Shared Services Review:

Building Services, Municipal Drainage Services, IT Services

for the municipalities of:

Town of Pelham

City of Port Colborne

Township of West Lincoln

Township of Wainfleet

Prepared by: GM BluePlan Engineering Ltd

July 2020

TABLE OF CONTENTS

List of Tables & Figures

Appendix A – Documentation of IT Services Discussions

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1. INTRODUCTION

In early 2020 the province of Ontario, through its Municipal Modernization Program, invested in 27 projects to help municipalities conduct service delivery reviews aimed at finding efficiencies and lowering costs in the longer term[1]. The Town of Pelham was successful in its application to receive funding from the Province for two projects to review the benefits of sharing Building Services, Municipal Drainage Services, and IT Services with local Niagara area municipalities.

Table 1-1: Projects Receiving Provincial Funding

Project	Participating Municipalities	Project Objectives
1) Shared Services Review of Building Services & Municipal Drainage Services	• Town of Pelham • City of Port Colborne • Township of Wainfleet • Township of West Lincoln	Sharing the delivery of these services with the goal of providing efficiencies and consistency in service delivery, improving customer service, and offering service enhancements.
2) Shared Services Review of IT Services	• Town of Pelham • Township of Wainfleet	Sharing IT infrastructure (hardware, software, and IT support staff) with a goal of attaining efficiencies and improved customer service resolutions for all IT related requests to the users.

GM BluePlan Engineering Ltd. (GMBP) was engaged to assist in delivering both projects. A consultative approach was used to assess and identify potential models for sharing services between the participating municipalities for their mutual benefit.

[1] https://news.ontario.ca/mma/en/2020/01/ontario-investing-in-smarter-local-service-delivery.html

This report represents the final deliverable of the engagement. The first two chapters discuss in general terms the benefits and objectives of sharing municipal services and describe GMBP's methodology and approach to analysing the current state. Service area specific information and the results of our analysis can be found in subsequent sections of this report - **Chapter 4 Building Services, Chapter 5 Municipal Drainage Services, and Chapter 6 IT Services.**

1.1 Benefits of Sharing Municipal Services

Sharing services across multiple organizations is an effective way for municipalities to increase efficiency with respect to resource planning (staff, materials, contract administration) and decrease inefficiencies through the reduction of duplication, overlap, and redundancy.

Sharing services is an option for municipalities that are aligned in the following ways:

1) Common interest:	All parties must be clear about their goals and a service agreement must achieve the goals of all groups.
2) Mutual benefit:	All parties must gain from the agreement in proportion to their contribution.
3) Cost effectiveness:	The cost of administering the agreement must be balanced favourably against the value of the partnership.

A shared service structure aims to bring together resources, functions, processes, and skills from dispersed organizations to create economies of scale, increase standardization, pool skill sets, and generate the critical mass required to yield a positive return.

A successful shared service implementation can result in:

- Cost efficiency and economies of scale
- Access to specialized skills and resources
- Improved service
- Increased municipal capacity.

Obstacles to sharing may include:

- Impact on existing service levels
- Support of staff and labour relations
- Support of the public
- Accountability
- Cost allocation.

1.2 Objectives of the Shared Service Model:

Based on input from Pelham Project Managers, the project Terms of Reference, and interviews with the four participating CAOs, several objectives for a shared service model were identified. Through sharing of services, the four municipalities are seeking to:

- Find efficiencies that result in cost savings in the long term.
- Find process and procedural efficiencies that reduce or eliminate waste or duplication.
- Find opportunities to standardize or make consistent the delivery of service across all four jurisdictions.
- Enhance the customer experience.
- Reduce the organizational risks associated with vacancies in roles critical to the organizations i.e., jobs that fulfill regulatory or mandated functions.
- Increase staff retention so that a return on the investments of training and onboarding can be realized.

Throughout the assignment these objectives were referenced to ensure the analysis and recommendations were appropriate

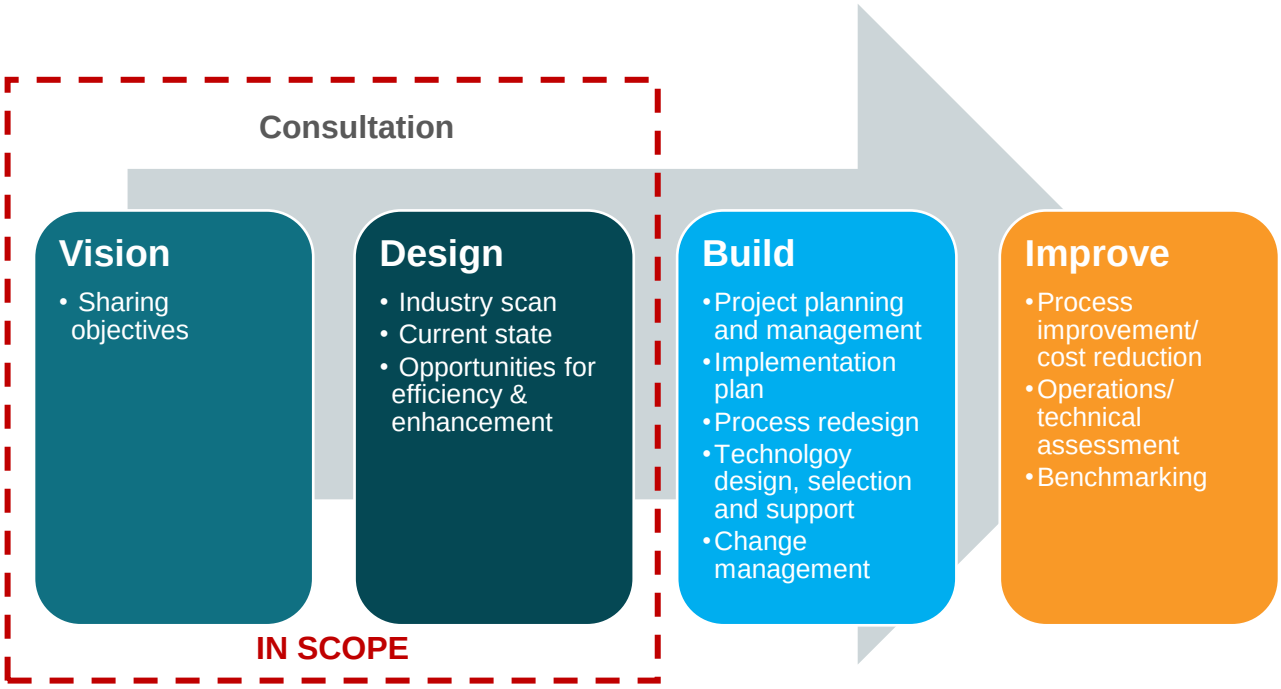
2. METHODOLOGY

For assignments of this nature, where multiple municipalities, each bringing their unique set of challenges and service levels, seek opportunities to share and gain efficiencies GMBP tailors the project methodology to match Terms of Reference and the objectives identified by project stakeholders. The following section describes the methodology used to derive recommended models for sharing services.

2.1 Approach

GMBP applied a generic shared service review approach (see Figure 2-1) to guide our project work at a high-level and across the review of all three services – Building Services, Municipal Drainage Services, and IT Services. Adopting this approach allowed the project team to be mindful of those elements/tasks that are part of a full implementation of a Shared Service Review but out of scope for this assignment. For example, defining a vision for shared service, while not included in the GMBP scope of work, would be useful in focusing efforts on specific areas of the analysis. To satisfy this element for the purposes of our assignment, brief interviews were conducted with the Chief Administrative Officer from the participating municipalities to gain sufficient understanding regarding desired outcomes.

Figure 2-1: Approach to a Shared Service Review



2.2 Evaluation Framework

Through interviews and data collection activities, GMBP gathered the information required to assess at a high level the current state at each of the municipalities within three elements of service delivery:

1) People
2) Process
3) Technology

These three elements are often referred to as the 'Golden Triangle', and a balanced framework of these fundamental elements can help an organization achieve harmony and can be used to identify opportunities for improvement. People perform a specific type of work for an organization using processes (and often, technology) to streamline and improve processes. Table 2 describes the People, Process, and Technology framework in more detail.

Table 2-1: Elements of Service Delivery

Element	Description	Consideration
People	• Job functions • Qualification, expertise, competencies • Training, skills development • Resource Management and Succession Planning • Scalability of Operations	• Maximize the benefits to each municipality through leveraging qualifications and experience of the group and by realigning resources to more directly satisfy core functions at the appropriate level within the organization. • Maximize the ability to scale up operations to support higher volumes of permit application. • Minimize organizational risk through the development of a talent pool to facilitate succession planning and career advancement.
Process	• Legislation • Corporate requirements and standards • Scope of service • Best practices • Work flows	• Maximize process efficiencies that: ○ standardize process and performance measures in order to gain greater reliability of outcomes ○ reduce cost as a result of economies of scale ○ positively impact the customer's experience ○ enable flexibility, scalability of service and access to data required for decision making.
Information & Technology	• Tools that enable business process	• Maximize opportunity to consolidate and integrate systems and increase access to data

Using this framework, evaluations of current state and sharing models can be consistently applied.

2.3 Consultation

Critical to GMBP's approach to shared service reviews is effective and inclusive consultation. This project was conducted entirely during the COVID-19 Pandemic which presented unique challenges to consultation. As a result of social distancing, and in the interest of the health a safety of project participants, all interactions between the consulting team and the participating municipalities were done remotely. In the place of workshops and in-person meetings, the team held one-on-one phone call interviews and relied on email correspondence to gather input and information.

Overall the project benefited from this personalized level of intense consultation and the consulting team very quickly became aware of issues specific to each jurisdiction. One draw back, however, was the limitation of staff time. Throughout this project, key staff were working under extenuating circumstances and were not always able to dedicate the hours required to collect information or respond to information requests. A considerable effort was put forward by the staff involved however, some of the data requested was not made available for analysis. Due to the provincial deadline of June 2020, the consulting team had to proceed with the information provided and used qualitative measures to assess efficiency where it was not possible to quantify benefits. The Shared Service review was thoroughly conducted, and the resulting recommendations were thoughtfully prepared.

A special thank you is offered to the following staff for their commitment to this effort and their participation despite the many demands of providing essential services.

Table 2-2: Project Stakeholders

Stakeholder	Municipality
Barbara Wiens, Project Manager	Pelham
Mike Guglielmi, Project Manager	Pelham
David Cribbs, Chief Admin Officer	Pelham
William Kolasa, Chief Admin Officer	Wainfleet
Bev Hendry, Chief Admin Officer	West Lincoln
Scott Luey, Chief Admin Officer	Port Colborne
Mike Zimmer, Chief Building Official & Drainage Superintendent	Pelham
Dave Methot, Chief Building Official	Wainfleet
Todd Rogers, Chief Building Official	Port Colborne
John Schonewille, Chief Building Official	West Lincoln
Brian Treble, Director of Planning & Building	West Lincoln
Mark Jemison, Drainage Superintendent	Wainfleet
Alana Vander Veen, Drainage Superintendent	Port Colborne
Darius Zelichowski, IT Manager	Wainfleet

3. FINDINGS & RECOMMENDATIONS

The findings and recommendations presented in this Chapter represent a summary of the work detailed in Chapters 4, 5, and 6.

Findings and Recommendations are based upon:

- Documents and information forwarded by stakeholders
- Interviews with 14 individuals
- Twelve service review interviews
- An industry scan of leading practices in public sector shared services
- Expertise and experiences of GMBP.

3.1 Industry Trends in Municipal Shared Services

The purpose of the industry scan is to shed light on and deepen our understanding of the various benefits and risks of shared services. Industry research and discussions with municipal leaders revealed a high level of shared service delivery trends.

- Sharing services under a formal agreement is a frequently occurring practice in Ontario and meets the requirements of the Municipal Act.
    - Section 20 of the Municipal Act provides municipalities in Ontario with the legal authority to enter into shared service agreements. The legislation does not prescribe explicit restrictions as to what and who a municipality can share. Under Section 20(1) of the Municipal Act - Joint undertakings:
        - "A municipality may enter into an agreement with one or more municipalities or local bodies, as defined in section 19, or a combination of both to jointly provide, for their joint benefit, any matter which all of them have the power to provide within their own boundaries."
- A survey conducted by the Ministry of Municipal Affairs and Housing in November 2012 found that 400 of Ontario's 444 municipalities participated in some form of share service agreement.
- A survey published in 2014 by the Ministry of Municipal Affairs found cost sharing, lower costs, and improved delivery as the three most popular benefits of shared services, and that council support, trust among partners, and staff buy-in were the three most popular factors for success.

- A 2016 survey conducted by KPMG identified Building Services and IT among the most commonly shared services among Ontario Municipalities.
- 52% of municipalities in Western Ontario share municipal planning & building services[2].
- Sharing services is thought to be cost effective for services spread out over a large geographic area.
- The Ministry of Finance has identified the aging population as the greatest demographic trend facing Ontario and issues related to an aging workforce will need to be addressed in future plans.

3.2 Types of Sharing Agreements

Many options for structuring a formal shared services agreement[3] are available. Those relevant and potentially viable for the objectives of this assignment are described below.

- Memorandum of Understanding - Municipalities can enter into a non-legally binding agreement to share services that describes mutually accepted expectations of all the parties involved.
- Partnership - Two or more organizations can come together to provide a service/function for joint benefit at joint cost. The contributions of all parties do not have to be equal. This option may be used when participating organizations have an interest in shared control and cooperation and neither party can afford to operate and maintain service independently. This can apply in almost any service context.
- Intergovernmental Service Contracts - Intergovernmental contracts exist when one organization pays another for an extension of service. Agreements can specify an ongoing, defined level of service or services can be provided on an 'as needed' basis. Service providers may want to take advantage of economies of scale, while service recipients may want access to expertise. This option is used when smaller communities need to expand operations, which could involve new staff, goods,

[2] https://www.amcto.com

[3] https://www.amcto.com/getattachment/0cdf4352-2b7b-4ac6-8745-52f80226c44e/.aspx

internal functions or services. They are used to defray high costs of emplacing a new service or responding to increasing service demands. They are primarily used when there is a sporadic demand for service or a combination of a large area and a small rural population to service. Special attention to fair apportionment is addressed in the agreement, including processes to ensure workload is fairly apportioned.

- Automatic Aid Agreement - Can be used in the event of equipment breakdown, for contingencies or if services are needed on loan. They are more typical to emergency services but may also apply to Municipal Drainage unplanned service requirements.
- Joint Hiring - Municipalities can jointly contract individuals or departments to provide services as a delegation of their powers and duties. The joint hire can perform the same duties for all employers or duties can be tailored as needed.
- Joint Services Committee - Committees can be developed to facilitate cooperation and coordination among organizations. They are generally non-binding discussion forums and can be a precursor to more formal shared service arrangements.
- Municipal Services Corporation - Municipalities can create MSCs to delegate their powers or duties to a corporation with respect to oversight and service programming.

The first three agreements described above are considered most suited to the objective of this assignment.

The Fundamentals of a Sharing Agreement should cover:

- **Scope and division of responsibilities (who does what)**
- **Term of the shared service**
- **Costs**
- **Overall objectives**
- **Dispute resolution**

3.3 Recommended Models

An opportunity for efficiency or enhancement includes any potential change that would result in improvement to a process or an output. Specific to this assignment, GMBP looked for opportunities where sharing a service could reduce risk, offer potential cost savings or enhance the customer experience.

Based on the explorations of this assignment, the following recommended models are proposed.

Recommended Shared Service Model for Building Services

Discussions with staff and customers revealed that all four municipalities can process requests, answer queries, and issue permits and inspections within reasonable and regulated timelines. GMBP did however find that all four municipalities had concerns regarding filling and retaining qualified CBOs and inspectors, and we found some issues regarding the scalability of the services. Due the requirements of the Building Code and its prescribed processes we believe Building Services to be a good candidate for sharing.

The recommended Model for Building Services is a **Fully Shared Building Services Model.** This model will minimize the risks associated with resourcing by providing a pool of professionals that can be optimally utilized and provides scalability and flexibility to respond to fluctuations in demand for service.

With the critical mass of a seven-person team servicing the four municipalities, this model provides maximum opportunities to standardize practices, procedures, and workflows, adopt best practices, and make service levels consistent.

This model is especially advantageous when e-permitting software is implemented. Not only will the participating municipalities benefit from a shared purchase agreement, but also in the development of the tool, training of staff, and development of supporting workflows.

Although the recommended sharing scenario would result in a significant internal change to Building Service, it is anticipated that the impact of change to the customer (i.e., would be negligible, and would result in improved customer service.

Details of the Building Services review and the recommended options can be found in Chapter 4.

Recommended Shared Service Model for Municipal Drainage Services

GMBP found that Drainage Services in the four participating municipalities are meeting the service objectives and needs of their organization. We did not find any reason to suggest changes that would significantly impact staff or customers. The following recommended options offer low impact efficiencies that could result in improved coverage, flexibility, scalability, and specialization.

Municipal Drainage Services across the four participating municipalities fall into two significantly different approaches to drain management – a group who maintain their network preventively, and the other who is reactive. As a result, two levels of municipal drainage sharing models are presented – sharing models for municipalities using a reactive (complaint-based) approach and using a preventive approach.

Reactive Approach: GMBP recommends Pelham and West Lincoln share one Drainage Superintendent between both municipalities. This shared staff member would coordinate with Finance, Planning and Tax staff from respective municipalities as required. The agreement allows for one municipality to employ the Drainage Superintendent and extend services to the other. GMBP believes that one FTE could cover the requirements of both municipalities, enable Pelham to untangle the Superintendent role from the CBO role, and provide West Lincoln an opportunity to establish the service in house.

Preventive Approach, Shared Temporary Coverage: GMBP recommends Wainfleet and Port Colborne consider entering an agreement to share staff for temporary coverage for vacations, sickness, demand or short-term vacancy, on an as-needed basis. The agreement allows for one municipality to borrow from another for short-term coverage.

Details of the Municipal Drainage Services review and the recommended options can be found in Chapter 5.

Recommended Shared Service Model for IT Services

IT Services in Pelham and Wainfleet are already efficient/lean from a people perspective (the number of staff each IT staff support is relatively high). And although both departments can respond to the requirements of their respective organizations GMBP found little room for scalability and flexibility to respond to increased pressures associated with future IT trends – i.e., remote connectivity, increased online collaboration and consultation, and cyber threats.

GMBP recommends that Pelham and Wainfleet enter into a **Partially Shared IT Services** model, whereby the organization, through formal agreement, would share an IT resource, share after hours on call duty, and jointly procure hardware, software, and contracted

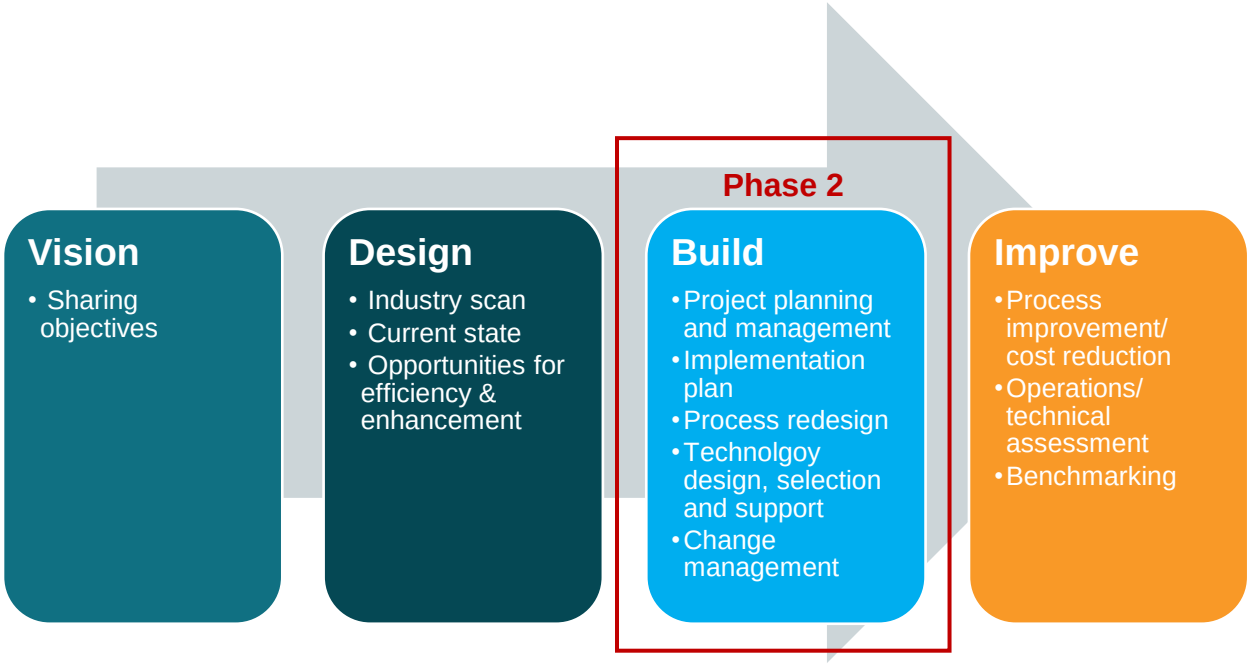
service when mutually beneficial. This option provides both municipalities with opportunity to reduce risk, increase the scope of IT Services at both organizations, find cost savings, and provide small efficiencies. One significant benefit is that the transition from current state into this model would be relatively low impact and cause minimal disruption to IT Services and the users they support.

Details of the IT review and the recommended options can be found in Chapter 6.

3.4 Recommended Next Steps

The next step in the Shared Service Process is "BUILD". Following a review of the recommended sharing options, GMBP recommends the participating municipalities agree on service specific sharing objectives, and define some performance benchmarks to guide the planning, and execution activities associated with building the shared services.

Figure 3-1: Shared Service Process



BUILDING SERVICES

4. BUILDING SERVICES REVIEW

This chapter provides information specific to the GMBP review of Building Services in the four participating municipalities and an analysis of different options for sharing services amongst the jurisdictions. The scope of the Building Services Review consisted of the following tasks:

- Review tasks required in the delivery of Building Services.
- Review personnel required to complete tasks (skill requirements, workload and work cycles, recruitment and retention issues, and salary costs).
- Undertake stakeholder consultation to understand customer experience and opportunities for service enhancements.
- Undertake a review of the shared models in other jurisdictions as it relates to personnel requirements, costs and efficiencies in the delivery of the Services and customer service.
- Identify a preferred shared model for the delivery of shared Building Services across Pelham, Port Colborne, West Lincoln and Wainfleet.

4.1 Industry Scan

GMBP's industry scan reviewed industry trends and activity that would help inform participants of different service sharing options. Relevant to Building Service is a recent consultation lead by the Ministry of Municipal Affairs and Housing who proposed changes to how the Province delivers its services related to the Ontario Building Code. There have been no resulting changes that would impact this project at this time of this report.

Through online research and discussions with Building Officials in other jurisdictions, GMBP gathered information relevant to the scope of the Buildings Review from municipalities who share Building Services.

The following municipalities share Building Services:

- Lake of Bays shares Chief Building Officials/Inspectors with Huntsville and Township of Perry.
- Bluewater has sharing agreements with two local area municipalities (South Huron and Perth South) to share CBOs and inspectors as required. Each has their own independent Building Services department, the agreements (bylaw) provide

additional support to the municipalities when need arises. This service is offered at an agreed upon cost per day.

- Nipissing Township and Municipality of Callander share a CBO – who is available to Nipissing residents at the Township Office on Tuesday and Thursday.
- Chief Building Official shared between Killarney and St. Charles[4]
- Currently under review is a share between Adelaide-Metcalfe and Strathroy[5]

A detailed conversation with the CAOs of West Grey, the CAO and Buildings Secretary from Chatsworth, as well as their shared CBO provided some details about their sharing agreement.

West Grey and Chatsworth, Ontario

- CBO and inspectors are shared.
- Shared services agreement; all staff are employed by West Grey, and Chatsworth pays a fee for services based on percentage of total building permits.
- Staff consider it a success from cost efficiencies, reduced turnover.
- Able to maintain a consistent level of service.
- Challenges have been inconsistent software (now rectified with both able to process intake applications, permits and inspections electronically).
- Building Services presence at both town halls for questions and appointments, distribution of inspection days, fleet support.
- Advise in a sharing scenario to be aware of benefits of using and purchasing common software (electronic distribution of plans as received, discounts), communicating software (property information and permit software), zoning review process, specialized inspectors, transit time for inspectors, ensuring all members feel equal.

[4] http://www.municipalityofkillarney.ca/building-department

[5] https://jobs.muniserv.ca/jobs/chief-building-official-adelaide-metcalfe/

4.2 Current State Key Findings

The following provides a high-level overview of the four participating municipalities and the GMBP key findings for the elements of a service delivery: people, process and technology.

Table 4-1: Building Services Key Findings

Element	Key Findings
People	**Staff Retention** was an issue named by all four municipalities. There is consensus among the CAOs that the roles of CBO and Inspector are particularly vulnerable to "poaching" from outside Niagara Region and among the four participating municipalities. It is understood that salaries and the limited pool of qualified professionals are contributing factors. **Specialized Training** is required for the CBO and Inspector roles making staff involved in building services uniquely qualified to perform the service. Filling vacancies can take longer when trying to attract specific and rare skill sets. Qualifications limit the mechanisms available to an organization for filling temporary gaps to address increases in workload. CBO and inspectors are not typically offered as contract services. **Flexibility of Operations** is an issue for all participating municipalities as they lack the scalability to address large influx in demand and must lean upon qualified CBOs who are retired or working for another jurisdiction to fill temporary vacancies and leaves. **Aging Workforce** is an issue for most municipalities across Ontario. GMBP noted that all staff in the CBO role have been working for over 35 years which means they are nearing retirement, and two CBOs are already retired but acting in a temporary assignment until the role can be filled permanently.

Table 4-2: Building Services FTEs

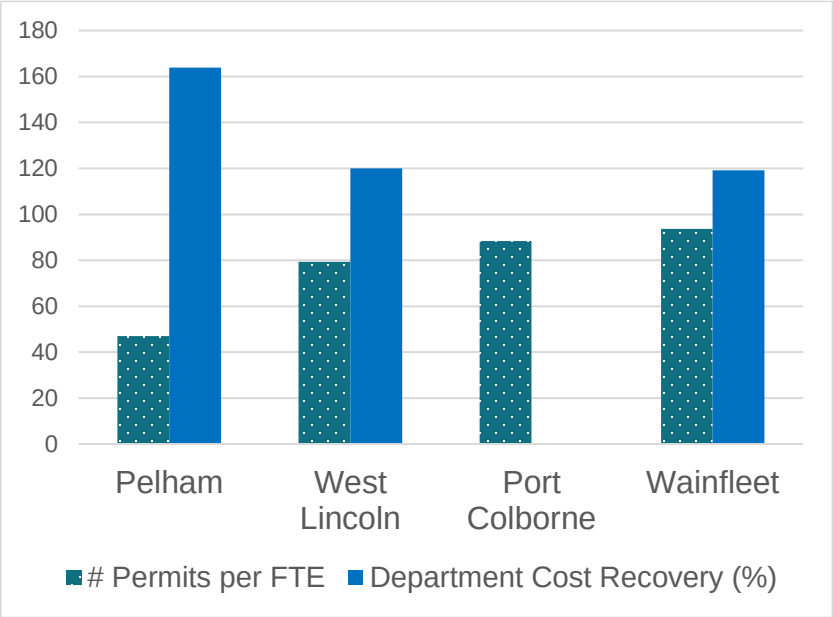
	CBO	Deputy CBO	Sr. Inspector	Jr. Inspector	Plans Reviewer	Intake Clerk	Admin Support
Pelham							
Port Colborne							
Wainfleet				0.1 FTE			0.7 FTE 
West Lincoln				1.1 FTE 			

 FTE

 FTE w over 35 years' experience or in an acting capacity

People Efficiencies – while a crude measure of how effectively the service is being delivered the FTE/permit provided some insight into the workload of staff and potentially provides an indication of the effectiveness of business processes.

- Wainfleet issues the most permits and inspections per FTE
- Pelham issues the least number of permits and inspections per FTE
- Port Colborne and West Lincoln both issue a median number of permits and inspections per FTE



A general target for organizational structure is to establish and maintain roles to allow all roles to carry out legislated duties efficiently while allowing and planning for coverage (planned or unplanned, such as vacation or pandemic), succession and development.

Process

Scope of Service Due to its role in the enforcement of the Ontario Building Code, Building Services across all jurisdictions is similar with one exception, West Lincoln and Wainfleet are responsible for Building Code Part 8 inspections (on-site sewage systems), while Pelham and Port Colborne receive this service from the Region of Niagara. In West Lincoln, Part 8 inspections are performed by contract staff. In Wainfleet, Part 8 inspections are by a bylaw enforcement officer.

Other minor variations in scope were likely a reflection of dealing with a different "demographic" of customer. For example, a Building Services department who deals primarily with a more experienced customer (builders, developers, contractors) will need to devote less time to the intake process than municipalities with more residents who are applying for a permit for the first time.

Interactions with Other Municipal Departments is required by all participating municipalities; they circulate applications to Planning staff for zoning review.

Application Intake and Inquires Counter service done well can streamline the building permit process and can help a municipality continue to meet its legislated deadlines for permit reviews, since educating and guiding the applicant before application submission can help ensure the intake of a complete application that requires little, if any, correspondence to process.

Application Review Process occurs in each municipality and is considered a worthy investment of staff time. All municipalities have focused extra effort in the review of applications before submission to help streamline the application process and adhere to legislated permit deadlines. In Wainfleet, this support is provided by the CBO – applications are taken in by the Clerk and reviewed and inspected by the CBO. Efforts have been made to reduce the total number of staff hours required to process an application. In West Lincoln, general inquires support is provided in limited technical capacity by the Clerk or the Inspector if available; applications are taken in by the Clerk, reviewed and inspected by the Inspector or CBO. Pelham has dedicated intake staff to support applications and customer support.

Permit Issuance across all four municipalities is completed within the legislated timeframes. Residential permits are issued in an average of 6 days (across Pelham, Wainfleet and West Lincoln), while the legislated requirement is 10, but none advertise or publish a faster turnover of permit applications as an internal target.

Inspections are conducted within the legislated timeframes. West Lincoln has the largest land area, translating to the most amount of transit time for inspectors, while Pelham and Port Colborne have the least.

Budget Process in Pelham, Wainfleet and West Lincoln all recover the cost of their building services, 164% - in the case of Pelham. Port Colborne operates in a negative cost recovery, relying on reserve inputs.

	Operating Revenues[6] $	Operating Expenses $	Net Revenues $
Pelham (2019)	713,260	435,305	277,955
Port Colborne		Not available	
Wainfleet (2019)	209,521	175,742	33,779
West Lincoln (2018)	505,755	421,383	84,372

Fees have recently been reviewed in Wainfleet in an effort to improve cost recovery. This resulted in a positive contribution to reserve for the past two calendar years. Port Colborne has not carried out a formal review of fees but continues to monitor fees using internal resources with an objective to set fees at an affordable level while maximizing department revenues.

Customer Service is important to all four municipalities, each taking a nuanced approach that reflects the needs of its customer base. For example, Wainfleet's customers are mostly homeowners and agricultural owners using contractors, with limited commercial and no industrial activity. Port Colborne noted that most customers are private citizens with limited building experience, with limited commercial, industrial or volume builders. As a result, Port Colborne Council agreed to taking on an additional inspector to ensure the department can operate within legislated requirements while offering extensive time and guidance to customers. This elevated customer service level has pushed the department into a negative cost recovery position, but Council agrees the service is important to the community.

Good customer service was generally described as:

[6] Not including reserve interest

	- permits issued within timeframes less than the legislated requirements - inspections conducted within the legislative requirements for time (especially 'critical' inspections such as septic or plumbing, where inspection delays can be costly or provide extensive safety or scheduling delays) - citizen questions are answered in a timely manner - permit applications are complete at intake. **Levels of Service** included the following - Based on customer demographics, Port Colborne staff also strive to deliver value-added customer service, providing guidance and extra time to less experienced applicants, especially since Port Colborne noted a smaller customer base of experienced volume builders. - Pelham provides full-time counter service, allowing walk-in or call-in citizens to speak to an intake clerk promptly, and an inspector or the CBO if they are available. Inversely, Wainfleet requests any unscheduled inquiries (counter or phone) to book an appointment with the CBO for all technical questions. These bookings are often scheduled on specific days. To supplement this, the Administrator is trained to check for completeness of an application package but not for any technical review. A general target for customer service is to offer technical counter service to walk-in or call-in citizens, and continue to meet legislated deadlines for service provision, with especially prompt response to 'critical' inspections. A shared service model should therefore allow all municipalities to: - Continue to meet legislated deadlines for delivery - Counter service by technical staff (but not necessarily CBO) - Prompt inspection response any day of the week.
Information and Technology	**Technology** is a critical consideration in sharing services and differs across the four municipalities. This also became evident with the provision of requested data for this assignment – some municipalities were able to mine data readily while others were not able to provide some core data based on technological restrictions. For example, total inspections by type is not easily tallied in Pelham and in Port Colborne since inspection records

are maintained through Microsoft Outlook calendars, and total overall inspections was provided by Pelham, Wainfleet, and West Lincoln only.

E-Permits and Payments Wainfleet has purchased Evolta/Cloudpermit to handle all aspects of the application and inspection process, as currently Wainfleet uses City Reporter and does not manage applications electronically. All four participating municipalities believe technology would improve business processes associated with Building Services.

When Evolta/Cloudpermit is implemented (within 3-4 weeks), Wainfleet will be able to receive and process applications fully electronically. Wainfleet is seeking to reduce staff time spent on inquiries and pre-review of applications by offering more FAQs on the website and prompt electronic response of digital inquiries. Wainfleet is also anticipating the Evolta/Cloudpermit implementation will allow for permit status to be tracked electronically by the customer, email correspondence of project milestones to the customer, online application fee handling, inspection management, department statistics and reporting, tracking of hours spent and administering agency comments on applications. West Lincoln also processes applications fully electronically through City Software. Port Colborne and Pelham continued to require hard copy submissions – a process that became challenging during the 2020 pandemic.

Port Colborne does not require hard copy drawings at the project sites, nor does it have electronic drawing access. The CBO brings the corresponding drawing sets and file boxes to site for each inspection, posing a significant document control risk and efficiency impact.

Electronic Correspondence with applicants and citizens can benefit both the municipality and the citizens. This includes fulsome website information, email requests or other digital platforms to collect public questions or feedback about building. Educating citizens and applicants of the building process and permit requirements can reduce time spent in intake and permit application later, and lead to an overall more positive customer service experience. All municipalities recognized this factor and have used varying approaches to address the customer service need, some including electronic correspondence.

4.3 Enhancements

In addition to a recommendation regarding Building Services shared models for sharing, GMBP suggest the following initiatives that improve the success of a sharing scenario. These enhancements may aid individual municipalities in finding some efficiency improvements if sharing is not pursued.

People

- Prepare an amalgamated Fees Study(s) including salary reviews for opportunities with cost recovery, especially important for Port Colborne and Wainfleet.
- Prepare a succession plan for critical roles within Building Services.

Process

- Prepare a business case and formally request that Part 8 (OBC) inspections be assumed by the Region of Niagara for Wainfleet & West Lincoln, as is currently the case for Pelham and Port Colborne.
- Document workflows, especially related to intake, plans review, monitoring, reporting/ statistics and document control.
- Enhance the Secretary role at Wainfleet through technical training to allow for more technical 'Counter service' removing the counter service function from the CBO role.

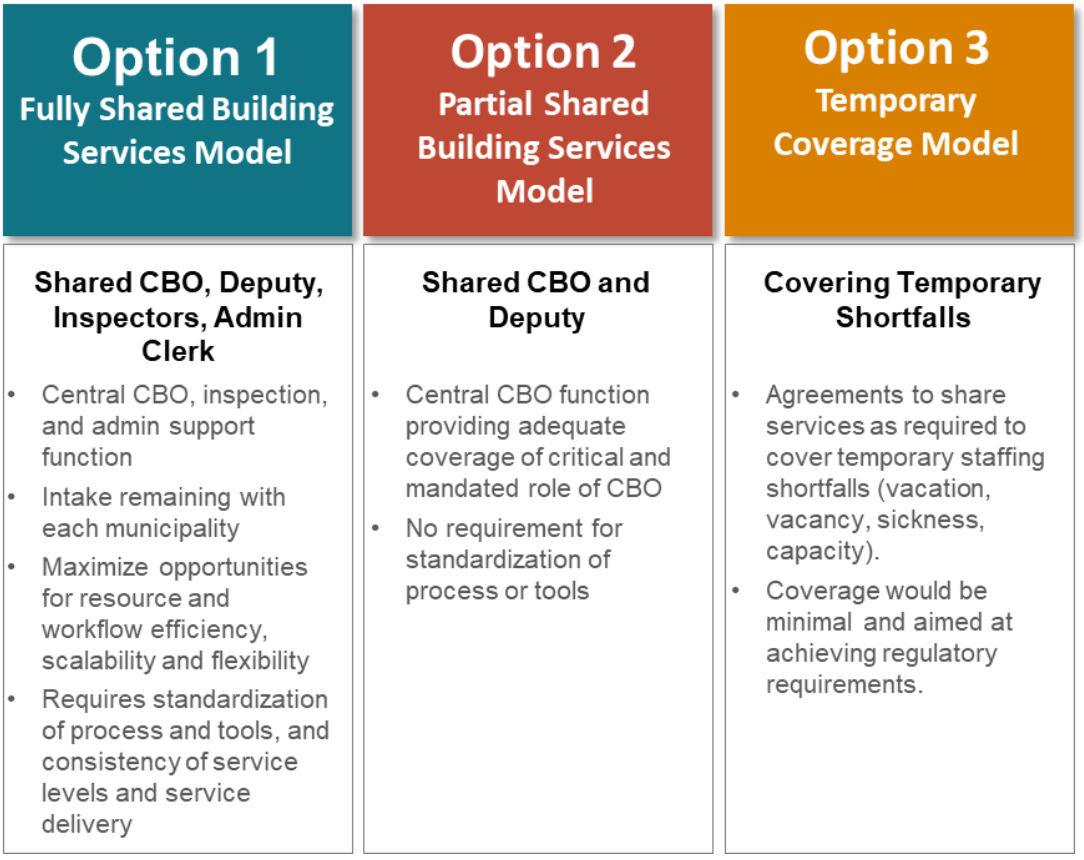
Technology

- Prepare a business case at Port Colborne and Pelham for the purchase and implementation of a permitting and payment tool (e.g. Evolta/Cloudpermit has been identified as advantageous by participants) to allow for new efficiencies related to digital workflow, customer experience, fees management, document control, to name a few. Economies of scale with technology purchased for multiple municipalities are possible.

4.4 Sharing Model Options

Three models for Building Services sharing have been developed to respond to key findings and find benefit for each of the participating municipalities.

Figure 4-1: Three Options of Sharing Building Services



Detailed Descriptions of the basic concepts for each option are described below.

Option 1 – Fully Shared Building Services Model

People

- CBO, Deputy CBO, Four (4) Inspectors, and (1) Administrative Clerk are shared amongst the four municipalities.
- Intake Clerks remain independent of the shared model.
- CBO is appointed by each municipality and has the responsibility/authority to perform duties as legislated and as collectively agreed upon. CBO has authority over the Deputy CBO. CBO provides short-term backup for the Deputy CBO as required.
- Deputy CBO is appointed by each municipality and has the responsibility/authority to perform duties as legislated and as collectively agreed upon. Deputy CBO serves as a Senior Inspector and may perform CBO duties when required for coverage. Deputy CBO has authority over Inspectors and Administrative Clerk. Deputy CBO covers critical Administrative Clerk duties when required for coverage.
- Administrative Clerk dispatches and assigns Inspectors to projects, prepares all agency reporting on behalf of all municipalities and maintains regular communication with Intake Clerks.
- Intake clerks are independent of shared model, dedicated to each municipality and directly funded by respective Town budgets. Backup for this role, however, can be provided as needed from the shared Inspectors for short-term periods (long-term would need to be a filled position by the municipality). Intake Clerks would be included on regular staff meetings to ensure connectivity.
- This model may also be expanded to Municipal Drainage or other services or may be adjusted should less than four municipalities choose to participate.

Process

Agreement

- A shared service agreement is a suited agreement structure. Fundamentally, staff are employed by a prime municipality and services are extended to other municipalities at a set fee under a formal agreement, but the group is managed and operates as an ‘independent’ group to ensure objectivity and fair allocation.

Location

- Several options are available for the location of the shared group. For staff cohesion, this model is most effectively achieved through the establishment of the

group at a central municipal location (repurposing/refurbishment of an existing municipal building or office). A central location can help minimize transit time for inspections (up to 30 minutes for transit from a central location to the furthest boundary locations). One-time capital investment may be involved for establishment of a new/refurbished shared location.

- Locations may also be:
  - distributed (CBOs at one location, inspectors at another – not a common setup)
  - rotating (this is common in the industry – staff rotate attendance at each Town office – say for one week at a time)
  - a hybrid, especially based on newer work from home options that may arise from the pandemic response.
- Special arrangements would be required to ensure regular connection and inclusion of intake staff within group meetings.

Fleet

- Like the staff resources, fleet may be set up as the property of the prime municipality, and its services extended to the member municipalities as required.
- Some municipalities interviewed maintained individual ownership of vehicles, and staff use the vehicle associated with the jurisdiction of the project/inspection at hand. This approach has been challenging.

Workflows

- Customer service starts at the counter and with online or phone inquiries. With this shared model, a dedicated, trained Intake Clerk is employed by each municipality and carries out that 'first line of response' for customers. With many technical and administrative concerns addressed at this level, intake of applications is anticipated to be streamlined. Special or more challenging requests are forwarded to a shared Inspector, if required, but the greater investment each municipality makes in developing excellent intake personnel, the less inefficiency in the permit intake process and more streamlined permit reviews. Plans review and inspection are performed by a shared Inspector (assigned through the Administrative Clerk and software), while permits and correspondence are managed electronically. However, the Intake Clerk remains available as a representative of the service group at each location. Review and signoff is performed by the Deputy CBO and CBO accordingly, while the Administrative Clerk provides reporting and statistics to the municipalities as required.

- For this model to be successful, the need for standardization is more important for this than any of the other options. Workflows and corresponding workflows will need to be documented and agreed upon.
- Permit applications may continue to be distributed through Planning staff for zoning reviews. This may be a new workflow for Wainfleet but is the most robust in ensuring a thorough zoning check is performed, without relying on the shared Inspectors' knowledge of the specific zoning by-laws.

Technology

- Aligned software is critical for the success of this model, and in itself allows for some municipalities to experience significant workflow efficiencies.
- Both software for permit management and for assignment of inspection/plans review resources will be required.
- Reporting tools within the software are essential for monitoring of the agreement effectiveness, Council communication, sharing fees, and accountability of resource management during demand periods.

Option 2 – Partial Shared Building Services Model

People

- CBO/Deputy CBO are appointed by each municipality and have the responsibility/authority to perform duties as legislated and as collectively agreed upon. CBO has authority over the Deputy and Deputy CBO has authority over assigned Inspector based on jurisdiction of the application. CBO provides short-term backup for the Deputy CBO as required, and vice versa.
- Intake clerks and other administrative support remain the responsibility of each Town, directly funded by respective Town budgets.
- This model may also be expanded to Municipal Drainage or other services or may be adjusted should less than four municipalities choose to participate.

Process

Agreement

- A shared service agreement is a suited agreement structure. Fundamentally, staff are employed by a prime municipality and services are extended to other municipalities at a set fee under a formal agreement, but the CBO and Deputy CBO are managed and operate as an 'independent' group to ensure objectivity and fair allocation.

Locations

- Rotate presence at all four offices on a regular schedule. Inspections do not have to be scheduled based on CBO availability.

Fleet

- One dedicated vehicle would be required which would also be a shared capital item. Pay the percentage of the permit towards the capital (fee only, home municipality has the capital).

Workflows

- Permit applications may continue to be distributed through Planning staff for zoning reviews. This may be a new workflow for Wainfleet but is the most robust in ensuring a thorough zoning check is performed, without relying on the shared Inspectors' knowledge of the specific zoning by-laws.

Technology

- Transition to aligned e-permitting software is not essential, but would be far more effective, allowing for remote signoffs and processing.
- Aligned software is critical for the success of this model, and in itself allows for some municipalities to experience significant workflow efficiencies.
- Performance feedback from all four municipalities. Accountability and reporting of resource assignment and use is achievable through resource management software and monitored and trended by the CBO. This is essential for Council communication, sharing fees, and accountability of resource management during demand periods.

Option 3 –Temporary Coverage Model

- Formal agreements are set up to allow for municipalities to borrow temporary services as needed to cover temporary shortfalls (vacation, vacancy, sickness, capacity).
- If software is not aligned, the objective of shared service is to 'keep the lights on', while the municipality supports with administration, email, approvals, and level of service gaps as required.
- Municipalities will ensure that CBO and Deputy CBO have appropriate authority in jurisdictions as required.
- This model may also be expanded to Municipal Drainage or other services or may be adjusted should less than four municipalities choose to participate.

4.5 Financials

Although cost savings are a shared model objective, GMBP was unable to provide a detailed cost savings evaluation since much of the salary data was missing. Using hourly rates[7] for current West Lincoln salaries as average salaries for all municipalities, the following coarse comparison was prepared for the recommended Full Sharing Model.

Table 4-3: Model 1 – Full Sharing - Coarse Estimate in Annual Savings Salaries (plus benefits)

Municipality	Current	Full Share Model	Potential Annual Savings
Pelham	$ 459,420	$ 252,401	$ 207,019
West Lincoln	$ 283,777	$ 254,562	$ 29,215
Port Colborne	$ 274,883	$ 274,008	$ 876
Wainfleet	$ 157,273	$ 195,503	$ (38,230)

The following should be noted: Although transfer to reserve could diminish for Wainfleet to cover additional salary costs, the potential impact on level of service for Wainfleet is significant: residents get full time counter presence with an intake clerk, more prompt inspection response and equivalent permit processing times.

CBO	Deputy CBO	Senior Inspector	Inspector	Intake Clerk	Administrative Secretary
$ 115,456	$ 102,195	$ 95,565	$ 83,148	$ 68,878	$ 70,493

Pelham could experience significant savings in salaries, but an impact on level of service may result.

[7] Estimates for average salaries used for evaluation, including benefits, based on salaries provided by West Lincoln and averages

4.6 Model Benefits

For each model presented, benefits are summarized in the table below based on the previously defined elements of service delivery evaluation framework.

Figure 4-2: Benefits for the Three Sharing Options

Element	Option 1 Fully Shared Building Services Model	Option 2 Partial Shared Building Services Model	Option 3 Temporary Coverage Model
People			
Job Function	Benefit	Benefit	-
Training, skills development	Benefit	Benefit	-
Resource Management	Benefit	Benefit	Minor Benefit
Succession Planning	Benefit	-	-
Scalability of Operations	Benefit	Benefit	Minor Benefit
Process			
Legislation	Benefit	Benefit	Benefit
Corporate requirements and standards	Benefit	-	-
Scope of service	Benefit	-	-
Best practices	Benefit	-	-
Work flows	Benefit	-	-
Technology			
Tools to enable business process	Benefit	-	-

4.7 Recommended Model

Considering the project objectives and results of the evaluation, we recommend the four (or fewer) municipalities consider the model described in Option 1 – Full Share Building Services.

Project objectives are satisfied through Option 1:

- ✓ Find efficiencies that result in cost savings in the long term.
- ✓ Find process and procedural efficiencies that reduce or eliminate waste or duplication.
- ✓ Find opportunities to standardize or make consistent the delivery of service across all four jurisdictions.
- ✓ Enhance the customer experience.
- ✓ Reduce the organizational risks associated with vacancies in roles critical to the organizations i.e., jobs that fulfill regulatory or mandated functions.
- ✓ Increase staff retention to realize a return on the investments of training and onboarding.

Each municipality may experience benefits to varying degrees, but overall, the model can allow for a sustainable service offering, allowing for a positive and efficient customer experience while maintaining legislative requirements.

Also, with this model, people, process and technology elements are considered and better synergized as a group and as a service across all four municipalities. Specifically, the model allows for:

- People – sharing human resources while remaining cognizant of communication and connection factors.
- Process – adjusting processes while staying attentive to levels of service.
- Technology – streamlining technology, which has tremendous potential benefits for all four municipalities.

Although some additional expenditures may be experienced for salaries and the level of service for customers may improve substantially, since duties would be performed by the most suitably skilled role, inspections can happen all days of the week and counter service would no longer require an appointment.

Note - Pelham may experience some cost savings by using a shared model.

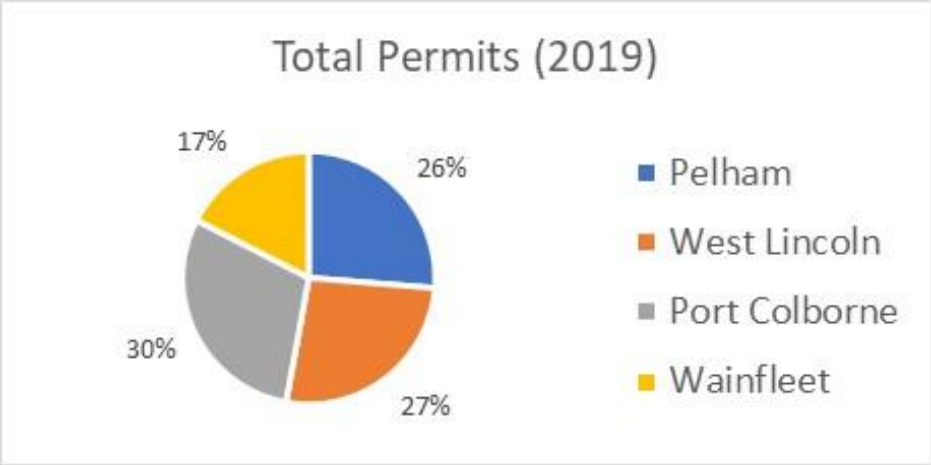
Customer service across the four municipalities would be consistently provided, allowing customers to experience a predictable and consistent inquiry, permit, and inspection process.

Agreement

A Memorandum of Understanding or Extension of Services Agreement may be most suited to the fully shared arrangement described. Potential cost savings will be dependent on the structure of the agreement and how costs will be apportioned.

Under Section 7 of the Ontario Building Code Act, municipalities are provided with the authority to establish fees for building services and associated permits and the ability to operate respective building departments at full cost recovery. If all four municipalities shift towards a full cost recovery model, the potential cost savings of this opportunity would be the annual differential between the expenditures and revenues.

Figure 4-3: Permit Apportionment



In the initial arrangement, the municipalities may wish to apportion the costs associated with building controls on the historic average of building permits per year. Figure 4-3 illustrates the distribution of building permits on an annual basis – an average from the past several years could be used to calculate an apportionment cost for each municipality.

Beyond the cost apportionment formula which would allow for the distribution based upon historic averages, another common practice in the municipal sector for the sharing of building control services is one municipality builds the capacity within their organization and then sells the service to the other municipalities. The costs of providing the service are done based on hourly or daily rates, while vehicle use and charges may remain in the individual municipal budgets. Vehicle charge out rates may be used if preferred and can also have a capital replacement component built in to address the eventual need to replace the assets associated with the delivery of the service.

MUNICIPAL DRAINAGE SERVICES

5. MUNICIPAL DRAINAGE SERVICE REVIEW

5.1 Background

Drainage issues are regulated under the Drainage Act. Primarily through the Council appointment of a Drainage Superintendent, the local municipality is responsible for the management of the drainage systems located within municipal boundaries, and the cost of work is assessed to the landowners in the watershed of the drain.

Management of municipal drains is vital to the communities, roads, and surrounding lands in rural Ontario by reducing flooding and property damage while maintaining safety. Municipal drain management is especially fundamental for an effective and competitive agricultural industry.

Through the Drainage Act, the Province provides grants towards assessments on agricultural land for cost of municipal drain construction, improvement, maintenance, repair and operations, and grants towards Drainage Superintendent costs. The Superintendent's responsibilities may also include other duties related to municipal drains, and some of the Superintendent's time performing related duties is eligible for grants under the Drainage Act.

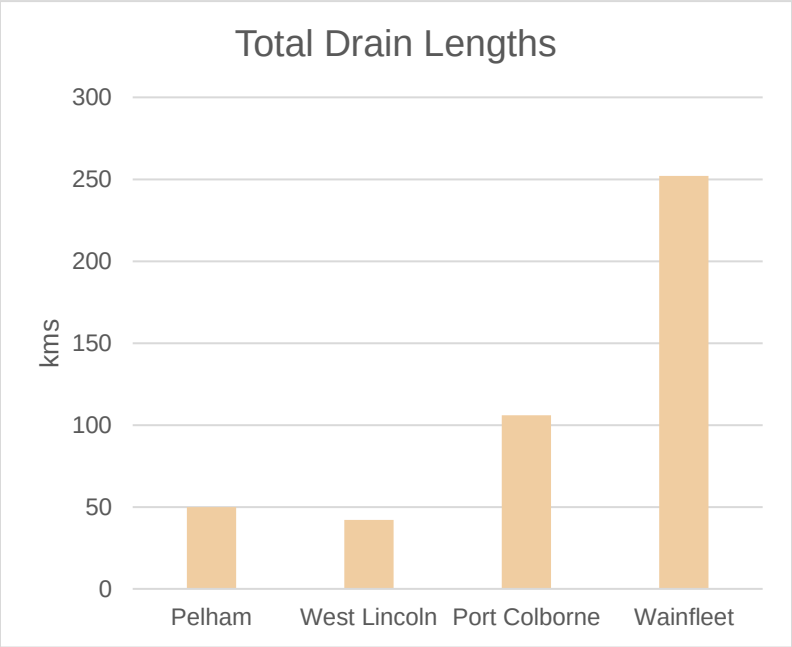
Several of the municipalities have shared a Drainage Superintendent in the past with mixed success.

5.2 Current State

The four municipalities each present different scale of networks, staffing structure and service approach.

Wainfleet maintains the largest drain network of the four municipalities, and the largest in Ontario at 252km. Comparative sizes of the drain networks are shown in Figure 5-1.

Figure 5-1: Total Drainage Lengths



Based solely on the considerable difference in drain network size, it is expected that the efforts to maintain the existing municipal drains would vary for the four municipalities. From interviews, it is also apparent that two different approaches to service delivery have been adopted - reactive (complaint based) and preventive – which also impacts the resources required to provide drainage services.

Both Pelham and West Lincoln take a reactive (complaint-based) approach to municipal drain services. Since municipal drain maintenance costs are shared amongst benefitting property owners, both municipalities prefer to perform drain maintenance or initiate new construction only when prompted by property owners. All drain maintenance and new drain construction is contracted to external organizations in an effort to maintain objectivity, keep an 'arm's length' from the work at hand, and for ease of billing/grant applications.

Inversely, Wainfleet and Port Colborne have established a preventive municipal drain maintenance program and a hands-on approach with pre-engineering and permitting. With this approach, a portion of the total drain network is 'maintained' each year (e.g. vegetation removal, culvert maintenance, excavation). Both municipalities have also arranged for supporting heavy equipment and clerical staff to offset contractor costs for maintenance work, and to allow for greater flexibility with scheduling, especially working within permit timing constraints. Both municipalities expressed a desire for more supporting staff – specifically a biologist for assisting with the quality of permit applications and maintenance work. For new drains, external engineering firms are engaged, and internal staff strive to offset some of the engineering costs through internal staff (permit applications, surveying, species identification). Like Pelham and West Lincoln, construction of new drains is contracted to external organizations.

Organizational structures for each municipality also vary, as shown in the Table below.

Table 5-1: Drainage Services FTEs

	Drainage Superintendent	Municipal Drain Technologist	Equipment Operator	Other	Total FTE
Pelham	0.1 FTE			0.1 FTE	**0.2**
Port Colborne				0.2 FTE	**3.2**
Wainfleet					**2**
West Lincoln	0.2 FTE			0.1 FTE	**0.3**

The FTEs assigned to the municipal drain services vary across all four municipalities.

Reactive Service Approach:

Pelham and West Lincoln, municipalities that both adopted a reactive approach to drain maintenance, employ 0.4 and 0.8 FTEs per 100km of municipal drain, respectively.

- Pelham co-shares the Drainage Superintendent role with the Chief Building Official. No Drainage Superintendent job description is available.
- Under Council appointment, West Lincoln has contracted the Drainage Superintendent services to a consulting firm, with additional contribution provided by a staff Project Manager, totaling 0.3 FTEs.

Preventive Service Approach:

The average FTEs/100km for the municipalities using the reactive approach is 0.7, while for those using a preventive approach, almost three times the resources are applied, with average FTEs/100km at 1.9. This supports the observation of the significant difference in drainage service approach for the municipalities. Ignoring the averages and looking at the municipalities individually, it is clear that the application of resources for the drain network is not consistent.

	Kms Drain	Strategy	FTEs/100km	Average FTEs/100km
Pelham	50	Reactive	0.4	0.7
West Lincoln	42	Reactive	1.0	
Port Colborne	106	Preventive	3.0	1.9
Wainfleet	252	Preventive	0.8	

For all four municipalities, general responsibilities related to municipal drainage services include:

- Customer response and liaising (drainage inquiries, complaint investigation, customer education).
- Plan and supervision of construction, maintenance and repair of municipal drainage works.
- Management of municipal drain maintenance – based on customer complaints.
- Management of new municipal drains - petition and construction process - including engagement of Drainage Engineer & contractor, general oversight of construction work.
- Operation of municipal drainage works by investigating concerns and maintaining compliance with Provincial Drainage Act requirements and legislation.
- Drain billing oversight (coordination with Planning and Financial staff).
- Management of provincial grant administration.
- Participation and attendance at drainage meetings, open houses.
- Representing/managing response for appeals as required (contracted or in-house).

In addition, Port Colborne and Wainfleet, having adopted a preventive service approach, also include the following responsibilities:

- Assistance with pre-engineering for new drain construction, to offset external engineering firm fees.
- Management of a preventive drain maintenance program – including inspection of all drains on a multi-year cycle, program operational and capital planning, oversight of internal maintenance staff and equipment.
- Assistance with pre-engineering for drain maintenance, including species assessment, permit application, surveying.

Challenges

The overall ongoing challenges the municipalities face include:

People:

- Sustainability – Retention and succession planning of personnel is a challenge, especially for co-shared and specialized roles, and for municipalities with less dedicated staff.
- Outsourcing – There is some corporate risk when the whole of a service is outsourced. In municipal service provision, especially reviewing opportunities for

efficiency, it is good practice to retain functions/responsibilities that are of high value to the organization. In this case, Municipal Drainage Services is considered high value (high risk) because of the legislative requirements, the specialized nature of the service (i.e., qualified/certified Drainage Inspector), the contact with the community, and its direct connection to billing. Shedding some aspects of the service could be beneficial especially if those tasks are either lower value to the organization (low risk) or highly technical where it would not be reasonable to keep in-house.

Process:

- From an asset lifecycle perspective, preventive (rather than reactive) maintenance may prove less costly in the total service life of the drains, ultimately posing less financial burden to benefitting land owners. When regularly and preventively maintained (sediment removal, brush vegetation cutting and removal, grading, culvert maintenance, etc.), drain performance is sustained throughout the service life of the drain. Smaller rehabilitation measures throughout the life of a drain can extend its service life, while lack of maintenance until symptoms of major deficiency arise (such as flooding) may shorten its service life.
- Efficient and successful billing relies on current and correct property owner data. When property ownership changes, municipality billing staff rely on MPAC for current data. However, when property boundaries change (due to subdivision, severance or other planning activities), lands on municipal drains, allocation, and benefitting owners may change. The approved property changes must be regularly communicated, at a minimum, to the Drainage Superintendent, and a process must be in place to ensure Engineer's Reports' assessment schedules and billing information is accordingly updated.
- Documented workflows can lend to increased efficiencies and are helpful with training, definition of roles, and consistency of service provision. The process of creating documented workflows can be beneficial in itself, helping to identify authorities, responsibilities, process, and gaps.
- Customer service is a challenge, requiring a significant amount of education, site investigation, awareness of invasive species (beavers!) and need for quick response, especially since many drainage customers are agricultural businesses and municipal drain performance can directly impact crops.

Customer Experience

In all interviews with drainage staff, it was noted that the agricultural customer base appreciates the on-site response, drainage concerns being investigated, and the general level of service being provided by each municipality. Wainfleet and Port Colborne staff also noted that the agricultural customers understand and generally do not object to the need and cost for preventive drain maintenance.

GMBP interviewed a business in Pelham that owns land on municipal drains in Pelham, and also operates farms on municipal drains or with drainage issues in Port Colborne, Wainfleet and Haldimand County. The business representative noted:

- In Pelham, a field entrance culvert on a municipal drain was replaced in coordination with the Town several years ago. The rep noted that the level of service from the Town was satisfactory. He also expressed concern that the contractor pricing, since coordinated through the Town, was considered to be expensive and a longer time to coordinate, compared to what could have been installed directly by the business under the Town's supervision. The culvert was replaced since it was failing from rotting, making the ditch unpassable, and the company's farming equipment is only getting larger to accommodate farming demands.
- In comparison, this same company deals with the County of Haldimand on municipal drain matters and feels the level of customer service there is equivalent and satisfactory.
- In Wainfleet, this company's experience with the Township's response to drainage matters not related to a municipal drain has been slower than municipal drain response. He noted that the preventive maintenance related to municipal drains has been excellent.

A second business that operates in multiple municipalities preferred to be contacted when this busy May season has passed.

A private resident on a municipal drain in West Lincoln noted general satisfaction with the drain, and that the billing is not issued with any accompanying information, backup or explanation.

Industry Scan

"OMAFRA-ICSC-Interim-Report-2-Provincial-Survey-Results" (July 2019) is a broader research project to assess the potential of inter-community service cooperation as a possible tool to address the impacts of climate change in small communities. In it, 10%

of the 29 Ontario municipalities surveyed share stormwater and wastewater management.

The following municipalities[8] share some portion of drainage duties:

- Township of Wellesley & Township of Wellington North
- Municipality of Bluewater, Municipality of South Huron
- Municipality of Central Manitoulin, Tehkummak Township, Township of Assiginack
- Township of North Stormont, Russell Township
- The Manager of Public Works for Town of Amherstburg is contracted to be the Drainage Superintendent of the Township of Pelee Island. Amherstburg has a full-time Drainage Superintendent.
- North Perth & Perth South formerly shared a Drainage Superintendent.

An informative article[9] about North Perth and Perth South describes the benefits of shared drainage and other services states:

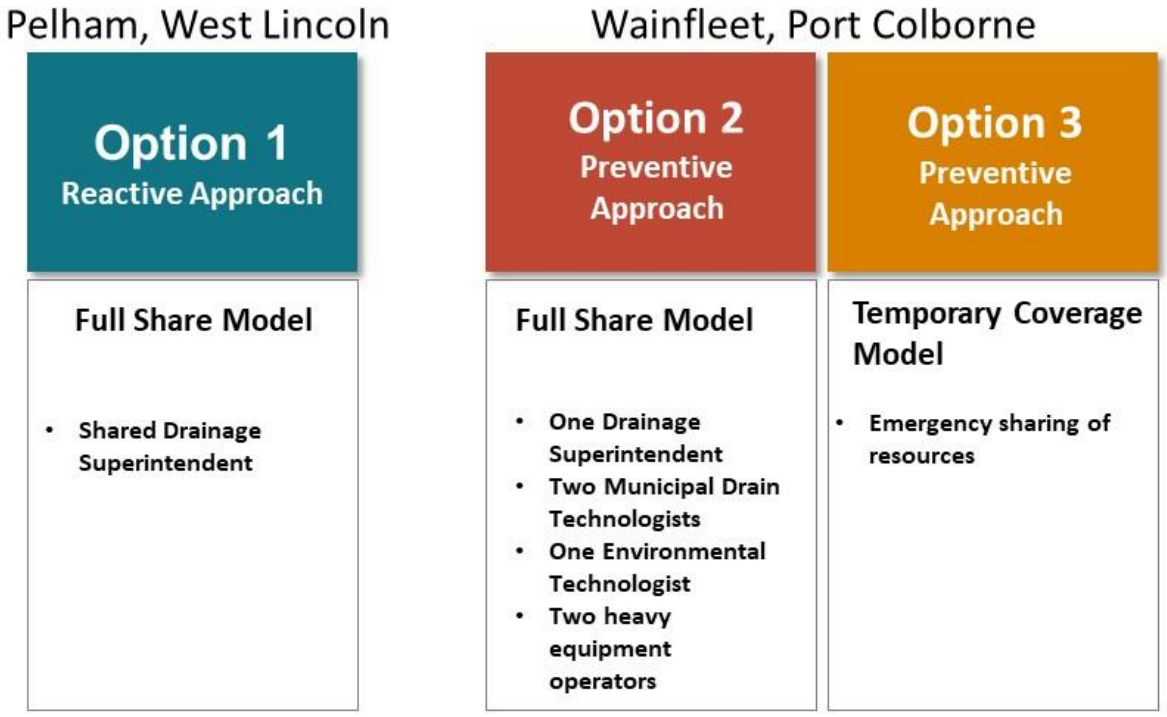
> *"An example of savings realized through PACT in 2016 was the sharing of a drainage superintendent between Perth South and North Perth. According to Pullia's report, the five-year average cost of drainage superintendent services from an engineering firm has, in the past, cost Perth South $75,534 annually.*
>
> *Through a shared service agreement established at the end of 2015, North Perth hired a full-time drainage superintendent, which Perth South then hired to work two days a week at a cost of $28,768 – nearly $47,000 less than Perth South had been paying previously."*

[8] Check out DSAO.net – see membership list:

[9] https://www.mitchelladvocate.com/2017/07/10/getting-the-most-bang-from-the-taxpayers-buck/wcm/913ead01-9494-6268-015f-98194b8e742e

5.3 Sharing Options

As described above, two fundamentally different approaches to municipal drainage services exist in the four municipalities, making implementation and benefits of a singular shared model challenging. Establishing one shared group that provides municipal services using two significantly different approaches would be challenging to administer, maintain consistently, and could prove frustrating for customers, especially those that own or work with municipal drains across multiple municipalities. As a result, two levels of municipal drainage sharing models are presented – sharing models for municipalities using a reactive (complaint-based) approach and using a preventive approach.



In all options, salaries of shared services may be eligible for provincial benefit through the Ministry of Agriculture, Food and Rural Affairs, and benefit could be allocated to sharing municipalities in accordance with the agreement. Timesheets and logs prepared for grant application support is also valuable for agreement monitoring and communication. Salaries, benefits (to 35%) and expenses (to 18%).

Option 1: Reactive Maintenance Approach, Shared Drainage Superintendent

Prerequisite: Member municipalities provide municipal drainage using a reactive, complaint-based approach. (Currently, this approach is used by Pelham and West Lincoln.)

Model: Share services of one Drainage Superintendent. For Pelham and West Lincoln, this role can be filled by a staff member extending services to a second municipality, rotating municipal offices (for connectivity and team connections). This shared staff member would coordinate with Finance, Planning and Tax staff from respective municipalities as required. The agreement allows for one municipality to employ the Drainage Superintendent and extend services to the other, rotating coverage at both municipal offices for consistent presence and reliable communication, and the basis of the agreement can be fee or time-based.

Currently, Pelham has 0.4 FTE/100km drain and West Lincoln has 1.6 FTE/100km drain. This sharing scenario totals 1 FTE managing a total of 92km of municipal drains, or 1.1 FTE/100km drain, an intermediate value for resource application.

Benefits:

- Sustainable personnel, as it allows Pelham to separate CBO/Drainage roles, especially for future filling of positions with suitable skillsets.
- Allows West Lincoln to bring the service in-house, if the shared resource is internally provided.
- Role, responsibilities, and authorities objectively provided by a dedicated full-time person, rather than an external party or a part-time basis from staff serving alternate roles.
- Scalable model, since climate change, growth, and increasing agricultural service levels will only increase demand on this role.
- More consistent billing across member municipalities.
- Drainage Open House, an effective customer communication initiative, could be offered to a broader scope of citizens.
- Ease of management and billing for municipal drains that traverse both member municipalities.

***Risks**:*

- Inconsistent coverage between municipalities was identified as a former challenge with a shared Drainage Superintendent. A robust, well-monitored sharing agreement with defined levels of service expectations would be required to avoid this risk.
- From an asset lifecycle perspective, reactive (rather than preventive) maintenance may prove more costly in the total service life of the drains and may pose more financial burden to benefitting land owners. When not regularly and preventively maintained (sediment removal, brush vegetation cutting and removal, grading, culvert maintenance, etc.), rehabilitation options may become more limited, drain performance deteriorates, and intervention measures shift to reconstruction rather than rehabilitation. Smaller rehabilitation measures throughout the life of a drain can extend its service life, while lack of maintenance until symptoms of major deficiency arise (such as flooding) may shorten its service life. A reactive approach may also contribute to unplanned and costly failures from lack of monitoring.
- Long-term coverage demand from one municipality could tax the model with unequitable resource allocation.

Should Port Colborne or Wainfleet consider shifting the service delivery approach from preventive to reactive, this shared service model could also be expanded to include these municipalities. If so, a small amount of additional shared resources may be required – this could be in the form of part-time Administrative Support to the shared Drainage Superintendent, or additional coverage if the shared service is contracted to an external firm.

Option 2: Preventive Maintenance Approach, Full Share of Services

***Prerequisite**:* Member municipalities providing municipal drainage using a preventive approach in a drain maintenance program. Currently, this approach is used by Wainfleet and Port Colborne.

Model: Fully share a service group of staff, which can also include vehicles and equipment. The agreement allows for one municipality to employ the full group while extending services to the other member municipality based on a fee or time basis. For Wainfleet and Port Colborne, shared staff may include:

- One Drainage Superintendent
- Two Municipal Drain Technologists

- One Environmental Technologist (environmental or biology skillset, able to assist Municipal Drain Technologist)
- Two heavy equipment operators.

Currently, Port Colborne has 3.0 FTE/100km drain and Wainfleet has 0.8 FTE/100km drain. This sharing scenario totals 6 FTEs managing a total of 358km of municipal drains, or 1.7 FTE/100km drain, an intermediate value for resource application.

Other shared resources may include staff vehicles, heavy equipment for drain maintenance work, and IT Tools.

Benefits:

- Quality of maintenance work (maintenance work performed by staff)
- Control of compliance (related to preparing permit applications, permit compliance, Engineer's report compliance, maintenance work)
- Customer service – communication with residents by staff rather than contractor
- Reduced contracted services using internal staff, can reduce costs
- Control of work with reduced control to contracted services
- Ease of scheduling using internal staff rather than relying on tendering process with contracted services
- Municipal drains more likely to reach service life, or extended service life, with preventive maintenance
- Sustainable personnel, as it allows for movement, development, succession, coverage
- Scalable model, since climate change, growth and increasing agricultural service levels will only increase demand on this service.
- More consistent or centralized billing across member municipalities can be pursued, consistent policy for billing would need to be established.
- Drainage Open House, an effective customer communication initiative, could be offered to a broader scope of citizens.
- Ease of management and billing for municipal drains that traverse both member municipalities.

Risks:

- Potential shift of level of service or culture from individual municipalities to centralizing the service. New level of service should be defined, Council-approved, and explained to citizens to alleviate this risk.

- Dedication of sufficient resources to all member municipalities equitably. A well-monitored agreement with clearly defined expectations can alleviate this risk.
- Communication with supporting staff (finance, planning) at respective municipalities can be challenging. Rotating offices and regular group meetings can alleviate this risk.
- Underutilizing shared staff.
- Long-term increased demand from one municipality could tax the model with unequitable resource allocation.

Should Pelham or West Lincoln consider shifting the service delivery approach from reactive to preventive, this shared service model could also be expanded to include these municipalities. If so, additional shared resources may be required.

Option 3: Share Temporary Coverage

Prerequisite: Member municipalities providing municipal drainage using a preventive approach in a drain maintenance program. Currently, this approach is used by Wainfleet and Port Colborne.

Shared Model: Share staff for temporary coverage for vacations, sickness, demand or short-term vacancy, on an as-needed basis. The agreement allows for one municipality to borrow from another for short-term coverage. The agreement can be fee-based or purely mutual aid as required.

Benefits:

- Better coverage for Drainage Superintendent, support staff, heavy equipment operators or even contract specialized services, such as a biologist, for specific projects.
- Better prepared for emergencies or unplanned shortages of resources.
- Customer service – improved interactions between member municipalities may prove beneficial to customers, especially for drains that cross municipal borders.
- Scalable model, since climate change, growth, and increasing agricultural service levels will only increase likelihood of unplanned need for resources.

Risk:

- Long-term coverage from the supporting municipality could tax the model with unequitable resource allocation.

This shared service model may also be feasible between municipalities delivering services with a reactive approach.

IT SERVICES

6. IT SERVICES REVIEW

6.1 Scope of the Review

This chapter provides information specific to the GMBP review of potential options for sharing IT Services between Pelham and Wainfleet. The objective of the IT Services Review is to attain efficiencies and improve customer service.

The scope of this review consists of the following three primary areas:

1. Hardware: review of the current physical devices and networks that are in place including maintenance, function and application and consider how sharing would result in efficiencies.

2. Software: review of programs and applications of significance that are currently in use within each municipality as well as licensing type and procurement and consider how a sharing the IT service would result in efficiencies.

3. Staff: review of both the number of staff and workload and consider how a sharing scenario would result in efficiencies and increase customer service.

To accomplish the objective of the assignment, a questionnaire was sent to the IT Managers at Pelham and Wainfleet and follow up meetings were held to clarify responses and deepen GMBP's understanding of current issues. The following describes the current state at both organizations and offers suggestions regarding potential opportunities to share services as a way to find efficiencies, cost savings, improve customer service, and provide afterhours / emergency on-call IT services.

6.2 Industry Scan

Sharing IT services is not uncommon among municipalities in Ontario. Sharing partners typically benefit in the following ways:

- Cost savings through increased purchasing power/volume pricing, and potentially attracting a more vendors/contractors.
- Cost savings by sharing applications, system and data backup infrastructure - (Lambton County IT is an example of an upper tier who extends IT services to some of its 11 lower tier municipalities including system and data backup).
- Access to systems hosted by another organization. For example, Niagara Region provides GIS to lower tier municipalities through NiagaraNavigator.
- Pooling knowledge and experience to benefit from the collective skills and past experience of staff. Niagara Region hosts GNiag- a GIS community for users in Niagara Region to come together stay current on technology, review software, and discuss issues.
- Enabling sharing of other municipal services through common systems and data, e.g. should Pelham and Wainfleet decided to share Building Services, a common e-permitting tool would increase the benefit of sharing and enable seamless workflow and dataflow between the organizations.

6.3 Current State Key Findings

The following outlines key findings resulting from in-depth discussion regarding the participating municipalities and their respective IT environments and resources. Documentation of these one-on-one interviews is included in **Appendix A**.

People	• Pelham has one full-time and one part-time staff dedicated to maintaining the IT systems and responding to requests from Pelham's 69 staff. IT staff per FTE ratio is 1:46[10] (based on FTE reported in Pelham's 2018 FIR).
	• Wainfleet has one individual dedicated to IT Services and 36 staff. IT staff per FTE ratio is 1:36[11] (based on FTE data reported as part of Wainfleet's 2018 FIR).
	• With respect to people capacity, GMBP suggest the following IT Services trends be considered
	  ○ **Note:** typically, organizations with fewer than 500 FTE have a ratio of 1:18[12] illustrating that IT Services in both organizations are already somewhat running at capacity.
	• With respect to people capacity, GMBP suggest the following IT Services trends be considered. Each of the following represents additional potential pressures on IT resources:
	  ○ Communities, council, and staff are shifting to digital and online tools for collaboration, public engagement, and education which puts additional pressures on IT to support new tools and services to more customers (including the public).
	  ○ Recent requirements to work from home due to social distancing highlight the need for the IT departments to be flexible and responsive to operational conditions to

[10] https://efis.fma.csc.gov.on.ca/fir/ViewFIR2018.htm#2600
[11] https://efis.fma.csc.gov.on.ca/fir/ViewFIR2018.htm#2600
[12] https://www.workforce.com/news/ratio-of-it-staff-to-employees

	support municipal services, especially essential service, and highlights the need for remote connectivity to city systems and data. ○ According to the Municipal Information Systems Association, increased awareness within municipal leadership of threats to cyber security is an emerging trend which will require action, education and response.[13] • Both manager positions require the skills of a formally trained IT Administrator. • Unplanned vacancies in the critical role of IT Manager would present a risk to the organizations, however filling vacancies is not expected to be problematic. While training would be required to learn the unique and individual configurations of the municipalities, finding a qualified IT staff should not be an issue from a recruitment perspective. • The Pelham IT Manager is backed up by a part-time employee. • Neither organization is currently staffed to provide 24/7 IT Services. Increasing the hours of operation would require either additional staff, or shared support contract for 24/7 support.
Process	• Procure and maintain all hardware as required– patches, repairs, upgrades. • Procure and maintain all software as required – installations, patches, upgrades. • Respond to staff requests – both municipalities have a formal process for receiving staff requests however both note that staff opt to call or email instead. • Provide IT support to staff.

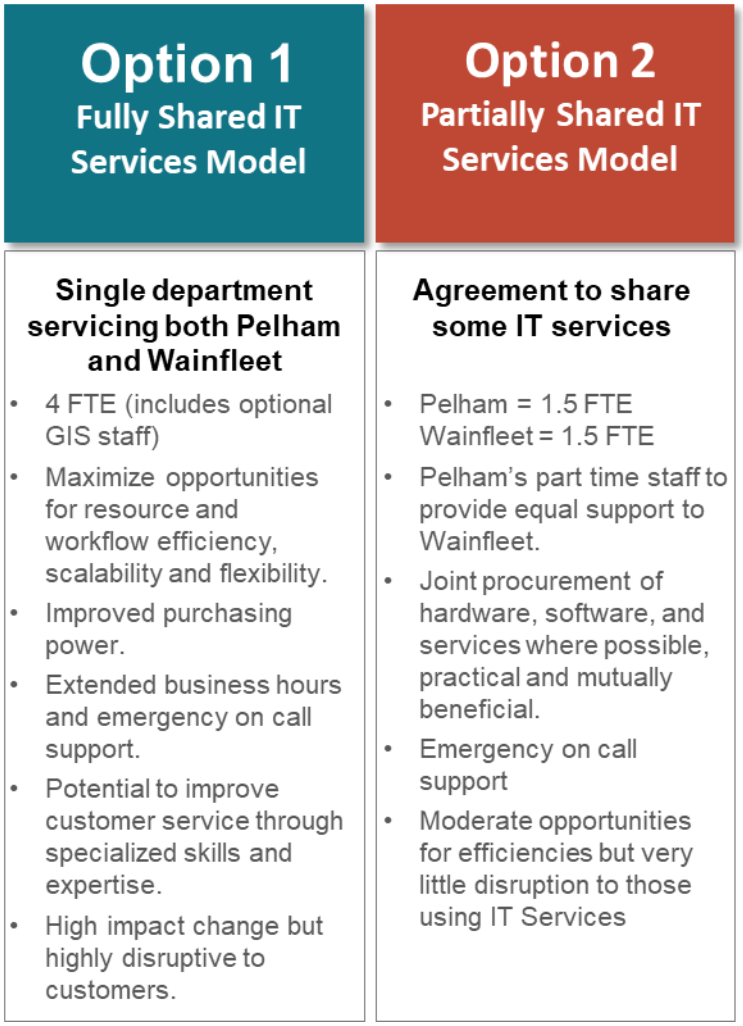
[13] https://www.itworldcanada.com/article/five-cyber-security-trends-to-prepare-for-gartner/411448

Technology	Hardware: • Both municipalities have a similar overall hardware configuration. Pelham uses Hewlett Packard (HP) machines provided through an account with IBM, and Wainfleet has an account with Dell for Dell systems. • In both municipalities, iPads and iPhones are the predominant mobile devices. • In Pelham, they achieve redundancy by backing up their systems and data to the Pelham Recreation Center, while backups are locally stored at Wainfleet. Software: • Apart from mobile devices which are standardized on Apple's iOS (varying versions depending on the age of the device) both municipalities have standardized to the Microsoft platform, with Windows 10 as the desktop operating system, and Microsoft Server being used on enterprise servers. • Both municipalities use MS Office suite for desktop users and MS SQL Server as their primary enterprise database system • Both municipalities use Vadim iCity Financials, Stone Orchard Cemetery software. Additionally: • Pelham has the following: AutoCAD licenses, ESRI Enterprise License Agreement (ELA) to use the ESRI GIS suite of applications, and the current implementation of Marmak. • Wainfleet currently utilizes the Region of Niagara's GIS, has implemented CityWide and is in the process of implementing Evolta/Cloudpermit for building applications permitting and inspection.

6.4 Sharing Model Options

Two models have been developed to suit the sharing objectives of Pelham and Wainfleet and are based on current state key findings. Both model options consider a scenario for emergency after hours support.

Figure 6-1 - IT Services Sharing Models



Option 1: Fully Shared IT Services Model

A single IT department would be created to service the needs of both municipalities. One municipality (suggest Pelham) would employ the group and extend equal service to the other.

People	
FTE:	The group would consist of 3 or 4 FTEs: • 1 IT Manager • 1 Senior System Administrator • 1 System Administrator (in lieu of Pelham's 0.5 FTE) • 1 GIS Technician (optional new position) With 4 FTEs (includes optional GIS position) the ratio of IT support per staff is 1:26 and without the GIS position is 1:35. This new ratio is a slight improvement for Wainfleet but a significant improvement to Pelham. This potential additional capacity could be used to address the pressures anticipated by IT Services trends identified in Section 6.3.
Coverage	In this model, IT staff would provide each other the necessary back up to fill temporary vacancies and short-term leaves with minimal disruption to service delivery.
GIS Service:	Both municipalities indicated the need for GIS services. In a full sharing scenario, an additional FTE could result in a valuable increase to the scope of service offered by IT Services. Alternatively, consider investigating the option to outsource GIS service. Outsourcing highly technical and specialized services is a valid service delivery option as it provides the department with the opportunity to gauge what the resource requirements would be if/ when the service is brought in-house.
Customer Service:	Increasing the number of staff with the department could provide opportunities to evaluate specific specialization needs (networking vs. application implementation) and increase the department's ability to

	effectively support and administer specialized services and software, resulting in improved customer service.
Staff Retention:	Increasing Pelham's part-time position to full-time status could add to the attractiveness of the job and promote the retention of staff.
Succession Planning:	Opportunities to develop succession plans for the role of IT Manager, and Senior System Administrator.
After hours support:	3-4 FTEs would provide enough resources to perform some afterhours support. By staggering working hours, full IT Services could be extended (for example 7am-6pm) and emergency on call service could be provided in off hours.
Location:	Although some costs would be involved in relocating and outfitting office space, GMBP suggests collocating the new Fully Shared IT Services Department. Consider investigate the feasibility of using the Pelham Community Centre.
Process	
Help Desk:	The new department would need to develop processes and performance standards for standardized Help Desk functions. Because IT Services could potentially be moved to a central location, there would be greater reliance on a Ticketing System and remote assistance.
Procurement:	A single business making higher-volume purchases could expect some economies of scale and could potentially attract bids from more vendors. Combining maintenance, support contracts, license agreements could also offer some cost savings. This would, however, require some degree of standardization of hardware and software.
System and Data Back Up:	In a full shared model, the department should share rack space providing the both municipalities with off-site back up; it was suggested that Pelham's arena would be a reasonable location.

Technology	
System rationalization	Over time, the two organizations would need to consider eliminating duplicate systems with the same function and settle on uniform hardware. Ideally there would be a high degree of standardization between both municipalities from an IT perspective.

Model 2: Partially Shared IT Services Model

Both municipalities remain independent but, when mutually beneficial, share some services through various forms of agreement.

People	
FTE	Pelham = 1 Manager, 0.5 IT Support Wainfleet = 1 Manager, 0.5 IT Support An agreement to share 1 FTE (currently Pelham's part-time staff) between Pelham and Wainfleet. The FTE would remain an employee of Pelham, Wainfleet would pay half the cost of the FTE and would receive equal service. The IT support to staff ratio in Pelham would remain as the current state 1:46 and Wainfleet would see an improvement to 1:24 (current state for Wainfleet was 1:36).
Coverage:	This model would benefit Wainfleet by providing additional coverage to help overcome periodic upswings in workload and coverage for short term vacancies and help administer on-call support.
Retention and Succession Planning:	By making the current part-time staff member full time, Pelham would improve its ability to retain and attract staff to that role. It also provides opportunity for succession planning at Pelham.
GIS Services:	An alternative to offering the service internally, Pelham and Wainfleet could share a service contract with a GIS services provider. Sharing the contract would reduce administrative costs and could provide

	economies of scale. This allows both municipalities to test the service and gauge if offering GIS in-house would beneficial in the future.
After hours support:	Agreement to share emergency on-call IT Support duties between the IT Services from both organizations. The three partially shared FTEs would rotate the responsibility of being on call for both municipalities. As the on-call function would only be for emergencies, it is not expected that this additional duty would overwhelm the current complement.
Process	
Procurement	When possible, jointly purchase hardware, software, licensing agreements, maintenance contracts, and consulting services. For example, review current individual purchasing agreements for Microsoft software and iPad/iPhones to see if they may be amalgamated into a single agreement for both Municipalities. This would reduce the cost of administrating the contracts and could provide some economies of scale.
Business Processes:	Standardization of business process and protocols to facilitate the sharing of Pelham's IT Services staff and after-hours support.
Knowledge Sharing	Potential opportunities to learn from each other by creating a Pelham/Wainfleet IT Services Committee that would meet to discuss new and different ways to share and find efficiencies and discuss and demonstrate new and existing technology so that both municipalities benefit from knowledge and experience of IT Services and the user groups with the organizations. For example, Wainfleet could benefit for seeing Pelham's Marmak application suite for roads and work-orders, and Pelham could benefit from Wainfleet's experience with Evolta/Cloudpermit.
Technology	Look to include in the evaluation of the need for new technology, the benefits of sharing (either through join procurement or using a solution that exists in the partner municipality).

6.5 Recommendations

Considering the project objectives and our discussion with both IT Service Managers, GMBP recommends that Pelham and Wainfleet consider the model described in **Option 2– Partially Shared IT Services.**

Through agreements to share an IT Services FTE, and develop agreements to share after hours support, jointly procure hardware, software and contracted service, both municipalities have opportunity to expand scope, reduce risk, save money and find efficiencies. While there are more benefits of the Full Share Model, the impact of change to both organizations would be significantly disruptive. The Fully Shared model would be a reasonable option if there were a service delivery issue at Pelham and Wainfleet; GMBP did not find any evidence that this was the case at either organization.

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Quality Control

Version	Author	Reviewer	Date Submitted
Draft Version 1	Andrea Clemencio, Lena Dianda, James Burn	Marjorie Prentice	June 11, 2020
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APPENDIX A

Staff

Pelham	Wainfleet
Generally, describe the total time dedicated to dealing with IT related tasks by staff. Do you feel that is adequate (more staff required, or current staff compliment adequate)?	
▪ 1 + 1/2 FTE (IT support assistant) ▪ IT hours technically 8.30 to 4.30, but really, support could be required any time. ▪ Workload varies, but another FTE would be beneficial.	▪ Current staff is one person. There is generally enough time to keep pace with current demand. ▪ Administers IT at Town Hall and the Public Library. ▪ Scheduled for 35 hours per week. ▪ Occasional extra time required as needed by larger projects, or to address critical issues. ▪ Regularly work remotely, about 1 hour a week. That includes backups, maintenance, updates and other tasks best done outside of business hours.

Hardware

Pelham	Wainfleet
Do you have a listing of primary hardware systems that are housed or administered internally? This would include how many servers, computers (laptop / desktop) and other major hardware that you are responsible for. This may also include mobile devices such as phones and tablets.	

Overall:
 	
Primarily Hewlett Packard, single vendor - government licensing account with CDW and Softchoice.
 	
Mobile devices: mostly Apple; in addition: Android phones (Samsung); MS Surfaces
 	
Details:
 	
▪ Microsoft Exchange 2013 Server,
▪ MS Server 2012 DNS/DHCP/File server at Town Hall and Tice Road (Public Works Location),
▪ Vadim iCity Financials (MS Server 2012 with SQL 2012 R2),
▪ MS Storage Server 2012 (Data server for archival data),
▪ Legacy Lotus Notes Server (Server 2003)
 	
Mobile devices: spreadsheet provided
	Overall:
	
	Primarily Dell Systems, vendor account with Dell.
	
	Mobile devices: mostly Apple
	
	Details:
	
	▪ Server:
	  ▪ Dell R420
	  ▪ Dell T420
	  ▪ Dell R440
	
	Laptops standardized on Dell - 25
	
	Desktops Dell - 22
	
	Tablets all except 2 are iPads, 1 Android, 1 Surface Pro - 15
	
	Cell phones – approx. 28, some are PTT

Are there any hardware systems that are maintained externally to the municipality or by external staff or consultants? For example, does the Region of Niagara administer or maintain any hardware for the municipality?	
No	▪ One CISCO router connecting us to St. Catharines Fire Dispatch ▪ Telephone System (to be replaced with hosted service) ▪ Water meter ▪ Fuel pump station controller ▪ Door and fire alarm system ▪ 4 workgroup printers
Do you have a logical diagram showing the relationship of these hardware systems available?	
Yes, provided	No. The Fire dispatch router is routed to one internal node.
How is hardware/software/network security handled?	
▪ Active Directory ▪ Cisco Meraki MDM for Mobile devices ▪ Barracuda 300 Email Security Gateway	▪ Policies ▪ Backups ▪ Passwords ▪ Physical security ▪ Barracuda Spam and Antivirus ▪ Kaspersky on the UTM Firewall

Software

Pelham	Wainfleet
Typically, what operating systems and versions are you running on both server and personal systems? For example, MS Server 2018, MS Windows 10 etc.	
▪ Servers: Microsoft, 2012 and up ▪ Clients: Win10Pro + 1 Win7Pro	▪ Servers are VMs on Xen (free version): Windows 2008, Windows 2012, Windows 2016, Debian 9 ▪ Desktops: Windows 10, Ubuntu 18.04, Debian 9 (5 devices, including 1 server version)
Do you have a listing of primary applications that you administer internally inclusive of standard office applications such as MS Word?	
▪ MS Office ▪ Unitrends Enterprise Backup, Adobe Acrobat Pro DC ▪ L-Squared Digital Signage, ESRI GIS, AutoCAD 2020, ASI Winfuel, ASI WinFluid ▪ Bell Employee Usage Reporting, eSCRIBE E-Agenda, Marmak Road Patroller ▪ PSR (Public Service Request), StoneOrchards Cemetery ▪ Broadsoft UC-One software, Vadim iCity Financials, Questica Reporting, Noratek City Reporter	▪ MS Office 2013 ▪ Vadim iCity Accounting (Finance Department 6 users, and 5 users with limited access) – runs on SQL Server; StoneOrchards cemetery software on SQL Server 2008
Are any of these current systems part of an enterprise license agreement?	
ESRI GIS, Vadim iCity Financials, Adobe Acrobat Pro	Yes. Windows OS

How widespread is the usage of each software for these systems? For example, a single enterprise system may be accessed by all staff; all staff may have a copy of MS Office; only 2 staff may have a copy of AutoCAD etc.	
Enterprise systems are accessed by all staff, Vadim, Acrobat, MS Office. AutoCAD is only accessed by our Engineering Dept (6 users), ESRI is accessed by Planning Dept (5 users).	▪ MS Office – all users ▪ Internal chat – all users ▪ Fire Pro – 6 users – on PostgreSQL ▪ StoneOrchard – 4 users
Are there any systems that are maintained by staff or agencies external to the municipality such as the Region of Niagara; or services that are provided on behalf of the municipality such as website or email hosting?	
eSolutions Group hosts our website and will perform system updates/upgrades and any additional custom enhancements that we might request. Content management is handled by staff, mainly our Marketing and Communications Officer. If staff have any issues, they will contact IT to try and solve internally. If unable to resolve a ticket would then be created with eSolutions Group. Email managed in house, nothing is maintained by the Region	▪ GIS/Mapping System (Region) ▪ Building Permits ▪ CityWide ▪ IaR (iamresponding.com) ▪ Will be moving website - project underway, significantly improved functionality including ability for direct requests
Does the municipality maintain any social networking accounts or similar services?	
Facebook, Twitter, Instagram - maintained by Marketing & Communications	Facebook, Twitter, but may shift focus to website

Does the municipality have any expert systems? For example, SCADA, Burnside, etc.	
Vadim iCity Financials, ActiveNET, Marmak Road Patroller, Marmak Fixed Assets	Vadim iCity Financials
What is the current financial system in place?	
Vadim iCity Financials	Vadim iCity Financials
What enterprise database is in use?	
MSSQL 2012 R2	MSSQL 2008, PostgreSQL
How are system backups handled?	
▪ Unitrends 750 Backup appliance. ▪ Main file server is backed up three times daily 5AM, 12PM, 5:30PM. ▪ Vadim iCity server is backed up three times daily, 5AM,12PM, 6PM. ▪ SQL real-time transactional backup is performed by SQL scripts created on the Vadim Financial server. ▪ Backups at HQ and two additional locations	Internal backups using Synology devices and software. Spread among separate buildings on the same campus. Five most recent copies are maintained, each of those copied to another backup device with a 12hour delay.
Are there any systems in place that are not supported by the vendor anymore? Are any approaching end of life?	
No	Windows 2008. Used internally only.
Is there a document management system in place?	
TABFusion	No

Services

Pelham	Wainfleet
Are there any applications that you would like to have in place that are of an enterprise nature such as a maintenance management system, web-GIS etc?	
▪ Currently we are working on a web based Fixed Asset system which will indicate Capital completion projects. The data will export from our Vadim iCity software, into Questica Financial reporting software and ultimately linked into our website. ▪ There is an enterprise agreement with ESRI through the Region - would like to hire a GIS person and have WebGIS, make some of the data available to staff and residents online	Hosted ArcGIS, managed by the Region - discussions in progress, but is not finalized yet
How are public service requests are received?	
PSR, will direct the request to appropriate staff, and send out email notifications on status change	▪ Mail ▪ Phone ▪ Internal chat ▪ In person ▪ New website will include online communication/ payments
How are internal work requests between departments are assigned / relayed?	
▪ PSR, email, phone, text. ▪ IT mostly receives email/calls - user preference	▪ Mail ▪ Phone ▪ Internal chat ▪ In person

Who issues/assigns work and what is the process?	
▪ Organizational work that would impact the entire Town would usually come from our Senior Leadership Team. Our Director of Finance (who IT reports to) will provide the IT department with the details and scope of the work/project. IT will provide feedback, suggestions, impact and timelines. ▪ If the work is more of a technical issue, the work would be assigned via the PSR system.	Management assigns work and those responsible for the completion.
How are scheduled work/PMs tasks assigned / determined? Are there schedules of some form?	
▪ PSR does have an SLA time frame for completion of particular requests. ▪ Major tasks, such as system wide implementation are completed via an internal workplan document.	All departments handle their own schedules as needed. Often in coordination with supervisors or other departments. Some people wear multiple hats.
How are regulatory work assignments determined / tracked?	
PSR, internal work plans.	Each department responsible for their own area Tasks and assignments discussed during regular Operational Leadership Team (OLT) meetings
How is staff time tracked or is it?	
Staff time is tracked via Vadim iCity Time Entry program	▪ Self-reporting ▪ Finance and people in supervisory roles verify their staff's attendance reports

Does field staff have access to data in the field? Do they require access, or would it be a nice to have?	
Yes. Building Department uses Noratek City Reporter to complete Building Inspections using iPads. Public Works has access to laptops to complete Marmak Road partrols and Work Orders.	▪ Cell phones ▪ Tablets
As above do field staff have municipality-owned mobile devices?	
Yes, also recently reviewed who requires a mobile device	Yes
Who does or how is end user support handled?	
IT Department will handle the initial request. If the request is unable to be resolved or involves the software vendor, a ticket would be created with the software provider.	By IT directly
How do end users submit IT requests? Is there a ticket system or just via email?	
PSR, but staff mostly use email/calls	No ticket system; it is not felt that one is needed at this time. IT requests are submitted via mail, phone, internal chat, in person
How are changes to the IT environment handled?	
Internally by IT staff	Try to sandbox where possible
How are system users currently managed? (Active directory? HR system?)	
AD. Vadim iCity for Payroll/HR users	HR

How is physical access to the buildings managed (key cards? Who maintains that system?)	
Electronic 4-digit access codes are provided to staff. These codes are unique to each user. Managed by Facilities.	Key fobs. The system maintained internally by IT and Public Works Manager
Are there mobile or remote work policies and if so, is there a VPN?	
Yes, a VPN is present	Zyxel VPN
How are updates / new applications rolled out?	
Mobile devices: ▪ vendors will notify when new release is available ▪ IT-controlled AppleIDs ▪ IT rolls out using an MDM Other: ▪ WSUS ▪ staff will coordinate with IT for the manual updates of specific software like ESRI, AutoCAD (admin rights required)	
Is there any in-house application development?	
No	Minimal. Mostly ad hoc reports if not present in the existing apps
Are there any development environments that we should be aware of?	
No	Delphi

Is there any interaction between IT and the Region of Niagara, and if so, how is this organized?	
Only interaction is our quarterly NAMIC meetings IT can reach out when purchasing software - the Region usually includes clauses for lower-tier municipalities if they purchased the same, e.g. PhishMe	▪ All municipal IT departments have quarterly meetings. ▪ Questions, issues and requests are handled via group or individual mail ▪ A pretty closely-knit mutual support group
Who is responsible for handling the new 911 requirements that are being rolled out?	
Fire Department	Fire Department
Is there an asset register in place? How are regulatory asset management projects being handled?	
Currently we are implementing a Fixed Assets program using Marmak	▪ CityWide ▪ Accounting Department handles assets in co-operation with various departments
Has a Threat Risk Assessments been done, and if yes, what were the findings?	
No. However Deloitte does complete an annual IT audit focusing more on user access controls, system backups, new hire and terminations.	Yes. There are issues to resolve
How is sensitive data protected (i.e. tax roll)/ managed?	
All electronic data is stored on servers with particular group/user permissions. Hard copy data is stored by the particular department. Tax rolls would be handled by our Tax Clerk.	▪ General Policies ▪ Physical Security ▪ IT policies

The documentation is stored in a locked room at our Town Hall.	
Are there any current IT projects ongoing or any planned in the immediate future?	
▪ Questica Reporting integration. ▪ Paymentus integration with our Vadim iCity Financial software for Building Permits, Planning Applications, Taxes, Utility Billing, Burn Permits, Parking Citations. ▪ VoIP software - Cisco BroadWorks ▪ Duo Security - 2-factor authentication, especially considering remote work	▪ Upgrade Windows Servers to 2019 ▪ Upgrade Exchange Server to 2019 ▪ Outsourced development and hosting of the website ▪ HA storage NAS ▪ Migration to a hosted phone system ▪ Online payment processing ▪ Move to newer MSSQL and Windows Server ▪ New UTM device, to include more robust security and sandboxing
Are there any known user requests that would be of significant benefit to the business, that are not possible/feasible at the moment due to the lack of tools/resource availability?	
▪ in house GIS specialist ▪ Paymentus	None that would be considered major at this point.
Anything IT thinks would be beneficial to do, but they don't have the time/the tools?	
	▪ Document management system ▪ Licensed XEN ▪ Geographically remote location for a backup device ▪ HA for Exchange ▪ Various management tools ▪ Netwrix Auditor ▪ Adaxes
Are there any "pinch points" that we should be aware of?	
	▪ WAN speed (at the moment significantly improved due to the

	agreement for the duration of the pandemic, but long-term will have to be negotiated)