

**Summary of Municipal
Service Alternatives**

**VILLAGES OF CARTHAGE AND WEST CARTHAGE,
NEW YORK**

**DMG-MAXIMUS
Framingham, Massachusetts**

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Foreword

This report represents the year and a half long project in the villages of Carthage and West Carthage and the towns of Champion and Wilna in Jefferson County, New York to evaluate alternatives to make their communities a better place to live through shared municipal services.

Many thanks go to the local leaders and residents in the four communities for their interest and dedication to their communities and this project.

A special thanks goes to Senator James Wright and the State of New York for their financial contribution to this project.

The document that follows consists of a **Summary of Municipal Service Alternatives for the Villages of Carthage and West Carthage, New York** and functional area reports for the following functional areas:

Fire

Police

Highways & Streets

Housing

Utilities (Water/Waste Water)

Administration

Planning, Zoning & Building Code

Parks & Recreation

Economic Development

NOTE: The summary report along with each of the nine functional area reports is available on CD. The main body of each of the reports has been included in the electronic format, however some of the attachments that did not lend themselves to an electronic format have not been included. These attachments are only available in hard copy. Every effort has been made to include attachments in electronic format.

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SUMMARY OF MUNICIPAL SERVICE ALTERNATIVES

Villages of Carthage and West Carthage, New York

The Villages of Carthage and West Carthage retained the consulting firm of DMG-MAXIMUS to assist in the development of a range of alternatives for the two villages as they consider the delivery of services to their residents. Staff assistance was provided to the effort by the Tug Hill Commission, the Office of the State Comptroller, Jefferson County Planning Department, Jefferson County Job Development Corporation, and the Development Authority of the North Country. This report summarizes the various alternatives that were developed by the functional area groups formed to evaluate delivery of a wide range of services. The detailed Functional Area Reports are not included in this summary report but are available for review under separate cover with each of the villages. The villages would like to extend their special thanks to Senator James Wright and the State of New York – without the Senator’s support this project would not have been possible.

This summary is divided into a number of sections:

- A summary of the background and purpose for conducting this initial study.
 - A summary of how the project was conducted using both the consulting firm and volunteers.
 - Results of the community surveys which were distributed in both Carthage and West Carthage.
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- A summary of the options which are available to the villages and a set of criteria for evaluating whether any particular approach is viable for a given service.
- Summary of the opportunities for reorganization as defined by the various functional area groups and recommended next steps by the project team.
- Recommended approach to either implementing or evaluating opportunities given the current findings.

The section, which follows, provides a summary of the background and intended purpose of this study.

1. BACKGROUND AND PURPOSE OF THE STUDY.

The Villages of Carthage and West Carthage determined that it was appropriate to consider the options available to the two villages for improving the effectiveness and efficiency of service delivery to their communities. These goals are summarized in the group's mission statement:

To analyze, study, and remove, if necessary, organizational and administrative barriers to economic growth and fiscal stability that might exist in and between the villages of Carthage and West Carthage. And, to identify opportunities for cooperation which could enhance the quality of life and improve service delivery in our communities.

The paragraphs, which follow, summarize the issues and context within which the decision was made to move forward with this study:

- Many small municipalities in upstate New York have experienced a long-term decline in economic vitality and the ability to provide reasonable levels of public service cost effectively.
- The State of New York has supported smaller communities in their efforts to reorganize service delivery to make these services more cost effective.
- The Villages of Carthage and West Carthage sponsored this project to examine ways in which the two communities can share, consolidate or otherwise improve the cost effectiveness of service delivery.

- The approach taken to conduct this study has been to obtain the assistance and expertise of local, regional and state agencies to examine organization and delivery of local services in Carthage and West Carthage.
- The consulting firm DMG-MAXIMUS was retained to assist in the coordination of these efforts and to develop a project summary.
- In addition, a survey of citizens and business-owners in Carthage and West Carthage was undertaken to obtain their views regarding the effectiveness of current services in these villages as well as potential alternatives.

This project represents the beginning of this process. In many cases, the functional area groups identified that several options were feasible but were unable to make a conclusive recommendation. In fact, some of the changes that have been recommended in the area of administrative services have already been undertaken (or are under active consideration) by the two villages. Finally, recommendations to proceed with a change in service delivery are simply that – the two villages, the residents and others will have to work to implement any initiatives.

2. HOW THE PROJECT WAS CONDUCTED.

The project was conducted using local volunteers, local, regional and state agencies and consultants from DMG-MAXIMUS. Some of the primary participants in the project included:

- Village of Carthage
- Village of West Carthage
- Jefferson County Planning
- Office of the State Comptroller
- Tug Hill Commission

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- Development Authority of the North Country
- Jefferson County Job Development Corporation

The points, which follow, provide a summary of the various elements used in conducting the study.

- Functional area groups were created in each municipal service area to examine alternatives. The groups included:

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Functional Area Group	Functions Examined	Functional Group Composition
Fire	<ul style="list-style-type: none"> • Provision of fire services. 	<ul style="list-style-type: none"> • New York State Fire Prevention and Control Office • Local Fire Chiefs
Police	<ul style="list-style-type: none"> • Provision of law enforcement services. 	<ul style="list-style-type: none"> • New York State Division of Criminal Justice Services
Highways & Streets	<ul style="list-style-type: none"> • Street maintenance, snow removal, etc. 	<ul style="list-style-type: none"> • Cornell Local Government Program • DPW / Highway Superintendents
Housing	<ul style="list-style-type: none"> • Provision of subsidized housing. 	<ul style="list-style-type: none"> • New York State Division of Housing and Community Renewal • Local Housing Authorities
Water / Waste Water	<ul style="list-style-type: none"> • Treatment of water / waste water and transmission of water / waste water. 	<ul style="list-style-type: none"> • Development Authority of the North Country • Local Plant Operators
Administration	<ul style="list-style-type: none"> • Administration of local government, local courts, consolidation options, etc. 	<ul style="list-style-type: none"> • New York State Comptroller's Office • Clerk / Treasurers, Mayors, Justices
Planning, Zoning & Building Code	<ul style="list-style-type: none"> • Planning and Zoning services. • Building inspection services. 	<ul style="list-style-type: none"> • Jefferson County Planning • Tug Hill Commission • Local Boards and staff
Parks & Recreation	<ul style="list-style-type: none"> • Provision of parks and recreation services. 	<ul style="list-style-type: none"> • Jefferson County Planning • Tug Hill Commission • Recreation Directors
Economic Development	<ul style="list-style-type: none"> • Economic development opportunities. 	<ul style="list-style-type: none"> • Jefferson County Industrial Development Authority

- The DMG-MAXIMUS project team also collected data in order to independently provide an assessment of opportunities to improve the efficiency of service delivery in the two villages as well as where there is the potential to reorganize these services.
- A community survey was developed in order to provide citizens and business-owners the opportunity for input into this project. Surveys

were distributed to every household and business. The response rate was exceptional for a survey of this type -- 38% of the combined population of the two villages.

- This summary was developed through review of the survey results, the functional area group reports and the independent data collection efforts of the DMG-MAXIMUS project team.

The broad participation in the study provided the two villages with a cost effective method of evaluating a broad wide range of service areas. DMG-MAXIMUS provided counsel and guidance to the steering committee and through them to the various functional area group efforts.

3. RESULTS OF THE COMMUNITY SURVEY.

DMG-MAXIMUS conducted a survey of residents of the Villages of Carthage and West Carthage as part of our study of quality of programs and services currently being delivered. This document summarizes the results. The survey was intended to obtain input from the residents of the villages with regards to the current services provided by their villages and towns as well as obtaining feedback regarding potential service delivery alternatives.

The points, which follow, provide a summary of the key findings from the survey. A more detailed summary of the community survey can be found in an attachment at the end of this document.

- Approximately 38% of the total residents of the two villages responded to the survey. This is an extremely high response rate considering the nature and method of this survey.
- Most of those who responded to the survey were long term residents of one of the two villages and most of the respondents did not own businesses in the town.

- More than 64% of Carthage residents rated the services provided to them as good or excellent. More than 75% of West Carthage residents rated the services provided by their village as good or excellent.
- A significant majority of all respondents indicated that they had not utilized a service provided by the “other” village. However, approximately 40% of respondents had an opinion on the services provided by the other village – these opinions were generally good though not insignificant minorities rated them as poor or fair.
- The majority of respondents from both villages rated the services provided by their respective towns as good or excellent.
- The vast majority (82%) of Carthage respondents indicated that they favored working more closely with West Carthage. This was offset, however, by a majority (53%) of West Carthage respondents who indicated that they were opposed to this idea.
- This was further underscored as Carthage residents indicated that they believed that most services could be provided jointly while most West Carthage residents responded “no opinion.”
- The majority of Carthage residents were in favor of consolidating the two villages without condition or to save money. West Carthage residents, however, were opposed to the concept of consolidation.

The survey results show that while there is interest in increased cooperation between the two communities, this effort will face some challenges in terms of convincing residents of both communities of the benefits to be had from increased joint efforts.

4. SUMMARY OF MUNICIPAL SERVICE ALTERNATIVES.

This section of the report summarizes two key issues: the alternatives which are available to the two villages as they examine reorganization of the delivery of services and secondly, the criteria by which those alternatives should be examined. The first section, which follows, provides a summary of the alternatives available for changing the approach to service delivery:

(1) Municipal Service Re-organization Throughout the US.

The concept of municipal re-organization has some history in the United States. These efforts have often focused on consolidation of some or all services offered by multiple jurisdictions using a number of mechanisms. The paragraphs, which follow, provide a summary of the options available:

- **Mutual Aid.** A common approach to enhancing service delivery is through the use of mutual aid agreements in areas such as: fire / rescue, law enforcement, water / waste water emergencies, weather emergencies, etc.
- **Exchange of Services.** A variation on this is an exchange of services in-kind between two or more entities. For example, one village plows snow in the winter while the other maintains right-of-ways in the summer.
- **Interlocal Agreements.** The first method for joint service provision is through the use of interlocal agreements or contracts between municipalities or other entities to provide a specific service. This is usually limited to specific services (i.e., villages contracting with the county for road sanding / plowing, purchase of waste water treatment, public safety communications, etc.).
- **Functional Consolidation.** A second method for joint service provision involves the merger of service delivery between two or more communities. This can be done at a service level (street sweeping) or at the departmental level (public works).
- **Special District.** A third approach is to create a new entity to handle the delivery of specific services. Examples of this include fire districts, water districts
- **Municipal Consolidation.** The most dramatic regionalization alternative entails the restructuring of multiple municipalities into a new single municipality. This would involve the out-right elimination of multiple jurisdictions.

Each of these approaches has been widely used throughout the United States. The less-intrusive options are used more widely but wholesale consolidation is certainly accomplished (Augusta – Richmond, Georgia; Charlotte – Mecklenburg,

NC, etc.) throughout the United States. The sub-section, which follows, provides a summary of the criteria by which these alternatives should be evaluated by the two villages.

(2) The Criteria for Evaluating Municipal Service Re-organization.

The process of evaluating the myriad combinations of alternatives facing the two villages is a difficult one. To make the process somewhat easier DMG-MAXIMUS has developed a set of formal criteria for evaluating service reorganization alternatives. These criteria can be used for evaluating any of the service delivery approaches discussed in the preceding sub-section. The paragraphs, which follow, summarize the criteria recommended by the project team:

- There are a number of potential criteria for evaluating regional service delivery alternatives. These include:
 - **Potential cost effectiveness.** This should consider the fully-loaded cost of making the transition versus current costs for delivering the service.
 - **Existing efforts at regional service delivery.** Are there current efforts which have been successful which could serve as an example for other services?
 - **Potential service improvements.** Will consolidation of service delivery offer opportunities to provide higher service levels of additional services to the communities?
 - **Legal feasibility of the regional alternative.** Are there impediments in state laws or local ordinances which would impact merger? Is there a need for voter approval?
 - **Potential community support.** Would the consolidation be supported by the communities or not?
 - **Does the alternative enhance regional competitiveness?** This considers the potential of the above criteria for making the municipalities more competitive and cost effective.

- Each of the above criteria represent key issues which must be evaluated in order to determine the potential effectiveness, efficiency and practicality of the options presented by the sub-committees.
- Each of these criteria must be balanced against each other to determine the appropriateness of proceeding with any particular alternative. For example, would service level enhancements make a merger worth pursuing if they also slightly increased the total cost?

The evaluation of each alternative should be done according to these criteria -
- by doing so the villages ensure that the process accounts for all of the elements that should be considered. The next section summarizes the findings of the functional area groups which examined the various service areas.

5. THE OPPORTUNITIES FOR MUNICIPAL SERVICE REORGANIZATION IN CARTHAGE AND WEST CARTHAGE.

This section of the report summarizes the findings of the functional area groups focused on the various service delivery areas. DMG-MAXIMUS has also indicated what the appropriate next steps are for each service area. These next steps may include additional evaluation, implementation of a recommendation or consideration of other options.

The matrix, on the following page, summarizes the key findings and conclusions from each of the study groups and provides the recommended next steps as well.

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Service Area	Key Findings / Conclusions	Recommendations	Next Steps / Unresolved Issues
Fire	<ul style="list-style-type: none"> • Consolidation would not result in economies to either community. • Both communities rely on one another to provide complete fire coverage. • Also rely on each other for equipment, etc. 	<ul style="list-style-type: none"> • Pursue merger only if the villages consolidate. • Move towards automatic aid for all structure fires. • Conduct frequent joint training to ensure compatibility of approach. • Consider joint acquisition of a replacement ladder truck. • Consider joint acquisition of a tanker truck. • Pursue joint purchase of equipment with villages, towns and the county. 	<ul style="list-style-type: none"> • Develop an automatic aid policy for fire response. • Develop a joint training plan for the two departments. • Develop a plan for joint acquisition of apparatus such as ladder truck and tanker truck. • Develop policy for joint purchase for standard equipment.
Police	<ul style="list-style-type: none"> • Carthage provides full-time coverage while West Carthage does not. • Both rely on mix of full and part-time employees. • Dispatch coverage is an issue for all departments in the area. • Workload could be handled by 1 officer on duty at all times but 2 would provide for local back-up, etc. 	<ul style="list-style-type: none"> • Consolidate the provision of law enforcement services – this would allow for 2 officers on duty, between the two villages, 24 hours / day. • Hire 3 additional full-time police officers, reduce reliance on part-time staff. • Explore possible dispatch service delivery from State Police, County, etc. 	<ul style="list-style-type: none"> • Develop interlocal contract for joint provision of law enforcement. • Evaluate cost / benefit of hiring 3 employees full-time vs. continued use of mix of full and part-time officers. • Contact State Police, County, towns, etc. regarding provision of joint emergency communications (dispatch).

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Service Area	Key Findings / Conclusions	Recommendations	Next Steps / Unresolved Issues
Highways & Streets	<ul style="list-style-type: none"> • There is some limited cooperation among the villages and towns – typically in sharing of equipment. • Little to no formal cooperation for service delivery between the two villages. 	<ul style="list-style-type: none"> • Explore a number of options for improving service: pavement management, mill and pave, etc. • Explore tax equity for snow removal outside of village. • Clarify role of Jefferson County. • Explore some joint service delivery (street sweeping, equipment purchase / maintenance, etc.). • Long-term: consider joint facility. 	<ul style="list-style-type: none"> • Begin to implement short-term service improvements. • Villages should explore opportunities for joint service delivery. • Explore benefits of joint or regional purchase – i.e., sand, salt, asphalt, etc.
Housing	<ul style="list-style-type: none"> • Housing services are not provided by either village directly. • Little opportunity, therefore, to impact services using increased cooperation, etc. 	<ul style="list-style-type: none"> • Continue with the status quo. 	<ul style="list-style-type: none"> • No next steps to be taken.

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Service Area	Key Findings / Conclusions	Recommendations	Next Steps / Unresolved Issues
Water & Wastewater	<ul style="list-style-type: none"> • Water and wastewater facilities are jointly owned, operated and maintained. • Water and wastewater distribution / collection systems are <u>not</u> jointly owned, operated and maintained. • Two (2) pump stations and sewage flow meters are maintained by maintenance staff from the joint Wastewater Pollution Control Facility. 	<ul style="list-style-type: none"> • Explore the extension of joint operation and maintenance of water and wastewater distribution and collection systems. 	<ul style="list-style-type: none"> • Develop an inter-municipal agreement between the two villages for the joint maintenance and operation of the distribution / collection systems. • This will require some potential reorganization of the village's public works departments.
Administration	<ul style="list-style-type: none"> • Immediate consolidation was not viewed to be a candidate for success. • Some consolidated efforts already exist. • Intermediate steps to be taken to improve operations and cooperation between the two villages. 	<ul style="list-style-type: none"> • Form an Intergovernmental Relations Council to evaluate opportunities to work more closely together. • Pursue a number of short and medium term improvements (banking, finance, tax collection, utilities, share facilities, etc.). • Evaluate opportunity for consolidation in 5-7 years. 	<ul style="list-style-type: none"> • Create the Intergovernmental Relations Council as defined by the group. • Clerk / Treasurers should work together to improve banking, tax collection, eliminate payment of state / federal taxes, etc.

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Service Area	Key Findings / Conclusions	Recommendations	Next Steps / Unresolved Issues
<p>Planning, Zoning & Building Code</p>	<ul style="list-style-type: none"> • Both villages have adopted comprehensive plans, zoning, building codes and flood plans. Many of these need updating. • Both villages have part-time enforcement officers. • Each has its own ZBA of 5 members. • Cooperative zoning and planning does exist within the Tug Hill region. 	<ul style="list-style-type: none"> • Consider the formation of joint ZBA and planning boards using an inter-municipal agreement. • This could be pursued for the two villages, or for both villages and both towns. 	<ul style="list-style-type: none"> • The Intergovernmental Relations Council should draft an inter-municipal agreement for the delivery of joint planning and zoning boards. • Furthermore, the possibility of jointly updating (and possibly consolidating) the zoning and building codes for the two villages (and perhaps the towns) should be explored.
<p>Parks & Recreation</p>	<ul style="list-style-type: none"> • Recreation is currently provided singly by each of the villages and the towns as well as jointly between the villages and their towns. • Inter-municipal agreements could be used to provide for improvements in cooperation an enhanced services. 	<ul style="list-style-type: none"> • Develop a Recreation Commission with members from the two villages and the two towns as well as the school districts. • Develop additional inter-municipal agreements. • Develop a recreation master plan for the four municipalities. 	<ul style="list-style-type: none"> • Establish the Recreation Commission and pursue the group's other recommendations.

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Service Area	Key Findings / Conclusions	Recommendations	Next Steps / Unresolved Issues
Economic Development	<ul style="list-style-type: none"> • Current comprehensive plans need to be updated. • No current mutual approach exists for economic development. • Several industrial spaces could be mutually developed and packaged as opportunities for new ventures. 	<ul style="list-style-type: none"> • Consider a joint comprehensive plan update. • Approach economic development jointly by extending the jurisdiction of the Carthage Economic Development Corporation. • Make building a zoning codes as similar as possible. • Consider joint funding of a permit, planning and economic development position. 	<ul style="list-style-type: none"> • Use the new Intergovernmental Relations Council to begin developing approaches to these recommendations. • First steps should be to obtain joint jurisdiction via a single economic development agency / corporation.

In summary, some of the key issues which have come from the various reports include:

- Establishment of an intergovernmental committee to evaluate opportunities.
- Development of a joint recreation committee.
- Need to draft and adopt an automatic aid agreement between the communities for fire / rescue services.
- Need to explore options for improving law enforcement service delivery through increased cooperation and possibly via joint staffing arrangements.
- Consider developing a joint committee for addressing economic development needs in the two villages.
- Develop and enforce joint building and zoning ordinances for the two villages to ease confusion about codes.

The project team has provided, in an attachment at the end of this report, a summary of potential performance measures for use in evaluating the current levels of service provided by the two villages. Additionally, these performance measures can be used to establish targets for services under consolidated or cooperative agreements between the two communities. The villages should consider adopting some (or all) of these standards as bench marks by which to evaluate their current and future service delivery.

6. STRATEGIES FOR CARTHAGE AND WEST CARTHAGE.

The two villages have a number of choices to consider regarding the pursuit of improvements in the effectiveness and efficiency of operations through some form of governmental reorganization (including mutual aid, inter-municipal agreement and merger). The table, on the following page, provides a summary of the

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recommendations from each of the functional area groups regarding the recommended approach for each service area and provides DMG-MAXIMUS's evaluation of the required next steps to be taken before a full evaluation can be completed:

Function	Strategy / Choice	Implementation Steps
Municipal Consolidation		
With the Towns	<ul style="list-style-type: none"> • Villages merge into their respective towns. • Villages merge into one of the existing towns. • Status quo. 	<ul style="list-style-type: none"> • Group recommends delay of this decision for several years with intermediate steps utilized before-hand. • Need to evaluate the cost savings achievable from any merger, including elimination of senior management and elected positions. • Need to evaluate interest in the towns regarding dissolution into the current towns. • Merger into respective towns may limit ability to improve joint service delivery. • Also need to evaluate impacts of removing one of the villages from its current town – issues regarding tax collections, services, etc. must all be evaluated. • With status quo, the villages should aggressively explore the use of inter-municipal agreements.
Between the Villages	<ul style="list-style-type: none"> • Villages merge into one of the existing towns as a single village. • Villages merge to create a new town. • Status quo. 	<ul style="list-style-type: none"> • Merger into one of the existing towns presents significant obstacles to be evaluated (including loss of tax revenues for non-participating town, etc.). • Creation of a new town would enhance the ability of the two villages to work together effectively and efficiently. • Both towns would lose tax revenues, service delivery, etc. •

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Function	Strategy / Choice	Implementation Steps
Departmental Consolidation		
Fire	<ul style="list-style-type: none"> • Mutual aid. • Inter-municipal agreements. • Joint purchase of apparatus and equipment. 	<ul style="list-style-type: none"> • Possibility of merger of the two departments to be jointly funded by the villages should be examined again. • Fire Chiefs should draft automatic aid agreements which cover response requirements, use of personnel and equipment. • Boards should review and ratify these agreements. • Fire Chiefs with Clerk / Treasurers should development joint purchasing agreements. Towns should be encouraged to participate especially where expensive one-of-a-kind apparatus is concerned (i.e. ladder truck).
Departmental Consolidation		
Police	<ul style="list-style-type: none"> • Departmental merger. 	<ul style="list-style-type: none"> • Chief / Officer in charge should draft agreement for merger of the Departments into a single, jointly funded department. • Specific staffing analysis should be conducted comparing 10 full-time personnel to a combination of full and part-time personnel. • Village boards should review this analysis and draft agreements and ratify them to create a merged police department.
Highways & Streets	<ul style="list-style-type: none"> • Increased cooperation. • Joint purchasing 	<ul style="list-style-type: none"> • Superintendents should draft inter-municipal agreement to cover increased cooperation and sharing of resources. • Superintendents in cooperation with Clerk / Treasurers should develop joint purchasing and use of state bids where possible.
Housing	<ul style="list-style-type: none"> • None 	<ul style="list-style-type: none"> • No additional steps required for the villages.
Water / Wastewater	<ul style="list-style-type: none"> • Consolidation of distribution / collection systems. 	<ul style="list-style-type: none"> • Superintendents should evaluate impact of either contracting for this service or of providing it jointly. • Specifically, evaluate impacts on staffing, implications for funding, etc.

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Administration	<ul style="list-style-type: none">• Create Intergovernmental Relations Commission	<ul style="list-style-type: none">• Create IRC from members of both villages, towns and possibly the schools.• Pursue the recommended short term improvement in finance and management.
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Function	Strategy / Choice	Implementation Steps
Planning, Zoning & Building	<ul style="list-style-type: none"> • Joint planning and ZBA. • Jointly develop comprehensive plan, zoning and building updates. 	<ul style="list-style-type: none"> • Use the newly formed IRC to develop and inter-municipal agreement regarding jointly providing planning, zoning and building services.
Departmental Consolidation		
Parks & Recreation	<ul style="list-style-type: none"> • Create a Recreation Commission 	<ul style="list-style-type: none"> • Recreation Commission should be made up of members from both villages, both towns and the schools – all of which provide recreation service and own facilities. • Commission should develop a recreation master plan for the two-town area. • Explore ways of leveraging existing funding, provision of joint programming, etc.
Economic Development	<ul style="list-style-type: none"> • Create commission focused on all aspects of regional economic development. 	<ul style="list-style-type: none"> • Extend the jurisdiction of the Economic Development Corporation for Carthage to include both villages or both villages and their towns.

The two villages have a number of choices before them including merger into a single municipality (or dissolution into one or more municipalities). However, it is also clear that both villages have opportunities to greatly enhance the level of cooperation and the delivery of services within the Villages of Carthage and West Carthage using inter-municipal agreements and through the development of several committees focused on enhancing the joint delivery of services.

ATTACHMENT

SUMMARY OF THE COMMUNITY SURVEY

(1) **Approximately 38% of Residents of the Villages of Carthage and West Carthage Responded to This Survey - This Is an Extremely High Response Rate.**

The project team developed the community survey instrument. The Villages of Carthage and West Carthage distributed the survey to its residents, with a request that each resident complete the survey and return it to the project team's office. The survey was mailed to 1,260 Carthage residents and 740 West Carthage residents for a total of 2,000 surveys.

Once the survey was received by the project team, the results were tallied and analyzed. The response rates are as follows:

- **Carthage:** 409 out of 1,260 surveys received for a response rate of 32%.
- **West Carthage:** 350 out of 740 surveys received for a response rate of 47%, which is extremely high.
- **Overall:** A total of 759 residents of both villages responded to the survey for a combined response rate of 38%.

The response rates are, by far, the most exceptional encountered by this project team -- a more typical response rate would have been 10%. The project team interprets this incredible return as suggesting that government services are very important to the residents of Carthage and West Carthage.

The sections, which follow, summarize the results of the survey. A copy of the survey, with the detailed results for each question, can be found as an Attachment to this summary.

(2) Demographics of the Respondents.

The project team asked respondents to provide summary information describing the size and composition of their household. The subsections, below, summarize these responses.

(2.1) Most Respondents Were Long Time Residents of Carthage or West Carthage.

The average Carthage respondent indicated that they had been a resident for approximately 28.8 years. Similarly, on average West Carthage respondents have been residents for approximately 26.6 years. When asked whether or not respondents have been residents of the other village, 28.1% of Carthage residents indicated that they have lived in West Carthage. In contrast, 41.7% of West Carthage residents have lived in Carthage.

The average household size in Carthage was 2.7 persons compared to an average of 2.2 persons in West Carthage. The majority of household residents responding to the survey in both Carthage (57.7%) and West Carthage (50.0%) were adults 19 to 65 years of age. However, the composition is quite different in each of the villages for the category of the second highest percentage of household residents. For example, in Carthage, children aged 12 and under represent 19.2% of the respondent's household population. In comparison, West Carthage's second highest percentage is Seniors 65 years and older who make up 31.8% of the respondent's household population.

(2.2) The Majority of Respondents Do Not Own a Business.

Only 13.0% of Carthage respondents and 13.1% of West Carthage respondents own a business. Of those Carthage residents who own a business, 85% are located in their village only, whereas 0% are located in West Carthage only. In contrast, of those West Carthage residents who own a business, 63% are located in their own village only, whereas 17.4% are located in Carthage only.

The following section summarizes responses regarding the programs and services provided to residents in their own villages.

(3) Quality of Programs and Services Provided by Each Village.

Residents were asked to rate the quality of services and programs provided by their own village. Residents rated the delivery of services as either poor, fair, good, excellent or no opinion.

(3.1) The Majority of Carthage Respondents (64%) Rated Services Provided to Them By Their Village as Good or Excellent.

- The following services or programs received a good or excellent combined rating of 75% or higher:
 - **Police:** 46% of Carthage residents rated its police as good and 30% thought they were excellent.
 - **Fire:** This category received the highest rating with 51% of its residents rating the service as excellent and 37% as good.
 - **Water:** 51% of Carthage residents rated the water service as good and 27% thought it was excellent.
 - **Sewer:** Carthage residents rated its sewer services similar to water at ratings of 55% good and 24% excellent.

VILLAGES OF CARTHAGE AND WEST CARTHAGE, NEW YORK
Summary of Municipal Service Alternatives

- **Clerk/Treasurer:** 49% of Carthage residents indicated that the Clerk/Treasurer services or programs were good and 30% thought services provided were excellent.
- The remaining services and programs received mixed ratings, although the majority were good. It should be noted, however, that the following services and programs received the highest percentage of poor or fair responses:
 - **Recreation:** 27% of Carthage residents thought their recreation services or programs were good and 17% rated that the services as poor.
 - **Animal Control:** Animal Control received a fair rating of 21% and a poor rating of 13% by its residents.

(3.2) The Majority of West Carthage Respondents (75%) Rates Services Provided to Them by Their Village as Good or Excellent.

- The majority of respondents indicated that services or programs provided by their village in the following categories is excellent:
 - **Fire:** Similar to Carthage, West Carthage rated its fire department highly with 65% of the residents giving the services an excellent rating and 28% thought the services were good.
 - **Streets:** Street service or program received the highest rating in West Carthage with 69% of the respondents rating the service as excellent and 25% as good.
 - **Water:** Water services in West Carthage received a 42% excellent rating and a 36% good rating.
 - **Sewer:** West Carthage residents rated their sewer programs or services as 45% excellent and 37% good.
 - **Parks Maintenance:** 38% of West Carthage respondents thought that parks maintenance was excellent and 36% indicated that it was good.
 - **Clerk/Treasurer:** West Carthage residents rated their Clerk/Treasurer program or service as 39% good and 43% excellent.

- The remaining services and programs received mixed ratings, although the majority received their highest ratings in the good category.
- Similar to Carthage results, above, although the majority of ratings were in the good or excellent range for Animal Control and Recreation, the highest percentage of poor or fair West Carthage ratings fell into these two categories. Animal Control received a combined poor or fair percentage of 21 and Recreation received a combined poor or fair percentage of 18.

Overall, West Carthage rated its programs and services higher than Carthage rated its own. For example, on average, 41% of West Carthage residents thought its programs and services were excellent and 34% thought they were good. Conversely, an average of only 21% of Carthage residents thought its programs and services were excellent and 43% thought they were good.

The following section depicts perceptions of services and programs provided by a community other than the resident's own.

(4) Services and Programs Provided by Other Villages and Towns.

Residents of Carthage and West Carthage were asked to rate the quality of services and programs provided by another entity. For example, Carthage residents rated the services of West Carthage and the Town. On the other hand, West Carthage residents rated the services of Carthage and the Town. The results are provided in the subsections, below.

(4.1) In the Past Year, an Overwhelming Majority of Residents Have Not Utilized Programs or Services Provided by the "Other" Village.

An average of 94% of Carthage residents indicated that they did not utilize the government services of West Carthage in the past year. Similarly,

approximately 93% of West Carthage respondents did not utilize the services of Carthage.

Of those responding that they have utilized services and programs of the other village, the following West Carthage services and programs received the highest usage by Carthage residents:

- Recreation (16%).
- Clerk/Treasurer (9%).
- Streets (9%).
- Water (7%).

Interestingly, the same Carthage services and programs received the highest usage by West Carthage residents. Percentage of use is reported, below:

- Recreation (16%).
- Streets (12%).
- Clerk/Treasurer (11%).
- Water (11%).

(4.2) Although Only a Small Minority of the Respondents Reporting Using Services of the Other Village, 39% of Carthage Residents and 44% of West Carthage Residents Had Opinions on the Programs and Services Offered by the Other Village.

As noted in the subsection, above, an overwhelming number of Carthage and West Carthage residents reported not having utilized the service of the other village. However, 39% of Carthage residents and 44% of West Carthage residents expressed an opinion of the services and programs offered in the neighboring village.

For the most part, residents rated the services and programs of the other village as good (22% in Carthage and 21% in West Carthage). However, West Carthage residents were more inclined to rate the other village's services as poor or fair. For instance, of the 44% of West Carthage residents rating Carthage's programs and services, 17% assigned a fair or poor rating with Streets, Recreation, and Building/Inspection receiving the worst combined ratings. Comparatively, only 9% of Carthage residents rated West Carthage's programs or services as poor or fair with Police, by far, receiving the worst combined rating.

(4.3) The Majority of Carthage and West Carthage Residents Rated Their Respective Town's Services and Programs as Good or Excellent.

When the villages were asked to rate five services and programs of their respective towns, approximately 64% of West Carthage residents rated these services as good or excellent compared to 53% of Carthage residents.

However, the town's Road Maintenance (combined 23%) and Recreation (combined 26%) services and programs received the highest percentage of poor to fair ratings in Carthage. Despite these figures, the majority of ratings for these two categories were still good to excellent.

Finally, an overwhelming majority of West Carthage residents rated its Road Maintenance (82%) and Town Clerk (78%) services and programs as good to excellent. The remaining categories also fell into the good to excellent range.

(5) Service Alternatives.

Residents of both villages were asked to provide input on select service delivery alternatives. Summaries of the results are provided in the subsections, below.

(5.1) The Majority of Carthage Respondents (82%) Favor the Two Villages Working More Closely Together to Provide Services. However, a Majority of West Carthage Residents (53%) Were Opposed to This Idea.

Residents of Carthage and West Carthage were asked if they were in favor of the two villages working more closely together, on a joint basis, to provide services. Carthage residents were much more receptive to this idea than West Carthage residents. For instance, 82% of Carthage residents indicated their approval of this idea, 11% said no, and 7% offered no opinion. In contrast, only 37% of West Carthage residents favored the villages working more closely together, with 53% opposing the idea and 8% offering no opinion.

(5.2) An Overwhelming Majority of Carthage Residents Felt That Most Services Could Be Provided on a Joint Basis Compared to West Carthage, Whose Majority of Respondents Answered "No Opinion" to the Question.

Residents were asked which services they felt that the two villages could provide on a joint basis. The majority of Carthage residents felt that all services should be provided on a joint basis. The average percentage of Carthage residents supporting joint provision of services was 68%. The range for residents supporting the measure was 58% for the Clerk/Treasurer and 78% for Police.

In sharp contrast to the above, West Carthage answered "no opinion" an average of 45% of the time when asked whether services should be provided on a joint basis. In only one circumstance, Police services and programs, did the majority of West Carthage residents indicate they supported joint provision. Even then the majority was only 1% higher than the those residents who held no opinion on the subject.

(5.3) While Most Carthage Residents Indicated that Consolidating Services and Programs of the Two Villages Into One Made Sense, Most West Carthage Residents Felt They Needed More Information Before Making a Decision.

Residents of both villages were asked which form of joint service delivery made the most sense. Choices were share but stay independent, consolidate into one, or need more information. It should be noted that water and sewer services were excluded from this portion of the survey since these programs are currently being provided on a joint basis.

The majority of Carthage residents indicated that programs or services should be consolidated into one. Support for consolidation ranged from 45% for Fire to 60% for Animal Control.

For all services, the majority of West Carthage residents indicated that they needed more information before making a decision.

(5.4) The Majority of Carthage Residents Were in Favor of Consolidating the Two Villages Without Condition or if it Saves

Money. The Majority of West Carthage Residents, on the Other Hand, Were Opposed to the Idea.

The final question on the survey requested that residents indicate their support for consolidating the Villages of Carthage and West Carthage into one governmental entity.

The majority of Carthage respondents (74%) indicated that the villages be consolidated. Of the 74%, 39% indicated that the villages should be consolidated without condition and 35% were in favor of consolidation only if it saves money. In comparison, 54% of West Carthage respondents were opposed to consolidation.

DETAILED SUMMARY OF CITIZEN'S SURVEY

1. Are you a resident of Carthage or West Carthage?

Village	Surveys Mailed	Surveys Received	Response Rate
Carthage	1,260	409	32%
West Carthage	740	350	47%
Overall	2,000	759	38%

2. How long have you been a resident of the Village?

Village	Average Length of Residency (Years)
Carthage	28.8
West Carthage	26.6

3. Have you ever been a resident of the other Village?

Village	Yes	No	No Response
Carthage	115 / 28.1%	288 / 70.4%	6 / 1.5%
West Carthage	146 / 41.7%	198 / 56.6%	6 / 1.7%

4. How many persons reside in your household?

Village	Average Number in Household
Carthage	2.7
West Carthage	2.2

5. How many people in what age groups?

Age Group	Average Number in Household	
	Carthage	West Carthage
Children (12 and under)	0.5	0.2
Youth (13 to 18 years)	0.2	0.2
Adults (19 to 65 years)	1.5	1.1
Seniors (65 +)	0.4	0.7

6. Do you own a business?

Village	Yes	No	No Response
Carthage	53 / 13.0%	352 / 86.1%	4 / 0.9%
West Carthage	46 / 13.1%	298 / 85.1%	6 / 1.7%

VILLAGES OF CARTHAGE AND WEST CARTHAGE, NEW YORK
Summary of Municipal Service Alternatives

If yes, where is the business located?

Location	Carthage	West Carthage
Carthage Only	45 / 84.9%	8 / 17.4%
West Carthage Only	0 / 0%	29 / 63.0%
Outside Village Only	4 / 7.5%	6 / 13.0%
2 or More Locations	3 / 5.7%	2 / 4.3%
No Response	1 / 1.9%	1 / 2.2%

7. Please rate the quality of the programs and services provided to you by YOUR VILLAGE.

Carthage

Program or Service	Poor	Fair	Good	Excellent	No Opinion
Police	11 / 3%	55 / 13%	189 / 46%	122 / 30%	32 / 8%
Fire	1 / 0%	12 / 3%	151 / 37%	209 / 51%	36 / 9%
Streets	30 / 7%	93 / 23%	188 / 46%	89 / 22%	9 / 2%
Water	19 / 5%	53 / 13%	207 / 51%	109 / 27%	21 / 5%
Sewer	9 / 2%	47 / 11%	225 / 55%	97 / 24%	31 / 8%
Parks Main.	27 / 7%	80 / 20%	187 / 46%	56 / 14%	59 / 14%
Clerk/Treas.	7 / 2%	23 / 6%	201 / 49%	121 / 30%	57 / 14%
Animal Cont.	52 / 13%	84 / 21%	138 / 34%	41 / 10%	94 / 23%
Court	8 / 2%	40 / 10%	170 / 42%	58 / 14%	133 / 33%
Plg/Zoning	27 / 7%	72 / 18%	143 / 35%	47 / 11%	120 / 29%
Bldg/Inspect.	21 / 5%	66 / 16%	166 / 41%	57 / 14%	99 / 24%
Recreation	68 / 17%	111 / 27%	132 / 32%	36 / 9%	62 / 15%

West Carthage

Program or Service	Poor	Fair	Good	Excellent	No Opinion
Police	19 / 5%	38 / 11%	139 / 40%	134 / 38%	20 / 6%
Fire	1 / 0%	7 / 2%	98 / 28%	226 / 65%	18 / 5%
Streets	8 / 2%	6 / 2%	87 / 25%	240 / 69%	9 / 3%
Water	16 / 5%	32 / 9%	127 / 36%	147 / 42%	28 / 8%
Sewer	10 / 3%	24 / 7%	129 / 37%	156 / 45%	31 / 9%
Parks Main.	3 / 1%	18 / 5%	127 / 36%	133 / 38%	69 / 20%
Clerk/Treas.	3 / 1%	9 / 3%	136 / 39%	151 / 43%	51 / 15%
Animal Cont.	16 / 5%	56 / 16%	113 / 32%	78 / 22%	87 / 25%
Court	3 / 1%	15 / 4%	122 / 35%	121 / 35%	89 / 25%
Plg/Zoning	14 / 4%	34 / 10%	124 / 35%	101 / 29%	77 / 22%
Bldg/Inspect.	15 / 4%	39 / 11%	121 / 35%	101 / 29%	74 / 21%
Recreation	20 / 6%	41 / 12%	123 / 35%	110 / 31%	56 / 16%

VILLAGES OF CARTHAGE AND WEST CARTHAGE, NEW YORK
Summary of Municipal Service Alternatives

8. In the past year, have you used any programs or services in THE OTHER VILLAGE?

Carthage

Program or Service	Yes	No
Police	21 / 5%	388 / 95%
Fire	6 / 1%	403 / 99%
Streets	37 / 9%	372 / 91%
Water	27 / 7%	382 / 93%
Sewer	25 / 6%	384 / 94%
Parks Main.	24 / 6%	385 / 94%
Clerk/Treas.	35 / 9%	374 / 91%
Animal Cont.	7 / 2%	402 / 98%
Court	20 / 5%	389 / 95%
Plg/Zoning	6 / 1%	403 / 99%
Bldg/Inspect.	15 / 4%	394 / 96%
Recreation	65 / 16%	344 / 84%

West Carthage

Program or Service	Yes	No
Police	25 / 7%	325 / 93%
Fire	14 / 4%	336 / 96%
Streets	43 / 12%	307 / 88%
Water	40 / 11%	310 / 89%
Sewer	30 / 9%	320 / 91%
Parks Main.	33 / 9%	317 / 91%
Clerk/Treas.	39 / 11%	311 / 89%
Animal Cont.	5 / 1%	345 / 99%
Court	19 / 5%	331 / 95%
Plg/Zoning	4 / 1%	346 / 99%
Bldg/Inspect.	7 / 2%	343 / 98%
Recreation	57 / 16%	293 / 84%

VILLAGES OF CARTHAGE AND WEST CARTHAGE, NEW YORK
Summary of Municipal Service Alternatives

9. Please give us your opinion of the quality of the programs and services provided by THE OTHER VILLAGE.

Carthage

Program or Service	Poor	Fair	Good	Excellent	No Opinion
Police	22 / 5%	54 / 13%	82 / 20%	28 / 7%	223 / 55%
Fire	3 / 1%	16 / 4%	102 / 25%	74 / 18%	214 / 52%
Streets	3 / 1%	25 / 6%	117 / 29%	95 / 23%	169 / 41%
Water	3 / 1%	20 / 5%	106 / 26%	39 / 10%	241 / 59%
Sewer	2 / 0%	24 / 6%	97 / 24%	36 / 9%	250 / 61%
Parks Main.	0 / 0%	27 / 7%	108 / 26%	43 / 11%	231 / 56%
Clerk/Treas.	2 / 0%	20 / 5%	69 / 17%	33 / 8%	285 / 70%
Animal Cont.	12 / 3%	28 / 7%	61 / 15%	16 / 4%	292 / 71%
Court	2 / 0%	22 / 5%	81 / 20%	24 / 6%	280 / 68%
Plg/Zoning	9 / 2%	28 / 7%	61 / 15%	23 / 6%	288 / 70%
Bldg/Inspect.	7 / 2%	23 / 6%	65 / 16%	22 / 5%	292 / 71%
Recreation	14 / 3%	30 / 7%	101 / 25%	31 / 8%	233 / 57%

West Carthage

Program or Service	Poor	Fair	Good	Excellent	No Opinion
Police	18 / 5%	44 / 13%	101 / 29%	39 / 11%	148 / 42%
Fire	4 / 1%	16 / 5%	106 / 30%	75 / 21%	149 / 43%
Streets	91 / 26%	93 / 27%	53 / 15%	7 / 2%	106 / 30%
Water	21 / 6%	38 / 11%	87 / 25%	30 / 9%	174 / 50%
Sewer	15 / 4%	37 / 11%	84 / 24%	27 / 8%	187 / 53%
Parks Main.	8 / 2%	40 / 11%	109 / 31%	30 / 9%	163 / 47%
Clerk/Treas.	4 / 1%	30 / 9%	70 / 20%	29 / 8%	217 / 62%
Animal Cont.	14 / 4%	37 / 11%	36 / 10%	7 / 2%	256 / 73%
Court	5 / 1%	25 / 7%	64 / 18%	15 / 4%	241 / 69%
Plg/Zoning	18 / 5%	28 / 8%	57 / 16%	6 / 2%	241 / 69%
Bldg/Inspect.	43 / 12%	32 / 9%	51 / 15%	11 / 3%	213 / 61%
Recreation	10 / 3%	46 / 13%	79 / 23%	21 / 6%	194 / 55%

VILLAGES OF CARTHAGE AND WEST CARTHAGE, NEW YORK
Summary of Municipal Service Alternatives

10. Please give us your opinion of the quality of the programs and services provided by THE TOWN.

Carthage

Program or Service	Poor		Fair		Good		Excellent		No Opinion	
Road Maintenance	25	/ 6%	71	/ 17%	202	/ 49%	65	/ 16%	46	/ 11%
Parks Maintenance	23	/ 6%	60	/ 15%	151	/ 37%	43	/ 11%	132	/ 32%
Town Clerk	5	/ 1%	29	/ 7%	152	/ 37%	122	/ 30%	101	/ 25%
Court	3	/ 1%	37	/ 9%	146	/ 36%	52	/ 13%	171	/ 42%
Recreation	51	/ 12%	59	/ 14%	121	/ 30%	29	/ 7%	149	/ 36%

West Carthage

Program or Service	Poor		Fair		Good		Excellent		No Opinion	
Road Maintenance	8	/ 2%	23	/ 7%	137	/ 39%	149	/ 43%	33	/ 9%
Parks Maintenance	3	/ 1%	22	/ 6%	97	/ 28%	99	/ 28%	129	/ 37%
Town Clerk	0	/ 0%	15	/ 4%	108	/ 31%	164	/ 47%	63	/ 18%
Court	1	/ 0%	15	/ 4%	86	/ 25%	115	/ 33%	133	/ 38%
Recreation	17	/ 5%	25	/ 7%	76	/ 22%	88	/ 25%	144	/ 41%

11. Would you be in favor of the two villages (Carthage/West Carthage) working more closely together, on a joint basis, to provide services?

Village	Yes		No		No Opinion	
Carthage	334	/ 82%	45	/ 11%	30	/ 7%
West Carthage	129	/ 37%	187	/ 53%	34	/ 10%
Overall	463	/ 61%	232	/ 31%	64	/ 8%

VILLAGES OF CARTHAGE AND WEST CARTHAGE, NEW YORK
Summary of Municipal Service Alternatives

12. Which services do you feel the two villages could provide on a joint basis?

Carthage

Program or Service	Yes		No		No Opinion	
Police	320	/ 78%	27	/ 7%	62	/ 15%
Fire	296	/ 72%	48	/ 12%	65	/ 16%
Streets	298	/ 73%	41	/ 10%	70	/ 17%
Water						
Sewer						
Parks Main.	271	/ 66%	43	/ 11%	95	/ 23%
Clerk/Treas.	237	/ 58%	63	/ 15%	109	/ 27%
Animal Cont.	279	/ 68%	38	/ 9%	92	/ 22%
Court	258	/ 63%	47	/ 11%	104	/ 25%
Plg/Zoning	270	/ 66%	35	/ 9%	104	/ 25%
Bldg/Inspect.	273	/ 67%	34	/ 8%	102	/ 25%
Recreation	302	/ 74%	33	/ 8%	74	/ 18%

West Carthage

Program or Service	Yes		No		No Opinion	
Police	143	/ 41%	67	/ 19%	140	/ 40%
Fire	121	/ 35%	84	/ 24%	145	/ 41%
Streets	91	/ 26%	113	/ 32%	146	/ 42%
Water						
Sewer						
Parks Main.	102	/ 29%	77	/ 22%	171	/ 49%
Clerk/Treas.	92	/ 26%	100	/ 29%	158	/ 45%
Animal Cont.	127	/ 36%	61	/ 17%	162	/ 46%
Court	109	/ 31%	72	/ 21%	169	/ 48%
Plg/Zoning	96	/ 27%	83	/ 24%	171	/ 49%
Bldg/Inspect.	102	/ 29%	76	/ 22%	172	/ 49%
Recreation	128	/ 37%	62	/ 18%	160	/ 46%

VILLAGES OF CARTHAGE AND WEST CARTHAGE, NEW YORK
Summary of Municipal Service Alternatives

13. What form of joint service delivery makes the most sense to you?

Carthage

Program or Service	Share but stay independent	Consolidate into one	Need More Information
Police	108 / 26%	231 / 56%	70 / 17%
Fire	148 / 36%	185 / 45%	76 / 19%
Streets	98 / 24%	221 / 54%	90 / 22%
Water			
Sewer			
Parks Main.	81 / 20%	229 / 56%	99 / 24%
Clerk/Treas.	89 / 22%	190 / 46%	130 / 32%
Animal Cont.	66 / 16%	246 / 60%	97 / 24%
Court	72 / 18%	214 / 52%	123 / 30%
Plg/Zoning	60 / 15%	232 / 57%	117 / 29%
Bldg/Inspect.	58 / 14%	230 / 56%	121 / 30%
Recreation	80 / 20%	236 / 58%	93 / 23%

West Carthage

Program or Service	Share but stay independent	Consolidate into one	Need More Information
Police	72 / 21%	102 / 29%	176 / 50%
Fire	95 / 27%	82 / 23%	173 / 49%
Streets	71 / 20%	67 / 19%	212 / 61%
Water			
Sewer			
Parks Main.	55 / 16%	83 / 24%	212 / 61%
Clerk/Treas.	53 / 15%	71 / 20%	226 / 65%
Animal Cont.	40 / 11%	109 / 31%	201 / 57%
Court	43 / 12%	92 / 26%	215 / 61%
Plg/Zoning	44 / 13%	85 / 24%	221 / 63%
Bldg/Inspect.	43 / 12%	87 / 25%	220 / 63%
Recreation	62 / 18%	89 / 25%	199 / 57%

14. If the results of this study show that savings, service efficiencies and/or enhanced economic development opportunities would result from consolidating the Village of Carthage and the Village of West Carthage into one governmental entity, would you favor such a consolidation?

Village	Yes, without condition	Yes, but only if it saves money	No	Need more information
Carthage	159 / 39%	145 / 35%	41 / 10%	64 / 16%
West Carthage	45 / 13%	67 / 19%	188 / 54%	50 / 14%
Overall	204 / 27%	212 / 28%	229 / 30%	114 / 15%

ATTACHMENT

PERFORMANCE MEASURES

The matrix, which follows, provides a summary of the performance measures which should be utilized to evaluate current service delivery in both of the villages. DMG-MAXIMUS has developed these performance measures from both our professional experience and from research conducted by national standards organizations. These performance measures represent the “best practices” of municipalities across the United States. DMG-MAXIMUS’s review of the operations in the two villages suggests that many of these performance objectives are not being achieved currently.

BUILDING INSPECTION
Concurrent building permit plan check process.
Automated permit system.
Turnaround times for permit applications: <ul style="list-style-type: none">• R-1 (2 weeks)• Multi-family <20 units (3 weeks)• Office/Comm.<10,000 sf (4 weeks)
Over-the-counter plan checks for minor projects.
Brochures oriented toward non-professional applicants.
Inspectors averaging 12-14 inspection stops per day for typical mix of permits and inspections.
Cost recovery is targeted on full recovery of building inspection operating costs.
CLERK’S OFFICE
Use of technology to augment tracking of legislative histories and permits.
Staff should be cross-trained to cover each function in the Office.

VILLAGES OF CARTHAGE AND WEST CARTHAGE, NEW YORK
Summary of Municipal Service Alternatives

Lead time for agenda packets to the Council (at least 4 days); for minutes (under 2 weeks).

How meeting minutes are developed: use of laptops to facilitate preparation; use of "sense" rather than verbatim minutes.

Are records management functions consolidated in the Village?

FINANCE

Comprehensive and effective fiscal policies (e.g., operating reserve requirements).

Clear assignment of fiscal authority and responsibility.

Prompt billing procedures to ensure maximum cash flows.

Formal cash management plan and regular cash flow projections to determine available funds.

Banking relationships are competitively bid, well structured and rigorously monitored.

Investment performance is regularly monitored.

Time and attendance data are effectively collected.

Payments are processed generally within 30 days.

FIRE DEPARTMENT

Response capability and performance to fire and EMS incidents:

- 4-5 min. response time to 80%-90% of fire calls.
- Min. of 3 units / 12 staff as first alarm.
- First alarm response within 8 mins.

Active fire inspection program by engine companies.

Existence of ordinances designed to mitigate the potential for serious fires:

- Fire detection systems
- Sprinkler systems

Systems which provide for accountability including performance testing and training needs assessment.

Public education program elements:

- Targeted audiences
(e.g., seniors, youth)
- Line staff have a role

Apparatus replacement guidelines in place and based on expected useful life.

VILLAGES OF CARTHAGE AND WEST CARTHAGE, NEW YORK
Summary of Municipal Service Alternatives

FACILITY MAINTENANCE

Custodial staffing of one staff position for every 15,000-18,000 square feet for a "B" level of service.

Quality measures are in place to assess the effectiveness of facility maintenance services.

A building maintenance management system is in place for facility services.

HVAC, electrical, plumbing and other facility systems are preventively maintained.

Building maintenance trades are staffed at a ratio of one staff position for every 40,000 sf of facility for a "B" level of service.

FLEET MAINTENANCE

Centralized accountability for the fleet--a major investment of Village resources.

Existence of automated fleet management system to monitor equipment utilization and repair histories, labor distribution, downtime, costs, preventive maintenance scheduling, etc.

Existence of a preventive maintenance program consistent with the following targets:

- Sedans-3,000 miles
- Heavy equipment-180 day cycle.

Number of pieces of equipment per mechanic and service worker in the 35-50 range.

Fleet downtime of 5% or less.

Use of a depreciation fund to acquire replacement vehicles and equipment.

WASTEWATER MAINTENANCE

Collection system replacement cycle is about 1%-2% per year.

Sewer mains jetted every 12-18 months with a 2 person crew.

Mains televised in a 10-20 year cycle.

Catch basins are cleaned on a 2 year cycle.

Existence of a formal maintenance management work planning and scheduling system.

STREET MAINTENANCE

Frequency of street sweeping.

Sweeper productivity equals at least 30 miles per operator per shift.

VILLAGES OF CARTHAGE AND WEST CARTHAGE, NEW YORK
Summary of Municipal Service Alternatives

Streets are resurfaced on a cycle of 5%-8% of the system per year, as follows:

- Seal coat-6-8 year cycle
- Overlay-15-18 year cycle.
- Reconstruction-As defined by a pavement management system.

Sidewalk maintenance includes a planned inspection program on a 10 year cycle.

Temporary fixes are utilized (e.g., ramping and grinding) for displacements; root barriers are utilized to minimize future displacements.

Existence of a formal maintenance management system for street maintenance staff and services.

PARKS AND RECREATION

Use of information technology to monitor workloads, service levels, cost recovery levels, etc.

Planning, coordination and feedback on services provided by the Department.

Full-time equivalent maintenance staff per developed park acre in the range of 8-10 acres per person. This should provide a "B" level of service.

Formal maintenance management system in place for parks maintenance activities and staff.

Privatization potential evaluated for the following functions:

- Tree trimming
- General parks maintenance
- Mowing

Parks maintenance operations are coordinated with recreational services.

Park availability (the benchmark standard is 2.0-2.5 acres of parks per 1,000 resident population).

Existence of a tree inventory.

Tree trimming schedule exists for Village owned trees (corresponding to average maintenance cycle of 3-5 years).

Current cost recovery performance:

- Classes-100%
- Aquatics-25%
- Youth-25%-50%
- Adults-50%-100%

Overall cost recovery levels should be targeted at about 40%.

Promotional techniques for programs.

VILLAGES OF CARTHAGE AND WEST CARTHAGE, NEW YORK
Summary of Municipal Service Alternatives

Eliciting sponsorships for special events and for ongoing programs.

Targeted specific populations (e.g., senior citizens, handicapped).

Facility scheduling is evaluated to maximize utilization.

Coordination with other programs offered by the Village and private or public agencies in the region.

Joint use agreements with the School.

PERSONNEL

Risk Management/ Safety

Workers' Compensation management (i.e., how claims are reviewed).
Existence of Village-wide and department safety committees.
Existence of safety plan.
Plans to tie training to injury experience.

Employee Development

Existence of a fully developed employee performance appraisal system.
Existence of employee policy manual and/or handbook.
Management development training.
Existence of an employee assistance program.
New employee orientation.

Classification and Pay

Frequency of classification plan maintenance (comprehensively every 5 years).
Periodic performance of compensation surveys.
Number of position classes used by the Village are minimized.

Benefits Administration

Use of "market basket" or cafeteria-style benefits approach.
Claims processing assistance to employees

Recruitment and selection

Advertising and outreach techniques are used for both line and management positions.
Affirmative action goals exist and performance meets goals.
Promotional procedures are clear and provide for internal competition.

VILLAGES OF CARTHAGE AND WEST CARTHAGE, NEW YORK
Summary of Municipal Service Alternatives

Labor Relations

Contract negotiation procedures.
Administration of employee agreements.
Grievance handling is specified in procedures.
Labor relations training is provided for departmental managers.

PLANNING

Turnaround time for current applications.

- Use permits 60 days
- Variances 60 days
- Parcel Maps 60 days

One stop processes for applications.

Up to date zoning ordinance.

Have delegated to staff decisions for selected applications.

Brochures oriented toward non-professional applicant; general customer services orientation.

POLICE

Response times to calls for service:

- Priority 1: 3-5 mins.
- Priority 2: 5-15 mins.
- Priority 3: 15-30 mins.
- Is there an established policy for prioritizing calls?

Given call for service workloads and patrol staffing/deployment, does preventive field time fall within 35%-50% of available time?

Is available proactive time formally directed and evaluated?

Are patrol staff deployed consistent with call for service demands by time of day and day of week?

Are there a records management, management information and crime analysis systems?

Content of the crime prevention program:

- Neighborhood watch
- DARE/ schools
- Other activities

Scope and content of in service training program:

- Amount of training per officer per year at least 40 hours.
- Training program supports community policing goals.

VILLAGES OF CARTHAGE AND WEST CARTHAGE, NEW YORK
Summary of Municipal Service Alternatives

Investigative staff utilization according to a variety of measures:

- Number of cases per case handling investigator is 15-20 for property crimes and 8-12 for person crimes.
- Cases are managed by supervisors.

PURCHASING

Comprehensive and well documented purchasing policies and procedures.

Clear and appropriate delegation of procurement authority .

Competitive bidding techniques utilized.

Effectively utilize purchasing planning techniques and use of blanket purchase orders.

Efficient purchasing processes.

Control of materials acquisition and inventory to minimize fragmentation.

WATER SYSTEM MAINTENANCE

Time needed to restore a service disruption is less than 8 hours.

Percentage of system replaced each year is in the range of 1%-2%.

Is there a complete database of the water system including component age, location, etc. of mains?

Does the Department compile statistics regarding the causes of main breaks and does this form the basis of the replacement program?

Unaccounted for water is less than AWWA maximum guidelines of 12%-15%.

Water meter replacement is within 15-20 years.

Preventive maintenance program compared to the following standards:

- Field test meters--
 - 1.5-2 in. 4 yrs.
 - 3 in. 3 yrs.
 - 4 in 2 yrs.
 - 6 in. annually
- Valve maintenance performed --
 - Flow control
 - Pressure check twice/yr.
 - Gate valves exercised annually over 16 in.; 3 times/yr. < 16 in.
- Fire hydrant valves are operated annually.
- Backflow tests are conducted annually.
- Pump stations --
 - Operating inspection (visual) 2-3 times/week.
 - Detailed inspection annually.
 - Test generators annually.
- Reservoir cleaned every two years.

Existence of a formal maintenance management work planning and scheduling system.

The performance measures, provided above, should serve as guidance for each service area. These standards have been developed from DMG-MAXIMUS' work with some of the most effective and efficient small and medium sized towns across the nation. Many of these communities have established these service level standards as goals for themselves to strive for annually. Each of these standards is being met or exceeded by a community that the project team has worked with.

Achieving these service level standards may be difficult in the near term for either Village given current local fiscal constraints. However, enhanced cooperation should be pursued as a method for achieving the service level standards provided by DMG-MAXIMUS. Decisions regarding the appropriate service levels, etc. should be made jointly by the legislative bodies of each village with information from staff of each function.

EVALUATION of the FIRE SERVICES of
THE VILLAGE of CARTHAGE
&
THE VILLAGE of WEST CARTHAGE

This evaluation was conducted by the New York State Department of State, Office of Fire Prevention and Control for the Tug Hill Commission's study of the villages. This evaluation was conducted with the knowledge of and cooperation of the two fire departments. Fire Protection Specialists from the Office of Fire Protection and Control have met with fire officers of each fire department and representatives of each village. The Jefferson County fire coordinator was consulted about mutual aid plans and dispatching. Information about the fire protection provided by these two fire departments was supplied by the individuals previously mentioned and from visits to the firehouses, villages and the four fire protection districts. This evaluation was not an in-depth analysis of the two fire departments as might be performed by a consultant or engineer.

The evaluators were asked to consider three issues.

- 1) Would consolidation improve fire protection?
- 2) Would consolidation improve the economics of fire protection?
- 3) Are there improvements to fire protection and economics available without consolidation?

The answers to questions 1&2 are a qualified no. If the villages were to consolidate then the consolidation of fire protection services is a reasonable and logical follow on. Without village consolidation the formation of an all inclusive fire district would probably raise more issues than it would solve. The answer to question three is yes. The remainder of this report will discuss issues that might improve fire protection and or the economics of fire protection.

The two villages are separated by a river connected by one bridge. Each village provides fire protection for two towns in two counties. Neither fire station is centrally located in the area for which fire protection is supplied. They are located near the residences of the majority of their member firefighters (population centers) and near the areas of greatest risk (multiple residential, mercantile and commercial) as well as being located within their village boundaries.

Both villages have good ISO ratings which reflects well on the fire departments and the municipal water systems. While it is possible that a strong coordinated effort by the villages and the firefighters could lower the existing ratings it is unlikely that the change would be significant without adding full time firefighters.

Carthage is a classic community in its composition in that it has a large developed multistory downtown area surrounded by a suburban residential area. West Carthage is a residential community that developed as a suburb. Its central area is residential with the commercial area developing on the outskirts. Both departments are capable of independent operation at fires in the one and two family residential areas within the hydrant districts. However the large commercial, industrial and mercantile sections require more manpower and pumping capacity than either department can currently supply. This is managed by utilizing the existing county mutual aid plan.

It is possible to improve protection by developing and implementing automatic mutual aid between the two departments for every occupancy that could exceed the capability of the first responding department. It is important that frequent combined drills be performed on these planned responses to test and modify the plans to current circumstances. It is noted that some such plans already exist, but that they require an order by the responding Chief officer to be implemented. Having equipment and personnel on standby should be considered a minimum response. Response could be set up on a 1st, 2nd, 3rd alarm basis. Specific equipment and personnel from other fire departments and agencies should be identified and included in the plans and the training.

There was some concern expressed at the initial meeting about the Village of Carthage's intentions concerning eventual replacement of their aging ladder truck. This is the only ladder truck in this geographic area. Many structures in the area protected by the two villages, such as schools, garden apartments, shopping malls, etc. require the use of elevated master streams and evacuation. This also extends to surrounding communities that rely on Carthage for this service. Most of all, Carthage needs a ladder truck because it has the most multiple story structures. Carthage has a number of residential occupancies equivalent to three or more stories in its downtown area. The suggested solution to this need for a replacement aerial device is enter in to an agreement that will allow the residents of the entire protected area to share the expense of the replacement.

Both fire departments protect large areas outside of their hydrant districts. The distances involved and the lack of available water suggest the need for tanker operations by each department. Neither department currently has a tanker. One possible solution to this inadequacy is to pool contract moneys from the four protection districts and purchase one adequate tanker vehicle which would respond to all the fires in the protection districts. It may be possible to have the four town boards make a special purchase to improve their fire protection.

The location of such a tanker is open to discussion, but at the present time West Carthage has a modern facility with adequate space. Carthage's facility is older and already cramped for space for existing equipment. No space for meetings or training exists in Carthages facility and the load bearing capability of the apparatus floor may not be adequate for the next generation of apparatus.

Cost savings for tools, breathing apparatus, protective clothing, etc. can only be earned through competitive bidding on large amounts. This type of saving might be available if the county government could be involved in the process.

Consolidation in locations of dense population where duplication of expensive equipment and services is common makes economic sense. In spite of the close proximity of the two village fire departments duplication does not exist, in fact both departments need each other to provide their constituents with the fire protection needed.

**Administrative Study of
the Feasibility of Consolidating
the Village of Carthage
and the
Village of West Carthage
Police Departments**

**Jefferson County, New York
June 1999**

**NYS Division of Criminal Justice Services
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Acknowledgments

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I. Preface

The Nature of Administrative Studies

Emergencies of the day frequently prevent police administrators from giving adequate attention to the areas of planning and research. Accelerating changes in today's world create unusual pressures on law enforcement agencies and increase the need for flexibility in their management and organization.

The New York State Division of Criminal Justice Services (DCJS) sponsors several programs to help public officials meet the many challenges that they now confront. One service in particular, the Administrative Studies Program, offers administrative assistance and in-depth studies to local law enforcement agencies as well as to municipalities exploring the possibility of establishing a police department.

The purpose of the studies is to provide (on a short-term basis) the staff assistance necessary to aid administrators in combining new ideas, concepts and methods with a professional and objective analysis of local realities. The studies focus on immediate needs and incorporate both historical data and emerging trends. The studies give decision-makers an impartial look at their police department from the perspective of an outside agency.

Two types of services are offered: Staff Consultations and Formal Studies.

1. Staff Consultations

Staff consultations are conducted through informal discussions between department officials and Division of Criminal Justice Services staff. Consultations are typically conducted over the phone or through correspondence that documents the research requested. Staff consultations seldom involve the preparation of a detailed report.

2. Formal Studies

Formal studies focus on issues of special interest to a particular agency. Program staff conduct field visits and prepare a written report with documented findings and specific recommendations for the chief executive officer to consider.

A formal study might address one or more of the following functions: Patrol; Investigation; Training; Records System; Feasibility; Personnel Systems; Rules of Conduct; Consolidation and/or Joint Services; Organization; Community Relations; Staffing; Mission, Goals and Objectives; Evidence; Booking Procedures; Equipment; and Patrol Sector Design. Other areas may also be explored in accordance with the wishes of the agency head.

The Division of Criminal Justice Services assigns experienced staff to conduct the necessary research and propose appropriate recommendations. Draft reports are then reviewed by the Deputy Commissioner and other senior staff of the Office of Public Safety prior to release. The Division of Criminal Justice Services does not charge localities for the preparation of these studies.

Finally, it is important to note that an administrative study is not an end in itself; the report merely documents the need for change where such a need exists. Consequently, the value of the study is directly proportional to the attention given to its recommendations in terms of evaluation, implementation and periodic review. The Division of Criminal Justice Services will provide technical assistance upon request to facilitate the successful implementation of its recommendations.

Enabling Authority

The New York State Division of Criminal Justice Services (DCJS) was created by law on September 1, 1972. It has five major components: The Office of Public Safety, the Office of Identification Services, the Office of Funding and Program Assistance, the Office of Justice Systems Analysis, and the Office of Administration and Information Services.

DCJS conducts administrative studies pursuant to the authority granted by the New York State Executive Law. Article 35, section 837, subdivision 5, states that the Division shall:

"Conduct studies and analyses of the administration or operations of any criminal justice agency when requested by the head of such agency and make the results thereof available for the benefit of such agency."

Responsibility for conducting these studies has been assigned to the Division's Office of Public Safety.

Disclaimer

Most of the information, recommendations and suggestions contained in this report are based upon an analysis of data compiled and supplied by the police departments serving the Village of Carthage and the Village of West Carthage. The analysis is thus directly related to the reliability and validity of the information provided. Even though the record keeping system of these agencies appears to reflect the police department's activity correctly, the Division of Criminal Justice Services cannot guarantee the accuracy of all submitted data.

II. Executive Summary

The following is a summary of the findings and recommendations made pursuant to the Division of Criminal Justice Services' analysis. The recommendations are supported by detailed explanations in the body of the report.

Findings and Recommendations

1. On June 5, 1998, the New York State Division of Criminal Justice Services received written requests from the Chief of Police of the Carthage Police Department and the Officer-in-charge of the West Carthage Police Department seeking a study of the feasibility of consolidating police services in their municipalities. (Appendix A & B).
On July 29, 1998, DCJS entered into an agreement with both Chiefs to proceed with the study. These agreements assured DCJS of both department's cooperation in the conduct of the study, and set forth the conditions of the study. (Appendix C & D)
2. Both departments provided several types of data requested by DCJS, and DCJS staff member Kenneth W. Post conducted on-site field visits to both departments on February 4, 1998. During the field visits, additional data were collected, the jurisdictions were toured, and interviews were conducted with appropriate department officials. Both departments were also contacted prior to releasing this report to verify that the data used were accurate.
3. The Village of Carthage Police Department is currently staffed by six full-time sworn officers. This includes the acting-chief, one sergeant, and four patrolman. The department is actually allocated seven full-time sworn positions, but one of them has been vacant since the retirement of Chief Frank. Thomas Ellis, who holds the position of senior patrolman on a permanent basis, has been filling the chief's position on a temporary basis. As a result, the senior patrolman position has remained vacant. The full time staff in the Carthage Police Department is supplemented by five part-time police officers, four of whom are utilized on a regular basis to ensure adequate coverage.

4. The Village of West Carthage Police Department is staffed entirely by part-time police officers. This includes six part-time patrolman and a part-time officer in charge.
5. The two municipalities have a combined population of 6,510 year-round residents.¹
6. Carthage's budgetary allocation for 1998-99 is \$345,000. However, this figure is for a fifteen-month period, since Carthage is adjusting its fiscal year to end in June this year. Averaging this figure out for a twelve month period results in a yearly budget of \$276,000. West Carthage's 1998-99 allocation is \$37,000. The combined budgets of the two police departments thus total \$313,000.
7. Consolidation of police services in most instances is permissible under the provisions of Article 5-G or Article 6 of the NYS General Municipal Law.
8. Consolidation appears to be appropriate and manageable from an administrative, practical, and a geographical standpoint.
9. Consolidation could expand law enforcement services to the Village of West Carthage, enhance the utilization of existing law enforcement resources, and help ensure the availability of backup units to either community.
10. A staffing analysis of the Village of Carthage Police Department indicates that the department is presently understaffed by three full-time sworn officers. If DCJS were conducting a staffing study of the Village of Carthage Police Department, we would recommend the hiring of three full-time officers, bringing the total complement of full-time sworn officers to ten. This would provide two officers on duty on each shift, twenty-four-hours a day, seven days a week, without having to utilize part-time officers on a regular basis.

¹1996 New York State Municipal Profiles, Information Publications, Palo Alto, CA.

11. Based on DCJS's analysis of the combined workload of both departments, a consolidated department can be adequately staffed with ten full-time officers.

III. Introduction

Task and Methodology

On June 5, 1998, DCJS received a written request from now retired Carthage Police Chief Vincent Frank and West Carthage Officer-in-charge Joseph Margrey asking the Division of Criminal Justice Services to assess the feasibility of consolidating police services for the Village of Carthage and the Village of West Carthage. In accordance with DCJS procedures, the chiefs subsequently signed an agreement that outlined the conditions under which the study would be conducted. The agreement assured DCJS of the agency's complete cooperation during the preparation of the report. It also gave DCJS staff the authority to examine all relevant documents and to meet with appropriate members of the department.

Subsequent to the request from the Carthage Police Department, Chief Frank retired from his position and Senior Patrolman Thomas Ellis assumed the duties of the Chief.

DCJS staff member Kenneth W. Post visited Carthage and West Carthage on February 4, 1999 to interview Acting-Chief Ellis and Officer-in-charge Margrey as well as to tour the jurisdictions and their police facilities. DCJS personnel had additional contact with both police departments while preparing this report to confirm and/or update the data that were collected.

The analysis that follows is based upon the expertise of Division of Criminal Justice Services staff and the use of established formulas that analyze reported agency activity. The validity of all recommendations pertaining to patrol staffing levels is heavily dependent upon the quality of the data provided by the Village of Carthage and the Village of West Carthage Police Departments.

Staff members who prepare administrative studies frequently consult with personnel assigned to support the State Law Enforcement Accreditation Program to ensure that recommendations are consistent with prevailing professional standards. Agencies that are not participating in the Accreditation Program are strongly encouraged to consider doing so. Participation enables administrators to strengthen existing procedures while simultaneously creating

a solid foundation for their agency's future. Participation also sends a strong positive message to the community served by the agency that officials are committed to providing services of the highest quality. If a full consolidation of the Carthage and West Carthage Police Departments occurs, we would encourage the consolidated department to submit an application to participate in the Accreditation Program. If consolidation does not occur, we encourage both police departments to submit applications for Accreditation.

DCJS Accreditation Program staff will provide whatever assistance may be necessary. They can be reached at (518) 485-1414 or by writing to:

New York State Division of Criminal Justice Services
Office of Public Safety-Accreditation Program
4 Tower Place
Albany, NY 12203-3702

The Village of Carthage

Characteristics

The Village of Carthage is located in Jefferson County, within the Town of Wilna. The village encompasses 2.52 square miles of land area and .17 square miles of water area. The village has approximately twelve miles of roadway. The 1990 census figures indicate that the village has 4,344 year-round residents. This represents an increase of approximately 19% over the 1980 census figure of 3,643. The population density is 1,723.8 per square mile.

State routes 126, 26, and 3 are the major transportation routes within the village limits. The village is comprised of a business district and residential areas. There are manufacturing concerns in the village, including a mill (temporarily shut down), a machine shop which manufactures machine parts, and a chemical plant. The Carthage Hospital is in the village and is one of the major employers. There are two schools within village limits; a grade school and a private Catholic school.

The village is managed by a Commission form of government.

Law Enforcement Services

The Village of Carthage Police Department provides full-time law enforcement coverage to its residents. The Police Department has seven full-time sworn officer positions allocated, including the chief, one sergeant, one senior patrolman, and four patrol officers. One of the positions has been vacant since the retirement of Chief Frank. Senior patrolman Ellis is filling the position of acting-chief, and his position of senior patrolman remains vacant, possibly until the chief's position is filled on a permanent basis. The department also employs five part-time police officers, four of whom are utilized on a regular basis.

The department usually deploys two officers each of the three work shifts. The acting-chief fills in as the second officer on the day shift. On the weekends when the chief is off-duty, there is one patrol on duty during the day shift. Part-time officers are utilized during the other shifts to fill in for officers who are scheduled off, to ensure that two officers are on duty every day on the afternoon and night shifts.

The department employs a part-time dispatcher who works 20 hours a week, from 2pm to 6pm, Monday through Friday. When this individual is working, she dispatches for the department. When she is not working, dispatching services are provided by the Carthage Fire Department fire drivers. The fire department is located in the same building as the police department, and the fire drivers are able to answer police calls and communicate with police vehicles from their own dispatch office in the fire department office. However, when the fire department receives a fire call, the fire driver is required to leave to respond to the fire call. This leaves the police dispatch unmanned. In our opinion, this is not an acceptable practice and an alternative means of ensuring dispatch coverage must be sought. We have discussed this in further detail in a subsequent section of this report.

The New York State Police maintain a satellite station in the Village of Carthage's police headquarters. According to Chief Ellis, there is always at least one trooper on duty. The next nearest available State Police station is the Lowville sub-station in Lewis County, approximately thirteen miles away. However, both State Police sub-stations have very large patrol areas, which includes Lewis County and Jefferson County, and they do not have patrols dedicated to Carthage/West Carthage. The Jefferson County Sheriff's Department has a relatively small road patrol, which comprises one or two patrols on a shift. As with the State Police, the Sheriff's Patrol does not dedicate a patrol to Carthage and/or West Carthage. Depending on the location of either the State Police or Sheriff's Patrol at the time of need, a backup usually takes between five and twenty minutes to respond.

The department schedules three shifts, 12 hours in duration. They are the A line, which is 6pm to 6am; the B line which is 6am to 6pm; and the C line, which is 5pm to 5am or 7pm to 3am. The C line ensures that a patrol is on duty during shift change.

The police department has three patrol vehicles: a four-wheel drive vehicle and two patrol cars. The department is housed along with other village offices, the fire department, and the justice court at 120 South Mechanic Street.

Law Enforcement Costs

The 1998 budget for the Village of Carthage Police Department is \$345,000. This figure is for a period of fifteen months, as the village is adjusting its fiscal year to end in June from this year forward. Averaged out over a twelve month period, the yearly allocation is \$276,000 (345,000 divided by 15, multiplied by 12). The 1997-98 annual budget was \$307,500. During the 1997-98 fiscal year, the department stayed within its budgeted amount for overtime and part-time personnel. \$15,926.37 of the \$17,500 allocated for overtime was expended, and \$11,150.85 of the \$12,000 allocated for part-time personnel was expended. Of the four year period of 1994 to 1998, 1994 was the only year when overtime and part-time expenditures exceeded allocations by considerable amounts. Salaries for department personnel are \$41,910 for the chief, \$36,760 for the sergeant, and a range of \$27,299 - 32,321 for patrolman.

The Village of West Carthage

Characteristics

The Village of West Carthage is located in Jefferson County, in the Town of Champion. The village encompasses 1.13 square miles of land area and .11 square miles of water area. The major transportation route within the Village of West Carthage is Route 26. There are 6.7 miles of roadway in West Carthage.

According to 1990 census figures, the year-round population in West Carthage is 2,166. This represents an 18% increase from the 1980 census. The population density in West Carthage is 1,916.8.

West Carthage is also comprised of residential areas, as well as light commercial establishments. Carthage Fiber Drum is located in West Carthage, and there is also a paper mill in the village. The high school for students residing in both Carthage and West Carthage is located just outside of West Carthage.

West Carthage is approximately half the size of Carthage in population, square miles, and miles of roadway. The difference in these characteristics is reflected in the demands for police service, as noted in the staffing analysis section of this report.

The Village is managed by a Mayor-Trustees form of government.

Law Enforcement Services

The Village of West Carthage Police Department provides part-time law enforcement coverage to its residents. The police department employs seven part-time police officers, one of whom is the officer-in-charge.

Officers work a maximum of five hours per shift, and they are somewhat flexible with their starting time and ending time. Sometimes the patrol starts at 6pm and ends at 11pm; other times they start at 7pm and end at 12pm, etc. One patrol unit is usually deployed on a shift. Generally, the patrols are only deployed on the afternoon shift, but occasionally a day patrol is deployed. A review of the schedule for the month of February 1999 indicates that a patrol

was deployed during the day on twelve of the twenty-eight days in the month.

By the very nature of the schedule, the West Carthage Police Department acts more as a deterrent force by its random presence as opposed to a reactive department poised and ready to respond to an emergency call. Since patrols are not regularly scheduled, residents in need of police services cannot be certain that a West Carthage patrol will be available when it=s needed. The calls for service data supplied to DCJS for 1998 indicates relatively low activity. Although it=s difficult, if not impossible, to measure the effectiveness of random patrols, their random presence could contribute somewhat to the low numbers. On the other hand, the position could be taken that the more that patrols are available, the more the residents will rely on the police department for assistance thus increasing the calls for service data. DCJS has conducted a number of studies of larger full-time police departments that deploy several patrols on each shift, and the calls for service have been very high in many instances, leading one to believe that police presence alone will not necessarily reduce activity.

When patrols are on duty, they are dispatched by the Jefferson County Sheriff’s Department. The police department relies on the Carthage Police Department, the New York State Police, and the Jefferson County Sheriff’s Department for backup. The department also relies on the State Police or the Sheriff’s Department for investigations into offenses other than misdemeanors.

The West Carthage Police Department has two patrol cars, both of which are well equipped and well maintained. The department is housed in a relatively small building at 61 High Street. Office space is comprised of an office in the back, an attached one-car garage, and a common office area for the officers. The village justice court is also housed in this building.

Law Enforcement Costs

The 1998-99 budget for the Village of West Carthage Police Department is \$37,000. This budget has been fairly consistent over the past five fiscal years (1994 was \$37,500, 1995 was \$37,500, 1996 was \$34,500, 1997 was \$38,000). The department has stayed well within its budgeted allocations each year.

IV. Crime Statistics

Crime Rate

In most of DCJS's administrative studies, we include crime rate data for the municipality as well as other municipalities in the respective county. This provides the reader with an idea of how the occurrence of Part I crimes compares with surrounding communities. This statistical information is reported to the NYS Division of Criminal Justice Services and maintained by the Bureau of Statistical Services, which publishes the *Crime and Justice Annual Report*.

Part I crimes include murder, negligent manslaughter, rape, robbery, aggravated assault, burglary, larceny, and motor vehicle theft. Part II offenses include all other offenses except traffic.

In Jefferson County, the highest crime rate in 1996 was reported by the City of Watertown Police Department, which was 45.5 per 1,000 residents. The lowest crime rate in Jefferson County in 1996 was reported by the Brownville Police Department, which was 4.8 per 1,000 residents. The 1996 median crime rate of the three police departments in Jefferson County for which crime rate statistics were available was 19.95 per 1,000 residents.

It should be noted that the crime rate is calculated by dividing the total population of the municipality by the total Part I crimes reported. Comparison of crime rates should generally be made with caution. Additional factors which may influence crime rates include density of population, geographic location, social attitudes, economic conditions, number of law enforcement officers, seasonal and transient population, and rural or urban environments.

Carthage Crime Rate

The crime rate for the Village of Carthage in 1996 was 15.6, slightly lower than the median. This placed it sixth lowest of the eleven departments reporting.

Appendix E is a chart of the Part I Offenses reported and cleared by the Carthage Police Department for the years 1988 to 1997. Appendix F is a chart of the Part II Offenses reported and cleared by the Carthage Police Department for the years 1988 to 1997.

We have also included detailed breakdowns of the Part I Offenses reported and cleared for 1988 through 1997 (Appendix G), as well as the Part II Offenses reported and cleared for that time period (Appendix H).

A review of the breakdowns reveals that larcenies and burglaries are the prevalent Part I offenses in Carthage. A total of 10 of the 50 Part I offenses reported in 1997 (20%) were burglaries. A total of 37 of the 50 Part I offenses (74%) were larcenies, most of which were under \$50.00. Three of the Part I offenses were crimes against the person, including one rape and two assaults.

A review of the Part I offense clearances for 1997 reveals that the Carthage Police Department has a high success rate in clearing offenses reported to the department. A total of 29 of the 50 Part I offenses were cleared. This equates to a 58% clearance rate. Six of the ten burglaries were cleared. Carthage's 60% burglary clearance rate substantially exceeds the statewide average, which in 1996 was 18%. The clearance rate for larcenies also exceeded the statewide average; 54% in Carthage compared to a statewide average of 27%.

Crime Rate in West Carthage

The crime rate for the Village of West Carthage in 1996 was 6.8, considerably lower than the median. This placed it third lowest of the eleven departments reporting.

Appendix I is a chart of the Part I Offenses reported and cleared by the West Carthage Police Department for the years 1988 to 1997. Appendix J is a

chart of the Part II Offenses reported and cleared by the West Carthage Police Department for the years 1988 to 1997.

We have also included detailed breakdowns of the Part I Offenses reported and cleared for 1988 through 1997 (Appendix K), as well as the Part II Offenses reported and cleared for that time period (Appendix L).

A review of the breakdowns reveals that larcenies are the prevalent Part I offenses in West Carthage. A total of 20 of the 22 Part I offenses reported in 1997 (91%) were larcenies, 45% of which were under \$50.00. There was one reported assault and one burglary.

A review of the Part I offense clearances for 1997 reveals that the Carthage Police Department has a high success rate in clearing offenses reported to the department. A total of 6 of the 22 Part I offenses were cleared. This equates to a 27% clearance rate. West Carthage's 20% larceny clearance rate is comparable to the statewide average of 18%.

We did not closely examine the clearance rates for each department aside from the Part I offenses for 1997. However, a look at the charts in the appendices for both Part I and Part II offenses shows a consistent ten year trend of high clearances for Carthage compared to West Carthage. There may be various factors contributing to this trend, but we would suspect that more opportunity to devote to follow up on cases, as well as more continuity between shifts and officers, plays a large role.

It is important to note that the crime rate in West Carthage may actually be considerably higher than reflected in DCJS statistics. Our statistics are based upon offenses reported by the West Carthage Police Department. Part I offenses that occur in West Carthage and are reported to and handled by the New York State Police, the Jefferson County Sheriff's Department, and the Carthage Police Department are not reported to DCJS as having occurred in West Carthage. Rather, they would be reported in an aggregate manner for the particular agency handling the call.

V. Consolidation Overview

Costs associated with providing municipal law enforcement/public safety services have risen dramatically in recent years. The fiscal distress associated with rising costs is often compounded by shrinking tax bases. In an effort to stabilize or reduce tax burdens on citizens, municipal officials are now more frequently reevaluating the manner in which law enforcement/public safety services are provided.

Exploring consolidation as an option to stabilize or reduce law enforcement/public safety costs may be well worth the effort in those communities where it is warranted by local circumstances. Consolidation can nevertheless be an extraordinarily complicated and controversial proposition.

Police services are generally among the most important and politically sensitive services that local governments provide. Consolidation efforts may thus be well supported despite significant drawbacks or strenuously resisted despite significant advantages. Rarely, if ever, is there full agreement to move in one direction or the other. For example, while there may be no substantive drawbacks to combining police services, members of a community may still object based upon the notion that consolidation in the area of law enforcement could represent the beginning of a broader consolidation that they do not support (e.g., the total consolidation of political subdivisions.)

Advantages and Disadvantages²

Advantages

* *Consolidation mitigates several conditions which limit or reduce the effectiveness of law enforcement services.* Proponents claim that merging smaller agencies tends to reduce jurisdictional overlapping, restrictions and conflicts. Duplication of effort can be minimized through consolidation, and consistent area-wide practices and procedures can be established. For example, consolidation eliminates some of the legal constraints associated with

²Most of the information included in this section has been taken from Terry Koepsell and Charles Girard, Small Police Agency Consolidation: Suggested Approaches, Washington, D.C.: U.S. Department of Justice, 1979.

overlapping municipal boundaries, therefore allowing patrols to be utilized more efficiently through the realignment of patrol areas. This has the potential to distribute demands on patrols more evenly and to reduce response times to calls for service. Consolidation also reduces the possibility of independent, parallel investigations into the same matter.

* *Consolidation results in an improved level of quality and service.* It is argued that mergers result in a broader range and level of service than is financially possible through smaller agencies. These improvements result from more efficient utilization of resources, strengthened communications capabilities, and increased collaboration among officers. For example, the investigative abilities may be strengthened significantly through the assignment of officers to an investigative unit. As separate entities, staffing limitations may not have allowed either organization to address this important function adequately.

* *Consolidation results in higher quality personnel.* Officer training, supervision and working conditions for at least some of the affected officers may be significantly better following consolidation. This benefit is especially likely to occur if one of the agencies had significantly fewer resources than the other prior to consolidating.

* *Consolidation produces improved efficiencies and economies of scale.* Proponents argue that merging small agencies can reduce costs or increase service without any increase in funding. Cost savings can be attributed to reducing duplication in the areas of administrative staff (e.g., management and supervision), support personnel (e.g., office and communications), facilities, equipment (e.g., automobiles, communications) and miscellaneous expenses (e.g., liability insurance).

Disadvantages

* *Loss of law enforcement services.* Opponents claim that mergers tend to dilute the relationship between citizens and their law enforcement officers. In addition to the psychological loss of identity among communities that lose their own police department, opponents argue that local officers know the people and problems of a community better than those employed by a larger consolidated agency. It is also asserted that some of the less visible police activities such as enforcement of local ordinances may suffer following consolidation.

* *Consolidation has not been proven to be more effective than existing delivery systems.* While there are many potential benefits to consolidation, some critics maintain that there is insufficient evidence proving that these benefits actually occur.

* *Loss of control over the level and quality of service.* Consolidation requires that elected officials in the involved communities surrender some of the influence that they once had over agency matters such as staffing, priorities, and expenditures. This loss of control becomes particularly problematic if the quality or extent of police service becomes unsatisfactory. An example of how this might occur would be if the officers previously assigned to patrol a particular neighborhood were reassigned to a troublesome area in another municipality. The new deployment of available personnel may be appropriate, but there could still be a legitimate perception among some people that the police are providing less service in their neighborhood than they did prior to the consolidation.

* *Consolidation may cost as much or more than the current delivery system.* Even though some data demonstrate that consolidation can be fiscally beneficial for smaller municipalities, it would be a mistake to assume that this will always be the case. Quality demands, citizen satisfaction and other subjective criteria that are difficult to identify and/or quantify can also be problematic.

Structural Versus Functional Consolidation.³

It may be misleading to consider small police departments as being totally independent entities. Many work cooperatively with other agencies in specific areas, thus achieving some of the benefits which are typically associated with consolidation.

Consolidation can generally be characterized as “functional” or “structural”. Functional consolidation tends to be less formal and usually involves a limited sharing of resources. Each entity remains autonomous under this arrangement.

³New York's Experience with Police Consolidation, State-Local Issue Brief, 2 (4), November 1989.

Structural consolidation tends to be more formal and far-reaching. Generally speaking, structural consolidation involves the formal merger of two or more agencies in a way that allows for the elimination of duplicative staff and functions such as administration and communications.

More specific examples of the various types of consolidation are outlined below.

* *Service Consolidation.* This is the practice of merging specific services that are not efficient or cost effective for an individual small department to provide. Consolidation may impact the provision of many services including training, investigations, and the use of expensive or highly technical equipment. A common example of service consolidation is that of a centralized communication service provided by a county Sheriff's Office or 911 operation.

* *Mutual Aid.* The National Sheriff's Association defines mutual aid as "an exchange of services, personnel and/or equipment between law enforcement agencies during times of emergency." Virtually all law enforcement agencies have agreements with neighboring jurisdictions to provide and receive mutual aid when necessary.

* *Joint Activity.* Police agencies having jurisdiction in a given locality may unite to perform specific joint activities. Equipment that individual units may not be able to purchase separately, for example, may be affordable if purchased jointly.

* *Contracting.* This is a method by which one governmental entity enters into a formal binding agreement with another to provide services for an established fee. Agreements of this type generally involve a relatively small entity such as a village or town and a much larger organization such as the county Sheriff's Office.

* *Police Service Districts.* A police service district is an area within an individual county where a certain level of service is provided and financed through a special tax or assessment.

* *Formal Consolidation (of two or more agencies).* Formal consolidation occurs when two or more municipalities officially pool their resources (e.g., funds, staff, facilities, equipment) to establish a new multi-jurisdictional agency.

* *Dissolution.* New York State does not require municipalities to have an established police department. Smaller municipalities thus have the option of dissolving their police department and relying on services provided by the New York State Police and the County Sheriff=s Department. However, it should also be noted that, while Sheriff=s Departments have road patrols, there is no statutory requirement that they be provided.

VI. Legal Considerations

Public officials in the Village of Carthage and the Village of West Carthage responsible for exploring the feasibility of consolidation should be aware that consolidation of law enforcement functions will foster a number of legal considerations. Attorneys from each municipality should be consulted at every stage of the proposed consolidation.

Generally, full consolidation is permissible under Article 5-G or Article 6, Section 121-a of the General Municipal Law of the State of New York (Appendices M & N).

According to a 1978 opinion rendered by the State Comptroller (Op.State Compt. 78-696, Appendix O), consolidation may occur **either** by entering into an agreement under the provisions of Article 5-G **or** Article 6 Section 121-a (if voter approval is desired, only the provisions of §121-a can be used).

In brief, Article 5-G of the General Municipal Law discusses Municipal Cooperation. It is this section of law that enables local municipal governments, through a joint effort, to provide services to their constituents. When an agreement on the joint offering of police service is reached, it must be approved by each participating municipality through the majority vote of their respective governing bodies.

The agreement for the joint provision of services should be written in such detail so that all foreseeable considerations are addressed. The agreement, depending upon local needs and desires, may contain a section for the equitable allocation and financing of capital operating costs. The manner by which certain employees are hired, compensated, transferred or discharged, which are subject to pertinent provisions of the Civil Service Law, should also be included. Additionally, specifications on the acquisition, ownership, operation, maintenance and sale of property may be included. Finally, the agreement should provide for procedures that designate the periodic review of the terms and conditions of the agreement including its duration or extension, as well as for the resolution of any disputes or disagreements.

In addition, Section 83-a of the Civil Service Law provides for the creation of a Police Advisory Board by the local legislative body (Appendix P). This board will facilitate the regrouping of personnel affected by a police consolidation. The intent of this statute is "to provide a uniform and equitable method for transferring the members of existing police departments into the combined agency structure."

The Police Advisory Board also monitors personnel transfers and makes recommendations to the President of the N.Y.S. Civil Service Commission concerning rank and assignments.

Officials as well as attorneys for Carthage and West Carthage should also be aware that there are Public Employment Relations Board (PERB) rulings which may have an effect on decisions regarding any consolidation effort between the Villages of Carthage and West Carthage. In Appendix Q of this report, we have included a copy of an article written by Mr. John Crotty Esq., an attorney at PERB. This article addresses the implications of the Taylor Law with regard to consolidation efforts.

VII. Staffing Analysis

The allocation of staff is a critical issue in any law enforcement agency. By far, the largest part of a police department budget consists of personnel costs, and the budget itself is usually among the largest of all town departmental budgets.

Patrol is the most fundamental of all law enforcement operations. Uniformed police officers assigned to conspicuous patrol vehicles provide the basic services for which the police department was established. The patrol force seeks to prevent criminal activity by creating the appearance of omnipresence, thus generating the impression that offenders will be immediately apprehended.

Patrol responsibility is not limited to the prevention of crimes and the apprehension of offenders. The patrol force is also a service unit, providing assistance and emergency care in the event of injury, sickness, loss of property, or even citizen inconvenience. Uniformed officers are usually the first, and sometimes the only contact the public has with the Police Department. The importance of adequate staffing, deployment, supervision and training for patrol can hardly be overemphasized.

As part of DCJS's consolidation feasibility studies, we analyze the workload of each agency involved in the study separately and then analyze the combined workload of both agencies. Our analysis enables us to determine the number of posts and officers that each department should minimally have on each shift, and then determine the minimum number of posts and officers required for a consolidated department.

It is DCJS's experience that combining the workload of two agencies usually results in a reduced need for staffing. This is usually the case when both departments are already adequately staffed. However, we have conducted studies in which one or both departments were understaffed, resulting in our recommendation for an increase in staffing for a consolidated department. Even in these instances, our staffing recommendations for a consolidated department are usually less than our recommendations for each department separately.

As mentioned earlier in this report, there is relatively little reported activity from the West Carthage Police Department. This data is not significant enough to apply to our staffing formula. Additionally, since all of the officers employed by the Village of West Carthage are part-time, there is no data, which we refer to as officer availability factors, to apply to the formula. This is a necessary element in the formula. Accordingly, we are not able to provide staffing recommendations, based upon statistical analysis, for the Village of West Carthage Police Department. We have, however, provided recommendations for the Village of West Carthage Police Department if the Village desires to increase its own police department's presence. These recommendations are based upon the minimum number of officers required to minimally staff a shift.

We are able to apply the data provided by the Carthage Police Department to our staffing formula, and we have made staffing recommendations for Carthage based upon the results of our analysis.

An exact means for determining the optimum number of officers to be allocated to the law enforcement function has yet to be developed. Among the reasons for this is the fact that no precise method exists for determining the optimum number of staff-hours necessary for preventive patrol coverage as compared with the personnel necessary for handling investigations of offenses and incidents, inspectional services, and other activities that can be measured with some degree of exactness. Nevertheless, an equitable distribution of enforcement strength by time and area can be achieved with reasonable precision.

Two steps are required to achieve this objective. The first task is to identify the number of posts required. Once that is done, the specific staffing requirements can be calculated.

Determining the Necessary Number of Patrol Posts

The Formula

Two variables largely determine the number of officers necessary to staff the patrol force adequately: The number of calls for service for a given period of time (from which the number of patrol posts can be identified); and the average length of time that each officer is available for duty on a yearly basis.

Utilizing a formula developed by the International Association of Chiefs of Police [IACP], the following steps are taken.

1. The total calls for service for each tour of duty are obtained for a period of one year. A call for service is not limited to a complaint in the department's record system. Rather, it includes any instance in which an officer is dispatched to provide service or initiates activity (for example, a traffic stop).

Chief Ellis was able to provide us with the exact number of calls for service for a period of one year. The police department received a total of 4,618 calls for service during 1997. Of those 4,618 calls, 2,192 were received on the 6am to 6pm shift, and 2,426 were received on the 6pm to 6am shift.

These totals do not include the calls for service which by their very nature necessitated a response by more than one unit. These calls, which we will refer to as multiple unit responses, must be included in the totals in order to accurately capture the activity of the department. However, the calls for service data did not readily lend itself to being broken down into the number of units that responded to any particular call. For our purpose of determining the number of posts required for each shift, we estimated the total number of multiple unit responses.

We arrived at our estimation by applying known statistical data from recent studies conducted by DCJS. This data indicates that 19% of these department's total calls required two-unit responses. We would add that our experience in addressing the issue of multiple unit responses would indicate that 19% is a conservative figure. Other studies conducted by DCJS have included known data with multiple unit responses as high as 50% on the night shift, 35% on the day shift, and 35% on the afternoon shift. Thus, the resultant calculations in this study, although partially estimated, should be viewed as conservative.

Including the multiple unit responses, the total calls are:

6am to 6pm shift:	$2192 + 416 (19\% \text{ of } 2192) = 2608$
6pm to 6am shift:	$2426 + 460 (19\% \text{ of } 2426) = 2886$

2. The twelve month total is multiplied by the average time required to respond to a call for service and complete the preliminary investigation. This provides the number of hours per year spent in handling calls for service. Previous studies have shown that the average time required to respond and investigate adequately at the preliminary level by members of a patrol force is 30 minutes (.50 hours). This was discussed with Chief Ellis and he agreed that the 30 minute figure was appropriate for this study.

3. The hours per year in calls for service are multiplied by three. This allocates one third of the officer's time as "committed" time (or the time that officers spend responding to and handling calls for service), and two thirds of the officer's time as "uncommitted." Uncommitted time is essential in policing for several reasons, including:
 - * Providing proactive patrols
 - * Responding in a timely fashion
 - * Providing for officer-initiated activity
 - * Enhancing citizen and officer safety
 - * Community policing activity
 - * Allowing for simultaneous response to multiple high-priority calls for service
 - * Allowing for multiple-officer response to simultaneous high-priority calls for service

Uncommitted time is also essential for functions such as report writing, vehicle servicing, meals, agency meetings, etc.

4. The total hours are then divided by 4,380, the number of hours necessary to staff one post on one 12-hour shift for one year (12 hours x 365 days = 4,380). The quotient equals the minimum number of patrol posts needed for the particular tour of duty.

Applying the Formula to the Village of Carthage

The first step in the analysis is to apply the formula just described utilizing the twelve months of calls for service data detailed in step 1.

1997 Calls for Service - Village of Carthage	
Shift	Total Calls for Service
6am to 6pm	2,608
6pm to 6am	2,886

Next these numbers were multiplied by .50 to get the estimated time (in hours) expended by officers on calls over the year. This is the total committed time expended by officers.

Estimated Total Hours Expended by Carthage Police Officers on Calls for Service - 1997	
Shift	Total Estimated Hours Expended
6am to 6pm	1304.00
6pm to 6am	1443.00

These figures were converted to include the uncommitted time (multiplied by three).

Projected Hours Expended by Carthage Police Officers on Calls for Service including Buffer time	
Shift	Projected Hours Expended
6am to 6pm	3912.00
6pm to 6am	4329.00

These numbers are then divided by 4,380 which represents the total hours required to fill an eight-hour post for one year (365 x 12 = 4,380)

Minimum number of posts needed for the Village of Carthage Police Department		
Shift	Minimum Posts Needed	Adjusted to Whole Number
6am to 6pm	.89	2*
6pm to 6am	.99	2*

Although the calculations would indicate the necessity of only one post on each shift, a second post was added for factors not taken into consideration by the formula. First, the department presently strives to maintain two posts, and this appears to be the level of service desired by the Village. More importantly, there is the issue of public safety, and the immediate availability of a backup unit to assist an officer in imminent danger. This is especially important on the 6pm to 6am shift. DCJS’s experience has been that although the total number of calls for service may be less during the late night/early morning hours (11pm-4am), the calls of the more serious nature which place officers and citizens in danger of physical harm tend to occur during these hours. Alcohol related assaults and other incidents are generally higher during these hours.

As previously noted, there are two other agencies that technically have jurisdiction within the village, but do not usually patrol the village. Although these agencies are available to provide backup to the Carthage officers, there is no assurance that **immediate** backup will be available in a time of critical need. A second Carthage patrol provides that assurance.

Also, given the fact that Carthage Police usually provide a very quick response time to emergency calls, a five minute or longer response time from another agency is inadequate to support the first officer who calls out on a fight in progress, a violent domestic dispute, a robbery in progress, and calls of a similar dangerous nature.

Patrol Staffing Requirements - The Formula

Once the total number of patrol posts for each tour of duty are determined, the next step is to ascertain the staff needed to fill these posts adequately. This coverage cannot be achieved by simply assigning one officer for each post. Consideration must be given to those factors which make an officer unavailable for duty. These factors include regular days off, vacations, sick leave, personal leave, holidays and other factors which affect an officer's availability for patrol duty.

The potential available hours for each officer are three hundred sixty-five days a year of twelve-hour tours of duty, or 4,380 hours (365 x 12). From department records, an average figure is determined for each factor specified in the preceding paragraph. The total of these averages will show the average time in a year that each officer is unavailable for duty. This is subtracted from 4,380 hours to give the hours actually available. The hours available are divided into 4,380 hours and the quotient is the assignment/availability factor. Multiplying the number of posts needed by this factor will determine the number of officers necessary to staff the required posts.

Applying the formula to Carthage

The following data come from the Village of Carthage Police Department.

Factor	Number of Days	x 12 = Staff Hours
Regular Days Off	182.00	2184.00
Vacation	16.60	199.20
Sick/Injury	6.37	76.44
Holidays	10.00	120.00
Personal Leave	3.00	36.00
Training	7.00	84.00
Total	224.97	2699.64

The resulting figure represents the average number of hours that an officer is unavailable for duty each year. If this number is subtracted from the basic staff year of 4,380 staff hours (365 days x 12 hours) the difference would represent the total hours that an officer is available for duty.

Hours in Staff Year	Average Hours Off	Hours Available
4,380	-2699.64	1680.36

The 4,380 hours in a staff-year are then divided by the hours available to calculate the assignment/availability factor. This factor will be used to determine the total number of personnel needed to fill patrol posts which are required by the workload of the agency.

Total Hours in Staff Year) Hours Available	= Assignment / Availability Factor
4,380)1680.36	2.60

The calculations indicate that it would require **2.60** sworn personnel to fill each of the patrol posts determined previously.

The following chart combines the **2.60** assignment/availability factor with the number of patrol posts required using a thirty minute preliminary investigation time.

Shift	Posts Required	x Availability Factor	= Number of Sworn Officers	Actual Number Of Officers Needed
6am to 6pm	2	2.60	5.20	5
6pm to 6am	2	2.60	5.20	5

Adjusted, this amounts to **ten** full-time uniformed personnel required to respond to calls for service in the Village of Carthage. This figure includes the chief of police, since the chief also responds to calls for service. This would be

the recommended number of uniformed police officers to staff the Village of Carthage Police Department to respond to calls for service.

Presently, the Village of Carthage Police Department has a total of seven full-time sworn officers including the chief (and including the one present vacancy), or three less than the minimum of ten that DCJS's staffing calculations suggest.

Although this represents an increase, it's important to note that our staffing recommendation of ten officers provides for two posts, twenty-four-hours a day, seven days a week coverage. With ten officers, the department would not have to utilize part-time officers on a regular basis to fill in the gaps. With ten officers, there also would be two officers on duty even when the chief is scheduled off. As mentioned earlier, there is only one officer on duty on the days when the chief is scheduled off.

Accordingly, if DCJS were conducting a separate staffing study for the Village of Carthage, we would recommend that the Village hire three new police officers, and that the present vacancy be filled.

Staffing the Village of West Carthage Police Department

As mentioned previously, we are unable to apply the staffing formula to the Village of West Carthage Police Department, due to a lack of sufficient data (there were a total of 191 complaints handled by the department, and 198 traffic tickets issued), and the fact that all of the officers employed by West Carthage are part-time.

The Village currently employs a large enough pool of part-time officers to continue deploying random patrols as it presently does. If the Village chose to increase its police departments hours to full-time, an average availability factor can be applied to determine the minimum number of officers needed to staff each shift desired. Based upon DCJS's experience in conducting staffing studies, the average officer availability factor is 1.85. This is based on eight hour shifts. Carthage's availability factor of 2.60 is higher due to twelve-hour shifts. If West Carthage wanted to deploy a patrol for an eight hour shift, it would require 1.85 officers, rounded up to two, to staff that shift seven days a week, 365 days a year. Two shifts would require 3.70, rounded up to 4 officers; and three shifts would require 5.55, rounded up to six officers.

If West Carthage desired to increase its patrols to twelve hour shifts similar to Carthage, Carthage's 2.60 availability factor could be applied, since the factors which make officers unavailable in Carthage's instance are within the averages.

Staffing a Consolidated Police Department

Based on the amount of activity presently handled by both the Carthage and West Carthage Police Departments, DCJS believes that both Villages could be adequately covered by two posts on each shift. Adding West Carthages' activity to Carthages' and applying it to the formula still suggests that one post is adequate to handle even the combined workload. However, if a consolidation occurred and the police presence in West Carthage increased, the activity in West Carthage should be expected to increase. Increased dependency on the police department for service, calls being made by residents to their own village police instead of the State Police or Sheriff's Department, and increased proactive policing opportunity for officers would be among the factors which would contribute to an increased workload.

DCJS believes that both villages could be adequately patrolled twenty-four-hours a day, seven days a week, by two patrols on each of the twelve hour shifts presently utilized by Carthage. These patrols could be staffed by a total of ten officers, as recommended in the staffing calculations for Carthage. One patrol would be responsible for Carthage, and one patrol would be responsible for West Carthage. In emergency situations, the second patrol would always be available to provide backup to the other in either village.

From an actual workload standpoint, consolidation appears to be appropriate. Carthage currently deploys more patrols than the workload indicates is necessary. Consolidating police services would make efficient use of the officers time without placing excessive demands on the officers, and it would still leave the amount of uncommitted time necessary for effective policing. This is true even with anticipating increased activity in West Carthage.

Accordingly, if consolidation occurred, DCJS would recommend that a total of ten officers be employed by a consolidated department.

Part-time Police Officers

The Village of Carthage presently employs five part-time police officers, four of whom are utilized on a regular basis, and the Village of West Carthage employs seven part-time officers.

If both villages chose to consolidate their police departments, part-time police officers could continue to be utilized on a regular basis to supplement the full-time force, thus reducing or eliminating the need to hire new full-time officers. Even if the full-time force was brought up to the level of ten as our staffing calculations suggest, a pool of part-time officers could be retained to supplement the department when needed (special events, etc.). This would not necessarily create any additional expense, since part-time officers are only paid when they are called in.

VIII. Dispatching

Currently, dispatching of police calls for the Village of West Carthage is performed by the New York State Police and the Jefferson County Sheriff's Department.

Dispatching for the Carthage Police Department is performed part-time by a dispatcher who is employed by the department twenty hours a week, and by Carthage Fire Department drivers the remaining time. As pointed out earlier in this report, dispatching is unmanned if a fire driver is called out on a fire call.

DCJS believes this is an unacceptable practice. Even if a consolidation or sharing of police services does not occur between the Villages of Carthage and West Carthage, we believe that alternative means of ensuring adequate dispatch coverage for Carthage should be sought. We would encourage officials to seek assistance from the New York State Police or the Jefferson County Sheriff's Department. If it is not feasible for either of these agencies to provide dispatch assistance, then the Village of Carthage should consider employing dispatchers around-the-clock who would be committed to answering police calls and dispatching patrols, and would not leave their post under any circumstances. In all probability, these dispatchers will handle fire calls as well.

A twenty-four-hour a day dispatch center would probably require five full-time dispatchers. We arrived at this figure by applying the staffing formula utilized for determining patrol staffing. A twenty-four-hour a day operation requires three posts (shifts). We utilized a 1.65 availability factor for dispatchers, multiplied by the three posts. The result is 4.95, rounded up to five full-time dispatchers required. The availability factor for civilian dispatchers usually is lower than police officers, given differences in benefits, average time dedicated to training, and other factors which render an individual unavailable.

IX. Consolidation Costs

If a consolidation occurred, and a patrol post was established in each village around-the-clock, the total cost of the operation would not be much higher than the total combined cost that the villages currently pay. We recommend a total of ten full-time officers to staff a consolidated department, or the equivalent of full-time and part-time officers. The Carthage Police Department currently has seven full-time positions, and allocates additional funds for part-time officers on a regular basis. The West Carthage Police Department expends an annual amount on part-time officers that approximately equates to the annual salary of a full-time officer. Combined, there is close to the equivalent of ten full-time officers being funded.

The Carthage Police Department currently maintains three patrol vehicles, and the West Carthage Police Department maintains two, for a combined total of five vehicles. A consolidated department could reduce the number of vehicles needed to three or four.

A consolidated department would reduce the total office operating costs. We do not believe it would be necessary to maintain separate offices in each village. It appears to us that Carthage's facilities would be adequate to house a consolidated department. Thus, the office presently maintained by West Carthage could be closed or utilized for other purposes. Incidentals such as heat, electricity, and telephone would be saved.

There could be some apprehension in West Carthage about the police headquarters being moved to Carthage. Realistically, however, we see no advantage to maintaining an office there if a consolidation occurred. The headquarters is not situated to encourage regular walk-in complaints, and even if an occasional walk-in occurred, the officer would in all probability be out on patrol. There may be a loss in a sense of security by some nearby residents who like having a police facility nearby. This is understandable and somewhat common in communities, but often the sense of security is a false one. If the officer is on patrol as he or she should be, there is no one at the station, and the patrol could be at the furthest reach of the jurisdiction, or in front of the

resident's house at the time of need. Being on patrol almost always ensures the fastest response time.

Despite the fact that costs of a consolidated department might be near the present combined cost of separate departments, there obviously would have to be an adjustment in the share that is paid by West Carthage. Presently, West Carthage's police budget is small. The level of service that the residents of West Carthage receive is commensurate with the budget.

If a full consolidation occurred, and a patrol post was created in West Carthage, it would seem logical that the costs of operating the consolidated department be shared. That would represent a substantial increase in the police budget for residents of West Carthage. Officials and residents will have to weigh the benefits against the costs. Other less costly options could be explored. The village of West Carthage could enter into a contract for services on an as-needed basis, and reimburse Carthage based upon the number of calls for service. Once West Carthage and Carthage have decided what level of shared services, if any, they desire, DCJS will provide additional assistance as requested. We can provide sample contracts, as well as contacts for municipalities that have explored shared police services and entered into agreements for same.

X. Rules and Regulations

As part of our study, we did a cursory review of the rules and regulations of both departments. (Appendices R &S). The importance of adequate written policy cannot be overly stressed. The lack of policy, or policies that are inadequate can lead to a myriad of problems, including exposure to civil liability.

We did not subject either department's rules and regulations to close scrutiny. Our cursory review did, however, identify some areas that need to be addressed.

With the permission of Police Chief George Longworth of the Village of Dobbs Ferry Police Department, we have included in the appendices a copy of his department's rules, regulations and policies (Appendix T). The Dobbs Ferry Police Department is a New York State Accredited Agency. We are providing this information as an example of a more complete policy manual, to give Carthage and West Carthage officials an idea of the type of issues that should be addressed in a manual. Hopefully, this manual will provide a foundation on which the Carthage and West Carthage Police Departments, or a consolidated department, can build. DCJS stresses that neither DCJS or Chief Longworth purports this example to be all inclusive, nor do we know if all of the policies would fit Carthage's or West Carthage's needs in all instances. DCJS legal staff have not reviewed the material contained in this manual. Any policies established by the Carthage or West Carthage Police Department, especially those which might in any way create exposure to civil liability, should be reviewed by village attorney(s) prior to implementation.

Dobbs Ferry rules and regulations is just one example. DCJS has many others on file and can further assist Carthage and West Carthage upon request.

XI. Benefits of Consolidation

DCJS believes that there would be benefits to both municipalities if a consolidation of police services occurred.

The costs of operating a fully consolidated department would be shared, which would relieve some of the present burden on Carthage.

West Carthage would receive police protection twenty-four-hours a day, seven days a week, and be ensured of a quick police response time whenever it may be needed. Both departments would have a backup available and close by.

The administration of the West Carthage department would be enhanced, since the chief would be full-time and permitted to focus his attention on administrative matters that are important. This is not to say that the present department is not well administered. We are suggesting that a full-time commitment to administration can only enhance what is already in place. Issues such as training would be greatly enhanced. Consequently, exposure to civil liability would be reduced.

Operating costs could probably be reduced. Less vehicles would be required, and only one headquarters facility would be necessary, thereby eliminating costs incidental to operating a police station.

From a geographical standpoint, consolidation of both departments appears to be manageable.

DCJS believes that the benefits of consolidation of police services between the Villages of Carthage and West Carthage are substantial enough to warrant serious consideration by both communities.

XII. Conclusion

From DCJS's perspective, consolidation of the Village of Carthage Police Department and the Village of West Carthage Police Department is logical.

Residents of both villages would benefit from a consolidated department. The level of service and the effectiveness of policing in both jurisdictions would be enhanced.

Logistically, there are no apparent obstacles to consolidation. Consolidation is appropriate and manageable in an administrative and geographical sense; both departments would benefit from the sharing of equipment; manpower would be more effectively utilized; among other benefits.

Officials reading the report should be aware that the recommendations made herein are professional opinions on our part. We do not purport to understand all the intricacies involved in the administration of the Carthage and West Carthage Police Departments, and we are not familiar with the abilities of individual officers. Officials should also be aware that staffing analysis is not an exact science. Our judgements and subsequent recommendations are based on generally accepted principles, and these principles have been supported by numerous research and practical analysis over the years. We nevertheless believe that this report provides a sound basis for discussion at the local level.

DCJS staff is available at any time to further assist the Villages of Carthage and West Carthage in this effort.

Management Report on Highways and Streets

for

Villages of Carthage and West Carthage Management Study

March, 1999

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Carthage/West Carthage Management Report for Highways & Streets

Mission Statement for Carthage/West Carthage Management Study: To analyze, study, and remove, if necessary, organizational and administrative barriers to economic growth, and fiscal stability that might exist in and between the Villages of Carthage and West Carthage. And, to identify opportunities for cooperation which could enhance the quality of life, and improve service delivery in our communities.

Inventory Overview

Baseline data on highway services was collected for the Villages of Carthage and West Carthage and the Towns of Champion and Wilna in the following areas:

Infrastructure Summary: State, county, town and village highway mileage figures (page 6).

Fiscal Summary: Street and highway expenditures per mile in the four municipalities (pages 7-9), and an analysis of overlapping property taxes for town highway purposes (pages 9-11).

Building and Facility Summary: The age of facilities and improvement plans for the municipal garage, fuel storage facilities, and salt/sand storage of all four municipalities (pages 11-12).

Service Delivery Summary: Current winter and summer highway maintenance service characteristics for all four municipalities (pages 12-16).

Equipment Summary: A list of the “rolling stock” equipment for the Villages of Carthage and West Carthage and the Towns of Champion and Wilna (Appendix pages 21-22) and a discussion of equipment sharing (page 16-17).

Manpower Summary: The count and average wage of employees in various personnel categories for Carthage, West Carthage, Champion and Wilna, and comparative statistics with another current study. The number of miles of road per highway employee is also calculated for each of the four municipalities (pages 17-19).

Recommended Action Plan

This section of the report contains a series of recommendations. The recommendations are broken into three groups: short term actions (1-2 years), longer term actions (3-6 years), and Striking Moments to be taken advantage of in the future. The background data and analysis for this report do not lead to recommendations for consolidation of highway departments. As a result, all of the recommended actions involve cooperative changes that assume the continuation of all four highway/public works departments.

Short Term Actions – (1-2 years)

1. Initiate Pavement Management Systems/Plans for Carthage and West Carthage.

A Pavement Management System (PMS) will assist in determining existing road conditions, prioritizing repair and improvement strategies and establish a system for monitoring overall street condition. Superintendents in both villages maintain an informal “list” of street paving and rebuilding priorities yet both expressed concern about deterioration in the village road network. Current funding for street maintenance and repair appears to be at an adequate level for investment to take place to improve conditions overtime. Instituting a PMS will help reorient funding and improve investment within current budget levels.

The implementation of a local pavement management system to prioritize repairs and investments and monitor conditions will help to turn the corner in improving local road conditions. This can be instituted through an internship program that is managed by the Cornell Local Roads Program. This program coordinates the placement of summer interns in the highway department to help the local superintendent work through all major phases in implementing a computerized and updated Pavement Management System. (pages 15-16)

2. Convene a meeting with NYSDOT staff to explore “mill and pave” options.

Superintendents from both villages expressed concern about the growing height of pavement surfaces from continuous repaving of village streets. One of a variety of options for milling and repaving village streets should be explored. The Regional Maintenance engineer from the DOT regional office in Watertown and the resident engineer in the Lewis County office offered to involve DOT engineering staff to help the villages develop a plan or strategy for developing a mill and pave program to improve overall street and drainage conditions. The options for the two villages could include a potential role for town participation (e.g. materials hauling etc.). (pages 15-16)

The output of this meeting should be: (1) To determine the financial feasibility of a mill and pave program for the two villages and, if feasible (2) A tentative plan for initiating a regular mill and pave program for both villages. A plan should outline the role of outside contractors, town and village crews and a target for the volume of work to be accomplished each year. This activity will work in tandem with the initiation of a PMS system for each village street network. A clear commitment to these two activities is an important component for maintaining the infrastructure needed for the area’s continued

economic viability and attractiveness. Existing base problems on village streets should also be factored into a long-term plan for maintaining adequate street infrastructure. NYSDOT could also be consulted regarding rebuild strategies.

3. *Initiate Plan for Changes in Town Tax Policy for Highway Equipment and Snow Removal.* In a number of other communities the practice of including town machinery and snow removal expenses in the town wide fund has proven to be an impediment to further cooperation between town and village governments. It is an impediment because this practice works against the “benefit principle” which links the payment of public revenues to beneficiaries of service. The Administrative Functional Group has recommended the formation of an Intergovernmental Relations Council. The movement of expenses for town equipment and snow removal from townwide to town outside village payment should be on the list of first items taken up by the Council if it is created. This would provide both a real and a symbolic initiative that would further cooperation among the four governments and reduce tax burdens for village residents (see pages 7-9).

Policy changes regarding the adjustment of town tax policy should be pursued cautiously. It is important that all parties agree to tax adjustments, and that the benefits of existing cooperation between highway departments not be needlessly jeopardized. However, a phased adjustment in townwide tax rates on village residents for equipment and snow removal appears to be in order. A *phased* adjustment in these rates would minimize the budget impact on town outside village taxpayers.

4. *Sharing Equipment Replacement Plans.* A list of major “rolling stock” equipment in the four municipalities was compiled and included in the Appendix to this report. A timed equipment replacement plan (like the Town of Wilna’s, also included in the Appendix) should be developed by each of the four municipalities and shared with each other. In other communities the simple step of developing a tentative plan and sharing it with other local official has resulted in joint equipment purchases or a single municipal purchase and sharing or swapping arrangements. This sharing of plans should be done by operating personnel with participation or review by governing board members (e.g. mayors, supervisors, trustees or town council members).

5. *Clarifying Jefferson County Shared Services Arrangements Within the Region.* Officials from the Towns of Champion and Wilna expressed concern over the current county highway regional “shared services” initiative. These officials expressed concern over whether county highway department staff was adequately utilizing town equipment within the region. A general review of the county highway department’s intentions and plans under the “shared services” arrangement should be conducted. This could be accomplished through a meeting of county highway department officials with town supervisors and highway superintendents in the region.

Longer Term Actions - (3 to 6 years)

- 1. *Implement and update multi-year street investment plans.*** Based on short-term items 1. and 2., above, continue annually updating and implementing a comprehensive Pavement Management System and street investment program. Implementation would include making the identified street investments and reprioritizing expenditures to increase capital and reduce personnel in the mix of local spending. This ongoing investment, including the “mill and pave,” will maintain this key infrastructure area and enhance the economic attractiveness of the community.
- 2. *Explore opportunities for a joint, street cleaning program.*** Both villages have recent or newly acquired street cleaning equipment. Within a few years the two villages should examine the potential for a shared street cleaning program and/or a larger shared piece of street cleaning equipment.
- 3. *Improve Service Based Expenditure Accounting.*** Attempts to assess service based costs and alternative service arrangements requires accurate cost figures for comparison. Municipalities generally do not maintain expenditure records that easily permit the calculation of the cost of particular services. If the two villages want to explore further service based cost savings in the future it will be important that policy makers can determine with some accuracy how much specific service components cost under existing arrangements. Based on review of the current budgets, it appears that costs for other municipal activities by the public works department may be aggregated under headings for street maintenance and repair. If this is the case, investment needs to be made to more carefully separating the cost reporting of particular service activities for future decisionmaking about service changes (e.g. contracting out, service consolidation, etc.).
- 4. *Implement town tax policy changes for equipment and snow removal on town roads.***
- 5. *Personnel Levels.*** The data in this report does not indicate that either of the villages have excessive personnel levels. However, in the medium term (3-6 years) officials should carefully consider the overall staffing level in comparison with other municipalities (as additional comparable information becomes available). Staff vacancies or retirements would provide an opportune time to look at public works staffing patterns in comparable communities. (pages 17-19)

Striking Moments

The proposed Intergovernmental Relations Council should annually or periodically review plans by the participating municipalities to upgrade or replace existing facilities. The facilities information collected in this report did not indicate any current plans by the four municipalities to construct new primary garage facilities, fuel storage, or salt/sand storage. Any future plans for such facilities should be discussed among the governments in the Council so that potential joint use and location possibilities can be explored. At that point, in the future, the potential saving of a joint facility could be compared with the increased deployment costs of a single a facility in serving local residents.

Inventory of Baseline Data

on

Highways and Streets

for

Villages of Carthage/West Carthage Management Study

Introduction

The purpose of this report is twofold. First, to develop an overview of highway services and capacity in the four involved municipalities (two villages and two towns). Second, a short list of potential operational changes and policy options have been developed as a part of the overview (See Recommendations, above). The recommendations were modified as a part of the advisory group's review of the management report.

Methods and Procedure

Information was gathered from a variety of sources in compiling this report. Existing secondary data was obtained from the Office of the State Comptroller's Bureau of Municipal Research, the State Department of Transportation, and the Jefferson County Highway Department. Budgets were obtained for each of the four municipalities for the 1998 or 1998/99 fiscal year. Basic information from these sources for finances, personnel, equipment, and road infrastructure were reviewed and verified with town highway superintendents and village public works officials. This review was part of an in-depth interview conducted with town and village highway personnel during the month of December 1998. The Mayor of West Carthage, the President of the Village of Carthage and the supervisor of the Town of Champion were interviewed as well. The resulting information for the four municipality's is summarized in the sections below.

Infrastructure Summary

There are 156 centerline miles of road in the towns of Champion and Wilna. About one quarter of the total is state owned mileage (37 miles). Twenty percent (33 miles) of the total is county road mileage within the two towns. The two towns and villages own 55% (86 miles) of the total mileage. The two villages contain a total of 17.6 miles, which represents about eleven percent of the total mileage in the two towns. The towns of Champion and Wilna own 44% (68 miles) of total road mileage in the two towns. Only 8% of the mileage in the two towns is unpaved (gravel or soil surface).

Table 1: 1997 Highway Mileage

For the Villages of Carthage and West Carthage,
the Towns of Champion and Wilna and Jefferson County

	Population 1990*	Town or Village			Town or Village	Jefferson County Mileage	Total Local	DOT Owned	Grand Total
		Paved	Unpaved	(%)	Total				
Towns									
Champion*	2,408	37.5	4.8	11%	42.3	15.8	58.1	18.6	76.7
Wilna*	2,555	25.0	1.2	5%	26.2	17.5	43.7	12.4	56.1
Town Total	4,963	62.5	6.0	9%	68.5	33.3	101.8	31.0	132.8
Villages									
Carthage	4,344	10.4	0.2	2%	10.6	-	10.6	3.7	14.3
West Carthage	2,166	6.2	0.6	10%	6.8	-	6.8	2.4	9.2
Village Total	6,510	16.7	0.8	5%	17.4	-	17.4	6.1	23.5
Village & Town Total	11,473	79.2	6.8	8%	85.9	33.3	119.2	37.1	156.3
County Total	110,943				1,180.4	556.8	1,737.3	408.4	2,145.7

* Note: The population figures listed for towns represent town outside village population. Total townwide population is reflected in the "Village & Town Total." To avoid complicating this table, the Wilna population is "Town Outside Carthage." Population figures for the other two villages in Wilna are included the 2,555 figure.

Source: New York State Department of Transportation, Bureau of Planning and Data Services. 1997 Highway Mileage Report Database. This data is based on an annual report filed by local municipalities.

Fiscal Summary

Streets and Highway Expenditures

Expenditures per mile of municipal road can be compared with at least one established benchmark. Dr. Lynne Irwin of Cornell University's Local Roads Program published total per mile costs or expenditures needed to be able to "hold your own" for local roads in New York State. These figures are included in Table 2 below. Spending at or near Irwin's suggested levels is needed to permit local government to keep the overall condition of roads at a fairly constant quality, neither getting better nor worse. Irwin's benchmarks were developed by operating highway staff and confirmed through a series of comparisons with other local highway officials.

Table 2: Benchmarks for Annual Highway Budget Spending - Per Mile of Road**

	1 All Roads Paved	2 Up to 50% Paved
Rural Town or County	\$12,500	\$10,000*
Suburban Town or County; Small Suburban Village	\$18,000	---
Large Urban Village	\$25,000	---

*Assuming low volumes of traffic on the unpaved roads

** Source: Irwin, Lynne H. 1992. Don't Expect Miracles. *Nuggets and Nibbles*. Ithaca, NY: Cornell Local Roads Program. Volume XI, Number 4. Pages 2,11.

A three-year average, 1995-97, of municipal expenditures was used to assess the fiscal characteristics for the four communities. The average figures are used for comparison to reduce the potential for an unusual, or one-time revenue or expenditure from influencing the cost figure that is presented for any particular local government. The information on local revenues and expenditures were taken from the New York Office of the State Comptroller's Local Government Database. This data is summarized from the financial reports submitted annually by municipalities to the state comptroller's office.

The benchmark figures in Table 2 can be compared with average cost figures in Table 3 for the Towns of Wilna and Champion and the Villages of Carthage and West Carthage. "Expenditures Per Mile of Road" were calculated by first subtracting off the "Revenues From other Governments" for contractual highway work on other than municipal roads (state, county and other municipal work). State Chips allocations were not included in this category of revenues. (e.g., Chips allocations are not deducted from total highway expenditures).

Expenditures per mile for the Towns of Champion and Wilna should be compared with the benchmark figure of \$12,500, for rural towns in the “All Roads Paved” category (Column 1). The Towns of Champion and Wilna spends \$10,807 and \$14,749 per mile, respectively. These figures indicate that the Town of Champion is spending below the level necessary to be able to maintain the town road network at the current level of condition overtime. Wilna, in contrast, is spending above the benchmark, at a level that should permit improvement in the condition of town roads overtime.

Expenditures per mile of street for the Villages of Carthage and West Carthage, should be compared with the benchmark figure of \$18,000 per mile (Column 1, Small Suburban Village). The Villages of Carthage and West Carthage spend \$36,305 and \$32,313 per mile respectively. Both villages are spending at a rate significantly higher than the benchmark that should permit substantial improvement in the condition of village streets and streetscapes overtime.

Table 3: Total Highway Expenditures and Expenditures Per Mile

Three-year Average Figures, Municipal Fiscal Years ending in 1995-97
For the Villages of Carthage and West Carthage,
And the Towns of Champion and Wilna

	Miles of Municipal Road or Street	Total Highway Expenditures*	Revenues from Other Governments	Expenditures per Mile of Municipal Road/Street**
Towns				
Champion	42.3	602,453	145,324	10,807
Wilna	26.2	515,047	128,614	14,749
Villages				
Carthage	10.6	416,181	31,353	36,305
West Carthage	6.8	225,087	5,358	32,313

*Note: Expenditures for the following service or account categories were included in Total Highway Expenditures: Traffic Control (signage and striping), Highway Administration, Maintenance of Roads, Snow Removal, Storm Sewers, Sidewalks, Street Cleaning, Shade Trees.

**Note: “Expenditures per Mile of Municipal Road/Street” was calculated by subtracting “Revenues from Other Governments” from “Total Highway Expenditures” and dividing by “Miles of Municipal Road or Street.”

Source: Road mileage figures are taken from Table 1, above. Expenditure and Revenue amounts are from the State Comptroller’s Database of Municipal Financial Information. The data for this project was obtained from Laird Petrie of the Comptroller’s Syracuse Regional Office.

At least two factors could lead to village expenditures per mile that are well above the benchmark. First, while three-year average figures reduce the potential that an individual municipality would be misrepresented for unusual revenues or expenditures in a single year, they do not control for differences in investment over the period. If one of the villages had embarked on a strenuous equipment replacement program or street improvement program over these three years, the heightened investment could be a significant factor in explaining higher costs relative to similar municipalities. Second, these higher expenditure rates could reflect internal

accounting practices that are allocating costs that represent or belong to other services to accounts associated with street maintenance and repair.

Property Taxes for Town Highway Purposes

Any discussion of potential town and village highway cooperation must examine the current practice of town taxation of village property. In the absence of other goals and circumstances, taxing practices should, to the extent possible, be aligned with the “benefit principle.” The benefit principle is a simple concept: those who benefit from a service should pay for the service. A good example is a user fee like per gallon water rates. User fees can make a direct link between payment and benefit. Services paid for largely by general tax sources have a less direct linkage between benefit and payment. Some adjustment in town highway taxes for machinery and winter road maintenance may improve compliance with the benefit principle.

Highway Law Section 141 divides the town highway budget into four specific “items.” Two of these items cover the purchase, repair, and custody of highway machinery (Item 3) and the cost of snow removal and several miscellaneous purposes (Item 4). Section 277 states that these two items are townwide charges unless the town board votes to exempt village property from taxation for them. Town budgeting practices on items 3&4 vary significantly. The Towns of Champion and Wilna budget monies for machinery purchase and repair (item 3) and snow removal (item 4) in the townwide highway fund (DA). As a result taxpayers in the Villages of Carthage and West Carthage pay for town highway equipment and winter snow removal on town roads. All four of the effected governments acknowledged that they benefit from equipment sharing between the towns and villages. The extent to which this sharing would justify village taxpayer subsidy of town equipment and snow removal is not clear.

The village government is the major provider of snow removal services in both Carthage and West Carthage. Both Champion and Wilna do provide some special assistance to the villages in winter road maintenance. Still the villages are the primary, snow removal agents. In many other communities, where snow removal is included in the townwide budget, the town highway department does most snow removal within villages in the town. Table 4 below helps portray the significance of the Item 3 and Item 4 taxing arrangements in the four affected municipalities.

Table 4: Tax Rates for Town Highway Machinery and Snow Removal Expenses
 1998 Actual Tax Burdens and Estimates of Adjusted Burdens for the Towns of Champion and Wilna and the Villages of Carthage and West Carthage

	Town of Champion		Town of Wilna	
	Townwide Fund (DA)	Town-Outside Fund (DB)	Townwide Fund (DA)	Town-Outside Fund (DB)
Tax Rate Calculations – 1998 Actual Budget				
Total Expenditures	369,050	243,000	377,000	241,500
Total Other Revenues	212,700	198,000	105,500	161,500
Unexpended Fund Balance	2,000	45,000	118,500	80,000
Amount To be Raised by Tax	154,350	-	153,000	-
Taxable Assessed Valuation	90,060,521	58,729,300	133,855,755	49,663,909
Tax Rate Per \$1,000 of Assessed Valuation	1.71	-	1.14	-

Items Aggregated in Town-Outside Fund for Revised Tax Rate Calculations

Sales Tax	47,700	136,000		78,000
Revenues from Other Governments	80,000	20,000	47,500	50,000
Rental of Equipment	80,000		47,500	
Chips		40,000		30,000
Appropriations for Machinery (Item 3)	89,840	-	137,290	-
Appropriations for Snow Removal (Item4)	146,720	-	130,120	-
Appropriations for Services to Other Govts.	44,000		37,000	

Tax Rate Calculations - 1998 After Moving all Machinery and Snow Removal to Town Outside Village Only

Total Expenditures	88,490	523,560	72,590	545,910
Total Other Revenues	5,000	405,700	10,500	256,500
Unexpended Fund Balance	2,000	45,000	118,500	80,000
Amount To be Raised by Tax	81,490	72,860	(56,410)	209,410
Taxable Assessed Valuation	90,060,521	58,729,300	133,855,755	49,663,909
Tax Rate Per \$1,000 of Assessed Valuation	0.90	1.24	0.00	4.22
Estimated Tax Savings -Village Tax Payers	West Carthage \$ 25,347		Carthage \$ 96,151	

Source: “1998 Actual” figures were taken from the 1998 Annual Budgets of Champion and Wilna. “1998 After Moving all Machinery and Snow Removal to Town Outside Village Only” figures are based on calculations made by the author, using the “1998 Actual” figures as a base.

* Note: The figures in this column included budgeted personnel, contractual, and equipment & capital outlay plus an estimated allocation of fringe benefits (a fringe benefit rate of 25% was used).

If all expenses for town highway equipment and snow removal were moved to the town-outside-village or part-town highway fund, in both the Towns of Champion and Wilna, the townwide tax rate for village tax payers would drop significantly. The townwide highway tax would drop in the Village of West Carthage from \$1.71 per thousand dollars of assessed valuation to \$.90 per thousand. In the Village of Carthage the townwide, highway tax would drop from \$1.41 per thousand dollars of assessed valuation to \$0.00 per thousand.

Policy changes regarding the adjustment of town taxation should be pursued cautiously. It is important that all parties agree to tax adjustments, and that the benefits of existing cooperation between highway departments not be needlessly jeopardized. However, a phased adjustment in townwide tax rates on village residents for equipment and snow removal may be in order.

Building and Facility Summary

Information was collected about the existing municipal garage, fuel storage and salt/sand storage facilities through the interviews with town highway superintendents and village public works officials. This information was collected to help identify where current facilities are located and future needs and plans for new investment. This was done to identify the potential for future joint facility location and planning. Table 5 contains a summary of this information.

Municipal Garage

The age of garage facilities varies from 4 years in the Village of Carthage to 56 years in the Village of West Carthage. The Village of West Carthage facility has been updated and remodeled, and the Village of Carthage facility is a recent addition to a much older facility that was updated and is used partially as a repair shop. The Town of Wilna was the only municipality that indicated any near term intentions to upgrade garage facilities. The four superintendents felt that their highway garages were located in a good or optimal location for serving the existing municipal road network. The four highway and public works superintendents did not believe that building a joint facility with another local municipality would be an efficient investment. Given their current locations, superintendents believed that moving to a joint, highway/public works garage would require increased travel time for servicing their existing road network.

Fuel Storage

All four municipalities have on-site fuel facilities that have been upgraded, at least in part, in the last 10 years. Table 5 indicates the approximate year that town owned fuel facilities were installed.

Table 5: Location, Age, and Plans for Facilities
 In the Villages of Carthage and West Carthage
 And the Towns of Champion and Wilna

Facility Age, Replacement Plans, Timing	Town of Champion	Town of Wilna	Village of Carthage	Village of West Carthage
Municipal Garage				
Year Built	1974	1980	1995, 1930s	1943
Approximate Age of Main Bldg.	25	19	4	56
Building or Renovation Plans	No	No	No	No
Timing				
Additional Buildings on-site		Planned*	Yes (1930)	Yes(1973**)
Fuel Storage				
Year Built	1995	1990	1979,1989***	1988
Plans to Construct or Renovate	No	No	No	No
Timing				
Salt/Sand Storage				
Year Built	No	1993	1970s	Partial
Plans to Construct or Renovate	Yes****	no	no	no

* The Town of Wilna is planning to construct a storage building in the next few years

** The additional structure is an old paper mill reconditioned in 1973

*** The Village of Carthage has above ground fuel facilities that are over 20 year old. The tanks were replaced approximately 10 years ago.

**** No current plans for building a salt storage shed, but the town is pursuing grant funds for salt/sand storage

Salt Storage

Three of the four municipalities have a salt/sand storage facility. Only the Town of Champion does not have such a facility. Officials from the Town of Champion believe that the next facility needed is a salt/sand storage facility. Champion officials are currently looking to identify and secure grant funds to build a salt/sand storage facility.

Service Delivery Summary

Highway Departments in the Towns of Champion and Wilna are already well integrated in the provision of road maintenance services. The Champion and Wilna Highway Departments provide winter road maintenance, under contract, on state and county roads. Both towns also contract to do summer mowing on Jefferson County highways within their borders.

Table 6 contains a summary of highway service characteristics for the Villages of Carthage and West Carthage and the Towns of Champion and Wilna. The figures in Table 6 are based on information from interviews with town and village superintendents. In many cases, these officials were estimating their approximate output. In some cases their estimate was given as a range and the midpoint of the range was used for the table. Within particular service categories (e.g. paving) there are important differences in the service provided by the various departments. For example, both villages and the Town of Wilna use hot mix paving applications, while the Town of Champion uses cold mix. For the three municipalities using hot mix, the thickness of the application courses varies. Each section below summarizes a portion of the service characteristics in Table 6.

Winter Maintenance

Winter road maintenance is a very complex job that requires experience and skill. The complexity is caused by varying storm, road and traffic conditions and makes it difficult to compare the service provided by towns. Table 6 lists some important characteristics of the winter road maintenance provided by the four municipalities. The town and village departments have very similar targets for the completion of morning plow routes during the winter. All departments attempt to have their roads freshly plowed for traffic by 7:30 am, with several departments setting earlier targets. Both commuter and school bus traffic determine these early targets.

There is significant variation in the centerline miles of road plowed by the four municipalities. This difference is caused by variation in the centerline miles of municipally owned roads, and the level of contract work for the county and the state. For example, contract mileage is over 40% of the roads plowed by the two towns and less than 30% for the two villages. Both villages indicated that they had to haul or remove snow on a fairly regular basis.

There are important differences in providing winter maintenance services that are not summarized in Table 6. For example, winter maintenance in villages requires different plowing equipment to accommodate tighter turning radiuses, etc. These and other factors can cause differences in winter maintenance costs per mile.

Summer Maintenance

Highway departments coordinate a variety of tasks in maintaining and upgrading their road network during the spring, summer and early fall. Table 6 contains a short list of summer maintenance characteristics.

Roadside Mowing. The two towns mow roadsides on town owned mileage and county roads.

Ditch Cleaning. All four municipalities reported some level of ditch cleaning work. The percent of municipal mileage reported varies between, five and sixteen percent of municipally owned mileage.

Table 6: Highway Service Profile for the Villages of Carthage and West Carthage and the Towns of Champion and Wilna

Service Characteristics	Town of Champion	Town of Wilna	Village of Carthage	Village of West Carthage
Winter Maintenance				
Morning plow routes completed by (hour- a.m.)	7:30 AM	6:30 AM	7:00 AM	6:00 AM
Snow Plowing (miles)				
Town	30.0	26.2		
County	15.8	10.0		
State	13.6	10.0	3.7	1.0
Village			10.6	7.0
Total	59.4	46.2	14.3	8.0
% Municipal Mileage	51%	57%	74%	87%
Snow Hauling	No	No	Yes	Yes
Summer Maintenance				
Mowing (miles of road)				
Town	42.3	26.2		
County	15.8	17.7		
Total	58.1	44.0	0.0	0.0
Ditch cleaning (miles)	2.0	3.0	1.8	0.5
% Municipal Mileage	5%	11%	16%	7%
Pothole repair (tons of mix)	30.00	100.00	10.00	20.00
Tons of Mix per mi. of road	0.80	4.00	0.94	2.88
Chip Seal (miles)	0.0	3.0	0.0	0.0
% Municipal mileage	0%	12%	0%	0%
Paving (miles)	1.5	2.0	0.8	0.4
% Municipal mileage	4%	8%	7%	6%
Sidewalks (linear feet)			2,000	100
Traffic Control				
Signage (# replaced & new)	12.0	18.0	12.0	20.0
Striping (miles)	0.0	0.0	0.5	0.0
Response to Complaints	Asap	Asap	Asap	Asap

Source: Interviews with the town highway superintendents and village public works officials in the four municipalities.

Pothole Repair. Assuming good practices, excessive pothole repair can be an indication of deteriorating roads and the need for reconstruction or rebuilding of road sections. Two municipalities reported the use of a ton or more of pothole mix per mile of road. This may be an indicator that portions of the road network are in need of reconstruction or rebuilding.

Chip Seals. Chip seals or stone and oil applications are the predominant seal application used by towns in New York State. Champion does not chip seal town roads, while Wilna chip seals about three miles or 12% of the town's paved roads annually. At this level every paved road in Wilna would be sealed about every 8-9 years.

Paving. Both villages and the town of Wilna use a hot mix paving application while the Town of Champion uses a cold mix application. The municipalities vary in their practices regarding the paving applications, in terms of standard courses, thickness and mix composition. Table 6 indicates that the four municipalities pave between 4-8% of their paved centerline road mileage per year. The level of paving in the Town of Champion does not appear to be adequate to maintain the road network's condition over time. By paving roughly 4% of the road network every year, it takes approximately 25 years to rotate through or pave the entire system of paved roads in the town. If we assume a typical pavement life of 15 years, the town is falling behind in pavement application. This is consistent with the benchmark for budget spending discussed earlier. The benchmark indicated that spending in the Town of Champion was below that necessary to maintain the road network in its existing condition. Investment in paving in the other municipalities appears to be at a level that is near adequate to keep pace with pavement deterioration, repaving all roads in a 12 to 16 year cycle.

Despite the level of spending, officials in both villages question whether the current paving program is adequate. In addition, most streets in both villages need milling to lower overall pavement levels, and maintain curb depth and drainage. A significant portion of village mileage may also need base work or replacement. Both villages currently contract out their paving and do prep work for paving "in-house." Paving may be an area for additional cooperation or joint work with the towns. The towns may be able to do trucking for the village paving program. The villages would need to hire a machine and an operator to complete the paving operation. The Village of West Carthage currently pays \$40-41 a ton for paving in place (\$20-21 for asphalt, \$20 for trucking, machine & operator). The regional maintenance engineer from the state Department of Transportation has volunteered staff help to meet with highway staff from the two villages on this issue. His staff could provide advice and help develop a plan for a milling/paving program.

Instituting a local pavement management system in all four municipalities would enable the towns and villages to monitor their progress on road and street conditions over time. The Cornell Local Roads Program (CLRP) provides assistance to help local officials address this important task. CLRP provides assistance and training in: evaluating the local road network, evaluating road improvement alternatives, costing alternatives and software use. The CLRP also assists in supporting summer student interns to help highway departments use microcomputer software to start an ongoing PMS for improved road investment planning.

The implementation of a local PMS in each municipality would provide a framework for multiyear street improvement planning. A local PMS would also provide a guide regarding the adequacy of budget resources for street repair.

Traffic Control & Response to Complaints

Signage & Pavement Striping. All four municipalities reported a regular complement of new and replacement sign work each year. Only the Village of Carthage reported doing regular centerline striping.

Response to Complaints. Public Works staff from all four municipalities attempt to respond to complaints and problems on an “as soon as possible” basis.

Equipment Summary

A list of the “rolling stock” equipment currently owned by the Towns of Champion and Wilna and the Villages of Carthage and West Carthage was compiled and is included in the Appendix to this report. The Town of Wilna has developed a 10-year equipment replacement plan. The Wilna town highway superintendent developed this replacement plan. A copy of the plan is also in the Appendix.

The Town of Champion has experience with the joint ownership of equipment. The Towns of Champion and Rutland have shared in the ownership and use of a wood chipper and a screener (for sorting stone material). The operating personnel in these sharing arrangements have encountered some problems. It is important to specify sharing arrangements and maintenance responsibilities as a part of sharing agreements. This highlights the need to have mechanisms in place to address problems when agreement arrangements are not followed or unforeseen circumstances surface.

One, new equipment sharing arrangement was suggested for the two villages. One of the superintendents suggested that it might be possible share street sweeping equipment. This may require the purchase of a bigger machine to satisfy both communities and run it additional shifts during the spring season of heavy use. No estimation was done to determine potential cost savings from this change. This change would entail additional equipment expenditures. Unless a larger sweeping machine could complete sweeping tasks more quickly there would be no manpower savings. Both villages have a strong demand for street sweeping early in the spring to clear streets from winter buildup. A shared equipment arrangement would have to accommodate this surge of use for spring cleanup.

The four municipalities already share equipment in a variety of ways. The Town of Wilna has a larger complement of heavier equipment and the Village of Carthage has some smaller specialized equipment. The two municipalities share equipment based on these comparative strengths. In the past the Town of Wilna has assisted the Village with snow removal and materials hauling. In big snowstorms the town has assisted the village with snow plowing responsibilities.

The Town of Champion helps the Village of West Carthage clear ice off bridges with scrapers on larger plow trucks. Similarly, the Towns of Champion and Wilna cooperates in a variety of informal ways, like trucking for paving and other material hauling needs.

The two town highway departments, generally speaking, do not currently have equipment that is appropriately sized to fully plow the village street network (smaller single axle dump trucks for tighter turning radius, etc.).

The Champion town supervisor expressed some concern that town-county cooperation may be decreasing in the future. The Town of Wilna experienced this decrease in the current year when it lost two county roads in its new contract with the county highway department. If county cooperation declines the towns will have more resources available to work with villages on a contract basis. If one of the towns took on some additional work for the village (snow plowing, paving, hauling blacktop for paving, etc) some future saving may be possible from reduced equipment needs between the two municipalities (plow trucks, gradall, etc.). Movement in this direction would require the towns to address the tax overlap issues identified earlier in this report. In a number of other locations, townwide taxation for equipment and snow removal has served as a barrier to town-village contracting for highway services.

Manpower Summary

Table 7 summarizes the number of full-time highway employees in Champion, Wilna, Carthage and West Carthage and their wages and salaries for 1998. Both villages have additional public works personnel (e.g. water and sewer employees in particular) that are not included in the table. Supervisory personnel are near the top of the table. The average salary for superintendents in the four municipalities was \$34,180. All four departments have mid-level supervisors or foremen who assist in management and supervision (Supervisor/Foreman). This position does not show up for the Village of Carthage because the two Assistant Superintendents are budgeted entirely in the Water and Sewer areas.

There are 20.3 Motor Equipment Operators, MEOs among the total full-time highway workforce of 31.6 employees across the 4 municipalities. This total includes the four superintendents discussed above. MEOs comprise about two-thirds of the full time work force in these four local governments. Both villages have a mechanic, who services more than highway equipment, while each town uses general personnel (MEOs and laborers) to do equipment maintenance and service. Employees in the villages with the job title of “mechanic,” do other public works tasks when service needs demand it. The Town of Wilna also employs several part-time laborers that serve as wing men for winter road maintenance. The other three departments did not report the use of part-time employees for highway services.

Table 7: Manpower and Salary Survey for the Towns of Champion and Wilna and the Villages of Carthage and West Carthage

Job Title	Town of Champion	Town of Wilna	Village of Carthage**	Village of West Carthage*	Average
Superintendent					
Salary	31,500	35,190	36,730	33,301	34,180
Supervisor/Forman					
Average Wage	11.36	11.87		14.28	12.50
Number (full-time)	1	1		0.3	
Motor Equipment Operator					
Average Wage	10.81	10.83	11.24	10.11	10.82
Number (full-time)	8	6	4	2.3	
Mechanic					
Average Wage			11.67	10.61	
Number (full-time)			1	1	
Laborer					
Average Wage	10.00		10.22		
Number (full-time)	1		2		
Total Full-time Employees	11	8	8	4.6	7.9
Miles of Road Maintained per f.t. employee- winter	5.40	5.78	1.79	1.73	
Miles of Municipally Owned Road Maintained per f.t. employee	3.85	3.28	1.33	1.51	

To the extent possible, personnel that are not involved in highway operations were excluded from the figures in this table.

* Of the six full-time public work employees listed for the Village of West Carthage, two are dedicated primarily (approximately 70%) to the joint water system. As a result only 30% of these two positions are included in the table calculations for highway effort. The remaining employee FTEs (including the superintendent) handle a variety of public works tasks including streets. Other tasks covered by this group include: building and grounds maintenance for village buildings, building maintenance, etc. However all of the balance of salary is budgeted under general street maintenance categories.

** Salary and wages figures for Carthage included longevity payment amounts.

Another recent study of employees in town highway departments in Genesee County showed a significantly lower number of employees on average. The thirteen town highway departments in Genesee County averaged 5 total employees per department, 67 miles of winter road maintenance responsibilities and 35 miles of town owned miles of road (i.e. an average of 32 miles of state and county, etc contract plowing). In comparison, the number of full time highway employees seems relatively high in the Town of Champion and the Town of Wilna. The Town of Champion maintains 60 miles of road during the winter and has 42 miles of town owned road for year round maintenance. The Town of Wilna maintains (plows) 46 miles of road in the winter and has 26 miles of town owned road for year round maintenance.

The Highway Departments in the Town of Wilna and Town of Champion have additional summer maintenance responsibilities because of summer project work on county roads. This is an additional workload that is not handled by Genesee County towns that would warrant additional personnel. Champion's highway superintendent estimates that the town rebuilds one mile of road per year for the county highway department. He also estimates that this work takes about 1.5 months for the total town workforce. Wilna and Champion also may experience more severe winters and higher snow removal demands and costs than Genesee County towns. These and other factors may lead to higher manpower needs for the Towns of Champion and Wilna.

Irwin also notes that most successful highway departments spend about 30 to 35 % of their total budget on labor. The remainder goes for materials, equipment, etc. Sometimes when the highway budget is getting squeezed into doing more with less non-personnel items are cut and personnel are protected. This may lead to an inadequate amount of money to build and maintain roads and the quality of the roads deteriorates. Using three-year average expenditures for 1995-97(see Table 3), about 56% of the Town of Champion's highway expenditures go for personnel (including benefits). Wilna's ratio, at 56%, is identical and it is spending above the Town threshold (\$\$ per mile of road from Table 3). The ratio of personnel to total expenditures is 58% of the Village of Carthage and 67% for the Village of West Carthage. These percent allocations indicate that all four municipalities need to increase their relative spending on non-personnel categories relative to personnel. If we compare these ratios with the comparative figures from Genesee County it appears that personnel spending is high in one or more of these four municipalities.

A "first cut" examination was made of expenditures for employee benefits and of the packages offered for public works/highway personnel. This examination did not point up significant differences in the overall benefit package. A more detailed analysis of specific benefit conditions may uncover key differences in personnel benefits.

Appendix

Equipment Summary

WEST CARTHAGE

Year	Model	Make
1998	Dump Truck-Red	International
1986	Dump Truck-Red	GMC
1980	Dump Truck-Red	GMC
1993	#4700 4X2	International
1995	Pickup	Chevy
1987	F-250 Pickup	Ford
1970	Equipment Van	Chevy
1967	Snow Blower	FWD Snow-Go
1986	Tractor-Loader-Bucket-Mower	Ford
1988	Backhoe & loader	Ford-555B
1989	Leaf Vacuum	Giant-Vac
	Street Roller	Pettibone
1993	Skid Steer Lower/Snow Blower	Bobcat
1993	Loader/Backhoe	Ford
1972	Street Sweeper	Elgin

CARTHAGE

Year	Model	Make
1988	Plow&Spreader	International
1983	w/plow	International
1992	Truck 4X4	Chevy
1993	Dump w/plow	International
1997	Plow Truck	Ford
1989	Crew Cab Pickup	GMC
1992	Pickup w/plow	Chevy
1997	Pickup w/8' plow	Ford
1997	Stack Rack	Ford
1982	w/bucket	Bobcat
1983	Backhoe/Loader	
1986	Backhoe/breaker	
1995	Loader	Case
1989	Street Sweeper	FMC
1987	Paint Striper	

WILNA

Year	Type of Equipment	Model/Manufacturer
1989	Tandem Plow	Mack
1990	Tandem Plow	Mack
1994	Tandem Plow	International
1997	Tandem Plow	International
1987	F-250 Pickup	Ford
1993	F-150 Pickup	Ford
1980	Tandem	International
1984	Tandem	International
1984	Single Axle	International
1987	S.A. Pat. Truck	International
1971	Plow Single Axle	Mack
1979	Plow 4X4	Mack
1988	D-5 Dozer	John Deere
1990	F.E. Loader	John Deere
1957	D-6 Dozer	Cat
1969	Grad-All	G660
1974	Grader	Clarke
1980	F.E. Loader	Clarke
1985	Mower	John Deere
1993	Mower	Case

CHAMPION

Year	Model	Make
1994	Truck 4X4	Chevy
1970	Truck 4X4	Walters
1978	Truck 4X4	Walters
1973	Truck 6X2	Mack
1996	Truck 6X2	Mack
1979	Truck 4X4	Waters
1988	Truck 6X4	Mack
1967	Truck 4X2	Ford
1996	Truck 4X4	Ford
1989	Truck 6X2	Scaina
1995	Truck 6X2	Mack
1978	Grader Self Propel	Austin-Western
1978	Loader Wheel Mt.	Trojan
1993	Loader Wheel Mt.	John Deere
1969	Dozer	Cat D6
1996	Gradall 36"Bucket	G-660
1996	Gradall 37"Bucket	G-660
1996	Gradall w/boom36"	G-660
1996	Gradall w/boom37"	G-660
1978	Roller 2-3 wheel	Galion
1959	Tractor Mower	Ford

**Town of Wilna and Village of West Carthage Housing Authorities
Inventory Assessment for the Carthage/West Carthage
Management Study**

April 5, 1999

INTRODUCTION

The Village of West Carthage Housing Authority (herein referred to as the W.C.H.A.) and the Town of Wilna Housing Authority (herein referred to as the W.H.A.) were established on July 11, 1979 and April 18, 1960 respectively, by NYS Public Housing Law. The Authorities were "...created and established for the [Village of West Carthage/ Town of Wilna] in the County of Jefferson for the accomplishment of any or all of the purposes specified in article eighteen of the constitution of the State of New York. [They] shall constitute a body corporate and politic, be perpetual in duration and consist of five members. [They] shall have the powers and duties now or hereafter conferred by this chapter upon municipal housing authorities. It shall be organized in the manner prescribed by and subject to the provisions of this chapter, and the authority, its members, officers and employees and its operations and activities shall in all respects be governed by the provisions of this chapter."

[Both] Authorities have powers granted to them as stated in Article 3 of the New York State Public Housing Law. Generally, these powers allow the Authorities to "...investigate into living conditions in the municipality and into the means of improving such conditions..." and take the actions necessary for improvement.

INVENTORY

Facilities:

The W.C.H.A. operates three housing projects within the Village of West Carthage.

HUD-West Side Terrace is a 50-unit senior citizen and/or handicapped/disabled housing complex. It consists of 49 one bedroom apartments and 1 two bedroom apartment. This project is 100% subsidized by the U.S. Department of Housing and Urban Development with no minimum rents (Minimum rents are rents established to offset rental unit expenses incurred by the Authority). The complex was occupied in 1984. The construction funds came in the form of a loan from HUD.

Rural Development- William J. Dalton Estates is a 24 unit senior citizen and /or handicapped/disabled housing complex. It consists of 22 one-bedroom apartments and 2 two-bedroom apartments. Minimum rents and market rents both apply. It was occupied in 1986. U.S. Rural Development provided the loan for construction costs. Rent subsidies from DHCR are provided for 12 of the 24 units to people whose income is low

enough. The subsidy provides rent based on 30% of the tenants' income. If the income is not low enough, the tenant must pay the minimum rent.

Rural Development-Grandview Courts is a 24 unit senior citizen and/or handicapped/disabled housing complex. It consists of 22 one bedroom apartments and 2 two bedroom apartments. It was occupied in 1988. U.S. Rural Development provided the loan for construction costs. Rent subsidies are provided by the DHCR on 20 of the 24 units to people whose income is low enough. The subsidy provides rent based on 30% of the tenants income. If the income is not low enough, the tenant must pay the minimum rent.

The W.H.A. operates two facilities located within the Village of Carthage.

Brady Acres, which is a 100 unit family/elderly housing complex, consists of 24 one bedroom units, 30 two bedroom units, 30 three bedroom units, 14 four bedroom units, and 2 five bedroom units. It was occupied in 1964. The construction funds came from the NYS Division of Housing and Community Renewal (DHCR) in the form of a loan. NYS rent subsidies were established by the State based on the project cost and is a set amount. The rent is based on 27% of the tenants' income.

The other housing project operated by the W.H.A. is Long Falls. It is a 100 unit senior citizen/disabled housing complex which consists of 99 one bedroom units and 1 two bedroom unit (for the head of maintenance). It was occupied in 1971. The construction funds came from the U.S. Department of Housing and Urban Development's Annual Contributions Contract (ACC) in the form of a loan. Rent subsidies come from the Annual Contributions Contract as well. The rent is based on 30% of the tenants' income.

Staff:

Both Housing Authorities employ staff necessary to ensure that the dwellings are run and maintained properly.

The W.C.H.A. consists of 4 staff positions. These positions are:

- Executive Director
- Senior Acct. Clerk/Public Housing Manager
- Maintenance Mechanic (Supervisor)
- Maintenance Mechanic

The Authority also participates in the Job Training Program and Summer Youth Program administered by Jefferson County Employment and Training. On average, the Authority has four JTPA participants and four summer youth participants who allow for the execution of its maintenance program.

The W.H.A. consists of 8 permanent positions. These positions are:

- Executive Director
- Senior Account Clerk
- Stenographer
- Building Maintenance Mechanic
- Building Maintenance Mechanic
- Building Maintenance Mechanic
- Maintenance
- Janitorial

Furthermore, they both maintain a provision which allows each Authority to employ such personnel as is deemed necessary to exercise its powers, duties and functions.

Board Of Directors:

Each Housing Authority is required to have a Board as stated in NYS Public Housing Law.

The W.C.H.A. and the W.H.A. both have a Board consisting of 5 members whose duties and responsibilities are laid out in their By-Laws. Both Housing Authorities by-laws also provide for three officers:

- Chairman
- Vice Chairman
- Secretary

By-Laws, Rules, Regulations:

Regulation of the W.C.H.A. derives from three places:

First, the Authority regulates itself through the use of its own By-Laws. These By-Laws describe the Authority, its officers, personnel responsibility, meeting schedule, and procedure for amending the By-Laws.

The Second set of regulations comes from the U.S. Department of Housing and Urban Development. The Annual Contributions Contract (ACC) lists the mission of HUD and the Authority, the cooperation agreement, declaration of trust, budget and fiscal requirements, insurance regulations, and other rights and obligations of HUD and the Authority.

The Third set of regulations comes from the Statement of Procurement Policy. The statement provides "...for the fair and equitable treatment of all persons or firms involved in purchasing by the PHA [Public Housing Authority]; assure that supplies, services, and construction are procured efficiently, effectively, and at the most favorable prices available to the PHA; promote competition in contracting; provide safeguards for

maintaining a procurement system of quality and integrity; and assure that PHA purchasing actions are in full compliance with applicable federal standards, HUD regulations, and state and local laws.”

W.H.A. regulation is derived from seven places:

First, the Authority regulates itself through the use of its own By-Laws. These By-Laws describe the Authority, its officers, powers and duties, meeting schedule, order of business, election or appointment of officers, and procedure for amending the By-Laws.

The Second set of regulations comes from the Grievance Procedures (Section XII). These regulations set the procedures for dealing with “...any dispute which a tenant may have with respect to the AUTHORITY action or failure to act in accordance with the individual tenant’s lease or Authority regulations which adversely affect the individual tenant’s rights, duties, welfare or status”.

The Third set of regulations comes from the Statement of Policy and Procedures Regarding Harassment. These regulations state “...that our employees should enjoy a work environment which is free of all forms of discrimination, including harassment... slurs, jokes or degrading actions, comments or pictures concerning sex, age, race, national origin, religion, marital status, disability or membership in any other protected group”.

The Fourth set of regulations comes from the “One Strike Policy”. These regulations set the procedures regarding the policy against illegal drug use or other criminal activities, prevention of these activities, enforcement of these rules by eviction and other considerations protecting residents.

The Fifth set of regulations comes from the Statement of Policies Governing Admission and Continued Occupancy of the Low Rent Housing Project of the Town of Wilna Housing Authority. These regulations “...establish eligibility criteria that governs admission to, and continued occupancy of, its units, in order to accomplish its objectives. Those objectives are to provide decent, safe and sanitary housing for families and persons of very low income, and low income, in the most economical way possible”.

The last set of regulations comes from the Statement of Procurement Policy. These regulations “...provide for the fair and equitable treatment of all persons or firms involved in purchasing by the PHA; assure that supplies, services, and construction are procured efficiently, effectively, and at the most favorable prices available to the PHA; promote competition in contracting; provide safeguards for maintaining a procurement system of quality and integrity; and assure that PHA purchasing actions are in full compliance with applicable Federal standards, HUD regulations, and State and local laws”.

The W.H.A. also uses the (Massachusetts Chapter) National Association of Housing and Redevelopment Officials Handbook for Board Members Of Massachusetts Public Housing Authorities (1996) as a guideline for its Board of Directors. This handbook specifically states the board members' roles as a "deliberate, structured and concentrated board." It also regulates agency monitoring and oversight, board governance, finance and accounting duties, board relationships with the executive director and the performance appraisal of the Executive Director. The handbook goes into great detail about these responsibilities and relationships and should be consulted for more information.

PILOTS:

PILOT's are Payments Made in Lieu of Taxes.

PILOT's (as of October 1997) for W.C.H.A. are as follows:

- West Side Terrace \$7,635.78
- Wm. Dalton Estates \$3,066.00
- Grandview Courts \$3,197.00

PILOT's for the W.H.A. in 1997 are as follows:

- Village Payment \$3591.26
- Town Payment \$5925.58
- School Payment \$8,439.45

Budgets:

Each Housing Authority has had a recent audit. To provide a financial perspective, selected financial information has been included into this report.

W.C.H.A. budget source: Village of West Carthage Housing Authority Report on Examination of Financial Statements and Supplementary Information for the Fiscal Year Ended September 30, 1997.

WEST SIDE TERRACE

Assets:

Cash	\$	24,974.23	
Investments		82,794.26	
Debt Amortization Funds		362.24	
Deferred Charges		74,808.86	
Land, Structures and Equipment*		<u>1,858,712.90</u>	*NOTE: FIXED ASSETS
Total Assets		2,041,652.49	

Liabilities and Fund Balance:

Accounts Payable	\$	4,703.46
Accrued Liabilities		731,867.95
Deferred Credits		75,147.00
Fixed Liabilities		<u>1,453,973.01</u>
Total Liabilities		2,265,691.42
Fund Balance		224,038.93
Total Liabilities and Fund Balance		2,041,652.49

WILLIAM DALTON ESTATES

Assets:

Cash	\$	15,571.85
Cash- Reserve Account		14,068.16
Cash- Tenant Security Deposits		3,110.59
Rental Assistance		00.00
Reserve Investments		60,365.43
Clearance Administration		(6.07)
Clearance Reserve		<u>6.07</u>
Total Current Assets		93,116.03
Fixed Assets		
Land		31,231.92
Building		879,082.97
Furniture and Fixtures		<u>24,720.00</u>
Total Fixed Assets		935,034.89
Total Assets		1,028,150.92

Liabilities and Fund Balance:

Tenants Security Deposits	\$	3,110.59
Total Current Liabilities		3,110.59
Long Term Liabilities		892,947.90
Notes Payable-FmHA		
Total Liabilities		896,058.49
Fund Balance		132,092.43
Total Liabilities and Fund Balance		1,128,150.92

GRANDVIEW COURTS

Assets:

Cash	\$	19,281.02
Cash - Reserve Account		16,640.75
Cash - Tenant Security Deposits		3,602.89
Rental Assistance		(3,456.00)
Reserve Investments		66,411.41
Clearance Administration		204.56
Clearance Reserve		(204.56)
Fixed Assets		998,739.00
 Total Current Assets		 1,101,219.07

Liabilities and Fund Balance:

Tenant Security Deposits	\$	3,602.89
Total Current Liabilities		3,602.89
Long Term Liabilities		963,328.17
Total Liabilities		970,533.95
Fund Balance		137,891.50
 Total Liabilities and Fund Balance		 1,101,219.67

Revenue and Expenditures for all properties:

The W.C.H.A. income and expenses are as follows:
(As of September 30, 1997)

	<u>Wm. Dalton Estates*</u>	<u>Grandview Courts*</u>	<u>West Side Terrace**</u>
Total Operating Income	\$110,146.18	\$110,393.53	\$105,274.28
Total Operating Expenses	\$ 96,320.06	\$ 94,471.18	\$160,033.96
Other Charges	\$ 12,201.96	\$ 12,606.03	\$ 880.83
Net Income	\$ 1,624.16	\$ 3,316.32	NET LOSS \$ 55,140.09

* The total operating income for these two properties includes:
dwelling rental, rent subsidy, interest income, and other income

** The total operating income for this property includes:
dwelling rental, interest on the general fund, and other income

W.H.A. Source: Town of Wilna Housing Authority Report on Examination of Financial Statements and Supplementary Data for the Fiscal Year ended March 31, 1998 for Brady Acres and ending September 30, 1998 for Long Falls.

BRADY ACRES

Assets

Cash		\$	32,142.01
Accounts Receivable			35,480.14
Investments			305,940.48
Development Costs	1,800,000.00		
Less: (Accum. Amortization)	<u>1,087,880.00</u>		712,120.00
Deferred Charges			2,830.27
Tenant Disbursements Clearance			<u>605.00</u>
TOTAL:			1,089,117.90

Liabilities and Fund Balance

Tenants Security Deposits		\$	14,205.38
Accrued Expenses			24,955.95
Deferred Credits			4,101.00
Certificate of Indebtedness			
Authorized	1,800,000.00		
Less: Indebtedness Amortization-			
State of New York	<u>1,065,306.30</u>		<u>734,693.70</u>
Total Liabilities			777,956.03
Fund Balance			311,161.87
Total Liabilities and Fund Balance			1,089,177.90

LONG FALLS

Assets

Cash		\$	42,187.46
Investments			373,637.44
Debt Amortization Funds			144,650.62
Deferred Charges			4,851.25
Land, Structures and Equipment			3,091,950.38
Total Assets			3,657,277.15

Liabilities and Fund Balance

Tenants Security Deposits	\$	7,205.69
Accrued Liabilities		181,523.67
Deferred Credits		1,286.00
Fixed Liabilities		1,251,575.95
Total Liabilities		1,441,591.31
Fund Balance		2,215,685.84
Total Liabilities and Fund Balance		3,657,277.15

Revenue and Expenditures for both properties:

The WHA income and expenses are as follows:
(As of March 31, 1998)

	<u>Long Falls</u>	<u>Brady Acres</u>
Operating Income	\$ 280,130.69	\$301,797.98
Total Operating Expenses	374,500.49	396,205.98
Net Operating Loss	(94,369.80)	(94,408.00)
NY State Subsidy	xxxxxxx	94,408.00
Federal Subsidy	153,399.00	xxxxxxx
Net Income (including other charges)	59,029.20	0.00

Audits:

Dickenson and Company, CPA, audited the financial statements of the W.H.A. as of and for the year ending on March 31, 1998. The W.C.H.A. financial statements were audited as of and for the year ending September 30, 1998.

OBSERVATIONS AND CONCLUSIONS

A preliminary staff review of Village budgets and discussions with the Study Steering Committee indicated that the provision of public housing and housing services are not direct functions of either Village. In West Carthage these services are provided by the West Carthage Housing Authority and in Carthage by the Town of Wilna Housing Authority.

For this reason staff assigned to the Housing Functional Area of the Study began by conducting an inventory of the two Authorities.

This preliminary assessment involved discussions with the Executive Directors and/or Board members of both Housing Authorities, review of the data provided by the two Authorities and correspondence from the New York State Division of Housing and Community Renewal (NYSDHCR), a copy of which is attached.

Based on the information obtained through this process, it was quickly confirmed that the Housing Authorities were the entities relied on to provide public housing and housing services within the respective Villages. The Authorities are autonomous organizations with no direct relationship to the governmental operations of the Villages and therefore the operations and operating costs of the two Authorities have no direct effect on the operating costs of the two Villages.

In fact, as pointed out in the correspondence from the NYSDHCR any decisions made by the two Villages with regard to consolidation, dissolution, reorganization, etc. will have a direct impact on the status of one or both Authorities. Therefore, it may also be said that any reorganization/restructuring initiated by the Authorities would in all likelihood not have any direct effect on the operations and management of the respective Villages.

While a study of the operations and options for efficiencies between the two Authorities may have some value at some point in time, this issue was seen as outside the scope of the Management Study currently underway. Therefore, it was decided not to pursue an analysis of Housing beyond the preliminary inventory assessment reflected in this report.

However, since certain management options undertaken by the Villages could have direct consequences on the operations and organizations of the Authorities, consideration of the various Village management options should take into consideration the following issues:

The provisions, conditions, and requirements of the NYS Public Housing Law as partially outlined in the letter from DHCR should be included and addressed in any deliberations on options.

Both Authorities operate under loan and subsidy contracts with the State and Federal governments. Any change in the status of the Authorities may affect these contracts and the rental assistance/subsidies received by the respective Authorities.

It appears that when the various Housing Authority projects are paid-off, responsibilities involving ownership and operating costs may be transferred to the Villages. Contact with the respective Authority's attorneys and review of the various contracts involved would need to be undertaken to clarify this situation.

Village implementation of certain management options could result in significant legal costs to the Authorities to initiate the required changes to their respective organizations. These costs could include: dissolution/merger costs, amendments to bonds and other loans, amendments to Federal and State subsidy contracts (if possible), refinancing costs, etc.

**EVALUATION OF WATER AND WASTEWATER SERVICES
FOR THE
VILLAGES OF CARTHAGE AND WEST CARTHAGE**

June 1999

OVERVIEW:

The evaluation of the Water and Wastewater Services for the Villages of Carthage and West Carthage has been conducted by the Development Authority of the North Country.

The water and wastewater "FACILITIES" are jointly owned, operated and maintained by the Villages, which is an excellent example of consolidation between the Villages.

The Village's water distribution systems are not jointly owned, operated, or maintained, except as described in the second amendment to the Inter-Municipal Agreement, Villages of Carthage and West Carthage Water System.

The Village's wastewater distribution systems are not jointly owned, operated, or maintained, with minor exceptions: two sewage pump stations located in Carthage and all major sewage flow meters in both Villages are maintained by staff of the Wastewater Pollution Control Facilities.

WATER SYSTEM:

The Villages entered into an Inter-Municipal Agreement on November 7, 1994, for the establishment of a Joint Water System for the Villages, copy attached. Since that time, two amendments were made – March 20, 1995, and February 27, 1996 (copies attached). A Water Management Board has been established, and consists of seven members. This Board is advisory in nature only, and includes the President of the Village of Carthage, the Mayor of the Village of West Carthage, three members from the Village of Carthage, and two members from the Village of West Carthage. The major tasks of this Board include: developing and presenting a budget to both Villages for adoption, to oversee the budget for the fiscal year, oversee operation of the filtration plant and all related facilities and matters of the Joint Water System, to include the proper allocation of Village employees for the joint system maintenance.

Two key individuals in the Joint Water Facility, Ernie Prievo, Carthage and Tim Turck, West Carthage, have the primary responsibility for the operations and maintenance of the Joint Water Facility and related facilities identified in the second Amendment. Mr. Prievo and Mr. Turck meet monthly with the Joint Water Board and provide flow data, discuss budget status and operations and maintenance issues, and also submit reports to the New York State Department of Health.

The cost of operating and maintaining the water facilities is provided by the Inter-Municipal Agreement, which is approximately two-thirds for Carthage and one-third for West Carthage and based on water usage. Each year the Joint Board reviews flows and percentages for each Village, and the following year's budget for each Village is based on the previous year's flows.

Each Village is responsible to maintain its own distribution systems for water. There are no formal agreements for consolidation for either of the distribution systems. There is cooperation between the two Villages for operating and maintaining the distribution systems, which is based on informal arrangements between Mr. Prievo and Mr. Turck, and the staffs from their Public Works departments.

It should be noted that Ernie Prievo's other primary responsibility is to operate and maintain the Village of Carthage Water Distribution System. Ernie assists the Director of Public Works when requested. Years ago, there was a separate water department for the Village of Carthage, but that was eliminated. Tim Turck's other primary responsibility is the Village of West Carthage Water Distribution System, but he reports directly to the Village of West Carthage DPW.

Both Mr. Prievo and Mr. Turck are paid directly by their respective Village. Mr. Prievo is paid an annual salary, and Mr. Turck is paid an hourly wage. If Mr. Turck works after regular hours, he is paid overtime, but Mr. Prievo is not. Since the costs of the Joint

Water System are based on flows, both Mr. Prievo and Mr. Turck are responsible to ensure that their systems have minimum leakage.

WASTEWATER SYSTEM:

The Villages have had a joint Water Pollution Control Facility since the mid-1970's, when it was originally built, operated, and maintained by the New York State Environmental Facilities Corporation and later operated and maintained by the Villages of Carthage and West Carthage.

The Water Pollution Control Facility Board consists of seven members – three from each Village and either the President of Carthage or the Mayor of West Carthage is the chairperson. It is an advisory board, and its tasks are similar to the Water Management Board. The staff personnel that work at the Water Pollution Control Facility are members of the Teamsters Union and are employed by the Village of Carthage. This is an excellent example of cooperation between the Villages, and the Water Pollution Control Facilities Management Board should continue to evaluate all options for the continued operation and maintenance of this facility which serves the two Villages and all industries within the two Villages.

The Authority's comments regarding the Carthage/West Carthage Water Pollution Control Facility (Wastewater) are based on experience obtained from the Management Services and Operator of Record Services Agreement between the Authority and the Villages, effective June 18, 1998, whereby the Villages engaged the Authority to provide management services and Operator of Record services for the Village's Water Pollution Control Facilities providing licensed operators when required. A copy of that Agreement is attached.

Over the past year, the Water Pollution Control Facilities Board has had to deal with many changes, including - reduction in staffing of the Water Pollution Control Facilities,

reduction in sewage flows, reduction in expenses, and a reduction in the proposed budget, effective July 1, 1999. Additionally, the Villages are pursuing an upgrade to the Water Pollution Control Facilities, and have received a grant from the State of New York for \$1 Million to help cover expenses for the planned project. The Villages have hired Hazen and Sawyer Environmental Engineers and Scientists to design and provide construction management and inspection of the upgrade project, and the Authority will assist the Village during this timeframe.

A key element of the Agreement between the Authority and the Management Board was to provide a Management Services Report, which was provided in December 1998 to the Villages. That report addressed the New York State Department of Environmental Conservation Consent Order, Sludge Treatment and Disposal, Capital Improvements Plan, and the Budget Rate Structure Review. If readers are interested, they should refer to the Management Services Report, monthly Management Board Minutes, and other separate reports provided by the Authority this past year.

The Authority will continue to provide management services and Operator of Record services through June 17, 2000. Sometime prior to that date, the Water Pollution Control Facilities Management Board must determine whether this Agreement should be continued, modified or terminated. The Authority will continue to provide the services to the Village's Management Board, and will assist them over the next year in every way possible to ensure that the Water Pollution Control Facilities are operated and maintained in the best possible manner, and that the Capital Improvements Project remains on schedule.

SUGGESTION:

One avenue that could be pursued would be the Joint Operations and Maintenance of both the water and sewer distribution systems. This would require further coordination between the two DPW's of each Village, and could be pursued if the political leadership

of both communities desire. Possibly, the Village's DPW's could be consolidated, and there may be manpower and equipment savings if this did occur. The Authority made no attempt to evaluate consolidation of the DPW's and/or the distribution systems.

Attachments:

1. November 7, 1994 Inter-Municipal Agreement
2. March 20, 1995 Amendment to Inter-Municipal Agreement
3. February 27, 1996 Amendment to Inter-Municipal Agreement
4. June 18, 1998 Management Services and Operator of Record Agreement

Report of the Administrative Functional Group

Administrative Functional Group Members:

Warren Kennehan, Former President of the Village of Carthage
Wayne McIlroy, Current President of the Village of Carthage
Donald Getman, Mayor of the Village of West Carthage
Renee Planty, Clerk-Treasurer of the Village of West Carthage
Linda Weir, Clerk-Treasurer of the Village of Carthage

Additional Assistance Provided by:

Honorable Richard Goodspeed, Village of West Carthage Judge
Honorable Richard Mushtare, Village of Carthage Judge
Honorable James Church, Town of Champion Judge

Recommended Action Plan

If we looked at the administrative area by itself, we might conclude that the best organizational option for the villages to pursue would be dissolution. However, such a narrow view would tend to ignore the vital policy and support roles played by village administrators in the provision of services. In addition, the villages face several legal and organizational barriers if the desired cost savings and efficiencies are pursued by becoming a coterminous town/village government. We believe that the Villages of West Carthage and Carthage can best achieve the goals of the management study by consolidating operations and services through intermunicipal agreements. This will allow the two villages to achieve the majority of the available cost savings and efficiencies while retaining local control. Then, in five to seven years as outlined below, the villages may wish to revisit the option of consolidating the two villages into one entity.

We have outlined below an action plan which we recommend the Villages of West Carthage and Carthage pursue in the administrative area. While we believe the time frames outlined below are reasonable, circumstances may dictate that the recommendations be pursued in a different sequence.

g **Short Term Actions (0 to 1 Year)**

C *Establish an Intergovernmental Relations Council:*

The Boards of Trustees should create by agreement an intergovernmental relations council to promote efficient and economical service provision and help implement the recommendations of this management study. Consideration should be given to also including the Towns of Wilna and Champion and Carthage Central School District on the council. (See page 4 for more information.)

C *Improve Investing:*

Moneys currently on deposit in checking accounts and low interest savings accounts could be invested in higher interest bearing accounts. (See pages 4 to 6 for more information.)

C *Improve the Efficiency of Payroll Preparation:*

The Board of Trustees should consider paying employees bi-weekly instead of weekly. (See page 7 for more information.)

C *Take Advantage of Utility Deregulation:*

Village purchasing practices should be modified to take advantage of the lower prices available for natural gas, local and long distance phone services, cellular phone services and, in the next few months, electricity. (See pages 6 & 7 for more information.)

C *Avoid Paying Taxes on Certain Village Purchases:*

The two villages can achieve cost savings by not paying certain state and federal taxes on utility bills. (See pages 6 & 7 for more information.)

g **Mid Term Actions (1 to 3 Years)**

C *Consider privatizing the collection of property tax and water and sewer receipts.*

Village officials should explore the potential savings that may be achieved by seeking competitive bids from local banks for the collection of property taxes and water and sewer rents in comparison to the cost of having village employees perform this function. (See pages 7 & 8 for more information.)

- C *Consolidate Clerk-Treasurer's Offices:*
Consolidating the two clerk-treasurer's offices into one office housed in the Village of West Carthage municipal office building will provide certain efficiencies, minor cost savings and improved internal controls. (See pages 8 to 11 for more information.)
- C *Share Justice Court Facilities:*
The Boards of Trustees should consider housing both justice courts in the Village of Carthage municipal office building. (See pages 12 & 13 for more information.)
- C *Use One Site for Village Board Meetings:*
The Trustees of the Village of Carthage should consider holding their Board meetings in the Village of West Carthage municipal office building. (See page 13 for more information.)
- C *Consider Renting Office Space to the Town of Wilna:*
The Board of Trustees of the Village of Carthage should consider renting the vacated space in the clerk-treasurer's office to the Town of Wilna. (See page 12 for more information.)
- C *Explore the Feasibility of a Shared Village Manager:*
The Boards of Trustees should explore whether a shared village manager can facilitate intermunicipal contracts and policies and bring about additional efficiencies and cost savings. (See page 11 for more information.)

g **Long Term Actions (3 to 5 Years)**

- C *House Consolidated Police Operation in One Building:*
Consideration should be given to housing the consolidated village police operation in the Village of Carthage municipal office building. (See page 13 for more information.)
- C *Determine Best Use of West Carthage's Former Police/Justice Building:*
Assuming the above recommendations have been implemented, the Board of Trustees of the Village of West Carthage should determine how the police/justice court building can be best utilized. (See pages 13 & 14 more information.)

g **Future Considerations (5 to 7 Years)**

- C *Consider a Proposition to Consolidate the Two Villages:*
After cost savings and efficiencies have been realized by consolidating the villages' operations and services, the Boards of Trustees should consider if a proposition to consolidate the two villages into one entity makes sense.

Discussion of Options

During our review of the administrative area of both village governments we focused primarily on expenditures relating to legislative boards; chief executive officers (mayor and president); village justices; clerk and treasurer's office; attorneys and municipal office buildings. In addition, we analyzed the efficiencies of specific functions within each village's administrative office.

Other administrative expenditures such as assessing, elections, engineering, unallocated insurance, etc. were considered to be immaterial or unaffected by the options being studied by the boards of trustees, and thus not included in our overall analysis. Our analysis and review of the administrative area disclosed several opportunities for reducing costs or enhancing revenues for both villages. Our specific recommendations follow:

Establish an Intergovernmental Relations Council

Article 5-G of the general Municipal Law provides broad authority for municipal corporations such as cities, counties, towns, villages, fire districts, school districts, etc. to cooperate with each other in carrying out their responsibilities. To further the use of Article 5-G, local governments, pursuant to Section 239 of the General Municipal law, may create by agreement intergovernmental relations councils consisting of any combination of the above mentioned municipalities. The members of the council are authorized to adopt by-laws governing its activities, and to elect a chairperson, secretary and other necessary officers.

It was the intent of the Legislature that these councils serve to unite governmental entities, and provide a forum for discussion of municipal problems and solutions. Further, it was anticipated that the councils would foster coordination of activities, thereby reducing costly duplication of services. Accordingly, these councils may provide an ideal vehicle to explore new avenues for cost-savings through municipal cooperation.

In order to effectively implement the recommendations contained in this management study, we recommend that the Board of Trustees of both villages create an intergovernmental relations council. One approach to doing this would be to conduct a needs assessment and determine which existing or proposed services can be provided more cost effectively or performed more efficiently on a cooperative basis. After determining what services the villages may want to provide on a cooperative basis, viable partners should then be sought. Logical candidates for members of an intergovernmental relations council are neighboring governments such as other villages, towns and school districts which provide these services as well as those which do not provide the services but may desire to do so.

Opportunities for Increased Efficiencies

During our review of the administrative areas of both villages, we noted several opportunities for achieving cost savings and enhancing revenues by merely changing the manner in which certain tasks are currently being performed. We note that these opportunities would exist if each village was to remain as is, or if the decision is made to pursue one of the 4 options currently being studied.

- < **Cash Management** The Village of Carthage and West Carthage receive moneys throughout the year from real property taxes, state aid, water and sewer rents, and other revenue sources. Total revenues reported for the Village of Carthage and West Carthage in their 1997-98 annual financial reports were approximately \$2.3 million and \$1.8 million, respectively. However, the amounts available to the village treasurers for investment purposes fluctuates due to the differing collection schedules for significant village revenues and diverse types and amounts

of monthly expenditures. Therefore, the need for an effective plan for managing the villages' cash assets is apparent.

In an effort to determine whether village revenues derived from interest earnings could be increased using relatively non-complicated investments, we analyzed the receipts disbursements and cash balances of both villages for a twelve-month period beginning October 1997 and ending September 1998. Our analysis used an average available balance for the bank accounts tested. During this period, both villages had significant balances on deposit with two local banks in numerous non-interest bearing checking accounts and several savings accounts earning an average of 1% per month. The average combined monthly balance on deposit in these checking and savings accounts was \$1,042,185 and \$409,801 for the Village of Carthage and West Carthage, respectively. Actual interest earned on these monies for the twelve-month period analyzed was \$7,959 and \$3,267, respectively. In addition to the above mentioned checking and savings accounts, both villages had invested in certificate of deposits throughout the year. The Village of Carthage had 3 CD's at 8/31/98 totaling \$2,457,566 earning 5.47-5.51%. Per discussion with the clerk-treasurer, terms vary from 2 weeks to 30 days depending upon the due dates of debt and other payments. The Village of West Carthage had 9 CD's at 8/31/98 totaling \$408,236 earning 4.50-5.00%. Terms range from 3 month, 6 month and 1 year.

Some banks offer their municipal customers a range of options for investing their monies in high interest bearing disbursement (checking) accounts. Many of these accounts will automatically deduct any amounts needed to meet disbursements each day leaving the remaining balance to earn interest at rates of as much as 5% or more. Many banks require that municipalities maintain a specified minimum balance on deposit at all times in order to take advantage of this type of account. However, by combining all moneys currently on deposit in other lower interest checking and savings accounts, not required by statute to be segregated, into one account, most villages the size of Carthage and West Carthage can meet this requirement. The proper use of disbursement accounts such as these provides the village treasurer with more immediate access to moneys when needed to fund unanticipated expenditures, unlike certificates of deposit, which generally provide for a penalty if redeemed before their maturity date.

We called both local banks currently being used by the villages to inquire about the availability of products offered that may enhance the interest earnings of both villages. Neither bank offered the type of disbursement account described above. The closest investment tool offered by either bank was a money market interest account which, at the time of our request, was earning interest at a rate of 2.50% to 2.75% for a range of balances over \$25,000. Another alternative to investing with local banks is a cooperative municipal investment program which is available to all municipalities. These investment programs, in addition to offering interest rates comparative to CD's, often allow for withdrawals on any given day, without penalty or transaction fees. We contacted a treasurer from a neighboring village, who currently invests in one of these programs, and were told that it is currently earning interest at a daily rate of 5.18% with a 5.32% annual yield.

We recommend that the treasurer of each village combine the available cash balances currently in non or low interest bearing accounts (not required by statute to be segregated) into a higher interest earning account such as those mentioned above. Our analysis disclosed that if the Village of Carthage and West Carthage had invested their available cash balances during the

Management Study Conducted by the
Villages of West Carthage and Carthage

period 10/97 to 9/98 in either a money market account available at their local banks at 2.75%, or in a cooperative investment program such as described above at 5.18%, interest revenues would have been enhanced by approximately \$20,600 to \$45,900 and \$8,000 to \$17,900, respectively. The table below shows how we arrived at these estimates:

	Average Monthly Balance 10/97-9/98	Actual interest Earned 10/97-9/98	Investment Options		Additional Revenues Under Each Option
			Local Bank Money market Account @ 2.75%	Cooperative Investment Program @ 5.18%	
Village of Carthage	\$1,042,200	\$8,000	\$28,600	\$53,900	\$20,600 to \$45,900
Village of West Carthage	\$409,800	\$3,300	\$11,300	\$21,200	\$8,000 to \$17,900

Even greater interest earnings can be achieved if cash activity and balances were estimated in greater detail through preparation of cash budgets and cash flow projections. More available moneys could then be put into longer term investments, such as six month certificates of deposit (CD's). However, village officials should weigh the cost of preparing and managing a more complex investment program to the benefits of additional interest earnings before starting such a program. In addition, village officials should consider reviewing their banking needs and current relationship with local banks. After determining their needs, village officials should seek banking services competitively by requesting comprehensive proposals. Seeking competition to meet the villages' banking needs should help improve the interest rates received on its deposits and investments.

Purchasing

During our review we noted several opportunities to cut costs associated with the purchasing of various commodities. With the recent deregulation of some utilities, many vendors are now seeking to compete for municipal customers through competitive bidding. Municipalities stand to save money each year by taking advantage of this competitive bidding in their purchasing practices.

Currently, neither village uses NYS Office of General Services (OGS) bid lists for the purchase of local or long distance phone service. We analyzed phone charges for both villages for the same 2 month period in 1998 in an effort to determine how much savings could be realized each year by the villages if they were to request the state contract price for local and long distance phone calls. Based on our analysis, we estimate an annual savings to the Village of Carthage and West Carthage of approximately \$540 and \$620, respectively for long distance phone service and an additional \$180 and \$80, respectively for local phone service. We note that one of the vendors awarded the 1998 local and long distance phone contracts through (OGS) was the same vendor being used by both villages, however, a municipality must request the state contract bid price in order to receive it. We also noted that both villages have been paying federal, state and local taxes on phone bills. Municipalities are exempt by law from paying these taxes and local officials should take corrective action to eliminate the future payment of these taxes and to file for a rebate on prior payments (available up to 3 years). Annual savings of approximately \$128 in Carthage and \$165 in West Carthage would result from properly audited telephone claims.

In addition to regular phone service, the Village of West Carthage utilizes three cellular phones. Although two accounts were being billed at the OGS bid rates, one was not. We recommend changing this account to the state contract rates for an estimated annual savings of \$252. Both villages also

currently purchase natural gas from the same vendor. Due to the structure and lack of detail of natural gas invoices examined during our review, we were unable to quantify the amount of savings that could be realized by both villages if they were to seek the OGS bid price for this commodity. However, municipalities typically realize a savings of approximately 8% by utilizing OGS contracts as compared to purchasing natural gas directly from utility companies.

The Office of General Services has recently announced that electric rates are also being included in their bid portfolio, and the New York State Conference of Mayors (NYCOM) is considering initiating the cooperative bidding of electricity for its member municipalities. We recommend that, given the current deregulated utility environment, both villages consider the use of marketplace competition, combined with aggregating the needs for similar utility services with the state government, local governments and other political subdivisions, to achieve the greatest cost savings.

Payroll

During our review, discussions were held with both village clerk-treasurers to determine the in-house cost of preparing their respective payrolls. Each clerk-treasurer estimated the amount of time spent and worksheets were prepared to calculate an annual cost to each village. Both villages prepare weekly payrolls for the majority of their employees. We recommend that both villages convert their present weekly payroll schedule to bi-weekly. By changing the weekly payroll to bi-weekly, the villages could reduce the amount of time spent, the number of checks issued and other related costs associated with payroll processing. We estimate savings (productivity increase) of \$2,100 annually to the Village of Carthage and \$1,100 annually to the Village of West Carthage by implementing this recommendation. As noted above in the section entitled, *Financial and Clerical*, both village offices have the necessary computer equipment to process payrolls electronically, however, both villages still prepare their payrolls manually. We recommend that village officials look into increasing the efficiencies of their respective payroll preparations by using a computer software package designed for this task.

Privatize Collection of Taxes and Water and Sewer Rents

Currently, both the Village of Carthage and West Carthage collect their real property taxes and water and sewer rents at their respective village offices. We contacted two neighboring villages which have privatized the collection of various village receipts. One village we contacted has a local bank collect their annual property taxes as well as quarterly water and sewer rents. Village officials informed us that this service is contracted for through a 3 year bid so that residents do not become confused as to where to make their payments each year. For their current contract, a local bank is providing this service at a zero cost as long as the village maintains an interest bearing account with the bank (no minimum balance required). Officials from this village told us that they expect to have a fee imposed at the next bid, and they suspect that the zero fee offer was designed to lure the village's business away from another bank. Another village we contacted has a local bank collecting their monthly water/sewer/trash pick-up rents but not their property taxes. They contract for the service annually by bid, and the current fee charged is \$.30 per item collected. Applying this same \$.30 per item fee to the current frequency of collection and number of property tax and sewer and water rents collected by the Villages of Carthage and West Carthage, we estimate the annual cost to each village for privatized collection of village receipts to be \$1,700 and \$950, respectively.

Without detailed time studies relating to the specific duties of the clerk-treasurers office, we were unable to determine if a cost savings would exist by seeking private collection of village receipts. We recommend, however, that village officials explore the potential savings that may be achieved by seeking competitive bids for the collection of these receipts. This request could be integrated with the

requests for proposals of banking services recommended in the section of this report entitled *Cash Management*.

Financial and Clerical (Clerk-Treasurer, payroll, tax collection, utility billing)

The village clerk-treasurer office is where most of the administrative related functions of village government are carried out. Some of these functions include: accounting and financial reporting, personnel, payroll preparation, budget development, records management, property tax billing and collection, utility billing and collections, secretarial assistance to the public works department, etc. There are often several differences in how villages assign these duties, and as to how much cost is associated with each function.

We gathered and compiled some comparative data relating to staffing levels, salaries, and other factors of five villages who are approximately equal in population and service delivery to the combined villages of Carthage and West Carthage. The purpose of gathering this data was to compare how other villages have organized their administrative offices and how their costs compare to that of the combined Villages of Carthage and West Carthage. The following table summarizes the comparative data we gathered and compiled:

1998 Village Administrative Staffing and Total Salary Comparisons

	Carthage & W Carthage	Canton	Horse Heads	Malone	New Paltz	Saranac Lake
1990 Population	6,510	6,379	6,802	6,777	5,463	5,377
Utility Customer (billed)						
Water	1,781	1,450	3,215	2,574	856	2,362
Sewer	1,659	1,450		2,200	831	2,164
Village Staffing						
Clerk-Treasurer	2	1	1	0	1	0
Deputy Clerk- Treasurer	1	0	0	0	1	0
Clerk	0	0	.05	1	0	0.5
Treasurer	0	0	0	1	0	1
Deputy Treasurer	0	1	0	0	0	0
Deputy Clerk	0	1	1	0	0	0
Utility Billing Clerk	1	0	0	1	0	1
Accounts Clerk	0	0.5	0	1	0.5	1
Public Works Secretary	0	0	0	1	0	0
Total Positions	4.5	3.5	3.5	5	3.5	3.5
Salaries & Wages	\$111,211	\$91,981	\$91,568	\$142,741	\$108,602	\$94,543
Per Capita	\$17.08	\$14.29	\$13.46	\$21.06	\$19.88	\$17.59
Per Customer	\$62.44	\$62.88	\$28.41	\$55.45	\$126.87	\$40.04

In comparing the number of office staff and salary levels, we noted that the combined Village of Carthage and West Carthage office is comparable with that of the other five villages. Only the Village of Canton and the Village of Horseheads show a lower per capita cost. In the case of the Village of Canton, this lower per capita cost may be related to a portion of the census population count being made up of college students. The per customer cost of the two combined villages also appears to be in line with that of four of the villages who have a similar number of water and sewer customers. The Village of Saranac Lake and the Village of Horseheads show the lowest per

customer cost. In addition, as noted above, the Village of Horseheads also has the lowest per capita costs. We note that both of these villages have a full time Village Manager who oversees the operations of the village clerk/treasurer office, as well as other village departments (for a further discussion about the merits of the Village Manager's position, see the section below entitled *Village Manager*). Based upon our review and the above comparisons, it does not appear that the municipal office of either village is over staffed, nor does it appear that any of the four options being studied would result in a recommendation for fewer office staff or lower office salaries.

It is recommended that the Board of Trustees of both villages consider creating a single, joint clerk-treasurer office. Although the combining of these offices into one would be mandated under the options of consolidating both villages into one and the forming of a new coterminous town/village, it could also be achieved by the two villages entering into a cooperative agreement under Article 5-G of the General Municipal Law. Because of the similarity in tasks performed by both village offices, and the close proximity of each village to each other, it appears that an opportunity for achieving a cost savings and increased efficiencies exist by combining the administrative and financial offices of the two villages.

An important component of this effort would be the integration of computerized software for accounting and financial reporting, payroll preparation and other record keeping needs. The effective use of proper software for performing various municipal functions can result in less duplication of efforts and streamlines information management. In our conversation with office staff from the five comparison villages listed above, we learned that most perform tasks such as accounting, financial reporting, payroll preparation and other record keeping functions electronically using computer software designed specifically for each job. Currently, neither the Village of Carthage or West Carthage office staff are utilizing computer software designed for accounting, financial reporting or payroll preparation, even though both have purchased much of the hardware and software necessary for performing these tasks.

During our review we noted that both village offices are equipped with numerous pieces of office equipment such as personal computers, printers, fax machines and copiers (refer to the inventory lists in the appendix C of this section for the number and types of equipped currently owned by both villages). In addition to the initial cost of purchasing this equipment, both villages are currently paying for maintenance agreements on several of these pieces. By combining the two village offices, several of these pieces of equipment could be sold or used by other village departments such as DPW, water and sewer, police, etc. We also note that both villages have multi-line phone systems installed in their respective offices which, in addition to the costs of purchasing and installing this equipment, incur large monthly basic service charges. By combining the two village offices, one of these phone systems could be eliminated, along with the basic monthly fee.

In addition to cutting costs associated with equipment, by combining the two offices personnel from both villages could take advantage of employees' skills in order to achieve greater efficiencies in performing various tasks. For example, if one village clerk-treasurer was very proficient at payroll preparation, this person could be used to prepare the payrolls for both villages and thereby provide the other clerk-treasurer with time to perform other tasks. A decision to combine these offices would also allow both villages to better segregate certain duties relating to cash and thereby improve their internal controls. Another benefit to this cooperative effort, while difficult to quantify, would be the opportunity for office personnel to train one another while working together. This benefit could pay great dividends in the future as key employees retire or otherwise leave village service.

Village Manager

Approximately thirty villages in New York State have chosen to establish the position of village manager. This position is created by Local Law and has no single list of duties or responsibilities. Some village boards appoint a village manger to serve as clerk or clerk-treasurer while other village boards choose to have the manager serve only as an administrator who oversees the various village departments. In most villages who have established this position, in addition to his or her other duties, the village manager serves as budget officer and is responsible for reporting to the board on financial and budgetary issues. As noted above, the Village of Saranac Lake and the Village of Horseheads have both established the position of village manager. We note that, while these two villages have the greatest number of utility customers, they appear to also have a far lower per customer cost than the other villages surveyed as well as the combined villages of Carthage and West Carthage. Officials we spoke with from these villages attribute their efficiency and lower per customer costs to having a villager manager overseeing and coordinating the various tasks associated with the administrative office.

We recommend that the Villages of Carthage and West Carthage the advantages of creating a joint village manager position. Village officials should contact other villages who employ the use of a village manager and learn how to best use this position to enhance the operations of their governments. The duties and responsibilities of this position should be composed so that the person chosen would serve to facilitate intermunicipal contracts and policies and bring about additional efficiencies and cost savings for both villages.

Attorney

For 1998-99 the Village of Carthage and West Carthage have budgeted \$21,000 and \$6,000 respectively for legal services. Under both options which result in a single form of government (coterminous or consolidation) there may be a decrease in the need for legal services. Because of the nature of this expenditure, however, it is difficult to project with any degree of confidence the amount of savings that could be expected under either of these two options. For the purpose of this report, a 25% reduction or \$5,500 is assumed.

Under the village(s) dissolution option, since one or both village governments would no longer exist, savings for legal costs could range from \$6,000 to \$27,000 per year. However, as with other projected savings under this option, these amounts may be diminished by the additional legal cost to the town(s) who would inherit the dissolved village(s). Since taxpayers of the former village(s) are also town wide tax payers they could expect to pay for these additional legal costs through their town wide tax levy. For the purpose of this report, a 50% reduction or \$13,500 is assumed.

The option calling for further cooperative efforts between the villages and surrounding municipalities would not generate any additional costs savings since it is recommended that each separate governing board maintain its own independent attorney(s).

Municipal Buildings

During our review of the administrative areas of both villages, we recognized several opportunities that exist under all of the options being considered by both village boards for the sharing of municipal buildings. The issue of sharing building space for administrative and clerical purposes, however, is a difficult one to discuss separate from the other areas being studied by the two villages such as police, fire, recreation, highway, etc. For example, a recommendation made in this section for sharing of office space within a particular municipal building may conflict with

a recommendation contained elsewhere in this report for the sharing of the same building for a different reason. For that reason, the reader should be aware that any recommendations made in this section regarding a particular building, may conflict with recommendations made elsewhere involving the same building.

During our review, we noted that the municipal offices of both villages and those of the Towns of Wilna and Champion are all located relatively close to one another (see Appendix B for an inventory of municipal buildings). We also noted that, with the exception of the Town of Wilna's building, all were recently renovated or constructed, and appear to meet the needs of their respective municipality. Officials from the Town of Wilna informed us that they have been actively seeking an alternate location for their municipal office. Town officials cited problems with their current building such as lack of office space, limited parking, poor access for the public, and increased cost to maintain. Our review of the building needs of each municipality disclosed the following opportunities for cost savings or revenue enhancements that could be achieved by the sharing of municipal buildings:

< **Combine the clerk-treasurer office of both villages into one building.**

In the above section entitled *Financial and Clerical* we discussed the benefits to both villages if they were to combine the clerk-treasurer's office into one central office. In our opinion, the best location for this office would be at the West Carthage municipal office building. We arrived at this decision based upon information available to us regarding size of the buildings, available parking, access and convenience for village residents, etc. A decision to combine the administrative and financial offices of both villages into the West Carthage building would result in the availability of office space in Village of Carthage municipal building which could then be used to generate rental income. Given the needs of the Town of Wilna, discussed above, they may be a potential candidate to lease this space.

The specific cost savings and revenue enhancements represented by this opportunity would depend upon which of the available options for combining the offices village officials choose to explore. For that reason, it would not be practical for us to attempt to quantify the amount of savings or additional revenues that could be achieved by a decision to combine these offices. We recommend that village officials study this issue and determine which of the available options would result in the greatest benefit to both villages. For a discussion of additional benefits relating to increased efficiencies derived from the combining of these offices, refer to the section of this report above entitled, *Financial and Clerical*.

< **Combine the Justice Courts of both villages into one.**

As discussed below in the section entitled *Municipal Courts*, both villages and the Town of Wilna could jointly share the same courtroom and justice office space. Based on our conversations with village and town justices, as well as other local officials, we believe that the best location for shared courtroom would be in the Village of Carthage's board meeting room.

By entering into an agreement to allow their board room to be shared as courtroom for the other two municipalities, the Village of Carthage could generate additional revenues by charging a rental fee to the Village of West Carthage and also have additional space available where their former court room was located. Similarly, the Village of West Carthage could realize a reduction in the costs associated with maintaining its municipal courts, as well as have an opportunity to use their former courtroom facility for other

purposes, or to generate additional revenues by renting or leasing this space. See the discussion below regarding the combining of police operations for suggestions on how to best utilize vacant space in each village building resulting from this opportunity.

< **Use One Site for Village Board Meetings:**

Village Law Section allows for a Board of Trustees from one village to hold its Board meetings in an adjoining village. Given the recommendation above regarding the use of the Village of Carthage's Board meeting room for a shared municipal courtroom, the Trustees of the Village of Carthage should consider holding their Board meetings in the Village of West Carthage municipal office building. In addition to this meeting room being of equal size to the Board meeting room currently being used by the Village of Carthage, the West Carthage cite also has a large community room which could be used to accommodate overflow audiences at public hearings and Board meetings when controversial topics arise.

< **Combine the police operations of both villages into one building.**

If it is determined to be in the best interest of both villages to combine their police operations into one, we recommend that this consolidated police department be located on the first floor of the Village of Carthage's municipal office building. If the recommendation made above regarding the sharing of court room space is implemented, both the Village of Carthage and West Carthage would have vacant building space to allocate for other purposes. The former Village of Carthage courtroom, which is located downstairs next to the police department, could then be used to meet the additional space requirements brought on by combining the police operations of both villages into one building. By implementing both of the above recommendations regarding police and court operations, the former police and justice building located on Franklin St. in West Carthage would then become vacant and available for sale or other use. Possible decisions regarding this vacant building could be:

The building could be sold for its market value resulting in a one-time revenue from the proceeds of the sale. In addition, the village would achieve annual cost savings associated with no longer having to pay for future utilities, insurance and maintenance for this building. The village could also realize additional property taxes each year if the sale was to someone other than an exempt business, organization or municipality.

During our review, village officials from West Carthage discussed a desire to have a Jefferson County Sheriff's sub-station located within the village to increase police protection for the village. This building could be rented or leased to the county for this purpose, or to another municipality or private business, which could result in additional rental revenues as well as a reduction in costs for utilities.

The building could be used by another village department or operation, or as an in-kind payment for some cooperative effort with another municipality. While this option may not result in increased revenues or cost savings, it could offset or eliminate the cost of future building needs.

Legislative Board

For the 1998-99 fiscal year the Village of Carthage and West Carthage have budgeted \$25,000 and

\$10,600, respectively for legislative board expenses. It is assumed that if there was a reduction from two to one village board, which could result under both the coterminous and the consolidation option, the remaining board could expect to be compensated at a rate equivalent to that currently paid by the Village of Carthage. Therefore, the resulting cost savings by selecting either the coterminous or consolidation option would be approximately the amount currently budgeted by the Village of West Carthage, or approximately \$10,600 per year. However, it is possible under the coterminous option that a decision could be made for both a village and town board to exist. The town board in this case might only meet once or twice per year to conduct its business. If this was the case, the savings projected above could be offset by a small compensation to the town board members for their limited involvement.

Under the village(s) dissolution option, since one or both board of trustees would no longer exist, the savings would be approximately \$10,600 to \$35,600 per year depending upon which village dissolved. It is important to note, however, that any savings realized under this option could be partially offset by additional expenditures and compensation to the two remaining town boards who may be forced to take on the additional responsibilities of the former board of trustees. Since taxpayers of the former village(s) are also town wide taxpayers, they could expect to pay for these additional costs through their town wide tax levy.

The option calling for further cooperative efforts between the villages and surrounding municipalities would not generate any additional costs savings since there would be no foreseeable change in the number of legislative board members needed.

Executive

The Village of West Carthage, which operates under Village Law, has an elected Mayor for its executive officer. The Village of Carthage, pursuant to its Charter, has an elected President for its executive officer. For the 1998-99 fiscal year the Village of Carthage and the Village of West Carthage have budgeted \$10,200 and \$5,600 respectively for Executive related expenses. As discussed above under governing boards, the reduction from two to one governments under both the coterminous and merger options could lead to the elimination of one village mayor/president position. Presumably the executive officer (Mayor or President) would be paid an amount equivalent to what the Village of Carthage currently pays its President and would also expect to incur a similar amount of miscellaneous expenditures. Therefore, the resulting savings under both of these options would likely be approximately what the Village of West Carthage currently budgets, or \$5,600 per year. However, as with the governing board discussion above, a town supervisor with very minimal duties could be created under the coterminous option which could offset some of these projected savings.

Under the village dissolution option, since either the office of Mayor or President (or both) would no longer exist, the savings would be approximately \$5,600 to 15,800 per year. It is important to note, however, that any savings realized under this option could be offset by additional expenditures and compensation to the two remaining town supervisors who may be forced to take on the additional responsibilities of the former village mayor and president. Since taxpayers of the former village(s) are also town wide tax payers, they could expect to pay for these additional costs through their town wide tax levy.

The option calling for further cooperative efforts between the villages and surrounding municipalities would not generate any additional costs savings since there would be no foreseeable change in the number of executive officers needed.

Municipal Courts

The Village of Carthage and the Town of Wilna are currently sharing a courtroom and justice office located in the lower level of the village’s municipal office building. The Village of West Carthage’s courtroom and justice office are currently housed in a building along with the village’s police department. Because of the current arrangement for the sharing of courtroom space between the Village of Carthage and the Town of Wilna, and because both villages have indicated a desire for increased intermunicipal cooperation, we have included information relating to the municipal courts of both the Towns of Wilna and Champion in our analysis. The following table shows the current number of justices and clerks for each municipality, as well as the location of their court and evening(s) on which court is currently held:

Municipality	Number of Justices & Clerks	Location of Court	Night of the Week
Village of Carthage	1 Elected Judge 1 Acting Judge 1 Full Time Clerk	Village of Carthage Municipal Building	Every Monday Night
Village of West Carthage	1 Elected Judge 1 Acting Judge No Clerk	West Carthage Police Building	Every Thursday Night
Town of Wilna	1 Elected Judge 1 Part Time Clerk	Village of Carthage Municipal Building	Every Thursday Night
Town of Champion	2 Elected Judges No Clerk	Town of Champion Municipal Office Building	Every Thursday Night

During our review of municipal court operations, we interviewed village and town justices and analyzed the current financial data relating to the various municipal courts currently being operated. Since merely changing the form or number of municipal entities does not necessarily reduce the size of their criminal case load, it does not appear that there would be any appreciable reduction in the number of justices or justice clerks needed under any of the four options being studied. There does appear, however, to be some opportunity under at least three of the four options for the municipalities to benefit further from the sharing of courtroom and justice office facilities reducing the number of courtroom facilities needed from three to two. Under the village(s) dissolution option, the village consolidation option and the further cooperative efforts option, both villages and the Town of Wilna could all share the same courtroom and justice offices. The Town of Champion would not be included in this cooperative effort since current statutes do not allow for a town to hold court in an adjoining town unless the two towns have consolidated their courts. Village Law, however, does allow for two adjoining villages to share one courtroom located in either of the villages.

The table below shows what we believe to be the projected number of justices and justice clerks needed under each option currently being studied by the villages; the number of evenings per week court would need to held under each option; and the number of, and best location for, the resulting municipal courts under each of the four options:

Management Study Conducted by the
Villages of West Carthage and Carthage

Option	Number of Justices & Clerks	# of Court Rooms & Best Location of Court	# of Nights Per week
<u>Option #1</u> Village Merger	<u>4 Judges</u> (2 for new Village & 1 each for Towns) <u>1 Full Time Clerk (Village)</u> <u>1 or 2 Part Time Clerks (Towns)</u>	<u>2</u> Village of Carthage Municipal Building and Town of Champion Municipal Building	<u>4</u> (2 nights for new Village & 1 for each Town)
<u>Option #2</u> Coterminous Town/Village	<u>4 Judges</u> (2 Town/Village Judges and 1 for each town) <u>1 Full Time Justice Clerk (Town/Village)</u> <u>1 or 2 part time Justice Clerks (1 for each town)</u>	<u>3</u> Village of Carthage Municipal Building (Town/Village), Town of Champion Municipal Building and Town of Wilna (?)*	<u>4</u> (2 for new Town /Village, 1 each for resulting towns)
<u>Option #3</u> Village(s) Dissolution	<u>4 Judges</u> (2 for each Town) <u>2 Full Time Justice Clerks</u> (1 for each town)	<u>2</u> Village of Carthage Municipal Building & Town of Champion Municipal Building	<u>4</u> (2 for each Town)
<u>Option #4</u> Additional Cooperation	<u>Same as currently Exists</u> 4 Judges 2 Acting Judges 1 Full Time Clerk 1 Part Time Clerk	<u>2</u> Village of Carthage Municipal Building and Town of Champion Municipal Building	<u>4</u> (1 for each Village and Town)

* The Town of Wilna does not currently have a municipal court room (they use the Village of Carthage=s).

Based upon our conversations with village and town justices, as well as other town and village officials, we feel that the best location for a shared court room would be at the Village of Carthage’s municipal office building. According to several of the justices we spoke with, the board meeting room inside this building is large enough to accommodate the number of court cases currently being handled by each of the municipalities, and it has the necessary rooms off to the side of the proposed courtroom for use by attorneys and their clients. In addition, this location appears to have adequate room for off street parking in the lot behind the municipal building.

By entering into an agreement to allow their board room to be shared as courtroom for the other two municipalities, the Village of Carthage could generate additional revenues by charging a rental fee to the Village of West Carthage. The Village of West Carthage could realize a reduction in the costs associated with maintaining its municipal court, as well as have an opportunity to use their former courtroom facility for other purposes, or to generate additional revenues by renting out this space. For a further discussion of the potential benefits represented by this opportunity see the section above labeled, *Municipal Buildings*.

APPENDICES

Appendices

Appendix A - Financial Data

The following table shows a five year comparison of actual amounts expended by each village for each of the six areas mentioned above as well as the amount budgeted for the 1998-99 year.

Description of Expenditure		For Fiscal Year					1998-99 Budget
		1993-94	1994-95	1995-96	1996-97	1997-98	
Legislative Board	<i>Carthage</i>	19,755	19,727	21,425	20,839	20,622	25,000
	<i>West Carthage</i>	10,062	10,028	9,867	9,750	8,111	10,600
	Total	29,817	29,755	31,292	30,589	28,733	35,600
Executive (Mayor & President)	<i>Carthage</i>	8,432	8,529	8,970	8,910	8,504	10,200
	<i>West Carthage</i>	4,100	4,100	5,335	5,305	5,739	5,600
	Total	12,532	12,629	14,305	14,215	14,243	15,800
Municipal Court	<i>Carthage</i>	13,237	13,040	18,567	16,489	12,952	16,000
	<i>West Carthage</i>	5,621	5,589	6,241	5,597	6,021	6,150
	Total	18,858	18,629	24,808	22,086	18,973	22,150
Clerk / Treasurer	<i>Carthage</i>	47,886	45,056	45,924	52,763	51,118	70,000
	<i>West Carthage</i>	45,546	49,260	47,826	43,577	37,943	50,800
	Total	93,432	94,316	93,750	96,340	89,061	120,800
Attorneys	<i>Carthage</i>	18,105	16,568	22,650	19,339	17,341	21,000
	<i>West Carthage</i>	5,000	5,000	5,000	5,000	5,335	6,000
	Total	23,105	21,568	27,650	24,339	22,676	27,000
Municipal Buildings	<i>Carthage</i>	41,201	37,988	40,192	39,514	41,548	70,000
	<i>West Carthage</i>	56,228	49,791	67,519	60,254	84,029	61,000
	Total	97,429	87,779	107,711	99,768	125,577	131,000
Miscellaneous (Elections, Assessing, Engineering, Insurance, Etc.)	<i>Carthage</i>	13,110	19,921	59,084	35,339	25,775	18,000
	<i>West Carthage</i>	29,806	30,499	30,974	30,535	27,397	31,215
	Total	42,916	50,420	90,058	65,874	53,172	49,215
Total General Government & Administrative Expenditures	<i>Carthage</i>	161,726	160,829	216,812	193,193	177,860	230,200
	<i>West Carthage</i>	156,363	154,447	172,762	160,018	174,575	171,365
	Total	318,089	315,276	389,574	353,211	352,435	401,565

Expenditures totals shown for each of the areas above are comprised of salaries and wages, equipment purchases and other miscellaneous purchases such as postage, supplies, training, travel, etc.

Appendix B - Municipal Buildings

The following table shows the current number of municipal office buildings (size, location and use) owned by both villages, as well as that of their respective towns:

Municipal Office Buildings			
<u>Description of Building</u>	<u>Location</u>	<u>Approximate Size.</u>	<u>Current Use</u>
Carthage Municipal Office	South mechanic St. Carthage, NY	Upper: 6,740 sq. ft.	Clerk Treasurer Office, Board Room, Fire department
		Lower: 5,300 sq. ft.	Court Room, Village Police, State Police, Zoning & Planning
Town of Wilna Municipal Office	Brown St. Carthage, NY	1 st floor: 2,210 sq. ft.	Town Clerks Office, Supervisor's Office, Conference Room, Zoning/Planning, Assessor's Office
		2 nd floor: 2,250 sq. ft.	Storage
Village of West Carthage Municipal Office	High Street West Carthage, NY	10,800 sq. ft.	Clerk/Treasurer Office, Mayor's Office, Fire Dept., Community Room, Board Meeting Room, Storage
Village of West Carthage Police Building	Franklin St. West Carthage, NY	2,400 sq. ft.	Police Dept., Municipal Court, Justice Office
Town of Champion Municipal Office	North Broad St. West Carthage, NY	5,120 sq. ft. (800 sq. ft. Leased to Time Warner Cable)	Town Clerk Office, Board Meeting Room, Town Court, Assessors, Storage

Appendix C - Inventory of Office Equipment

Appendix D - Impact of Organizational Options on Village Revenues

Revenue Source	Dual Dissolution - Separate Towns Remain	Consolidation into One Village	Forming a New Town (with one coterminous village government)	Forming a New Town (without any existing village government)
<p>Real Property Taxes</p>	<p>No effect on individual assessments since each town does assessments currently. No answer until the study is completed on whether an individual's taxes will go up or down.</p> <p>Each town levy is likely to increase, but whether the increase matches the combined total of the town and village levies in the former village depends on the levels of services provided. Whether an individual's taxes go up or down <u>may</u> depend on whether they live in or outside the former village boundaries.</p>	<p>Probably some effect on the way individual assessments would work, assuming the village continues to have the towns do the assessing. Whether the total levy goes up or down depends on the results of functional area studies and levels of services provided. Assessments would be affected since the village would need to use an equalization rate to levy village taxes.</p>	<p>Possible changes to individual assessments since the new town would be a new, separate assessing authority. No effect theoretically on the amount of the county tax levy due to full value assessments.</p> <p>Whether the new town and village tax levy goes up or down depends on the results of functional area studies and levels of services provided.</p>	<p>Possible changes to individual assessments since the new town would be a new, separate assessing authority. No effect theoretically on the amount of the county tax levy due to full value assessments.</p> <p>Whether the new town tax levy goes up or down depends on the levels of services provided.</p>
<p>Sales Taxes</p>	<p>No overall gain/loss.</p> <p>Each town's revenue should increase by the amount previously distributed to the village located in the town. [This occurs since the county currently distributes sales tax revenues based on assessed valuation. For instance, the town currently receives a distribution based on the town outside village full assessed value. The village receives its based on the village full assessed value.]</p>	<p>No overall gain/loss.</p> <p>Sales tax revenues distributed to each town should not change. The new village's receipts should be the combined total of the current villages.</p>	<p>No overall gain/loss theoretically.</p> <p>Total sales tax revenues distributed to the new town/village would equal the amounts distributed to the two former villages. The Towns of Champion and Wilna would continue to get the sales tax revenues they receive currently, however they could be used for town wide purposes instead of town outside village purposes. [This assumes that the full assessed value of the new town would be the same as the combined full assessed values of the two former villages.]</p>	<p>No overall gain/loss theoretically.</p> <p>Total sales tax revenues distributed to the new town would equal the amounts to the two villages. The Towns of Champion and Wilna would continue to get the sales tax revenues they receive currently, however it could be used for town wide purposes instead of town outside village. [This assumes that the full assessed value of the new town would be the same as the combined full assessed values of the two former villages.]</p>
<p>Gross Receipts Tax</p>	<p>Loss of revenue.</p> <p>Towns may not assess a gross receipts tax.</p>	<p>No gain/loss.</p> <p>The new village should collect the combined amounts of the former villages.</p>	<p>No gain/loss.</p> <p>The new village should collect the combined amounts of the former villages.</p>	<p>Loss of revenue.</p> <p>Towns may not assess a gross receipts tax.</p>

<p>Fines and Forfeitures</p>	<p>Possible decline in overall revenues.</p> <p>While each town's revenues should increase, the increase may not exactly match the combined total of the former village and town amounts. Depends on the current allocation of fines from village imposed speeding limit violations. Needs further study if an answer is required.</p>	<p>No gain/loss.</p> <p>The new village should receive the combined amounts of the former villages as long as the former villages' ordinances/laws are continued by the new village. The towns should not be affected.</p>	<p>No gain/loss.</p> <p>The new town/village should receive the combined amounts of the former villages as long as the former villages' ordinances/laws are continued by the new town/village.</p>	<p>Possible decline in overall revenues.</p> <p>The new town's revenues may not exactly match the combined total of the former village and town amounts. Depends on the current allocation of fines from village imposed speeding limit violations. Needs further study if an answer is required.</p>
<p>General Purpose State Aid</p> <p>(All state aid implications are based on 1997 legislation - it is changed every year by State Legislation.)</p>	<p>Loss of Revenue.</p> <p>While the town governments will get more aid, the total aid will be less than the combined total of the former village and town amounts. There is a five year phase out of aid after village dissolution:</p> <ul style="list-style-type: none"> • Town gets 100% of village aid in year 1 • Town gets 80% in year 2 • Town gets 60% in year 3 • Town gets 40% in year 4 • Town gets 20% in year 5 	<p>No gain/loss</p> <p>It appears that total general purpose state aid received by the consolidated village would total the same combined amount that two villages receive separately now. No effect on towns.</p>	<p>Unknown (Conflicting info)</p> <p>It appears that total general purpose state aid received by the new town/village would be at least as much as the combined amount of the two villages.</p> <p>The Towns of Champion and Wilna would receive less aid.</p>	<p>Potential Gain for New Town/Overall Loss of Revenue</p> <p>The new town may get more state aid (info incomplete) than the two villages get combined currently. However, it appears that this aid comes at the expense of the Towns of Wilna and Champion since they will receive less aid. Probably it would be a net loss for the community as a whole.</p>
<p>Mortgage Tax</p>	<p>No overall effect.</p> <p>The amount received by each town will increase by the amount previously distributed to the village located in the town.</p>	<p>No overall effect.</p> <p>It appears that the new village would receive the combined amount distributed to the two former villages. No effect on the towns.</p>	<p>Unknown</p> <p>Currently, the tax is distributed to the villages based on % of assessed valuation of each town's assessed valuation. It's allocated to towns based on the location of property. Accordingly, we do not know how many mortgages are recorded for properties located only within the two current villages. Requires further study.(?) Unknown effect on the Towns of Champion and Wilna.</p>	<p>Unknown</p> <p>Currently, the tax is distributed to the villages based on % of assessed valuation of each town's assessed valuation. It's allocated to towns based on the location of property. Accordingly, we do not know how many mortgages are recorded for properties located only within the two current villages. Requires further study.(?) Unknown effect on the Towns of Champion and Wilna.</p>
<p>CHIPS</p>	<p>Probably little overall effect.</p> <p>Each town will likely receive approximately the combined amount of the former village and town distributions. Exceptions: Significant change in road maintenance costs or if</p>	<p>Probably no effect.</p> <p>It appears that the new village would receive the combined amount distributed to the two former villages. No effect on the towns.</p>	<p>Probably little overall effect.</p> <p>The new town/village may receive slightly more CHIPS money if its predominant form of government is a town (see other potential revenue drawbacks if chosen). If the predominant form is a village, the new</p>	<p>Probably a very small gain.</p> <p>The new town may receive slightly more CHIPS money than the amounts received by the two villages combined (unless exceptions under dissolution apply here too.) The Towns of Wilna and Champion will probably not change.</p>

	a large number of road miles are transferred to the town.		government will likely receive about the same amount as the combined total of the two villages (unless exceptions under dissolution apply here too.) The Towns of Wilna and Champion will probably not change.	
CDBG	Unknown (no info yet)	Unknown (no info yet)	Unknown (no info yet)	Unknown (no info yet)

The option of pursuing additional intermunicipal agreements was found to have no appreciable effect on any of the revenues listed in the above chart.

Report of the Planning, Zoning & Building Code Functional Area

June 17, 1999

Planning, Zoning & Building Code Functional Group Members:

Steve Fort, Jefferson County Planning Department

Jean Waterbury, Tug Hill Commission

Gary Wood, Building Code Officer and Zoning Enforcement Officer, Town of Wilna & Village of Carthage

Brian Phelps, Zoning Enforcement Officer, Town of Champion & Village of West Carthage

Additional Assistance Provided By:

Philip Street, Tug Hill Commission

Matthew Johnson, Tug Hill Commission

Kelly Reinhardt, Jefferson County Planning Department

SECTION 1. INTRODUCTION

Purpose

The planning, zoning and building code functional group has been charged with examining the existing provision of planning, zoning and building code related services by the Villages of West Carthage and Carthage. In reviewing the services relating to this functional area, the group was asked to identify functional and financial efficiencies that may be realized within the framework of five management options being studied by the overall Village of Carthage/West Carthage Management Study. This process takes place within the scope of the overall project mission. The mission, as written early on in the project, was “to analyze, study, and remove, if necessary, organizational and administrative barriers to economic growth, and fiscal stability that might exist in and between the Villages of Carthage and West Carthage...and to identify opportunities for cooperation which could enhance the quality of life, and improve service delivery in the communities.”

The planning, zoning and building code related services that a municipality provides generally does not generate a significant revenue stream. However, administrative costs relating to this functional area can account for a significant expense to that community. The existence of land use laws and comprehensive plans are important parts of a community’s overall economic development and orderly growth. Proper growth and development leads to a healthy community that has a lot to offer its residents as well as businesses that choose to locate in the community.

Providing proper administrative services for planning, zoning and building code is but one tool a community has in order to provide economic growth and fiscal stability. This report will explore the functional and financial efficiencies that may be realized by the Villages of West Carthage and Carthage and the Towns of Wilna and Champion in this functional area.

Process

This report includes the following sections:

Section 2. Inventory. This section presents an inventory of the land use laws each of the four municipalities has and the costs associated with the administration of these laws.

Section 3. Options. This section reviews how management options may affect the administration of these land use laws, and

Section 4. Recommendations. This section discusses how the communities might best achieve functional and financial efficiencies in this functional area.

Costs associated with planning, zoning and building code administration for each community can be found in **Appendix I** and zoning maps for each community can be found in **Appendix IV**.

The planning, zoning and building code functional group was coordinated by Tug Hill Commission and Jefferson County Planning Department staff, with oversight by the project Steering Committee comprised of officials from the Villages of West Carthage and Carthage and the Towns of Champion and Wilna. Respective village and town clerks provided assistance on requested information.

Staff interviewed enforcement officers for the four municipalities. A suggested list of questions used in the interviews can be found in **Appendix II** and a summary of the interviews can be found in **Appendix III**.

SECTION 2. INVENTORY

This section of the report presents information on the existing situation in each community as it relates to planning, zoning and the building code. **Appendix I** outlines the annual costs associated with this functional area as well as presenting other planning, zoning and building code statistics for the four communities.

Village of West Carthage

The Village of West Carthage has zoning and subdivision laws, a comprehensive plan and a flood plain law. The village originally adopted a zoning law in 1968 and has made amendments to this law as recently as 1991. The comprehensive plan was adopted in 1967 and has had no amendments made to it since its adoption. Brian Phelps is the enforcement officer for the Village of West Carthage as well as the Town of Champion. Brian works part-time in the village and part-time in the town. There is a five member planning board and a five member ZBA. According to the enforcement officer, attendance at planning board and ZBA meetings is good with few exceptions. Jefferson County Building Code Office enforces the NYS Fire Prevention and Building Code (building code). Over the last four years, building permits issued in the village range between 9 to 22 a year. Over the last four years, zoning permits issued in the village range between 15 to 30 a year.

Direct costs associated with planning and zoning enforcement in the Village of West Carthage include: stipends for board members, salary for enforcement officer, attorney fees, costs associated with training board members, and subscription and membership costs for board members. In the Village of West Carthage, direct annual costs associated with planning, zoning and building code are approximately \$4,850 (see **Appendix I** for detailed cost breakdown). Since Jefferson County Building Code Office enforces the building code, the village does not incur direct costs associated with building code enforcement.

Town of Champion

The Town of Champion has zoning and subdivision laws, a comprehensive plan and a flood plain law. The town originally adopted a zoning law in 1984 and has made amendments to this law as recently as 1997. The comprehensive plan was adopted in 1997 and is the most recently adopted plan of the four communities. Brian Phelps is the enforcement officer for the Town of Champion as well as the Village of West Carthage. Brian is also the elected assessor for the town, one of a three-member board of assessors. There is a five member planning board and a five member ZBA. Attendance at planning board and ZBA meetings is good with few exceptions. Jefferson County Building Code Office enforces the building code. Over the last four years, building permits issues in the town range between 29 and 37 a year. Over the last four years, zoning permits issued in the town range between 58 and 60 a year.

In the Town of Champion, direct annual costs associated with planning and zoning enforcement are approximately \$14,720 (see **Appendix I** for detailed cost breakdown). Since Jefferson County Building Code Office enforces the building code, the village does not incur direct costs associated with building code enforcement.

Village of Carthage

The Village of Carthage has zoning and subdivision laws, a comprehensive plan and a flood plain law. The village originally adopted a zoning law in 1984 and made amendments to this law in 1986. The comprehensive plan was adopted in 1967 and has had no amendments made to it since its adoption. There is a five member planning board and a five member ZBA. Gary Wood is the enforcement officer for both

the zoning law and the building code for the Village of Carthage as well as the Town of Wilna. Gary works as the enforcement officer part-time in the village and part-time in the town. Over the last four years, building permits issues in the village range between 58 and 134 a year. Over the last four years, zoning permits issued in the village range between 58 and 134 a year.

In the Village of Carthage, direct annual costs associated with planning, zoning and building code are approximately \$18,720 (see **Appendix I** for detailed cost breakdown). Since the village has opted to enforce the building code, an additional cost of approximately \$6,000 is added to the overall costs associated with this functional area and must be budgeted for annually.

Town of Wilna

The Town of Wilna has zoning and subdivision laws, a comprehensive plan and a flood plain law. The town originally adopted the zoning law in 1987 and no amendments have been made to it since its adoption. The comprehensive plan was adopted in 1981. Gary Wood is the enforcement officer for both the zoning law and the building code for the Town of Wilna. Gary works as the enforcement officer part-time in the town. There is a five member planning board and a five member ZBA's. Over the last four years, building permits issued in the town range between 58 and 134 a year. Over the last four years, zoning permits issued in the town range between 58 and 134 a year.

In the Town of Wilna, direct annual costs associated with planning, zoning and building code are approximately \$24,400 (see **Appendix I** for detailed cost breakdown). Since the town has opted to enforce the building code, an additional cost of approximately \$7,800 is added to the overall costs associated with this functional area and must be budgeted for annually.

TABLE 1. LOCAL LAWS								
	Comprehensive Plan		Zoning Law		Subdivision Law		Flood Plain Law	
	Adopted	Last Amended	Adopted	Last Amended	Adopted	Last Amended	Adopted	Last Amended
V. West Carthage	1967	-----	1968	1991	1985	-----	1987	-----
T. Champion	1997	-----	1984	1997	1986	1997	1993	-----
V. Carthage	1967	-----	1984	1991	1985	1986	1991	-----
T. Wilna	1981	-----	1987	-----	1988	-----	1991	-----

TABLE 2. ZONING & BUILDING PERMITS								
	1995		1996		1997		1998	
	Zoning	Building	Zoning	Building	Zoning	Building	Zoning	Building
V. West Carthage		22		11	32	9	19	10
T. Champion		29	58	37	60	34	46	32
V. Carthage		134		58				
T. Wilna		49		25				

SECTION 3. OPTIONS

This management study focuses on five management options that the Village of West Carthage and the Village of Carthage may pursue in order to realize functional and financial efficiencies in governmental services for the purpose of facilitating economic growth and financial stability in the communities. The options available to the local governments include:

- Dissolution of both villages into their respective towns;
- Consolidation of the two villages into one village government;
- Formation of a new town with one coterminous village government;
- Formation of a new town without any existing village government; or
- Intermunicipal agreements between the two villages.

This section of the report discusses how each of these options would affect the planning, zoning and building code services, efficiencies or cost savings that might be realized if the option was used, and steps that would need to be taken in order to accomplish each option.

Dissolution of both villages into their respective towns

The dissolution of the Village of West Carthage into the Town of Champion would eliminate the need for two planning boards and two ZBA's. This would mean that five planning board members instead of ten would need to be compensated for their services on the board. In the Town of Champion, approximately \$1000 for the planning board and a \$1000 for the ZBA might be saved. However, additional compensation for the new planning board and ZBA in the Town of Champion might need to be considered due to the additional workload generated by adding the Village of West Carthage zoning and planning related work.

The dissolution of the Village of Carthage into the Town of Wilna would have the same type of savings, however, approximately \$1600 for the planning board and \$1600 for the ZBA might be saved. Again, additional compensation of the new planning board and ZBA might need to be considered due to additional workload.

One option that both towns might want to consider if their respective villages dissolved into the town, would be seven member boards as opposed to five member boards. This would give the communities the opportunity to have greater representation from around the community. However, additional board members could increase the costs associated with compensating board members.

Presently, the Town of Champion and Village of Carthage has the same enforcement officer that works part-time for one and part-time for the other. This in itself creates an economy of scale and has the advantage of one person's expertise. It seems that the present arrangement works well and in the case of dissolution, the arrangement would most likely continue with the same personnel.

A similar situation exists in the Town of Wilna and the Village of West Carthage. The same enforcement officer does enforcement work for both communities. The one difference is that Carthage and Wilna pay their enforcement officer to enforce the building code as well as the zoning laws. It seems that the present arrangement works well and in the case of dissolution, the arrangement would most likely continue with the same personnel.

The dissolution option would bring with it the burden of consolidating the laws and comprehensive plans for the town and village into one. In both West Carthage/Champion and Carthage/Wilna, zoning and

subdivision laws would need to be reviewed for language consistency. Comprehensive plans would need to be updated to address the needs of the newly formed communities. The process of reviewing and revising existing laws and plans would take time and could cost the community money.

Given the fact that West Carthage/Champion and Carthage/Wilna use the same enforcement officer, reviewing existing laws and comprehensive plans for consistency would be a good thing to do anyway. Having consistent language would assist the enforcement officers in their work with enforcement.

Consolidation of the two villages into one village government

Consolidation of the Village of West Carthage and the Village of Carthage into one village would eliminate the need for two planning boards and two ZBA's. This would mean that five planning board members instead of ten would need to be compensated for their services. A savings of approximately \$1000-\$1600 for the planning board and approximately \$1000-\$1600 for the ZBA could be realized by the consolidation. However, additional compensation for the new planning board and ZBA might need to be considered due to the additional workload generated by consolidating the two villages.

Presently, one village enforces the building code and the other village does not. With consolidation, the new village would need to decide if it wanted to enforce the building code locally or opt out of enforcement and have Jefferson County Building Code Office do the work. If the newly formed village opted out of enforcement of the building code, approximately \$6000 would be saved. If the newly formed village decided to enforce the building code locally, an additional expense would be incurred.

Since two different enforcement officers are presently enforcing existing laws on a part-time bases in each village, consolidation of the villages would open up the options: 1)eliminating one enforcement, 2)having two part-time enforcement officers, or 2)having a full-time enforcement officer with a part-time deputy. Consolidating the villages would not necessarily decrease enforcement costs. However, there would be some functional efficiency realized by having an enforcement office responsible for planning, zoning and perhaps building code related work. Functional efficiency would also be realized by having one set of land use laws and one permit system.

The consolidation option would bring with it the burden of consolidating land use laws and comprehensive plans for the two villages into one. In both villages, zoning and subdivision laws would need to be reviewed and revised for language consistency. Comprehensive plans would need to be updated to address the needs of the newly formed village. The process of reviewing and revising existing laws and plans would take time and could cost the community money.

Formation of a new town with one coterminous village government and formation of a new town without any existing village government

The option of forming a new town with one coterminous village government and the option of forming a new town without any existing village government would have the same consequences as consolidating the two villages. The discussion as outlined in the section above, "Consolidation of the two villages into one village government," applies here.

Intermunicipal agreements between the two villages

Article IX, Section I of the New York State Constitution provides that local governments shall have the power to agree, as authorized by the Legislature, to provide services cooperatively. Article 5-G of New York State General Municipal Law contains broad authority for local governments to enter agreements

“for the performance among themselves or one for the other of their respective functions, powers and duties on a cooperative or contract basis or for the provision of a joint service.”

The performance of planning activities is a “function” of local government within the meaning of Article 5-G. Thus the performance of planning activities such as the preparation of studies, reports, recommendations, comprehensive plans or zoning/subdivision laws may be accomplished on a joint basis among several communities.

In addition to General Municipal Law, Article 5-G, there are other sections of state statute that authorize municipal cooperation for zoning and planning services. These statutes include:

GML, Section 99-c	Agreements for jointly engaging building inspectors
GML, Article 5-J	Intermunicipal cooperation in comprehensive planning and land use regulation
Village Law Section 7-741	Intermunicipal cooperation in comprehensive planning and land use regulations
Town Law Section 284	Intermunicipal cooperation in comprehensive planning and land use regulations

Without the consolidation or dissolution of the two villages, the Town of Champion and the Village of West Carthage could have joint planning boards and ZBA’s. The same holds true for the Town of Wilna and the Village of Carthage. Joint planning boards and ZBA’s could even exist between West Carthage and Carthage.

There are however, practical considerations that need to be addressed when establishing joint entities or in the joint performance of local activities. Considerations such as financing of the joint service, membership on joint boards, means of terminating the joint arrangement and the level of cooperation between the communities should all be taken into consideration.

There are examples across the state where an adjoining town and village or several adjoining towns have joint planning boards or ZBA. **Appendix V** contains a model resolution prepared by the Legislative Commission on Rural Resources for the sharing of a building inspector as well as an example of a cooperative ZBA in the Tug Hill region.

Advantages in having joint boards between the two villages or between the village and town include increased cooperation between the communities on a more regular basis as well as a heightened awareness of what is happening in the neighboring community as it relates to planning and zoning. Additionally, joint boards would decrease the total number of board members required to fill each board.

SECTION 4. RECOMMENDATIONS

After reviewing the costs associated with the planning, zoning and building code functional area, there are no real significant cost savings to be realized. There may be minimal cost savings when there is a reduction in the number of boards required to perform the planning and zoning function.

The goal of attaining functional efficiencies in providing planning, zoning and building code services might best be accomplished through an increased level of intermunicipal cooperation. Historically, the Village of West Carthage and the Town of Champion have worked closely together as evidenced by the two communities having the same enforcement officer. The same can be said of the relationship between the Village of Carthage and the Town of Wilna. Additional efficiencies could be realized between the villages and the towns if zoning laws and comprehensive plans were reviewed and made to coincide with each other to a greater extent and if the same permit forms were used in the communities enforced by the enforcement officer. The prospect of a “code enforcement bureau” to cover all four communities could be examined further to determine if greater economies or efficiencies could be realized.

Even though attendance of planning board and ZBA members at their respective meetings seems to be consistent, the future could hold problems if the volunteer pool continues to be strained. With intermunicipal agreements, joint boards between the villages and the towns could alleviate the stress of finding enough volunteers to serve on boards for each community.

A review of planning and zoning laws for all four communities could be performed to see if greater continuity between laws could be achieved toward the end of expediting applications. A yearly report of activities from both planning boards and ZBA’s should be provided to governing boards to determine if the integrity of the comprehensive plan is being maintained.

The governmental function of planning, zoning and building code administration will continue to be required as long as the land use laws are on the books. It is clear that all four communities take the administration of the planning, zoning and building code very seriously and are very diligent on the administration of their laws.

APPENDICES INDEX

Appendix I

Annual Costs Associated with Planning and Zoning in Champion, W Carthage, Carthage, and Wilna

Appendix II

Suggested Questions to be used in Interviews with Enforcement Officers

Appendix III

Interview Summaries

Appendix IV

- Map 1. Jefferson County Highway Map showing Town of Champion, Village of West Carthage, Village of Carthage, and Town of Wilna**
- Map 2. Street Map of the Villages of West Carthage and Carthage**
- Map 3. Village of West Carthage Zoning Map, 1986**
- Map 4. Town of Champion Zoning Map, 1997**
- Map 5. Village of Carthage Zoning Map**
- Map 6. Town of Wilna Zoning Map, April 1987**

Appendix V

- 1. Intermunicipal Cooperation/Sharing Building Inspector Model Resolution prepared by the Legislative Commission on Rural Resources**
- 2. Zoning Board Serves Six Local Governments prepared by NYS Dept of State**
- 3. Resolution to Jointly Administer a Zoning Board of Appeals**
- 4. Cooperative ZBA Agreement**

APPENDIX I

Annual Costs Associated with Planning and Zoning in Champion/W Carthage/Carthage/Wilna

	Town of Champion		Village of West Carthage		Village of Carthage		Town of Wilna	
	Cost/Month	Cost/Yr	Cost/Month	Cost/Yr	Cost/Month	Cost/Yr	Cost/Month	Cost/Yr
Planning Board								
Chair	\$25/mtg, 2x/mo	\$600	\$25	\$300	\$30	\$360	\$50	\$600
5 member board	\$20/mtg, 2x/mo	\$1,920	\$15/member	\$720	\$25/member	\$1,200	\$25	\$1,200
Clerk/Secretary of the PB	\$7.50/hr, 3 hrs/mtg	\$540	\$11.42/hr, 3 hrs/mtg	\$410			\$25	\$300
Zoning Board of Appeals								
Chair	\$25/mtg, 2x/mo	\$600	\$25	\$300	\$30	\$360	\$400/6 mo.	\$800
5 member board	\$20/mtg, 2x/mo	\$1,920	\$15/member	\$720	\$25/month each	\$1,200	\$200/6 mo./member	\$1,600
Clerk/Secretary of the ZBA	\$7.50/hr 3 hrs/mtg	\$540	No secretary	None			\$25	\$300
Zoning Officer	\$500/mo	\$6,000	\$200/month	\$2,400	10 hr/wk-\$11.37/hr	\$6,000	10 hrs/wk \$15/hr	\$7,800
Building Code Officer	No cost to town	None	No cost to village	None	10 hr/wk-\$11.37/hr	\$6,000	10 hrs/wk \$15/hr	\$7,800
Planning/zoning attorney costs	\$100/hr 25 hr/yr	\$2,500	None	None				
Training/subscriptions/memberships		\$100	None	None		\$3,600		\$4,000
TOTAL COST		\$14,720		\$4,850		\$18,720		\$24,400

	Town of Champion	Village of West Carthage	Village of Carthage	Town of Wilna
1990 Population	4574	2166	4344	6899
1990 TOV population	2408	0	0	2555
Area in square miles	43.8	1.2	2.5	78.9
Zoning Law adopted:	1984, last amended 1997	1968, last amended 1991	1984, last amended 1991	1987
Subdivision Law adopted:	1986, last amended 1997	1985	1985, last amended 1986	1988
Comprehensive Plan adopted:	1997	1967	1967	1981
Flood Plain Law adopted	1993	1987	1991	1991
Planning Board Chair	Peter LaBarge 773-5329 (h)	Penny Parish 493-4062 (h)	Sean McHale 493-6246 (h)	Francis Skvorak 493-2207
ZBA Chair	Bill Tribol	Ronald Novak 493-2164 (h)	Francis LaDuc 493-3785	Herbert Craft 493-0504
Zoning Officer	Brian Phelps 493-2689 (w)	Brian Phelps 493-2689 (w)	Gray Wood 493-4494 (w)	Gray Wood 493-4494 (w)
Building Code Officer	Jefferson County Codes 785-3144	Jefferson County Codes 785-3144	Gray Wood 493-4494 (w)	Gray Wood 493-4494 (w)
Planning Board/ZBA Attorney	Tim Farley 493-0300	Lawrence Hasseler 493-0030 (w)	Mark Gebo 788-5900 (w)	Mark Gebo 788-5900 (w)
Clerk	Christina Vargulick 493-3240 (w)	Renee Planty 493-2552 (w)	Linda Weir 493-1060 (w)	Mary McMahon 493-2771 (w)
Mayor/Supervisor	Terry Buckley 493-3240 (w)	Donald Getman 493-2552 (w)	Wayne McIlroy 493-1060 (w)	William Blunden 493-3058 (w)

Source of information: Interviews with various local officials and Municipal budget information.

APPENDIX II

QUESTIONS USED IN INTERVIEWS WITH ENFORCEMENT OFFICERS

Questions for the T Champion/V West Carthage Zoning Enforcement Officer
PLANNING & ZONING RELATED QUESTIONS
1. Is the workload as zoning enforcement officer for 2 municipalities heavy? Is there too much, just enough, or too little work to do?
2. What is the workload of the planning board/ZBA's?
3. How do the town and village get along? Do they work together or are they independent of each other?
4. Are there things that the 2 communities can do to make enforcement easier for the enforcement officer by working together?
5. Are there things that the 2 communities can do by working together to make the process more streamlined for applicants using the system?
6. Do the costs associated with planning and zoning permits seem appropriate or are they excessive? Do they cover the cost associated with enforcement?
7. Do the planning boards and ZBA function properly?
8. Are there problems with board members attending meetings?
9. Do planning board and ZBA members need additional training to be effective?
10. Is there a possibility that the 2 communities could have joint planning boards and ZBA's?
11. Are there other opportunities for the 2 communities to work together?
12. How would the enforcement officer feel if the 2 villages consolidated?
13. What would consolidation mean to planning and zoning in the 2 villages?
NYSFPB CODE RELATED QUESTIONS
1. Why did the communities opt out of enforcing the Building Code?
2. Are there any costs to the community to have county enforce the Building Code?
Questions for the T Wilna/V Carthage Enforcement Officer
PLANNING & ZONING RELATED QUESTIONS
1. Is the workload as zoning enforcement officer for 2 municipalities heavy? Is there too much, just enough, or too little work to do?
2. What is the workload of the planning board/ZBA's?
3. How do the town and village get along? Do they work together or are they independent of each other?
4. Are there things that the 2 communities can do to make enforcement easier for the enforcement officer by working together?
5. Are there things that the 2 communities can do by working together to make the process more streamlined for applicants using the system?
6. Do the costs associated with planning and zoning permits seem appropriate or are they excessive? Do they cover the cost associated with enforcement?
7. Do the planning boards and ZBA function properly?
8. Are there problems with board members attending meetings?
14. Do planning board and ZBA members need additional training to be effective?
9. Is there a possibility that the 2 communities could have joint planning boards and ZBA's?
10. Are there other opportunities for the 2 communities to work together?
11. How would the enforcement officer feel if the 2 villages consolidated?
12. What would consolidation mean to planning and zoning in the 2 villages?
NYSFPB CODE RELATED QUESTIONS
1. Why did the communities decide to enforce the Building Code in-house?
2. Is the workload as building code officer for 2 municipalities heavy? Is there too much, just enough, or too little work to do?
3. What are the costs associated with enforcing the Building Code?

APPENDIX III

Interview Summaries

Gary Wood – CEO Village of Carthage, Town of Wilna

Interview By: Steve Fort, Jefferson Cnty Planning Dept & Jean Waterbury, Tug Hill Commission

Date interview conducted: 9/21/98

Gary covers Village of Carthage and Town of Wilna. He is responsible for enforcement of Flood Damage Prevention Laws, Zoning Laws, and NYS Fire Prevention and Building Code in both communities. The Village of Herrings has no zoning and Jefferson County enforces the NYS Fire Prevention and Building Code in the villages of Herrings and Deferiet.

Gary is paid for 20 hours per municipality. He averages about 25-30 hours a week in each municipality. He remains part-time with each municipality in order to avoid the threshold where he would have to become part of Civil Service system. Gary would prefer not to be Civil Service since it would result in a reduction in pay. Gary receives \$12.00 per hour from the Village of Carthage and \$15.00 per hour from the Town of Wilna. He feels the situation is beneficial for both him and the communities.

Spring is the busiest time for the CEO. Gary uses the winter months to do catch up work.

Gary feels that the zoning laws in Carthage and West Carthage are too strict and too stringent. For example, there are 22 pages on regulations for trailers, when none exist. He feels the Town of Champion has relieved some of the strictness of their law. Gary feels that the laws in the two villages should be restructured for compatibility if consolidation occurs. Both communities can use a review of their zoning documents generally.

Gary would not recommend combining any boards between Carthage and West Carthage if consolidation did not occur. He feels that the two communities would want to be autonomous, with local people serving on their respective boards. He also feels that 3 person boards would place too much power in the hands of a few people. Acknowledging that it is hard to get members to serve on the boards, Gary would not recommend 3 member boards. No one wants to run for the position of trustee or serve on the planning board or zoning board of appeals. Gary did feel that combining the planning board and ZBA in the Village of Carthage/Town of Wilna and maybe Village of West Carthage/Town of Champion would be beneficial. The resulting one set of rules on each side would be good.

In terms of NYS Fire and Building Code enforcement, Wilna and Carthage opted out of county enforcement. This was due to the elongated process and a desire for “one stop shopping” as it relates to permits. When enforcement is not comprehensive and building projects slip through, the town does not reap increase in taxes due to unreported improvements. There are also liability issues on projects that do not go through the proper channels. When self enforced, there is more local control and timeliness on issuing permits and it allows for better public relations..

Gary discussed the fact that West Carthage receives more assistance through the Tug Hill Commission. Wilna and Carthage do not receive the commission’s services. Carthage and Wilna do see plenty of assistance from JCJDC and County Planning though. This perception may be due to the fact that Jim Callahan had undertaken such duties for quite some time and when Jim

left, there may have been a gap or period where no attention was being paid to planning issues in Wilna and Carthage. It may have taken a while for personnel to realize that Jim was gone, and Carthage and Wilna could no longer rely on hired staff. In addition, the Carthage area has received much attention lately with closures, etc. – there perhaps was not much going on before this flurry of activity. Jim Callahan did a little of everything so was not able to concentrate strictly on planning issues. The Village of Carthage is currently looking at hiring an economic specialist for the Carthage area. Funding for this position is a concern.

Discussed the expense of holding elections. Low turnouts and the costs involved in holding an election per voter is expensive. The village needs to think about changing the elections to the fall to coincide with town/county/state/federal elections in order to save taxpayer dollars and be more economical.

Gary stated that no one is in favor of consolidating the two villages. May to consolidate the fire or police or highway/department of public works departments makes sense and would likely be acceptable. Having two housing authorities on both sides of the river is costly and duplicative, according to Gary. Having two housing directors and two housing boards and two different staffs doesn't make much sense. Town finances the Town of Wilna Housing Authority.

Permits average 38 for the Village of Carthage, 39 for the Town of Wilna. Total 55 in 1997, 58 in 1996, and 65 in 1995. In January 1998, there was an estimated \$4,00,000 worth of construction permits review if you combine the village and the town.

Brian Phelps – ZEO Village of West Carthage, Town of Champion

Interview By: Steve Fort, Jefferson Cnty Planning Dept and Jean Waterbury, Tug Hill Commission

Date interview conducted: 9/21/98

In both West Carthage and Champion, Brian is the enforcement officer for zoning, property maintenance and flood damage prevention laws. Jefferson County enforces NYS Fire Prevention and Building Code. Brian is part-time with both the village and town. Workload is heavy in West Carthage lately, many site plans. Route 26/Broad Street has been busy lately. This area sees heavy traffic. Champion is fairly normal. The town sees a lot of subdivision activity due to the large amount of agricultural land going out of production. The town had 60 permits in 1997 and 58 in 1996. The village had 32 in 1997. Village of West Carthage is also “complaint laden” because of the property maintenance law. In terms of flood damage prevention, the village has addressed this in their zoning law but the town has not.

In terms of getting residents to serve on the planning boards and ZBA's, both Champion and West Carthage do well. Attendance is good on the ZBA's with one or two exceptions. Planning board attendance is good in both communities. The Village of West Carthage Planning Board meets regularly once a month with special meetings when they are needed. Both ZBA's meet on an as needed basis approximately once every month for West Carthage and once every two months for Champion.. Due to the complexity of the issues and the difficult tasks that these board members must deal with, Brian feels that it is extremely important that the boards take advantage of training opportunities when they are available. In the past, Champion ZBA members have taken more advantage of these opportunities than West Carthage ZBA members.

Brian is appointed by the town and village boards and works at the discretion of the respective boards. He feels like he is acting as a planner in the village. Brian stated that the town and village zoning laws do not mesh too badly. There are changes that can be made to the law that would help make the two laws mesh better. Champion has had frequent changes to their zoning law and West Carthage has recently done some amendments.

Brian feels that combining the town and village planning boards and ZBA's could work. There is a history of the two communities working closely together. They are on the same side of the river and they seem to have some things in common. He wonders who would be responsible for enforcement if the two villages consolidated since there are two different enforcement officers now.

Spoke about why the town and village had not gotten involved with NYS Fire Prevention and Building Code enforcement. One reason is because the law is complicated and it is a tough job. You need someone that has training and is willing to keep up on that training and those people are hard to find. However, residents do not like going to the County to get a building permit because of the location of the offices in the City of Watertown and the distance it is to Champion and West Carthage. Another reason is because the County's building permit fees are expensive.

Brian feels that dissolving the villages into their respective towns makes would make more sense than combining the two villages into one. Carthage and West Carthage are two very different villages. Brian talked about historical functions of the villages. Historically, people worked in Carthage and lived in West Carthage and historically, Carthage had more commercial activity compared to West Carthage's predominately residential nature.

Brian spoke of the good job Gary Wood is doing in Carthage. When Gary decides to retire or is no longer interested in doing enforcement work in Carthage and Wilna, the community is going to have a difficult time finding someone to replace Gary. It is going to be difficult to find one person who understands both zoning and building code.

APPENDIX IV

- Map 1. Jefferson County Highway Map showing Town of Champion, Village of West Carthage, Village of Carthage, and Town of Wilna**
- Map 2. Street Map of the Villages of West Carthage and Carthage**
- Map 3. Village of West Carthage Zoning Map, 1986**
- Map 4. Town of Champion Zoning Map, 1997**
- Map 5. Village of Carthage Zoning Map**
- Map 6. Town of Wilna Zoning Map, April 1987**

APPENDIX V

- 5. Intermunicipal Cooperation/Sharing Building Inspector Model Resolution prepared by the Legislative Commission on Rural Resources**
- 6. Zoning Board Serves Six Local Governments prepared by NYS Department of State**
- 7. Resolution to Jointly Administer a Zoning Board of Appeals**
- 8. Cooperative ZBA Agreement**

Report of the Recreation Functional Group

INTRODUCTION

Purpose

The recreation functional group has been charged with examining the existing provision of recreation services by the Villages of Carthage and West Carthage. In examining the respective provision of recreation services, the functional group is also charged with identifying functional and financial efficiencies that may be realized within the framework of the five management options being studied. This process takes place within the scope of the overall project mission: to analyze, study, and remove, if necessary, organizational and administrative barriers to economic growth and fiscal stability that might exist in and between the Villages...and to identify opportunities for cooperation which could enhance the quality of life, and improve service delivery.

Depending on the level of recreation services a municipality provides, significant costs may be incurred. These costs may involve personnel, public works, and capital expenditures, among other things. The recreation services provided by a community will generally not produce a significant stream of revenue, beyond what is needed for general maintenance and materials, without a corporate sponsorship or charging user fees above and beyond the portion of taxes that are utilized to provide recreation services. Certainly though, recreation opportunities contribute to the quality of life in a community. Providing recreation services is but one component in community development efforts toward economic growth and fiscal stability.

Quality recreation opportunities may contribute to community development, albeit indirectly, in several ways. Obviously, there are the quality of life, peace of mind, and physical fitness aspects of providing recreation opportunity for residents. Recreation opportunities provide a chance for residents to meet people, volunteer, partake in activities, and develop a sense of belonging and a feeling that a community is a pleasant place. These feelings become a reality, and the reality of a pleasant place to live is evident visually, by word of mouth, and by marketing materials. If employment opportunities exist within a reasonable distance, people feel good about locating in such a community. Further, people from other communities may utilize the recreation facilities a municipality provides. Residents and visitors need goods and services which businesses can provide. Business owners and entrepreneurs certainly incorporate quality of life issues, and the health and vibrancy of a community, in their decisions on where to start up, expand, or relocate their operations.

Again, providing quality recreation opportunities is but one tool a community can utilize to achieve economic growth and fiscal stability. The recreation functional group hereinafter will identify functional and financial efficiencies that may be realized by Carthage and West Carthage, and the Towns of Wilna and Champion, working together to provide recreation services.

Process

This report includes an inventory of facilities in the Villages, an examination of how management options may affect the provision of recreation services, barriers that may exist to achieving efficiency goals, and recommendations on how to achieve efficiency goals.

The recreation functional group was coordinated by Tug Hill Commission and Jefferson County Planning Department staff, with oversight by the project steering committee comprised of officials from Carthage and West Carthage. Assistance was provided by respective village clerk offices and the Office of the State Comptroller. It became apparent at the onset of the study that the Town of

Champion and the Town of Wilna were players in this issue also. Assistance was provided by those municipal offices as well.

Staff interviewed key personnel in terms of recreation in both Villages. Summaries of those interviews appear in Appendix A. As well, a meeting focusing on recreation in the Carthage, West Carthage, Champion, and Wilna area was well attended by many involved with the issue. A summary of that meeting is also in Appendix A. The interviews and the meeting provided invaluable information and insight toward successfully completing this report.

INVENTORY

Village of West Carthage

The Village of West Carthage had \$17,906.19 in expenditures for culture and recreation in FY 1998 (as of 12/98), as per the budget in Appendix B. Table 1 provides a comparison of expenditures for "culture and recreation" in FY 1991 through FY 1998 (a list of accounts that are included in the expenditure group "culture and recreation" is in Appendix B).

Currently, the mayor oversees recreation activities in West Carthage. The Village of West Carthage essentially owns and operates the facilities at Franklin Street Playground. The Twin Village Pool, located in West Carthage, is jointly owned by the Villages of West Carthage and Carthage, and the Towns of Wilna and Champion. Additionally, West Carthage owns two boat launches. The Village solely owns the launch adjacent to the railroad bridge and shares ownership of the launch at the Twin Village treatment plant with Carthage.

See Appendix C for an inventory of facilities at Franklin Street Park. In FY 1998 \$20,000.00 is to be allocated toward buildings at Franklin Street. Two dugouts are planned at the Park. These funds are coming from investments the Village has made. In 1997, \$11,000.00 was spent for bathroom rehabilitation. Recently, 1.3 acres were added to the Park, as well as some playground equipment.

The Village of West Carthage Summer Recreation Program is operated at Franklin Street. The program is open to all and is operated Monday through Friday, 9 am to 4 pm, July and August. Staff includes a Director, who is also a Village Board Trustee, and 2.5 assistant directors. The program is monitored by both the Director and the Mayor. Activities include, but are not limited to, arts, crafts, sports, games, and field trips. Approximately 275 children utilize the program. The program received \$1,500.00 in State Aid through the Jefferson County Youth Bureau along with training for assistant directors.

The Twin Village Pool is essentially a dammed stream which has been improved to allow for a safe, organized swimming area. Weather permitting, the area is also used for ice skating in winter. The pool is provided oversight by a Pool Commission made up of members from the four adjacent communities; West Carthage, Champion, Carthage, and Wilna. Each of the four municipalities represented on the Pool Commission contribute funds annually toward the operation and maintenance of the pool. The Pratt Northam Foundation contributes too. In 1998, the Pool fund had a balance of \$6122.45 on 1/1/98, reported receipts of \$16,726.00, and disbursements of \$19,272.68, finishing with a balance of \$3575.77 on 9/14/98. See Appendix B for a breakdown of Pool related expenditures and receipts for 1998. The West Carthage DPW handles most of the day to day operations. As well, the Village handles financial matters related to the Pool.

West Carthage owns approximately 2,000 feet of property along the Black River, 18 acres in total. The Village has been awarded a \$4,000.00 Rural New York Grant to develop a concept plan for a park. Much of this property is classified as wetland, and there is an abandoned oil field on site as well. There exists a desire to develop trails and a boat launch at this site.

Table 1
Comparison of Expenditures - Culture and Recreation
1991-1998

	1991	1992	1993	1994	1995	1996	1997	1998	Average
West Carthage	\$19,968	\$16,883	\$16,175	\$18,081	\$30,249	\$76,471	\$17,364	\$17,906	\$26,637
Carthage	\$70,296	\$57,945	\$56,734	\$60,311	\$55,011	\$70,667	\$56,524	\$60,250	\$60,967

Source:
 NYS Office of Comptroller, Village of Carthage, Village of West Carthage

Village of Carthage

The Village of Carthage had \$60,250.00 in expenditures for culture and recreation in FY 1998 (as of 12/98), as per the budget found in Appendix B. Table 1 provides a comparison of expenditures in FY 1991 through FY 1998 (a list of accounts that are included in the expenditure group "culture and recreation" is in Appendix B).

The Village of Carthage currently owns two recreation facilities. Turning Point Park is located adjacent to the Black River in the Village and is a passive recreation area with a small boat launch. Recreation Park is located on State Street in the Village. Recreation Park is approximately 80 acres in size. This Park has several ballfields, tennis courts, picnic areas, and a covered pavilion, along with a building that houses a meeting/gathering area, restrooms, a concession stand, and storage. For an inventory of facilities at Recreation Park, see Appendix C.

The Village employs a Recreation Director who is in charge of operations at Recreation Park. The Recreation Director has a salary of approximately \$30,000.00. The director has a good working relationship with the Village DPW, and has access to their crews and equipment and to work crews made available through social services agencies. The Recreation Director feels he could use some staff assistance, but is realistic about that not happening and makes do with the resources he has available.

The building at Recreation Park is booked for about 65 to 75 events per year. The Park sees a tremendous amount of youth programs utilizing the facilities and services available there, including baseball, softball, and football programs. There is no charge or fee for use of any of the facilities.

A significant timber harvest was undertaken at Recreation Park as a result of the Ice Storm of January 1998. Funds from the timber harvest, as well as community assistance funds stemming from the closure of the Fort James Mill, are being utilized to fund development of a master plan for Recreation Park. The plan is currently under development with input from various citizen committees.

The Village of Carthage and Town of Wilna are developing a good working relationship, especially in the area of providing recreation services. The Town has stepped forward in the planning process taking place regarding Recreation Park and offered funding and support for the development of a skating and/or multi-purpose facility at that site. As well, the Town has been participating with the Village in the planning and development of Long Falls Park. Long Falls Park is planned to be a passive recreation area located on shoreline and island (Guyots Island) property owned by the Village of Carthage adjacent to the Black River. The Village, with assistance from the Jefferson County Department of Planning, has received a grant of \$175,000 from the Clean Water/Clean Air Bond Act to develop Long Falls Park. The Village served as the applicant to the grant program for this joint project with Wilna.

It should be noted that Carthage and Wilna have entered into an intermunicipal agreement, in accordance with Article 5-G of General Municipal Law, to "create a mechanism for jointly planning enhancements to existing recreation facilities, as well as creation of new recreation facilities for residents of the Village and Town." A copy of the agreement is in Appendix D. Pursuant to this agreement, the Village and Town have created a joint Recreation Council whose purpose it is to recommend to respective governing boards enhancements to existing facilities and development of new facilities. The Long Falls Park Development Project is a direct result of the establishment of this inter-municipal agreement.

Carthage Central School District

The Carthage School District has a variety of recreation facilities typical of a good size school district. The School District has facilities to accommodate football, lacrosse, baseball, soccer, softball, wrestling, basketball, volleyball, tennis, swimming, archery, track and field, and weightlifting.

Spirit of Cooperation

This inventory of recreation facilities would be remiss not to mention the current willingness and desire for the Villages of Carthage and West Carthage, and Towns of Wilna and Champion, to cooperate and work together to provide recreation services in the area. This atmosphere has been documented as the result of a meeting of players from all municipalities which was organized as part of this study. Again, a summary of that meeting is in Appendix A.

OPTIONS

This management study focuses on five management options that the Villages of Carthage and West Carthage may pursue in order to realize functional and financial efficiencies which will facilitate economic growth and financial stability. Again, these options include: dissolution of both Villages, into their respective Towns; consolidation of the two Villages into one Village; formation of a new town with one coterminous village government; formation of a new town without any existing village government; or the use of intermunicipal agreements to achieve functional and financial efficiencies. Following is a discussion of how each of these options would affect the provision of recreation services, efficiencies that might be realized, and steps that would need to be taken to continue to provide recreation services under each option.

The following discussion assumes that the demand for recreation services will not decrease.

Dual Dissolution

- Towns would assume costs of operation, maintenance and development. Based on historical budgets for culture and recreation, this means approximately \$60,000.00 to \$70,000.00 (Carthage has averaged \$61,070 FY 91 to FY 98) annually for Wilna and \$15,000.00 to \$20,000.00 (West Carthage has averaged \$26,637 FY 91 to FY 98) annually for Champion. However, each Village's revenues and resources would be available to the Towns to help offset these costs. Continuation of recreation services that were provided by the Village's may be dependent on the efficiency of the transition in government structure, as well as the priority placed on providing those services by the Towns.
- To retain status quo for the duties of paid staff, the Towns would need to hire recreation staff at least equal to what is currently utilized; a Director at Recreation Park (now Wilna's responsibility) and staff at the Twin Villages Pool (now Champion's responsibility). The Town of

Champion would also be burdened with the recreation related duties of the Mayor of West Carthage.

- Upon examining expenditures in Appendix B, the Towns could realize some savings (perhaps up to \$1,000.00) by eliminating or scaling back Village historian line items. Could also realize some savings (perhaps up to \$500.00 to \$750.00) by eliminating or scaling back celebrations. If celebrations were eliminated or scaled back, events would require less policing, clean up, etc. Other line items, such as library and adult education could be looked at as well.
- There would continue to be divided provision of recreation services by the two Towns. There is a question of whether recreation services would continue to receive the same level of attention or priority.
- The dissolution of the Villages may affect Pratt-Northam donations to the pool (\$3,400.00).
- Would lose approximately \$4000.00 to \$5,000.00 in donations by the Villages toward the Pool.
- Town tax payers would now be contributing to recreation services, as facilities would be the responsibility of the Towns.
- The existing inter-municipal agreement between Carthage and Wilna would be void.
- The additional financial burden may jeopardize Wilna's current willingness to contribute to recreation projects such as skating and/or multi-purpose facility.
- Existing inefficiencies are pushed off to Towns to deal with.

Consolidation Into One Village

- Upon examining expenditures in Appendix B, the Village could realize some savings (perhaps up to \$1,000.00) by eliminating or scaling back Village historian line items. Could also realize some savings (perhaps up to \$500.00 to \$750.00) by eliminating or scaling back celebrations. If celebrations were eliminated or scaled back, events would require less policing, clean up, etc. Other line items, such as library and adult education could be looked at as well.
- The new/remaining Village would assume the subsidy of the pool that was previously contributed by both Villages.
- One Town may lose a portion of its tax base, depending on which Town the new/remaining Village was part of. However, the new/remaining Village could be part of both Towns, as is the case elsewhere in Jefferson County with the Villages of Glen Park and Black River.
- The pool contribution (\$3,400.00 - \$4,400.00) from the Town that is not associated with the new/remaining village could be affected, as well as that Towns willingness to cooperate on projects. However, as stated above, the new/remaining Village could be a part of both Towns.
- Town taxpayers still would not be contributing to recreation services provided by the new/remaining village, but would continue to utilize facilities.
- The new/remaining village may realize economies of scale in purchasing and utilizing equipment and materials, as well as realize benefits in scheduling use of facilities.
- The new/remaining village may wish to restructure personnel and duties related to recreation. This may require more compensation.

- Efficiencies realized in other departments/functional areas of the new/remaining village may lead to more resources to allocate toward recreation.

Forming A New Town With One Coterminous Village Government

- A new Town may lose the support and cooperation of Wilna and Champion due to the loss of a portion of their tax base. Town contributions to the Pool could be impacted (\$7,800.00) and Towns' willingness to cooperate on recreation projects could diminish.
- Upon examining expenditures in Appendix B, the New Town could realize some savings (perhaps up to \$1,000.00) by eliminating or scaling back Village historian line items. Could also realize some savings (perhaps up to \$500.00 to \$750.00) by eliminating or scaling back celebrations. If celebrations were eliminated or scaled back, events would require less policing, clean up, etc. Other line items, such as library and adult education could be looked at as well.
- The new Town may realize economies of scale in purchasing and utilizing equipment and materials, as well as realize benefits in scheduling use of facilities.
- The new Town may wish to restructure personnel and duties related to recreation. This may require more compensation.
- Efficiencies realized in other departments/functional areas of the new Town may lead to more resources to allocate toward recreation.

Forming A New Town Without Any Existing Village Government

- A new Town may lose the support and cooperation of Wilna and Champion due to the loss of a portion of their tax base. Town contributions to the Pool could be impacted (\$7,800.00) and Towns' willingness to cooperate on recreation projects could diminish.
- Upon examining expenditures in Appendix B, the New Town could realize some savings (perhaps up to \$1,000.00) by eliminating or scaling back Village historian line items. Could also realize some savings (perhaps up to \$500.00 to \$750.00) by eliminating or scaling back celebrations. If celebrations were eliminated or scaled back, events would require less policing, clean up, etc. Other line items, such as library and adult education could be looked at as well.
- The new Town may realize economies of scale in purchasing and utilizing equipment and materials, as well as realize benefits in scheduling use of facilities.
- The new Town may wish to restructure personnel and duties related to recreation. This may require more compensation.
- Efficiencies realized in other departments/functional areas of the new Town may lead to more resources to allocate toward recreation.

Intermunicipal Agreements

- Easily accomplished and facilitated through General Municipal Law.
- May include Towns in intermunicipal agreements. Brings Towns to the table voluntarily.
- The Towns would now be cooperating and contributing to planning and development.

- Upon examining expenditures in Appendix B, the Villages could realize some savings (perhaps up to \$1,000.00) by eliminating or scaling back Village historian line items. Could also realize some savings (perhaps up to \$500.00 to \$750.00) by eliminating or scaling back celebrations. If celebrations were eliminated or scaled back, events would require less policing, clean up, etc.,
- The municipalities may realize economies of scale in purchasing and utilizing equipment and materials, as well as realize benefits in scheduling use of facilities, planning and development, pooling resources, and accessing grant funds and donations.
- Efficiencies realized in other departments/functional areas stemming from intermunicipal agreements may lead to more resources to allocate toward recreation.

Summary

Regardless of which option is chosen, the demand for recreation services, and the need to plan and develop recreation services from a community development standpoint, remains the same.

The first four options appear to shift burdens from one municipal entity to another. This is true where the Villages would dissolve into their respective Towns, a new town would be formed, or where the Villages would consolidate and join with one or both of the Towns. All options, except the use of intermunicipal agreements, have the potential to pose a significant impact upon the existing Towns. Support and assistance in providing recreation services from existing Towns may diminish as one of the Towns' tax base is affected by a chosen option. Namely, Wilna or Champion may see themselves competing for tax revenue with a newly created municipal entity. The current willingness by all municipalities to participate in recreation planning and development could be jeopardized if one or two of the municipalities is faced with a shift in their tax base as a result of an option chosen.

It does not appear that there is much excess to be trimmed by either Village. Perhaps expenditures related to celebrations, historians, adult education, or libraries could be evaluated, but these are not significant expenditures, especially when weighed against their relative importance to the communities.

All options, other than dissolution, would probably enable municipalities to realize economies of scale in purchasing and utilizing equipment and materials, as well as to realize benefits in scheduling use of facilities.

Intermunicipal agreements appear to be a beneficial option for the recreation functional area. This is based on the fact that there currently exists a spirit of cooperation in recreation planning and development. By utilizing intermunicipal agreements, this spirit of cooperation may be retained and all parties are brought to the table voluntarily. Economies of scale in purchasing and utilizing equipment and materials could be realized on a greater scale with all four municipalities cooperating and contributing. Benefits in scheduling use of facilities could be realized. As well, the "regional" spirit of cooperation and planning would likely improve the chances of obtaining grant funding and contributions for projects.

BARRIERS

In regard to the recreation functional area, no legal barriers have been identified relative to the management option possibilities. The means of providing recreation services would be dictated by an option chosen, and how funds and resources were chosen to be allocated as a result of a management decision.

The formation of a new town may see some opposition from existing Towns. Support and

assistance in providing recreation services from existing Towns may diminish as their tax bases may be affected by formation of a new Town. The "competition" generated by the formation of a new Town could jeopardize the willingness of a Town(s) to contribute to providing recreation services and related planning and development.

In general, the current willingness by all municipalities to participate in recreation planning and development could be jeopardized if one or two of the municipalities is faced with a shift in their tax base as a result of an option chosen.

New York State law is not a barrier to promoting intermunicipal agreements and cooperation. Article 5-G of New York State General Municipal Law is the statutory basis for intermunicipal cooperation. This statute provides broad authority for municipalities to cooperate with each other in carrying out their responsibilities. The existing inter-municipal agreement between Carthage and Wilna (see Appendix D) which creates a mechanism for jointly planning improvements to, and creation of, recreation facilities, is a good example of the legislative intent to allow municipalities to promote efficiency and economy in the provision of services.

Two basic types of municipal cooperation agreements are possible pursuant to Article 5-G. Participating municipalities may agree to jointly or cooperatively perform a particular activity or project, in which case there may be a pooling of resources to achieve a mutually beneficial goal. Alternatively, one or more of the participants may contract to provide a service or perform a function for the other participants.

As with all the functional areas, and the overall management study in general, barriers to change may exist due to parochialism. Municipal employees as well as residents of either Village may be resistant to change based on past biases or perceived threats to community identity.

RECOMMENDATIONS

A review of the options does not identify any significant possibility for cost savings, when the demand for recreation services will remain the same or increase. Some savings may be realized within the line items for historians, celebrations, adult education, and/or libraries. However, these are important community expenditures and would likely be very sensitive to any reductions.

The goals of attaining financial and functional efficiency in the provision of recreation services can best be achieved via the use of intermunicipal agreements. Other options are not viewed as favorably as intermunicipal agreements due to the possibility of alienating a municipality by implementing an option that would impact that municipality's tax base. Further, the current opportunity for cooperation among all four municipalities to provide recreation services may be jeopardized by said alienation. The utilization of intermunicipal agreements can realize the greatest amount of efficiency while bringing to the table all municipalities that benefit from recreation services in the two Villages. All of the advantages (economies of scale, cost sharing, community development, planning, scheduling) may be realized without alienating a municipality. All other options would likely alienate some of the municipal players who are currently ready and willing to act cooperatively under the existing management structure.

Again, a meeting on recreation in Carthage, West Carthage, Champion, and Wilna area was convened as part of this project. One of the main points stressed at that meeting was that now is a perfect opportunity for the four communities to begin to cooperate and work together to provide for recreational opportunities. It was noted at the meeting that there currently is a lack of planning for recreation facilities among the four communities, and further, the Towns are not financially contributing to Village recreation.

Carthage and Wilna have entered into an intermunicipal agreement which does voluntarily bring Wilna to the table financially. Including the Towns, in a voluntary manner, in the provision of

recreation services makes sense in several ways: realizing economies of scale and pooling resources together; getting all parties to contribute financially; sound planning and community development with a more regional outlook; and greater opportunity for grant money with regional projects.

Including the Towns, in a voluntary manner, in the provision of recreation services can be accomplished quite simply, if not easily, via inter-municipal agreements. This study puts forth that the Villages of Carthage and West Carthage should utilize inter-municipal agreements regarding the provision of recreation services. This is suggested in order to not only realize financial and functional efficiencies, but to also support and facilitate quality community development. Further, the Villages of Carthage and West Carthage should include the Towns of Wilna and Champion in any inter-municipal agreements dealing with planning and developing recreation services. Including the Towns makes sense in order to put a regional focus on these efforts. Being located at the County border, with Fort Drum to the north, and the common focal points of the Black River and the two Villages, such a region makes physical as well as financial and functional sense. As those present at the recreation meeting pointed out, this region of Jefferson County has a significant amount of untapped potential when it comes to recreation. This potential generally revolves around the Black River, recreation trail development, passive recreation, and organized team sports.

Actions

- Form a Recreation Commission made up of representatives of the four municipalities.
- Develop intermunicipal agreements similar to the one existing between Carthage and Wilna. Begin to identify and implement initial actions that can be taken to realize financial and functional efficiencies.
- Produce a Recreation Master Plan (which includes an inventory of existing recreation facilities and a recreation needs assessment) that puts forth a prioritized menu of projects and initiatives appropriate to be undertaken by municipalities. In doing so, personnel needs and sources of assistance should be identified, as well as potential funding sources.
- Include Carthage Central School District as a player. They stand to benefit from the development of certain types of facilities (such as trails and access sites) and the District owns a significant amount of facilities and equipment.
- Be prepared to take advantage of any striking moments or opportunities, such as: the closing of West Carthage Elementary School; a property being put up for sale; or funding opportunities. A well developed Recreation Plan will help with preparedness.

CONCLUSION

Recreation services provided by a community will generally not produce a significant stream of revenue, beyond what is needed for general maintenance and materials, without a corporate sponsorship or charging user fees above and beyond the portion of taxes that are utilized to provide recreation services. However, providing recreation services is but one component in a community's drive toward economic growth and fiscal stability

The recreation functional area portion of this study promotes the use of inter-municipal agreements as a means of not only realizing efficiencies in the provision of recreation services, but to also improve that provision of services to contribute to the quality of life and development of the Villages of Carthage and West Carthage and their surrounding communities.

APPENDICES INDEX

Appendix A

Recreation Meeting Summary



Recreation

Meeting on Recreation in Carthage/West Carthage/Champion/Wilna Area

Tuesday, December 1, 1998, at 4:00 p.m. at the West Carthage Village Hall, 61 High Street

Donald Getman	Mayor, Village of West Carthage
Wayne McIlroy	President-Elect, Village of Carthage
Sean McHale	Trustee Elect, Village of Carthage
Mike Sligar	Trustee Elect, Village of Carthage
Terry Buckley	Supervisor, Town of Champion
Tom Stewart	Councilman, Town of Champion
Ron Rock	Councilman, Town of Wilna
Jean Waterbury	Tug Hill Commission
Steve Fort	Jefferson County Department of Planning
Laird Petrie	Office of the State Comptroller
Carol Hawn	Office of the State Comptroller
William Blunden	Supervisor, Town of Wilna
Mike Bezanilla	Trustee, Village of West Carthage
Kent Burto	Trustee, Village of West Carthage

SWOT Exercise on Recreation in Carthage/West Carthage/Champion/Wilna

What are the Strengths in the communities as it relates to recreation opportunities?

- Facilities that are already existing and shared...ball diamonds, playgrounds, and pool.
- The Black River is a strength that could become the focal point for the two villages.
- Already have a Swimming Pool Commission that all 4 municipalities contribute to.
- The school district has many great recreation facilities...everything from an indoor pool, tennis courts, and ball fields, to playgrounds and tracks.

- The communities have recreation expertise...a Recreation Director in Carthage, part-time recreation program director in West Carthage.
- The communities have many clubs, organizations and associations to draw from...little league, Pop Warner, soccer program, The Boys Club, 4-H Club, The Grange, Boy Scouts/Girl Scouts, women softball league, walking program.
- The rural character of the area is a strength...low crime, beautiful scenery.
- Carthage/Wilna recently was awarded a grant to develop Long Falls Park along Black River.

What are the Weaknesses in the communities as it relates to recreation opportunities?

- The school district facilities are not being used to their fullest potential.
- The use of school district facilities is not coordinated for fullest and best use.
- There is a lack of programming coordination of recreation facilities between the two villages.
- There is no where for skate boarders to skate safely...need to consider a facility for skate boarders.
- There is a need for more lighted athletic fields.
- There is a need for more passive recreation areas.
- There are many hurdles to jump over in order to develop or access the Black River, i.e. DEC-wetlands, Corp of Engineers.
- There are liability issues to consider in developing the Black River.
- There are 4 different communities going their own way and doing their own thing with a lack of communications between the communities.
- The towns are not adding to the recreation effort in the villages financially.
- There is a lack of certain types of recreation facilities, i.e. a creative playground, picnic areas, trails.
- The Swimming Pool Commission needs to work better.
- The swimming pool needs to be in a better location because there is a concern about the health and safety factor of the beaver dam just above the pool and the water is too murky to be safe to swim.
- There is a lack of pooled dollars to do big-ticket projects.
- There is a lack of tourism to support big recreation facilities.
- Limited volunteer resources to get other people involved and things done.
- There are a few people volunteering to work on lots of projects and these people are getting burnt out.
- There is a lack of commitment in the community to get involved.

What are the Opportunities in the communities as it relates to recreation opportunities?

- There is a perfect opportunity for the 4 communities to cooperate and work together to provide for recreational opportunities in the area.
- If the communities work together to show a regional need for a recreation facility, there is a greater opportunity for grant money to fund the project.

- The communities can work together to show a recreation need and get local businesses interested in contributing to the project.
- There is an opportunity to work with the school district in order to utilize the school district facilities better.
- West Carthage Elementary School will be closed and the recreation facilities on the school property will be available to the communities to do something with.
- There is an opportunity to do more with the Black River and to use it as a centerpiece in the community.
- There is an opportunity and interest in developing Carthage Recreation Park.
- There is an opportunity to do more for snowmobilers and provide a link between Lewis and St. Lawrence counties, possibly in cooperation with Fort Drum.
- There is an opportunity to do more for ATV's.
- There is an opportunity to utilize abandoned railroad beds for linear parks or recreation trails.
- There is a need to put a recreation plan together to address the recreation needs of the region...to think big and dream.

What are the Threats in the communities as it relates to recreation opportunities?

- The communities have the potential of running out of volunteer help...people get burnt out.
- There are different visions in each community.
- There is the real possibility that a municipality will be sued.
- Liability is a real concern.
- There are regulatory stumbling blocks that discourage development of certain recreation facilities.
- The cost of protecting the municipality is expensive.
- West Carthage Elementary School will be closed and the recreation facilities on the school property will be eliminated.

What efforts or steps can be taken now towards a cooperative effort?

- Form a joint Recreation Commission between the 4 municipalities.
- Work together to address the West Carthage Elementary School issue.
- Set a date for a working meeting of the 4 municipalities to begin inventory work and establish wish list.

Carthage-West Carthage Consolidation Study
Economic Development Functional Group
October 27, 1998

Those in attendance included: Bob Sturtz, Slack Chemical; Warren Kennenhan, President Carthage; Don Getman, Mayor West Carthage; Scott Gray, Gray's Flowers; Tom Sauter, West Carthage; Tom Piche, Carthage Savings & Loan; Robert Strieff, Carthage; Steve Gamble, Gamble Distribution.; Robert Gormley, EDCC; William Dalton, West Carthage; Mike Lundy, LUNCO; Urban Hirsche, Climax Manufacturing; Richard Goodspeed, West Carthage; Kent Burto, West Carthage; Bill Blunden, Town of Wilna; Jim Edmonson, JCJDC.

The meeting lasted about one and one half hours with the discussion focusing on the outline for Functional Area Reports. The geographic scope of the discussion included both villages and both towns. When we speak of the community, it is meant to be the area represented by the four jurisdictions including; the villages of Carthage and West Carthage and the towns of Champion and Wilna.

Inventory - No single report catalogs previous studies or plans. No coordinated community comprehensive plan exists. Individual community comprehensive plans are outdated. The community lacks a clear vision or plan for development. A community plan is needed beginning with a community wide inventory of assets, and analysis of existing plans and reports to contribute toward a comprehensive community plan. The school district should be included in the process. The Zogby (?) Report addresses some development issues. Most share a joint vision of a community industrial park located in West Carthage. Likewise, all share the opinion to re-use the Carthage Mill, Carthage Machine, and the Kamine-Besicorp co-generation plant as industrial facilities.

Review Options - All shared the opinion that cost savings may be achieved in some functional areas of government and should be examined. The group had no clear consensus, however, on which areas to pursue and which would produce the best results. More information would have to be developed to make these determinations. All agreed the sewerage district is a model for shared services. Other areas to examine for shared services should include fire protection, police protection, municipal and town offices, planning boards and economic development. Fragmentation of services by governments dilutes effect of corporate giving. Consolidation of effort would maximize contributions and lead to increased giving. Fragmentation of laws and community vision hinders growth and development. Collectively need to pay more attention to Fort Drum as an economic opportunity.

Barriers to Change - The group is not qualified to determine the legal barriers to change but felt if change is a consensus opinion and the barrier is legal, then the law should be changed. Barriers identified included multiple planning boards, and differing laws and permit requirements, and complicated processes. The community lacks a single advocate or voice for development.

Recommendations - Jointly fund and support community-wide permit, planning, economic development person. Adopt similar building and property maintenance codes. Expand the jurisdiction of the Economic Development Corporation of Carthage to be community-wide. Consolidate fire services. Invest in current industries to grow them and retain the jobs we have. Revitalize State Street. Re-use Carthage Mill, Machine and co-gen.

The groups vision of the future is a unified community where citizens share a common vision for the future with a new sense of instilled pride. The Carthage community of the future is one as a bedroom community with quality housing opportunities and excellent quality of life assets including the schools, landscape and the river. The community will have a diversity of small industries and the downtown will be revitalized. The community will be a destination location for its shops, recreation opportunities, schools, and quality of life attributes with interests and programs for kids and adults alike.