	164:134	Majority vote of town meeting, town council or city council	In accordance with plan approved by Department of Energy Resources	Appropriation by members in accordance with service agreement	
Energy Cooperatives	164:136	Vote of town meeting, town council or city council	Board of not less than 3 directors elected by and from the members of the cooperative	In accordance with agreement	
Group Utility Purchasing Arrangements	164:137	Vote of town meeting, town council or city council	In accordance with group purchasing agreement	In accordance with agreement	
Regional refuse disposal districts	40:44A-44L	Vote of town meeting, town council or city council	Regional refuse disposal district committee	Annual assessments as determined by district committee	
Regional recycling programs	40:8H	Vote of town meeting, town council or city council	In accordance with agreement	In accordance with agreement	
Regional water pollution abatement district	21:28	District proposed by Division of Water Pollution Control (DWPC) within Department of Environmental Protection, and approved by Water Resources Commission. Within 90 days if legislative bodies of municipalities do not approve, Director of DWPC may order c. 30A hearing on necessity of district. If finds needed to control water pollution, may declare district formed (mandatory district).	District commission made up of 2 members of each town appointed by selectboard Commission of mandatory district made up of 3 members appointed by Director of DWPC Commission appoints executive director	District plan for water pollution abatement facilities submitted to DWPC. Plan must include formula DWPC finds equitable for allocating operating and capital costs. May be based on 2 or more factors (population, EQV, waste volume and type, other factor DWPC considers appropriate)	Act of legislature required to dissolve district

2. Statutes Providing for Regionalization

(Note: In addition to the specific statutes provided here, the Town may seek a special act of the legislature (i.e., home rule petition) for additional forms of regionalization.)

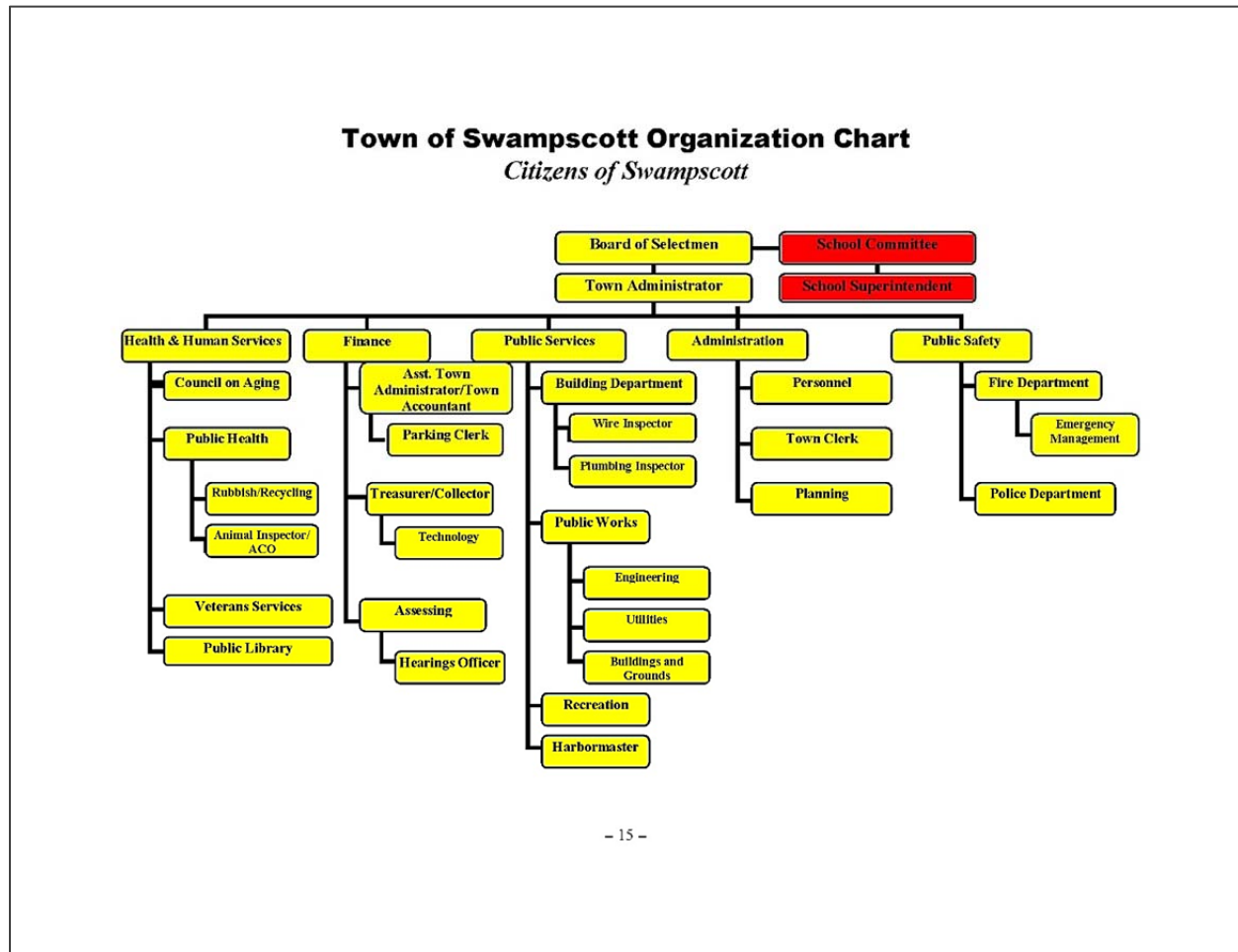
TYPE	CITATION	CREATION	GOVERNANCE	FINANCES	OTHER ISSUES
PUBLIC WORKS					
Joint road maintenance	84:5	Agreement between communities with common highways to construct, repair, maintain and improve roads and to share road machinery	Governed by terms of town meeting votes and appropriations	Funding per terms of town meeting votes and appropriations	
Joint applications for road and chemical storage assistance	16:4D	Opportunities to apply for joint project grants for 2 or more eligible towns created by rules and regulations of Commissioner of Highways (Mass Highway)	Governed by the rules and regulations of Mass Highway	Financed from grants through towns grant accounts or under rules and regulations of Mass Highway	Does not specifically authorize a joint project, per se, but merely joint grant application
RECREATION & CULTURE					
Cooperative Recreation Facilities	45:14	Vote of legislative body of 2 or more towns to authorize recreation departments to cooperate in providing recreational facilities and programs	Authorized recreation departments establish the cooperative arrangements	Expenses to maintain and support facilities and programs apportioned by recreation departments	
Regional cultural council	10:58	Any group of cities and towns may form regional council with approval of MA Cultural Council	Regional council has equal number of members appointed by mayor or selectmen. By 2/3 vote, the regional cultural council can adopt proportional representation corresponding to the populations of participating cities and towns. Council members serve for staggered 3 year terms.	Regional cultural councils disburse arts lottery funds, other "allocable" receipts including gifts and grants, and interest earned on the portion of council money which is invested. Appropriation not required (revolving fund).	
Regional beach districts	40:12B-12G	District formed by vote of legislative bodies of 2 or more contiguous cities or towns to acquire, develop, maintain and operate beaches	Commission appointed by a "joint committee" including mayor & city council president of each city, and the chair of selectboard in each town. Joint committee also determines number and terms of office of commission members.	Not specified in statute-presumably by agreement	Treasurer of 1 of members acts as treasurer for district Director of Accounts to annually audit district accounts. Cost apportioned based on most recent EQV. State treasurer to issue warrant to assessors to raise in tax levy without appropriation and pay over.
REGULATORY FUNCTIONS					
Regional planning districts	40B:3, 11	District established by vote of legislative bodies of 2 of more cities or towns. Other cities & towns may apply for admission. Acceptance by 2/3 vote of the representatives of the member cities and towns.	District planning commission made up of 1 member from planning board of each participating community. Commission elects officers from among its members annually. 2/3 vote of district planning commission may establish an executive committee.	Annually in February, district commission prepares budget. Budget apportioned among member municipalities, subject to per capita limits adopted by 2/3 of legislative bodies of member communities. Commission certifies each city or town's share of the budget to the assessors to be raised in	levy without appropriation
Joint regulation of motorboats	90B:15	Joint action to regulate motorboats on sharing water ways or bodies in 2 or more cities and towns. Local motorboat regulations cannot conflict with 90B	Adoption of uniform regulations requires "joint action," presumably by legislative bodies, of cities and towns sharing the waters	No financial arrangements are specified – presumably each municipality covers its own enforcement costs.	
Joint air pollution control districts	111:142C	Joint request by cities and towns to state DPH to form district. DPH must approve. District similar to Metropolitan Air Pollution Control District of 111:142B	DPH may regulate "air contamination sources" and set up "air sampling stations" within the pollution control district	Participating cities and towns must reimburse Commonwealth for the cost of pollution control activities. State treasurer issues warrant to assessors in district communities to assess tax based half on assessed valuations and half on population	
TRANSPORTATION					
Regional transit authorities	161B	Authority formed by any city or town, or group of cities and towns, other than those in MBTA with bus service, by approval of selectmen in town, city manager in a Plan E city or council and mayor in other city and notice to Governor Any city or town, or group of cities and towns, other than those in MBTA with bus service or in authorities provided for 161B:2 & 14, may join contiguous authority by approval of selectmen in town, city manager in a Plan E city or council and mayor in other city City or town can withdraw upon approval of referendum placed on ballot by vote of city council, town meeting or petition of 5% of registered voters	Advisory board made up of city manager of each Plan D or E city, chair of selectboard of each town, or town manager or administrator (or designees). Each community has 1 vote, plus additional votes in proportion to state assessments on members. Non-voting representative from disabled commuting population appointed on rotating basis from members. Advisory board can establish executive committee according to bylaws Advisory board appoints administrator as chief executive officer	Annual budget prepared by administrator and approved by advisory board Budget not covered by operating revenues funded by cherry sheet assessments on members based in proportion to cost of service within member and state contract assistance	May issue debt up to 40 years; biennial audits by state auditor
ECONOMIC DEVELOPMENT					
Economic development regional commission	40B:5	District formed by votes of legislative bodies of cities and towns to make recommendations for physical, social, governmental or economic improvement of the district	District planning commission made up of 1 member of the planning board of each city and town voting to join district	Commission annually apportion expenses and certifies the amount to assessors of members who raise in tax levy without appropriation	District may issue RANs by a majority vote of commission

2. Statutes Providing for Regionalization


(Note: In addition to the specific statutes provided here, the Town may seek a special act of the legislature (i.e., home rule petition) for additional forms of regionalization.)

TYPE	CITATION	CREATION	GOVERNANCE	FINANCES	OTHER ISSUES
OTHERS					
Regional veterans' districts	115:10-15	District formed by votes of legislative bodies of 2 or more adjoining towns, or 2 or more adjoining municipalities of which only 1 may be a city, to provide veterans with information about and assist them in obtaining available benefits	District board made up of mayor or his/her designee of each city, chair of selectboard or his/her designee of each town, and the town manager or his/her designee if town council form of government. Board appoints director of veterans' services who performs the duties of the veteran's agent in each member city or town. District board also designates a treasurer of 1 of member municipalities as district treasurer.	District board determines district expenses and apportions them on members based on most recent EQQ, most recent federal census, or by other means determined by a unanimous vote of the district board to be fair and equitable to each community. Board notifies local treasurers of apportionment. They certify amount to assessors who raise in tax levy without appropriation.	Director of Accounts to annually audit district accounts. Cost apportioned based on most recent EQV. State treasurer to issue warrant to assessors to raise in tax levy and pay over.
Joint airport enterprise	90:51N	By vote of the city council with the approval of the mayor or by vote of a town meeting, 2 or more municipalities may establish, maintain and operate airport as joint enterprise. Within 30 days after the votes, mayor and city council and selectmen of communities must meet to draft agreement. Agreement must be approved by the airport commission and the Director of Accounts and be agreed to by the mayor and city council of each participating city and the town meeting of each participating town. Agreement to establish a joint airport commission and joint airport fund and specify the proportionate interest of each participating municipality in the airport and its proportionate share of the expenses	The joint airport commission acts as agent of all municipalities in operating airport. Joint commission chooses the officers to maintain and operate the joint enterprise.	Joint airport commission determines amounts needed to run joint airport. Apportions amount needed above amount available in joint fund to participating municipalities as per the agreement. Sends apportionment notice to mayors & selectmen.	
Joint control of marine fisheries	130:56	If two or more municipalities have joint property in, or joint control over, any marine fisheries, the city council or the selectmen may exclusively exercise authority over fisheries as though such joint control or property did not exist.	Selectmen, board of alderman or city council may control, regulate or prohibit the taking the shellfish within the city or town		Doesn't authorize joint action – rather allows exclusive control so long as residents of other communities get same rights & privileges
Joint boundary markers	42:4	Selectmen of contiguous towns required to erect permanent stone monuments at certain points of their boundary lines	Selectmen responsible for erecting boundary markers.	Expenses shared equally	42:6 provides for penalty for failure to mark
Regional housing authority	121B:3A	Operating agreement approved by municipal officers of cities and towns and Dept. of Housing and Community Development (DHCD)	Regional housing authority. Powers & obligations as set out in the operating agreement.	Appropriations by cities and towns – presumably based on operating agreement	See 121B:1 definition of municipal officers as city council with mayor's approval in city, selectmen with town manager's approval, if any, in town.

3. Town Organizational Chart



4. Survey instrument

 UMASS BOSTON	EDWARD J. COLLINS, JR. CENTER FOR PUBLIC MANAGEMENT JOHN W. MCCORMACK GRADUATE SCHOOL OF POLICY AND GLOBAL STUDIES UNIVERSITY OF MASSACHUSETTS BOSTON	<small>100 Morrissey Boulevard Boston, MA 02125-3393 P: 617.287.4824 F: 617.287.5566 mccormack.umb.edu/centers/cpm collins.center@umb.edu</small>
No. _____		

Town of Swampscott Delivery of Public Services Survey

The purpose of this survey is to gather the views of Department Heads on how services are provided in their departments. The views gathered here will provide an important source of information on the existing level of services in town. You and your colleagues are at the heart of providing services to the Town of Swampscott. Therefore, your views are essential to this effort.

It is critical that you feel comfortable sharing your views accurately and honestly. The only purpose of this survey is to identify the existing level of services in town, which will help build a profile of the town.

➤ When you have completed the survey, please use the self-addressed envelope provided to mail it to:

University of Massachusetts Boston
Edward J. Collins Center
Attn: Michael Ward
100 Morrissey Blvd.
Boston, MA 02125-3393

➤ If you have any questions, please contact Lyden Marcellot at:

Lyden.Marcellot@umb.edu

Thank you for your participation!

4. Survey Instrument, continued

Basic Information							
<p>1. Which of these departments do you work for? (Select one)</p> <table style="width: 100%; border: none;"><tr><td style="width: 50%; vertical-align: top;"><input type="checkbox"/> Accounting <input type="checkbox"/> Assessors <input type="checkbox"/> Building <input type="checkbox"/> Town Clerk/Elections <input type="checkbox"/> Council on Aging <input type="checkbox"/> Fire <input type="checkbox"/> Health <input type="checkbox"/> Other (Please specify):</td><td style="width: 50%; vertical-align: top;"><input type="checkbox"/> Library <input type="checkbox"/> Personnel <input type="checkbox"/> Planning <input type="checkbox"/> Police <input type="checkbox"/> Public Works <input type="checkbox"/> Recreation <input type="checkbox"/> Treasurer/Collector</td></tr></table>		<input type="checkbox"/> Accounting <input type="checkbox"/> Assessors <input type="checkbox"/> Building <input type="checkbox"/> Town Clerk/Elections <input type="checkbox"/> Council on Aging <input type="checkbox"/> Fire <input type="checkbox"/> Health <input type="checkbox"/> Other (Please specify):	<input type="checkbox"/> Library <input type="checkbox"/> Personnel <input type="checkbox"/> Planning <input type="checkbox"/> Police <input type="checkbox"/> Public Works <input type="checkbox"/> Recreation <input type="checkbox"/> Treasurer/Collector				
<input type="checkbox"/> Accounting <input type="checkbox"/> Assessors <input type="checkbox"/> Building <input type="checkbox"/> Town Clerk/Elections <input type="checkbox"/> Council on Aging <input type="checkbox"/> Fire <input type="checkbox"/> Health <input type="checkbox"/> Other (Please specify):	<input type="checkbox"/> Library <input type="checkbox"/> Personnel <input type="checkbox"/> Planning <input type="checkbox"/> Police <input type="checkbox"/> Public Works <input type="checkbox"/> Recreation <input type="checkbox"/> Treasurer/Collector						
<p>2. How many full-time employees (including yourself) work in this department? Write in number of full-time employees:</p>							
<p>3. How many part-time employees work in this department? (Include yourself, if applicable.) Write in number of part-time employees:</p>							
About the department							
<p>4. Please list the five (5) most important functions/services provided by this department:</p> <table style="width: 100%; border: none;"><tr><td style="width: 50%;">#1: _____</td><td style="width: 50%;">#4: _____</td></tr><tr><td>#2: _____</td><td>#5: _____</td></tr><tr><td>#3: _____</td><td></td></tr></table>		#1: _____	#4: _____	#2: _____	#5: _____	#3: _____	
#1: _____	#4: _____						
#2: _____	#5: _____						
#3: _____							
<p>5. What percentage (%) of this department's time, in a given week, is devoted to...?</p> <table style="width: 100%; border: none;"><tr><td style="width: 50%;">#1: _____ %</td><td style="width: 50%;">#4: _____ %</td></tr><tr><td>#2: _____ %</td><td>#5: _____ %</td></tr><tr><td>#3: _____ %</td><td></td></tr></table>		#1: _____ %	#4: _____ %	#2: _____ %	#5: _____ %	#3: _____ %	
#1: _____ %	#4: _____ %						
#2: _____ %	#5: _____ %						
#3: _____ %							
<p>6. What percentage (%) of this department's budget (approximate) goes to...?</p> <table style="width: 100%; border: none;"><tr><td style="width: 50%;">#1: _____ %</td><td style="width: 50%;">#4: _____ %</td></tr><tr><td>#2: _____ %</td><td>#5: _____ %</td></tr><tr><td>#3: _____ %</td><td></td></tr></table>		#1: _____ %	#4: _____ %	#2: _____ %	#5: _____ %	#3: _____ %	
#1: _____ %	#4: _____ %						
#2: _____ %	#5: _____ %						
#3: _____ %							
Page 1							

4. Survey Instrument, continued

7. How many of this department's full-time staff work on...?

#1: _____

#4: _____

#2: _____

#5: _____

#3: _____

8. How would you describe the amount of cross-trained staff—those able to accomplish the tasks of other positions—within this department?

Complete

Extensive

Moderate

Limited

None at all

Not Applicable

☐☐☐☐☐☐

About you

9. For you, personally, how much time a week (in hours) is spent on....?

- Responding to the public's calls, email, etc. and other public outreach _____ hrs
- Personnel management and labor relations _____ hrs
- Developing and administering the annual budget _____ hrs
- Developing departmental policies, goals and other planning _____ hrs
- Managing Information Technology and handling IT issues _____ hrs
- Coordinating maintenance activities _____ hrs
- Researching trends in the provision of departmental services _____ hrs
- Purchasing and procurement _____ hrs
- Payroll _____ hrs

4. Survey Instrument, continued

Opinions						
10. Which of the following is a barrier keeping this department from providing functions/services more efficiently? (Select one or more)						
<input type="checkbox"/> Poor planning				<input type="checkbox"/> Design of the service delivery model		
<input type="checkbox"/> Inadequate tools				<input type="checkbox"/> Process changes		
<input type="checkbox"/> Poor quality parts or supplies				<input type="checkbox"/> Personnel concerns		
<input type="checkbox"/> Poor supervision				<input type="checkbox"/> Nothing		
<input type="checkbox"/> Lack of training						
11. Please, provide any other barriers keeping this department from providing functions/services more efficiently?						
<hr/>						
<hr/>						
<hr/>						
12. What is your opinion about employee innovation and cost-saving suggestions in this department:						
	Strongly Agree	Agree	Neutral	Disagree	Strongly Disagree	Don't Know
The department and its employees feel empowered to innovate on service delivery.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
The department encourages cost-saving suggestions from its employees.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
The department has been able to implement cost-saving suggestions from its employees.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
The department and its employees receive recognition for their successes and innovations.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
13. Please, provide an example(s) of employee innovations and/or cost-saving measures suggested by an employee, and whether they were ultimately implemented.						
<hr/>						
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<hr/>						
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Page 3						

4. Survey Instrument, continued

14. Over the last few years, how have changes in this department affected:

	Positive Impact	No Impact	Negative Impact	N/A
Staffing Levels	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Work Stress	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Maintenance	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Skills Training	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Work Load	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

15. Please, provide an example(s) of changes in this department and their effect(s).

Thank you for participating in the survey. In the space below, please feel free to add any additional comments or thoughts regarding services, your department or the survey.

Thank you for completing the survey!

No. _____

5a. Intermunicipal agreement - Building Commissioner Services with Salem

An Inter-Municipal Agreement for Building Commissioner Services

THIS AGREEMENT is made and entered into this _____ day of _____, 2010 between the City of Salem, Massachusetts (hereinafter referred to as "Salem"), acting through its Mayor Kimberley Driscoll, and the Town of Swampscott (hereinafter referred to as "Swampscott"), acting through its Board of Selectmen and Town Administrator, Andrew Maylor, Authorized Representative.

WITNESSETH:

WHEREAS, the parties, referenced above have resolved to enter into this Agreement so that Salem's Building Commissioner may also serve as Inspector of Buildings for the Town of Swampscott; and

WHEREAS, it is fiscally advantageous for Swampscott to contribute toward the cost of a bi-city Building Commissioner's salary rather than to retain its own Inspector of Buildings; and

WHEREAS, Salem has an existing full-time Building Commissioner and will benefit from additional monetary resources; and

WHEREAS, each party to this Agreement has independently researched the possible benefits and obligations of participating in and coordinate activities under this Agreement; and

WHEREAS, each party has determined that an agreement between Swampscott and Salem will provide benefits for both; and

NOW, THEREFORE, in consideration of the mutual goals and covenants contained herein, and the mutual benefits to result therefrom, the parties agree as follows,

1. The purpose of this Agreement is to provide the services of a Building Commissioner to Swampscott utilizing existing Salem staff resources.
2. The term of this Agreement shall commence November 1, 2010 and conclude October 31, 2011 which term shall be referred to as the "Initial Term."
3. Swampscott shall pay Salem the sum of \$12,500.00 for the initial term, of which \$6,250 is payable no later than November 15, 2010 and \$6,250 is payable no later than May 15, 2011. The sum for any additional term shall be negotiated by the parties.
4. Salem shall perform the services, as outlined in Exhibit 1, for the benefit of Swampscott.
5. Each Party shall have the right to terminate its participation under this Agreement at any time during the term of the Agreement for any reason, including, but not limited to, its own convenience. If any Party under this Agreement elects to withdraw or terminate its participation the withdrawing Party shall give the other Party thirty (30) days prior written notice of the termination. Any unused portion of funds received by Salem shall be returned on a pro-rata basis.

5a. Intermunicipal agreement - Building Commissioner Services with Salem, continued

6. By agreement of the parties, this Agreement may be renewed for two additional one year terms. Request for renewal from Swampscott shall be in the form of a letter from the Authorized Representative to the Mayor of Salem no later than ninety days (90) prior to the expiration of the initial or renewal term.

7. This Agreement shall be deemed effective and legally binding upon execution by each of the parties hereto.

8. This Agreement may be amended upon the mutual agreement of the parties or their authorized representatives.

9. All notices required to be given hereunder, shall be in writing and shall be: delivered in person (and a confirming copy sent by first class mail); or shall be mailed by registered mail; or delivered by facsimile with a return receipt showing delivery (and a confirming copy sent by first class mail), to the following addresses:

- (a) Notices to Salem:
Kimberley Driscoll, Mayor
City Hall
93 Washington Street
Salem, MA 01970
and
- (b) Notices to Swampscott:
Andrew Maylor, Town Administrator
Town of Swampscott
22 Monument Avenue
Swampscott, MA 01907

The parties may hereafter designate, in writing and as provided herein, other or different persons or addresses for receipt of notice.

10. When any word in this Agreement is used in the singular number, it shall include the plural and the plural, the singular, except where contrary intention plainly appears. When any word is used in the masculine, it shall include the feminine, and the feminine, the masculine, except where a contrary intention plainly appears.

11. The parties hereto, acting under authority of their respective governing bodies, have caused this Agreement to be executed in multiple counterparts, each of which shall constitute an original.

12. The parties hereto agree that it is not their intent to create any rights or benefits to any third parties and that no third party beneficiaries shall be created or shall be deemed to be created by this Agreement.

13. The City of Salem shall be responsible for any claims that arise directly or indirectly from the performance of this Agreement by Salem, its employees or agents. The City of Salem shall maintain workers' compensation in the statutory amount and general and

5a. Intermunicipal agreement - Building Commissioner Services with Salem, continued

automobile liability coverage in an amount acceptable to the Town of Swampscott to cover any claims, demands, liabilities, actions, costs and expenses that may arise out of the performance of this Agreement. The City of Salem shall defend, indemnify and hold harmless Swampscott, its officers, agents and employees from and against any and all claims, demands, liabilities, actions, costs and expenses, including attorneys' fees, arising directly or indirectly from the performance of this Agreement or the negligence or willful misconduct of Salem, its employees or agents. Failure to provide and continue in force such insurance during the period of this Agreement shall be deemed a material breach of this Agreement and shall operate as an immediate termination thereof.

14. The parties hereto agree to abide by the applicable and constitutionally valid laws of the Commonwealth of Massachusetts and the United States of America. The parties further agree that any action to enforce the provisions of this Agreement or any dispute over the interpretation of this Agreement shall be resolved and in a court of competent jurisdiction in Essex County, Massachusetts.

15. This is the complete Agreement between the parties and no statements, representations or discussions not set forth herein shall be binding upon the parties and no party is or shall be bound by any statement or representation that does not conform with this document. No agent or any party to this Agreement has authority to alter, modify or change this Agreement except as expressly provided herein. This Agreement shall be read as a whole and shall not be interpreted either for or against any party. This Agreement may only be amended in writing as approved and executed by all parties hereto.

16. A breach of any provision of this Agreement shall be deemed to be a breach of the entire Agreement provided however the breaching party or parties shall be given thirty (30) days notice as provided herein during which to cure any breach prior to the termination of this Agreement. Provided however, the failure of any party hereto to provide notice of a breach of this Agreement shall not be deemed a waiver of that breach or any subsequent breach of a similar or different kind or nature.

17. A determination that any provision or application of any provision of this Agreement to any party is prohibited or contrary to law shall be limited to the specific language and/or party so construed, and shall not effect the validity of the remaining provisions of the Agreement or its binding effect on any other party or parties.

5a. Intermunicipal agreement - Building Commissioner Services with Salem, continued

FOR SALEM

Kimberley Driscoll, Mayor

Thomas St. Pierre
Building Commissioner

FOR SWAMPSCOTT

Board of Selectmen

Jill Sullivan, Chairman

Robert Mazow, Vice Chairman

Andrew W. Maylor, Town Administrator
Authorized Representative

5a. Intermunicipal agreement - Building Commissioner Services with Salem, continued

EXHIBIT 1

SCOPE OF SERVICES

1. Salem shall employ a Building Commissioner who shall also serve as Inspector of Buildings for the Town of Swampscott, once duly appointed by Swampscott. Said Building Commissioner shall be duly certified by the Commonwealth of Massachusetts as a Building Commissioner Inspector of Buildings
2. The Building Commissioner shall be available to Swampscott personnel for consultation and guidance on building code matters.
3. The Building Commissioner shall assist Swampscott personnel in emergencies such as condemnations and unsafe structures.
4. The Building Commissioner shall be available for coverage in case of emergency and vacation or sick leave.
5. The Swampscott Local Inspectors will be required to understand and interpret the Town of Swampscott Zoning Bylaw. Unless as otherwise agreed to by the Building Commissioner and Swampscott, the Building Commissioner shall not be responsible for issuing opinions or providing guidance on zoning matters.

5b. Intermunicipal agreement - Procurement Services with Salem

An Inter-Municipal Agreement for Procurement Services (Procurement Service Agreement)

THIS AGREEMENT is made and entered into this the 6th day of April, 2010 between the City of Salem, Massachusetts (hereinafter referred to as "Salem"), acting through its Mayor Kimberley Driscoll, and the Town of Swampscott (hereinafter referred to as "Swampscott"), acting through its Board of Selectmen and Town Administrator, Andrew Maylor, Authorized Representative.

WITNESSETH:

WHEREAS, the parties, referenced above have resolved to enter into this Agreement to jointly procure goods and services where possible and to utilize existing procurement staff of the City of Salem to secure certain goods and services for Swampscott; and

WHEREAS, it is fiscally advantageous for Swampscott to contribute toward the cost of Salem's procurement staff rather than to retain its own staff; and

WHEREAS, Salem has an existing full-time procurement office and will benefit from additional monetary resources; and

WHEREAS, each party to this Agreement has independently researched the possible benefits and obligations of participating in and coordinate activities under the Procurement Service Agreement; and

WHEREAS, each party has determined that an agreement between Swampscott and Salem will provide benefits for both; and

NOW, THEREFORE, in consideration of the mutual goals and covenants contained herein, and the mutual benefits to result therefrom, the parties agree as follows,

1. The purpose of this Agreement is to provide procurement assistance to Swampscott utilizing existing Salem staff resources and to jointly procure goods and services where possible.
2. The term of this Agreement shall commence July 1, 2010 and conclude June 30, 2011 which term shall be referred to as the "Initial Term."
3. Swampscott shall pay Salem the sum of \$10,000.00 for the initial term, of which \$5,000 is payable no later than July 15, 2010 and \$5,000 is payable no later than January 15, 2011. The sum for any additional term shall be negotiated by the parties.
4. Salem shall perform the procurement services, as outlined in Exhibit 1, for the benefit of Swampscott.
5. Each party shall have the right to terminate its participation under this Agreement at any time during the term of the Agreement for any reason, including, but not limited to, its own convenience. If any party under this Agreement elects to withdraw or

5b. Intermunicipal agreement - Procurement Services with Salem, continued

terminate its participation the withdrawing party shall give the other party thirty (30) days prior written notice of the termination. Any unused portion of funds received by Salem shall be returned on a pro-rata basis.

6. By agreement of the parties, this Agreement may be renewed for two additional one year terms. Request for renewal from Swampscott shall be in the form of a letter from the Authorized Representative to the Mayor of Salem no later than ninety days (90) prior to the expiration of the initial or renewal term.

7. This Agreement shall be deemed effective and legally binding upon execution by each of the parties hereto.

8. This Agreement may be amended upon the mutual agreement of the parties or their authorized representatives.

9. All notices required to be given hereunder, shall be in writing and shall be: delivered in person (and a confirming copy sent by first class mail); or shall be mailed by registered mail; or delivered by facsimile with a return receipt showing delivery (and a confirming copy sent by first class mail), to the following addresses:

- (a) Notices to Salem:
Purchasing Agent
120 Washington Street 3rd floor
Salem, MA 01970
and
- (b) Notices to Swampscott:
Andrew Maylor, Town Administrator
Town of Swampscott
22 Monument Avenue
Swampscott, MA 01907

The parties may hereafter designate, in writing and as provided herein, other or different persons or addresses for receipt of notice.

10. When any word in this Agreement is used in the singular number, it shall include the plural and the plural, the singular, except where contrary intention plainly appears. When any word is used in the masculine, it shall include the feminine, and the feminine, the masculine, except where a contrary intention plainly appears.

11. The parties hereto, acting under authority of their respective governing bodies, have caused this Agreement to be executed in multiple counterparts, each of which shall constitute an original.

12. The parties hereto agree that it is not their intent to create any rights or benefits to any third parties and that no third party beneficiaries shall be created or shall be deemed to be created by this Agreement.

5b. Intermunicipal agreement - Procurement Services with Salem, continued

13. The City of Salem shall be responsible for any claims that arise directly or indirectly from the performance of this Agreement by Salem, its employees or agents. The City of Salem shall maintain workers' compensation in the statutory amount and general and automobile liability coverage in an amount acceptable to the Town of Swampscott to cover any claims, demands, liabilities, actions, costs and expenses that may arise out of the performance of this Agreement. The City of Salem shall defend, indemnify and hold harmless Swampscott, its officers, agents and employees from and against any and all claims, demands, liabilities, actions, costs and expenses, including attorneys' fees, arising directly or indirectly from the performance of this Agreement or the negligence or willful misconduct of Salem, its employees or agents. Failure to provide and continue in force such insurance during the period of this Agreement shall be deemed a material breach of this Agreement and shall operate as an immediate termination thereof.

14. The parties hereto agree to abide by the applicable and constitutionally valid laws of the Commonwealth of Massachusetts and the United States of America. The parties further agree that any action to enforce the provisions of this Agreement or any dispute over the interpretation of this Agreement shall be resolved and in a court of competent jurisdiction in Essex County, Massachusetts.

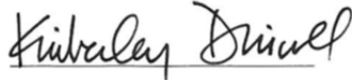
15. This is the complete Agreement between the parties and no statements, representations or discussions not set forth herein shall be binding upon the parties and no party is or shall be bound by any statement or representation that does not conform with this document. No agent or any party to this Agreement has authority to alter, modify or change this Agreement except as expressly provided herein. This Agreement shall be read as a whole and shall not be interpreted either for or against any party. This Agreement may only be amended in writing as approved and executed by all parties hereto.

16. A breach of any provision of this Agreement shall be deemed to be a breach of the entire Agreement provided however the breaching party or parties shall be given thirty (30) days notice as provided herein during which to cure any breach prior to the termination of this Agreement. Provided however, the failure of any party hereto to provide notice of a breach of this Agreement shall not be deemed a waiver of that breach or any subsequent breach of a similar or different kind or nature.

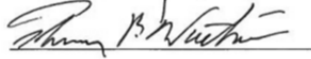
17. A determination that any provision or application of any provision of this Agreement to any party is prohibited or contrary to law shall be limited to the specific language and/or party so construed, and shall not effect the validity of the remaining provisions of the Agreement or its binding effect on any other party or parties.

5b. Intermunicipal agreement - Procurement Services with Salem, continued

FOR SALEM



Kimberley Driscoll, Mayor



Thomas Watkins

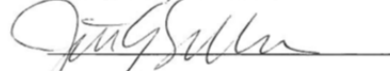
Acting Purchasing Agent

FOR SWAMPSCOTT

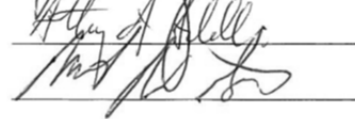
Board of Selectmen



Eric Walker, Chairman



Jill Sullivan, Vice Chairman



Andrew W. Maylor, Town Administrator
Authorized Representative

5b. Intermunicipal agreement - Procurement Services with Salem, continued

EXHIBIT 1

SCOPE OF SERVICES

1. Procurement of Goods or Services
 - a. Under \$5,000 ~ the responsibility for the purchase of goods and services under \$5,000 for an entire fiscal year (one vendor not to exceed \$5,000) shall be handled locally by the department heads and the accounting officers in the respective municipality. Swampscott shall manage all such procurement.
 - b. \$5,000 to \$24,999 ~ Salem has adopted the “three written or verbal” quote model. Department heads are required to solicit three written (preferred) or oral quotes and they are to report the quotes on the “notes” section of the requisition. For Swampscott, department heads shall obtain three quotes in the same fashion as their counterparts in Salem and use an agreed upon form to transmit this information to the Salem Purchasing Department.
 - c. Over \$25,000 ~ Requests for Proposals (RFP) or Invitation for Bids (IFB) ~ when a department requires a good or service in excess of \$25,000, an IFB or RFP is typically required. The City of Salem has a detailed policy that shall serve both the City and Town’s best interest. All preparations of the specifications shall be handled by the department head in the respective community. The Salem Purchasing Department shall assign bid, quote or proposal numbers and inform the department of the number. Further, the Salem Purchasing Department shall then solicit a bid, quote, or proposal, ensuring all legal requirements are followed per Massachusetts General Law including preparing and advertising any legal notices.
 - d. Emergency Procurement ~ The City of Salem Purchasing Agent will be responsible for emergency procurement procedures for the Town of Swampscott if and when emergency procurement is necessary.
 - e. Prevailing Wages ~ The City of Salem Purchasing Agent will be responsible for providing all prevailing wages schedules as required by Massachusetts General Laws whenever applicable.
2. Purchasing of Goods or Services
 - a. The City and Town both have detailed lists of current contracts and the vendors who provide goods or service for the City or Town. A model template for these lists will be adopted and reviewed for common services and vendors so that similar services may be bid collectively. Examples of similar services may include the following:
 - Plumbing and Building Contractors
 - Roadway Resurfacing
 - Street Line Painting
 - Landscaping
 - Building Materials

5b. Intermunicipal agreement - Procurement Services with Salem, continued

- b. Regional Consortiums ~ the municipalities will analyze and join any regional consortiums that collectively bid out goods and services including:
 - Fuel (both heating fuel and diesel fuel)
 - Sand and Salt
 - Office Supplies
 - c. State Bid List ~ Salem shall regularly review the Commonwealth of Massachusetts Comm-Pass website prior to soliciting bids to locate any vendor who has been designated by the State as a means of efficiency and savings.
3. Contract for Goods or Services
- a. The Salem City Solicitor shall provide templates for contracts goods or services that may be used by both communities including:
 - Contracts for Goods and Services over \$10,000
 - Lease Agreement
 - Consultant Agreement
 - Construction Services
 - b. Contracts shall be reviewed, modified, and adopted as the accepted contract language by the legal representatives of each municipality
 - c. A copy of each executed contract by the Town of Swampscott would be retained by both the Salem Purchasing Department and the Town of Swampscott. "Approval as to Form" shall be made by the Salem City Solicitor's Office.
 - d. The Salem Purchasing Department shall prepare any required "Notices of Award" and/or "Notices to Proceed".
4. Advertising
- a. Each municipality shall be responsible for the cost of all related advertising as required by Massachusetts General Laws.

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