



GLOUCESTER CITY COUNCIL  
**Budget & Finance Committee**  
Thursday, April 23, 2015 – **4:30 p.m.**  
1<sup>st</sup> Fl. Council Committee Rm. – City Hall  
(Items May be taken out of order at the discretion of the Committee)

1. *Memorandum from City Auditor re: City's FY13 OPEB Actuarial Valuation Report and Discussion of OPEB Liabilities with Daniel J. Rhodes, Consulting Actuary, The Segal Company*
2. *Memorandum from City Auditor re: City's FY2014 Basic Financial Statements -- a review and discussion with Chris Rogers, Principal, CliftonLarsonAllen, LLP and Memorandum from City Auditor re: City's FY14 Basic Financial Statements*
3. *Communication, Grant Application & Checklist from Co-Chair of the Gloucester Historical Commission re: acceptance of 2015 Survey & Planning Grant from Massachusetts Historical Commission and the Dusky Foundation in the amount of \$30,000*
4. *Memorandum from Harbormaster re: Waterways Board request to create a season pass for the Gloucester Harbor Launch or permitted mooring holders*
5. *Memorandum from Community Development Director re: acceptance of anticipated CDBG Entitlement Allocation PY2015 & HOME Funding Annual Appropriations*
6. *Addendum to Mayor's Report: Memorandum, Grant Application & Checklist from Community Development Director re: City Council acceptance of a grant in the amount of \$50,000 from the Seaport Advisory Council*
7. *Memorandum, Grant Application & Checklist from the Community Development Department & the Department of Public Works re: U.S. Economic Development Administration Public Works & Economic Adjustment Assistance Grant for the Blackburn Seafood Processing Cluster*
8. *Memorandum, Grant Application & Checklist from Public Health Director re: acceptance of grant in the amount of \$3,500 from the National Association of County & City Health Officials (NACCHO)*
9. *Memo from City Auditor regarding accounts having expenditures which exceed their authorization & Auditor's Report*

**COMMITTEE**  
**Councilor Melissa Cox, Chair**  
**Councilor William Fonvielle, Vice Chair**  
**Councilor Paul McGeary**

CC: Mayor Theken  
Jim Destino  
Kenny Costa  
John Dunn  
Mary Ellen Lepoinka  
Jim Caulkett/Tony Gross  
Tom Daniel  
Mike Hale  
Debbie Laurie  
Noreen Burke

The listing of matters is those reasonably anticipated by the Chair which may be discussed at the meeting. Not all items listed may in fact be discussed and other items not listed may also be brought up for discussion to the extent permitted by law.

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Nine Dale Avenue  
Gloucester, MA. 01930



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CITY OF GLOUCESTER  
CITY AUDITOR'S OFFICE

MEMORANDUM

TO: Gloucester City Council  
FROM: Kenny Costa, City Auditor *KC*  
RE: City's FY 2013 OPEB Actuarial Valuation Report  
Date: March 20, 2015

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I am pleased to transmit to you the City of Gloucester's OPEB Actuarial Valuation Report of postemployment welfare benefits as of June 30, 2013 under GASB Statements number 43 and 45. The results are in accordance with the Governmental Accounting Standards, which prescribe an accrual methodology for accumulating the value of other postemployment benefits (OPEB) over participants' active working lifetimes. The accounting standard supplements cash accounting, under which the expense for postemployment benefits is equal to benefit and administrative costs paid on behalf of retirees and their dependents (i.e. a pay-as-you-go basis).

**Key Valuation Results**

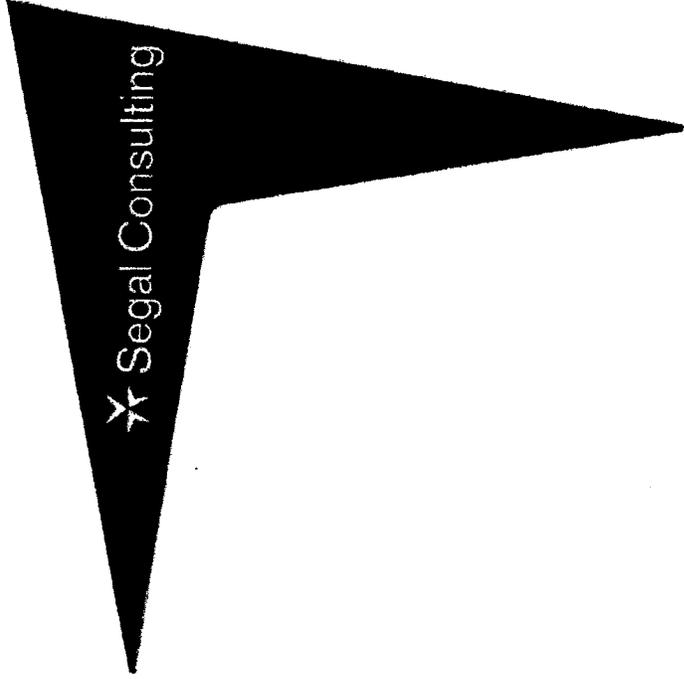
The unfunded actuarial accrued liability (UAAL) as of June 30, 2013 is \$202,932,490.

The Annual Required Contribution (ARC) for fiscal year 2014 is \$13,761,000. The ARC is expected to remain relatively level as percentage of payroll, as long as the ARC is fully funded each year. If the ARC is not fully funded, it may be expected to increase as a percentage of payroll over time.

Please refer this matter to the Budget and Finance subcommittee for review and discussion.

# City of Gloucester

Actuarial Valuation and Review of Other  
Postemployment Benefits (OPEB) as of  
June 30, 2013 in accordance with GASB  
Statements No. 43 and No. 45





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January 29, 2015

Mr. Kenny Costa  
City Auditor  
9 Dale Avenue  
City Hall  
Gloucester, MA 01930

Dear Mr. Costa:

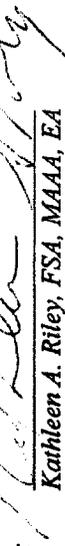
We are pleased to submit this report on our actuarial valuation of postemployment welfare benefits as of June 30, 2013 under Governmental Accounting Standards Board (GASB) Statements Number 43 and 45. It establishes the liabilities of the postemployment welfare benefit plan in accordance with GASB Statements Number 43 and 45 for the fiscal year beginning July 1, 2013 and summarizes the actuarial data.

This report is based on information received from the City. The actuarial projections were based on the assumptions and methods described in Exhibit II and on the plan of benefits as summarized in Exhibit III.

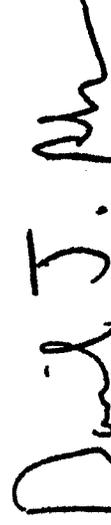
We look forward to discussing this with you at your convenience.

Sincerely,

Segal Consulting, a Member of The Segal Group, Inc.

By:   
Kathleen A. Riley, FSA, MAAA, EA  
Senior Vice President and Actuary

8122480v1/13495.004



Daniel J. Rhodes, FSA, MAAA  
Vice President and Consulting Actuary

**SECTION 1**

**EXECUTIVE SUMMARY**

Important Information About Actuarial Valuations ..... 1

Purpose ..... 3

Highlights of the Valuation ..... 3

Key Valuation Results ..... 5

Accounting Requirements ..... 6

**SECTION 2**

**VALUATION RESULTS**

Summary of Valuation Results ..... 9

Projection of ARC ..... 10

Department Results ..... 11

Actuarial Certification ..... 12

**SECTION 3**

**VALUATION DETAILS**

CHART 1  
Required Supplementary Information – Schedule of Employer Contributions ..... 13

CHART 2  
Required Supplementary Information – Schedule of Funding Progress ..... 14

CHART 3  
Required Supplementary Information – Net OPEB Obligation/(Asset) (NOO/NOA) ..... 15

CHART 4  
Summary of Required Supplementary Information ..... 16

**SECTION 4**

**SUPPORTING INFORMATION**

EXHIBIT I  
Summary of Participant Data .... 17

EXHIBIT II  
Actuarial Assumptions and Actuarial Cost Method ..... 18

EXHIBIT III  
Summary of Plan ..... 29

## SECTION 1: Executive Summary for City of Gloucester June 30, 2013 Measurement Under GASB 43 and 45

### IMPORTANT INFORMATION ABOUT ACTUARIAL VALUATIONS

An actuarial valuation is a budgeting tool with respect to the defining future uncertain obligations of a postretirement health plan. As such, it will never forecast the precise future stream of benefit payments. It is an estimated forecast – the actual cost of the plan will be determined by the benefits and expenses paid, not by the actuarial valuation.

In order to prepare a valuation, Segal Consulting (“Segal”) relies on a number of input items. These include:

**Plan of benefits** Plan provisions define the rules that will be used to determine benefit payments, and those rules, or the interpretation of them, may change over time. Even where they appear precise, outside factors may change how they operate. For example, a plan may provide health benefits to post-65 retirees that coordinate with Medicare. If so, changes in the Medicare law or administration may change the plan’s costs without any change in the terms of the plan itself. It is important for the City to keep Segal informed with respect to plan provisions and administrative procedures, and to review the plan summary included in our report to confirm that Segal has correctly interpreted the plan of benefits.

**Participant data** An actuarial valuation for a plan is based on data provided to the actuary by the plan. Segal does not audit such data for completeness or accuracy, other than reviewing it for obvious inconsistencies compared to prior data and other information that appears unreasonable. The actuarial valuation is based on a future work force that is presumed to be the same as the active population included in the valuation, but in fact, employment can vary from year to year. It is not necessary to have perfect data for an actuarial valuation: the valuation is an estimated forecast, not a prediction. The uncertainties in other factors are such that even perfect data does not produce a “perfect” result. Notwithstanding the above, it is important for Segal to receive the best possible data and to be informed about any known incomplete or inaccurate data.

**Assets** Part of the cost of a plan will be paid from existing assets – the balance will need to come from future contributions and investment income. The valuation is based on the asset values as of the valuation date, typically reported by the auditor. Some plans include assets, such as private equity holdings, real estate, or hedge funds, that are not subject to valuation by reference to transactions in the marketplace. A snapshot as of a single date may not be an appropriate value for determining a single year’s contribution requirement, especially in volatile markets.

**Actuarial assumptions** In preparing an actuarial valuation, Segal starts by developing a forecast of the benefits to be paid to existing plan participants for the rest of their lives and the lives of their beneficiaries. This requires actuarial assumptions as to the probability of death, disability, withdrawal, and retirement of each participant for each year, as well as forecasts of the plan’s benefits for each of those events. The forecasted benefits are then discounted to a present value, typically based on an estimate of the rate of return that will be achieved on the plan’s assets or, if there are no assets, a rate of return on high quality fixed income investments. All of these factors are uncertain and unknowable. Thus, there will be a range of reasonable assumptions, and the results may vary materially based on which assumptions the actuary selects within that range. That is, there is no right answer (except with hindsight). It is important for any user of an actuarial valuation to understand and accept this constraint. The actuarial model may use approximations and estimates that will have an immaterial impact on our results and will have no impact on the actual cost of the plan. In addition, the actuarial assumptions may change over time, and while this can have a significant impact on the reported results, it does not mean that the previous assumptions or results were unreasonable or wrong.

## **SECTION 1: Executive Summary for City of Gloucester June 30, 2013 Measurement Under GASB 43 and 45**

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Given the above, the user of Segal's actuarial valuation (or other actuarial calculations) needs to keep the following in mind:

- The actuarial valuation is prepared for use by the City. It includes information for the plan's auditor. Segal is not responsible for the use or misuse of its report, particularly by any other party.
- An actuarial snapshot is a measurement at a specific date – it is not a prediction of a plan's future financial condition.
- Critical events for a plan include, but are not limited to, decisions about changes in benefits and contributions. The basis for such decisions needs to consider many factors such as the risk of changes in plan enrollment, emerging claims experience and health care cost trend, not just the current valuation results.
- Segal does not provide investment, legal, accounting, or tax advice. Segal's valuation is based on our understanding of applicable guidance in these areas and of the plan's provisions, but they may be subject to alternative interpretations. The City should look to their other advisors for expertise in these areas.
- While Segal maintains extensive quality assurance procedures, an actuarial valuation involves complex computer models and numerous inputs. In the event that an inaccuracy is discovered after presentation of Segal's valuation, Segal may revise that valuation or make an appropriate adjustment in the next valuation.
- Segal's report shall be deemed to be final and accepted by the City upon delivery and review. The City should notify Segal immediately of any questions or concerns about the final content.

As Segal Consulting has no discretionary authority with respect to the management or assets of the Plan, it is not a fiduciary in its capacity as actuaries and consultants with respect to the Plan.

**SECTION 1: Executive Summary for City of Gloucester June 30, 2013 Measurement Under GASB 43 and 45**

**PURPOSE**

This report presents the results of our actuarial valuation of the City of Gloucester (the "Employer") postemployment welfare benefit plan as of June 30, 2013. The results are in accordance with the Governmental Accounting Standards, which prescribe an accrual methodology for accumulating the value of other postemployment benefits (OPEB) over participants' active working lifetimes. The accounting standard supplements cash accounting, under which the expense for postemployment benefits is equal to benefit and administrative costs paid on behalf of retirees and their dependents (*i.e.*, a pay-as-you-go basis).

**HIGHLIGHTS OF THE VALUATION**

During the fiscal year ending June 30, 2014, we project the City will pay benefits (net of retiree contributions) on behalf of retired employees of about \$6,197,000. This amount is less than the annual "cost" (the "Annual Required Contribution," or ARC) of approximately \$13,761,000.

The GASB statements provide the method for selecting the investment return assumption (discount rate). If the benefits are fully funded, the discount rate should be based on the estimated long-term investment yield on the investments expected to be used to finance the payment of benefits. If financing is pay-as-you-go, the discount rate should be based on the expected yield on the assets of the employer. If the benefits are partially funded, a blended discount rate can be used that reflects the proportionate amounts of plan and employer assets expected to be used.

The City of Gloucester has established a qualified Trust with a balance of \$99,139 as of June 30, 2013 and has budgeted \$100,000 for fiscal year 2014. Based on the level of funding, we have determined that the pay-as-you-go discount rate of 3.5% should be used.

To determine the amortization payment on the unfunded actuarial accrued liability (UAAL), an amortization period and amortization method must be selected. We have used a 30-year open amortization of the UAAL (the maximum permitted by the GASB statements), with payments increasing at 3.75% per year. The GASB statements allow for either an open or closed amortization period. In open amortization, the period is reset to the initial value every year and the UAAL is reamortized, while under a closed amortization, the remaining period decreases and the UAAL is eventually "paid off."

Page 10 is an illustration of how the pay-as-you-go liabilities and the ARC will change over time.

Assets set aside to fund OPEB liabilities must be held in a trust or equivalent arrangement, through which assets are accumulated and benefits are paid as they come due. Employer contributions to the plan are irrevocable, plan assets are dedicated to providing benefits to retirees and their spouses in accordance with the terms of the plan, and plan assets are legally protected from creditors of the employer.

Chapter 68 of the Acts of 2011 permits municipalities, authorities and certain other government entities of the Commonwealth to establish a liability trust fund for funding retiree benefits (other than pension), also known as Other Post-Employment Benefits (OPEB). The legislation also ensures that these entities have access to the state's investment trust, the State Retiree Benefits Trust Fund (SRBTF) for purposes of investment OPEB funds.

**SECTION 1: Executive Summary for City of Gloucester June 30, 2013 Measurement Under GASB 43 and 45**

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GASB guidelines prohibit the offset of OPEB obligations by the future value of Medicare Part D subsidies. Therefore, these calculations do not include an estimate for retiree prescription drug plan federal subsidies that the Employer may be eligible to receive for plan years beginning in 2006.

Employer decisions regarding plan design, cost sharing between the Employer and its retirees, actuarial cost method, amortization techniques, and integration with Medicare are just some of the decisions that affect the magnitude of OPEB obligations. We are available to assist you with any investigation of such options you may wish to undertake.

This valuation does not include the potential impact of any future changes due to the Patient Protection and Affordable Care Act (PPACA) and the Health Care and Education Reconciliation Act (HCERA) of 2010 other than other than those previously adopted as of the valuation date.

**SECTION 1: Executive Summary for City of Gloucester June 30, 2013 Measurement Under GASB 43 and 45**

**KEY VALUATION RESULTS**

- > The **unfunded actuarial accrued liability (UAAL)** as of June 30, 2013 is \$202,932,000. Going forward, net unfunded plan obligations will be expected to change due to normal plan operations, which consist of continuing accruals for active members, plus interest on the unfunded actuarial accrued liability, less contributions. Future valuations will analyze the difference between actual and expected unfunded actuarial accrued liabilities.
  - o As of June 30, 2013 the ratio of assets to the AAL (the funded ratio) is 0.05%.
- > The **Annual Required Contribution (ARC)** for fiscal year 2014 is \$13,761,000. The ARC is expected to remain relatively level as a percentage of payroll, as long as the ARC is fully funded each year. If the ARC is not fully funded, it may be expected to increase as a percentage of payroll over time.

Plan obligations of \$203,032,000 as of June 30, 2013 represent a decrease of \$1,195,000 from \$204,227,000 as shown in the June 30, 2011 valuation.

Plan obligations had been expected to increase \$16,527,000 due to normal plan operations, which consist of continuing accruals for active members, plus interest on the total obligation, less expected benefit payments. The decrease was the net effect of the following:

  - > An **actuarial experience loss** increased obligations by \$734,000. This was the net result of gains and losses due to demographic changes.
- > **Valuation assumption and plan changes** decreased obligations by \$18,456,000. This was the net result of a *decrease* in obligations due to 1) valuation year per capita health costs not increasing as much as projected for teachers and the adoptions of the Group Insurance Commission (GIC) plans for non-teachers, 2) a change in future trend on per capita health costs based on what is likely to occur in the marketplace, partially offset by 3) an *increase* in obligations due to changes in the demographic assumption and 4) reflecting the excise tax on high cost health plans beginning in 2018. The addition of the excise tax in this valuation resulted in a 1.0% increase in the actuarial accrued liability and a 2.3% increase in the normal cost. The complete set of assumptions is shown in Exhibit II.

**SECTION 1: Executive Summary for City of Gloucester June 30, 2013 Measurement Under GASB 43 and 45**

**ACCOUNTING REQUIREMENTS**

The Governmental Accounting Standards Board (GASB) issued Statement Number 43 -- *Financial Reporting for Postemployment Benefit Plans Other Than Pension Plans*, and Statement Number 45 -- *Accounting and Financial Reporting by Employers for Postemployment Benefits Other Than Pensions*. Under these statements, all state and local governmental entities that provide other post employment benefits (OPEB) are required to report the cost of these benefits on their financial statements.

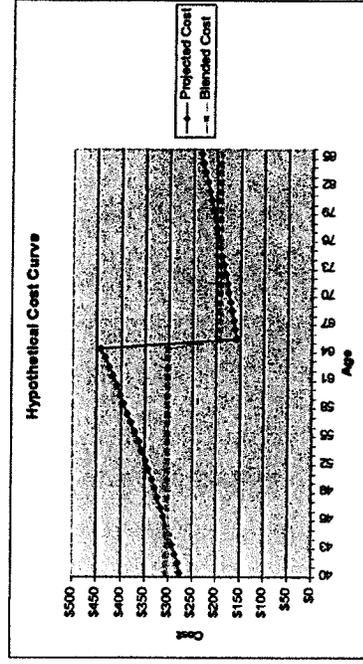
The statements cover postemployment benefits of health, prescription drug, dental, vision and life insurance coverage for retirees; long-term care coverage, life insurance and death benefits that are *not* offered as part of a pension plan; and long-term disability insurance for employees. These benefits, referred to as OPEB, are typically financed on a pay-as-you-go basis. The new standard introduces an accrual-basis accounting requirement; thereby recognizing the employer cost of postemployment benefits over an employee's career. The standards also introduce a consistent accounting requirement for both pension and non-pension benefits.

The total cost of providing postemployment benefits is projected, taking into account assumptions about demographics, turnover, mortality, disability, retirement, health care trends, and other actuarial assumptions. This amount is then discounted to determine the actuarial present value of the total projected benefits (APB). The actuarial accrued liability (AAL) is the portion of the present value of the total projected benefits allocated to years of employment prior to the measurement date. The unfunded actuarial accrued liability (UAAL) is the difference between the AAL and actuarial value of assets in the Plan.

Once the UAAL is determined, the Annual Required Contribution (ARC) is determined as the normal cost (the APB allocated to the current year of service) and the amortization of the UAAL. This ARC is compared to actual contributions made and any difference is reported as the net OPEB obligation (NOO). In addition, required supplementary information (RSI) must be reported, including historical information about the UAAL and the progress in funding the Plan.

The benefits valued in this report are limited to those described in Exhibit III of Section 4.

The following graph illustrates why a significant accounting obligation may exist even though the retiree contributes most or all of the blended premium cost of the plan. The average cost for retirees is likely to exceed the average cost for the whole group, leading to an implicit subsidy for these retirees. The accounting standard requires the employer to identify and account for this implicit subsidy as well as any explicit subsidies the employer may provide.



**SECTION 1: Executive Summary for City of Gloucester June 30, 2013 Measurement Under GASB 43 and 45**

This graph shows how the actuarial present value of the total projected benefits (APB) is broken down and allocated to various accounting periods.

The exact breakdown depends on the actuarial cost method and amortization methods selected by the employer.

**GASB 43/45 Measurement**

**Present Value  
of Future Benefits**

Future  
Accounting  
Periods

Current Period

Historical  
Accounting  
Periods

Future Accruals (Actives)
Normal Cost (Actives)
Actuarial Accrued Liability (Actives + Retirees)

$$\begin{array}{c}
 \text{Normal Cost} \\
 + \\
 \text{30 Years Amortization} \\
 \text{of Unfunded Actuarial Accrued Liability} \\
 \hline
 \text{Annual Required Contribution (ARC)}
 \end{array}$$

$$\begin{array}{l}
 \text{Net OPEB Obligation} = \text{ARC}_1 + \text{ARC}_2 + \text{ARC}_3 + \dots \\
 - \text{Contribution}_1 - \text{Contribution}_2 - \text{Contribution}_3 - \dots
 \end{array}$$

**SECTION 1: Executive Summary for City of Gloucester June 30, 2013 Measurement Under GASB 43 and 45**

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Actuarial computations under GASB statements are for purposes of fulfilling certain welfare plan accounting requirements. The calculations shown in this report have been made on a basis consistent with our understanding of GASB. Determinations for purposes other than meeting the financial accounting requirements of GASB may differ significantly from the results reported here.

Calculations are based on the benefits provided under the terms of the substantive plan in effect at the time of the valuation and on the pattern of sharing costs between the employer and plan members. The projection of benefits does not incorporate the potential effect of legal or contractual funding limitations on the pattern of cost sharing between the employer and plan members in the future.

Actuarial calculations reflect a long-term perspective, and the methods and assumptions use techniques designed to reduce short term volatility in accrued liabilities and the actuarial value of assets, if any.

The calculation of an accounting obligation does not, in and of itself, imply that there is any legal liability to provide the benefits valued, nor is there any implication that the Employer is required to implement a funding policy to satisfy the projected expense.

Actuarial valuations involve estimates of the value of reported amounts and assumptions about the probability of events far into the future, and the actuarially determined amounts are subject to continual revision as actual results are compared to past expectations and new estimates are made about the future.

**SECTION 2: Valuation Results for the City of Gloucester June 30, 2013 Measurement Under GASB 43 and 45**

**SUMMARY OF VALUATION RESULTS  
ALL DEPARTMENTS**

	3.5% interest rate	
	July 1, 2013	July 1, 2011
<b>Actuarial Accrued Liability by Participant Category</b>		
1. Current retirees, beneficiaries and dependents	\$109,495,587	\$106,430,793
2. Current active members	23,536,042	97,797,747
3. Total as of June 30, 2013 and June 30, 2011: (1) + (2)	\$203,031,629	\$204,228,540
4. Actuarial value of assets as of June 30, 2013 and June 30, 2011	<u>99,139</u>	<u>0</u>
5. Unfunded actuarial accrued liability (UAAL) as of June 30, 2013 and June 30, 2011: (3) - (4)	\$202,932,490	\$204,228,540
<b>Annual Required Contribution for Fiscal Year Ending June 30, 2014</b>		
6. Normal cost as of July 1, 2013 and July 1, 2011	\$6,995,643	\$7,296,374
7. Adjustment for timing	121,371	126,588
8. Normal cost, adjusted for timing: (6) + (7)	\$7,117,014	\$7,422,962
9. 30-year amortization (increasing at 3.75% per year) of the UAAL as of June 30, 2013 and June 30, 2011	6,530,451	6,572,158
10. Adjustment for timing	<u>113,301</u>	<u>114,023</u>
11. Amortization payment adjusted for timing: (9) + (10)	\$6,643,752	\$6,686,181
12. Total Annual Required Contribution (ARC): (8) + (11)	13,760,766	14,109,143
13. Projected benefit payments	6,197,464	6,136,077

*Note: Assumes payment in the middle of the fiscal year.*

**SECTION 2: Valuation Results for the City of Gloucester June 30, 2013 Measurement Under GASB 43 and 45**

**PROJECTION OF ARC**

**30 Years Open (3.50% discount rate)**

Fiscal Year Ended June 30	(1) Projected Benefit Payments	(2) Normal Cost	(3) Amortization of UAAL	(4) ARC (3) + (2)	(5) Additional Funding	(6) Assets at End of Year	(7) AAL at End of Year	(8) UAAL at End of Year (7) - (6)
2014	\$6,197,464	\$7,117,014	\$6,643,752	\$13,760,766	\$100,000	\$200,874	\$211,073,240	\$210,872,366
2015	6,418,743	7,472,865	6,903,693	14,376,558	100,000	320,244	219,533,214	219,212,970
2016	6,983,249	7,846,508	7,176,753	15,023,261	100,000	448,866	228,095,113	227,646,247
2017	7,514,223	8,238,833	7,452,848	15,691,681	100,000	587,456	236,815,624	236,228,168
2018	7,927,400	8,650,775	7,733,809	16,384,584	100,000	736,787	245,840,096	245,103,309
2019	8,407,793	9,083,314	8,024,370	17,107,684	100,000	897,691	255,131,740	254,234,049
2020	8,953,101	9,537,480	8,323,299	17,860,779	100,000	1,071,065	264,655,869	263,584,804
2021	9,465,522	10,014,354	8,629,431	18,643,785	100,000	1,257,875	274,477,178	273,219,303
2022	9,997,065	10,515,072	8,944,852	19,459,924	100,000	1,459,163	284,610,873	283,151,710
2023	10,536,176	11,040,826	9,270,026	20,310,852	100,000	1,676,051	295,085,659	293,409,608
2024	11,075,564	11,592,867	9,605,857	21,198,724	100,000	1,909,748	305,939,935	304,030,187
2025	11,653,710	12,172,510	9,953,561	22,126,071	100,000	2,161,556	317,175,634	315,014,078
2026	12,122,821	12,781,136	10,313,160	23,094,296	100,000	2,432,879	328,946,518	326,513,639
2027	12,532,689	13,420,193	10,689,641	24,109,834	100,000	2,725,230	341,362,548	338,637,318
2028	12,921,442	14,091,203	11,086,555	25,177,758	100,000	3,040,238	354,500,293	351,460,055
2029	13,298,436	14,795,763	11,506,355	26,302,118	100,000	3,379,659	368,431,108	365,051,449
2030	13,652,673	15,535,551	11,951,320	27,486,871	100,000	3,745,385	383,241,742	379,496,357
2031	14,027,529	16,312,329	12,424,227	28,736,556	100,000	4,139,455	398,979,643	394,840,188
2032	14,361,336	17,127,945	12,926,565	30,054,510	100,000	4,564,065	415,758,539	411,194,474
2033	14,711,907	17,984,342	13,461,983	31,446,325	100,000	5,021,583	433,639,298	428,617,715
2034	15,002,320	18,883,559	14,032,398	32,915,957	100,000	5,514,558	452,765,250	447,250,692
2035	15,072,010	19,827,737	14,642,418	34,470,155	100,000	6,045,739	473,450,270	467,404,531
2036	15,252,954	20,819,124	15,302,229	36,121,353	100,000	6,618,086	495,683,770	489,065,684
2037	15,277,110	21,860,080	16,011,388	37,871,468	100,000	7,234,790	519,729,883	512,495,093
2038	15,107,373	22,953,084	16,778,437	39,731,521	100,000	7,899,289	545,902,259	538,002,970
2039	15,198,008	24,100,738	17,613,532	41,714,270	100,000	8,615,287	574,066,026	565,450,739
2040	15,169,538	25,305,775	18,512,137	43,817,912	100,000	9,386,774	604,470,433	595,083,659
2041	14,918,463	26,571,064	19,482,281	46,053,345	100,000	10,218,052	637,481,666	627,263,614
2042	14,866,523	27,899,617	20,535,812	48,435,429	100,000	11,113,754	673,052,736	661,938,982
2043	14,817,338	29,294,598	21,671,039	50,965,637	100,000	12,078,873	711,338,015	699,259,142

Notes: Assumes payment in the middle of the fiscal year.  
Amortization payments calculated to increase 3.75% per year.

**SECTION 2: Valuation Results for the City of Gloucester June 30, 2013 Measurement Under GASB 43 and 45**

**DEPARTMENT RESULTS**

**Actuarial Accrued Liability (AAL) and Annual Required Contribution – 3.50%**

Actuarial Accrued Liability by Participant Category	All Other	Sewer	Water	Waterways	Total
1. Current retirees, beneficiaries and dependents	\$104,754,507	\$2,282,835	\$2,458,245	\$0	\$109,495,587
2. Current active members	<u>89,350,727</u>	<u>1,947,152</u>	<u>2,096,769</u>	<u>141,394</u>	<u>93,536,042</u>
3. Total as of June 30, 2013: (1) + (2)	\$194,105,234	\$4,229,987	\$4,555,014	\$141,394	\$203,031,629
4. Actuarial value of assets as of June 30, 2013	<u>94,780</u>	<u>2,065</u>	<u>2,224</u>	<u>69</u>	<u>99,139</u>
5. Unfunded actuarial accrued liability (UAAL) as of June 30, 2013: (3) – (4)	\$194,010,454	\$4,227,922	\$4,552,790	\$141,325	\$202,932,490
<b>Annual Required Contribution for Fiscal Year Ending June 30, 2014</b>					
6. Normal cost as of July 1, 2013	\$6,731,499	\$128,201	\$135,943	\$0	\$6,995,643
7. Adjustment for timing	<u>116,788</u>	<u>2,224</u>	<u>2,359</u>	<u>0</u>	<u>121,371</u>
8. Normal cost, adjusted for timing: (6) + (7)	\$6,848,287	\$130,425	\$138,302	\$0	\$7,117,014
9. 30-year amortization (increasing at 3.75% per year) of the UAAL as of June 30, 2013	6,243,336	136,056	146,511	4,548	6,530,451
10. Adjustment for timing	<u>108,319</u>	<u>2,361</u>	<u>2,542</u>	<u>79</u>	<u>113,301</u>
11. Amortization payment adjusted for timing: (9) + (10)	\$6,351,655	\$138,417	\$149,053	\$4,627	\$6,643,752
12. Total Annual Required Contribution (ARC): (8) + (11)	13,199,942	268,842	287,355	4,627	13,760,766
13. Projected benefit payments	5,865,228	140,261	182,127	9,848	6,197,464

Notes: Assumes payment in the middle of the fiscal year.  
 Retiree liabilities and projected benefit payments are estimated based on distribution of active liabilities in these subgroups.  
 Assets as of June 30, 2013 are allocated in proportion to liabilities.

**SECTION 2: Valuation Results for the City of Gloucester June 30, 2013 Measurement Under GASB 43 and 45**

January 29, 2015

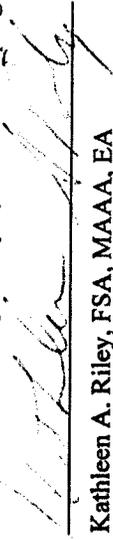
**ACTUARIAL CERTIFICATION**

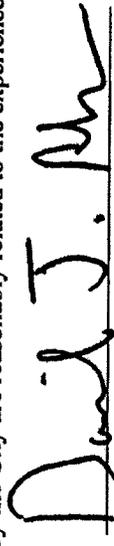
This is to certify that Segal Consulting, a Member of The Segal Group, Inc. has conducted an actuarial valuation of certain benefit obligations of the City of Gloucester other postemployment benefit programs as of June 30, 2013, in accordance with generally accepted actuarial principles and practices. The actuarial calculations presented in this report have been made on a basis consistent with our understanding of GASB Statements Number 43 and 45 for the determination of the liability for postemployment benefits other than pensions.

The actuarial valuation is based on the plan of benefits verified by the City and on participant and premium data provided by the City or from vendors employed by the City. Segal Consulting does not audit the data provided. The accuracy and comprehensiveness of the data is the responsibility of those supplying the data. Segal, however, does review the data for reasonableness and consistency.

The actuarial computations made are for purposes of fulfilling plan accounting requirements. Determinations for purposes other than meeting financial accounting requirements may be significantly different from the results reported here. Accordingly, additional determinations may be needed for other purposes, such as judging benefit security at termination or adequacy of funding an ongoing plan.

To the best of our knowledge, this report is complete and accurate and in our opinion presents the information necessary to comply with GASB Statements Number 43 and 45 with respect to the benefit obligations addressed. The signing actuaries are members of the Society of Actuaries, the American Academy of Actuaries, and other professional actuarial organizations and collectively meet their "General Qualification Standards for Statements of Actuarial Opinion" to render the actuarial opinion contained herein. Further, in our opinion, the assumptions as approved by the City are reasonably related to the experience and expectations of the postemployment benefit programs.

  
Kathleen A. Riley, FSA, MAAA, EA  
Senior Vice President and Actuary

  
Daniel J. Rhodes, FSA, MAAA  
Vice President and Consulting Actuary

**SECTION 3: Valuation Details for the City of Gloucester June 30, 2013 Measurement Under GASB 43 and 45**

**CHART 1**

**Required Supplementary Information – Schedule of Employer Contributions**

<b>Fiscal Year Ended June 30,</b>	<b>Annual OPEB Costs</b>	<b>Actual Contributions</b>	<b>Percentage Contributed</b>
2009	\$11,818,624	\$4,469,661	37.8%
2010	12,683,069	4,782,465	37.7%
2011	13,791,187	4,574,904	33.2%
2012	14,164,467	4,821,767	34.0%
2013	14,830,650	4,379,896	29.5%
2014	13,860,849	6,297,464	45.4%
2015	14,493,743	6,518,743	45.0%

*Notes: 2015 information assumes there will be no plan changes that need to be reflected.*

*Fiscal 2013 and earlier are based on figures shown in the City of Gloucester CAFR for fiscal year ended June 30, 2013. Contribution amounts for 2014 and later include an additional contribution of \$100,000.*

**SECTION 3: Valuation Details for the City of Gloucester June 30, 2013 Measurement Under GASB 43 and 45**

This schedule of funding progress presents multi-year trend information about whether the actuarial value of plan assets is increasing or decreasing over time relative to the actuarial accrued liability for benefits.

**CHART 2**

**Required Supplementary Information – Schedule of Funding Progress**

Actuarial Valuation Date	Actuarial Value of Assets (a)	Actuarial Accrued Liability (AAL) (b)	Unfunded AAL (UAAL) (b) - (a)	Funded Ratio (a) / (b)	Covered Payroll (c)	UAAL as a Percentage of Covered Payroll [(b) - (a) / (c)]
01/01/2008	\$0	\$147,790,883	\$147,790,883	0.00%	\$47,234,000	312.89%
06/30/2009	0	220,755,787	220,755,787	0.00%	47,216,775	467.54%
06/30/2011	0	204,228,540	204,228,540	0.00%	38,360,017	532.40%
06/30/2013	99,139	203,031,629	202,932,490	0.05%	-.*	-.*

\* Enter covered payroll for fiscal 2013.

**SECTION 3: Valuation Details for the City of Gloucester June 30, 2013 Measurement Under GASB 43 and 45**

**CHART 3  
Required Supplementary Information – Net OPEB Obligation/(Asset) (NOO/NOA)**

Fiscal Year Ended June 30,	Annual Required Contribution (a)	Interest on Existing NOO (b)	ARC Adjustment (c)	Annual OPEB Cost (a) + (b) + (c) (d)	Actual Contribution Amount (e)	Net Increase in NOO (d) - (e) (f)	NOO as of Following Date (g)
2009	\$11,818,624	\$0	\$0	\$11,818,624	\$4,469,661	\$7,348,963	\$7,348,963
2010	12,605,779	330,703	(253,413)	12,683,069	4,782,465	7,900,604	15,249,567
2011	13,756,703	533,735	(499,251)	13,791,187	4,574,904	9,216,283	24,465,850
2012	14,109,143	856,305	(800,981)	14,164,467	4,821,767	9,342,700	33,808,550
2013	14,757,171	1,137,298	(1,063,819)	14,830,650	4,379,896	10,450,754	44,259,304
2014	13,760,766	1,549,076	(1,448,993)	13,860,849	6,297,464	7,563,385	51,822,689
2015	14,376,558	1,813,794	(1,696,609)	14,493,743	6,518,743	7,975,000	59,797,689

Notes: 2015 information assumes there will be no plan changes that need to be reflected.  
Fiscal 2013 and earlier are based on figures shown in the City of Gloucester CAFR for fiscal year ended June 30, 2013.  
Contribution amounts for 2014 and later include an additional contribution of \$100,000.

**SECTION 3: Valuation Details for the City of Gloucester June 30, 2013 Measurement Under GASB 43 and 45**

**CHART 4  
Summary of Required Supplementary Information**

Valuation date	June 30, 2013
Actuarial cost method	Projected Unit Credit
Amortization method	Payments increasing at 3.75% per year
Remaining amortization period	30 years open
Asset valuation method	Market value
<b>Actuarial assumptions:</b>	
Investment rate of return	3.50%
Inflation rate	3.75%
Medical/Drug cost trend rate*	1.0% for 1 year, 6.5% for 1 year, 6.0% for 8 years, 5.5% for 1 year and finally an ultimate level of 5.0% per year.
<b>Plan membership:</b>	
Current retirees, beneficiaries, and dependents	924
Current active participants	618
Total	1,542

\* 1% first year trend based on average GIC rate increase from fiscal year 2014 to fiscal year 2015.

**SECTION 4: Supporting Information for the City of Gloucester June 30, 2013 Measurement Under GASB 43 and 45**

*This exhibit summarizes the participant data used for the July 1, 2013 and July 1, 2011 valuations.*

<b>EXHIBIT I</b>	<b>July 1, 2013</b>	<b>July 1, 2011</b>
<b>Summary of Participant Data</b>		
<b>Active employees covered for medical benefits</b>		
Number of employees		
Male	284	291
Female	334	362
Total	618	654
Average age	49.2	49.4
Average service	13.0	13.1
<b>Retired employees, spouses and beneficiaries covered for medical benefits</b>		
Number of individuals	924	885
Average age	71.5	71.2

**SECTION 4: Supporting Information for the City of Gloucester June 30, 2013 Measurement Under GASB 43 and 45**

**EXHIBIT II**

**Actuarial Assumptions and Actuarial Cost Method**

<b>Data:</b>	Detailed census data, premium rates, and summary plan descriptions for postemployment welfare benefits were provided by the City of Gloucester.
<b>Actuarial Cost Method:</b>	Projected Unit Credit -- For active employees, benefits are allocated from date of hire to assumed retirement age.
<b>Per Capita Cost Development:</b>	Per capita costs were based on the fully insured premium rates effective July 1, 2014 (January 1, 2014 for Medicare Advantage Plans) offered by the Group Insurance Commission. Premiums were combined by taking a weighted average based on the number of participants in each plan, and were then trended to the midpoint of the valuation year at assumed trend rates. Actuarial factors were applied to the premium to estimate individual retiree and spouse costs by age and by gender.
<b>Measurement Date:</b>	June 30, 2013
<b>Discount Rate:</b>	3.50%
<b>Mortality Rates:</b>	
<i>Pre-Retirement (Non-Teachers)</i>	RP-2000 Healthy Employee Mortality Table projected 20 years with Scale AA (previously, RP-2000 Healthy Employee Mortality Table projected 12 years with Scale AA)
<i>Healthy (Non-Teachers)</i>	RP-2000 Healthy Annuitant Mortality Table projected 15 years with Scale AA (previously, RP-2000 Healthy Annuitant Mortality Table projected 12 years with Scale AA)
<i>Disabled (Non-Teachers)</i>	RP-2000 Healthy Annuitant Mortality Table set forward three years projected five years with Scale AA (previously, RP-2000 Healthy Annuitant Mortality Table set forward 5 years projected 12 years using Scale AA)
<i>Pre-Retirement (Teachers)</i>	RP-2000 Combined Healthy White Collar Table projected 22 years with Scale AA (previously, RP-2000 Healthy Employee Mortality Table projected 10 years with Scale AA)

**SECTION 4: Supporting Information for the City of Gloucester June 30, 2013 Measurement Under GASB 43 and 45**

*Healthy (Teachers)*

RP-2000 Healthy Annuitant with Large Benefit Amount Adjustment Mortality Table projected 17 years with Scale AA (previously, RP-2000 Healthy Annuitant Mortality Table projected 10 years with Scale AA)

*Disabled (Teachers)*

RP-2000 Healthy Annuitant with Large Benefit Amount Adjustment Mortality Table projected 7 years with Scale AA set forward 3 years for males (previously, RP-2000 Healthy Annuitant Mortality Table set forward 3 years for males)

The mortality tables were determined to contain provisions appropriate to reasonably reflect future mortality improvement, based on a review of the mortality experience as of the measurement date.

**Termination Rates before Retirement:**

**Groups 1 and 2 (excluding Teachers) - Rate per year (%)**

Age	Mortality							
	Current				Previously			
	Male	Female	Male	Female	Male	Female	Male	Female
20	0.02	0.01	0.03	0.02	0.03	0.02	0.01	0.03
25	0.03	0.02	0.03	0.02	0.03	0.02	0.02	0.04
30	0.04	0.02	0.04	0.02	0.04	0.02	0.03	0.06
35	0.07	0.04	0.07	0.04	0.07	0.04	0.06	0.08
40	0.09	0.05	0.10	0.06	0.10	0.06	0.10	0.12
45	0.12	0.08	0.13	0.09	0.13	0.09	0.15	0.18
50	0.15	0.12	0.17	0.14	0.17	0.14	0.19	0.31
55	0.21	0.22	0.24	0.23	0.24	0.23	0.24	0.50
60	0.35	0.36	0.40	0.37	0.40	0.37	0.28	0.61

*Note: 55% of the rates shown represent accidental disability and death.*

**SECTION 4: Supporting Information for the City of Gloucester June 30, 2013 Measurement Under GASB 43 and 45**

**Group 4 - Rate per year (%)**

Age	Mortality					
	Current		Previously		Disability	
	Male	Female	Male	Female	Current	Previously
20	0.02	0.01	0.03	0.02	0.10	0.10
25	0.03	0.02	0.03	0.02	0.20	0.12
30	0.04	0.02	0.04	0.02	0.30	0.18
35	0.07	0.04	0.07	0.04	0.30	0.26
40	0.09	0.05	0.10	0.06	0.30	0.38
45	0.12	0.08	0.13	0.09	1.00	0.58
50	0.15	0.12	0.17	0.14	1.25	0.98
55	0.21	0.22	0.24	0.23	1.20	1.60
60	0.35	0.36	0.40	0.37	0.85	1.97

*Note: 90% of the rates shown represent accidental disability and death.*

**Teachers - Rate per year (%)**

Age	Mortality					
	Current		Previously		Disability	
	Male	Female	Male	Female	Current	Previously
20	0.02	0.01	0.03	0.02	0.00	0.00
25	0.03	0.02	0.03	0.02	0.01	0.01
30	0.03	0.01	0.04	0.02	0.01	0.01
35	0.05	0.04	0.07	0.04	0.01	0.01
40	0.07	0.05	0.10	0.06	0.01	0.01
45	0.10	0.07	0.13	0.10	0.03	0.03
50	0.13	0.10	0.18	0.14	0.05	0.05
55	0.22	0.22	0.25	0.23	0.07	0.08
60	0.39	0.42	0.42	0.37	0.07	0.10

*Notes: 35% of the disability rates shown represent accidental disability.  
55% of the death rates shown represent accidental death.*

**SECTION 4: Supporting Information for the City of Gloucester June 30, 2013 Measurement Under GASB 43 and 45**

**Withdrawal Rates:**

Years of Service	Rate per year (%)		
	Groups 1 and 2 (Excluding Teachers)	Years of Service 0 - 10	Group 4
0	15.0	11+	1.5
1	12.0		0.0
2	10.0		
3	9.0		
4	8.0		
5 - 9	7.6		
10 - 14	5.4		
15 - 19	3.3		
20 - 24	2.0		
25 - 29	1.0		
30+	0.0		

Previously,

Age	Rate per year (%)	
	Groups 1 and 2	Group 4
20	37.51	3.15
25	28.23	2.85
30	17.35	2.48
35	10.07	1.88
40	7.21	0.84
45	5.68	--
50	4.57	--
55	--	--
60	--	--

**SECTION 4: Supporting Information for the City of Gloucester June 30, 2013 Measurement Under GASB 43 and 45**

**Withdrawal Rates:**

Age	Teachers - Rate per year (%)					
	0 - 4 Years of Service		5 - 9 Years of Service		10+ Years of Service	
	Male	Female	Male	Female	Male	Female
20	13.0	10.0	5.5	7.0	1.5	5.0
30	15.0	15.0	5.4	8.8	1.5	4.5
40	13.3	10.5	5.2	5.0	1.7	2.2
50	16.2	9.8	7.0	5.0	2.3	2.0

Previously,

Age	Teachers - Rate per year (%)					
	0 - 4 Years of Service		5 - 9 Years of Service		10+ Years of Service	
	Male	Female	Male	Female	Male	Female
20	12.0	10.0	4.5	9.0	1.0	5.0
30	11.4	12.0	4.5	9.0	1.0	5.0
40	9.7	11.0	5.4	6.5	1.7	2.9
50	10.0	8.2	4.8	4.2	2.2	2.1

**SECTION 4: Supporting Information for the City of Gloucester June 30, 2013 Measurement Under GASB 43 and 45**

**Retirement Rates:**

Age	Rate per year (%)		
	Groups 1 and 2 (excluding Teachers) Male	Groups 1 and 2 (excluding Teachers) Female	Group 4
45 - 49	--	--	1.0
50 - 51	1.0	1.5	2.0
52	1.0	2.0	2.0
53	1.0	2.5	5.0
54	2.0	2.5	7.5
55	2.0	5.5	15.0
56 - 57	2.5	6.5	10.0
58	5.0	6.5	10.0
59	6.5	6.5	15.0
60	12.0	5.0	20.0
61	20.0	13.0	20.0
62	30.0	15.0	25.0
63	25.0	12.5	25.0
64	22.0	18.0	30.0
65	40.0	15.0	100.0
66 - 67	25.0	20.0	--
68	30.0	25.0	--
69	30.0	20.0	--
70	100.0	100.0	--
Previously,			
Age	Rate per year (%)		
50 - 54	Groups 1 and 2 (excluding Teachers)		
	--	--	Group 4 2.0
55	10.0	10.0	5.0
56 - 58	3.0	3.0	5.0
59	5.0	5.0	5.0
60 - 61	5.0	5.0	10.0
62 - 64	10.0	10.0	20.0
65	100.0	100.0	100.0

**SECTION 4: Supporting Information for the City of Gloucester June 30, 2013 Measurement Under GASB 43 and 45**

Age	Teachers - Rate per year (%)									
	Less than 20				20 - 29				30 or more	
	Male	Female	Male	Female	Male	Female	Male	Female	Male	Female
50 - 52	--	--	1.0	1.0	1.0	1.0	2.0	1.5	2.0	1.5
53	--	--	1.5	1.0	1.0	1.0	2.0	1.5	2.0	1.5
54	--	--	2.5	1.0	1.0	1.0	2.0	2.0	2.0	2.0
55	5.0	3.0	3.0	3.0	3.0	3.0	6.0	5.0	6.0	5.0
56	5.0	3.0	6.0	5.0	5.0	5.0	20.0	15.0	20.0	15.0
57	5.0	4.0	10.0	8.0	8.0	8.0	40.0	35.0	40.0	35.0
58	5.0	8.0	15.0	10.0	10.0	10.0	50.0	35.0	50.0	35.0
59	10.0	8.0	20.0	15.0	15.0	15.0	50.0	35.0	50.0	35.0
60	10.0	10.0	25.0	20.0	20.0	20.0	40.0	35.0	40.0	35.0
61	20.0	12.0	30.0	25.0	25.0	25.0	40.0	35.0	40.0	35.0
62	20.0	12.0	35.0	30.0	30.0	30.0	35.0	35.0	35.0	35.0
63	25.0	15.0	40.0	30.0	40.0	30.0	35.0	35.0	35.0	35.0
64	25.0	20.0	40.0	30.0	40.0	30.0	35.0	35.0	35.0	35.0
65	25.0	25.0	40.0	40.0	40.0	40.0	35.0	35.0	35.0	35.0
66	30.0	25.0	30.0	30.0	30.0	30.0	40.0	35.0	40.0	35.0
67	30.0	30.0	30.0	30.0	30.0	30.0	40.0	35.0	40.0	35.0
68	30.0	30.0	30.0	30.0	30.0	30.0	40.0	35.0	40.0	35.0
69	30.0	30.0	30.0	30.0	30.0	30.0	40.0	35.0	40.0	35.0
70	100.0	100.0	100.0	100.0	100.0	100.0	100.0	100.0	100.0	100.0

**SECTION 4: Supporting Information for the City of Gloucester June 30, 2013 Measurement Under GASB 43 and 45**

Previously,

Age	Teachers - Rate per year (%)					
	Years of Service					
	Less than 20		20 - 29		30 or more	
	Male	Female	Male	Female	Male	Female
50 - 53	0.0	0.0	1.0	1.5	2.0	2.0
54	0.0	0.0	1.0	1.5	2.0	2.0
55	3.0	2.0	3.0	3.0	6.0	6.0
56	8.0	2.0	5.0	3.0	20.0	15.0
57	15.0	8.0	8.0	7.0	35.0	30.0
58	15.0	10.0	10.0	7.0	50.0	35.0
59	20.0	15.0	20.0	11.0	50.0	35.0
60	15.0	20.0	20.0	16.0	50.0	35.0
61	30.0	20.0	25.0	20.0	50.0	35.0
62	20.0	25.0	30.0	30.0	40.0	40.0
63	30.0	24.0	30.0	30.0	40.0	35.0
64	40.0	20.0	30.0	30.0	40.0	35.0
65	40.0	30.0	40.0	30.0	50.0	35.0
66	40.0	30.0	30.0	30.0	50.0	35.0
67	40.0	30.0	30.0	30.0	50.0	30.0
68	40.0	30.0	30.0	30.0	50.0	30.0
69	40.0	30.0	30.0	30.0	50.0	30.0
70	100.0	100.0	100.0	100.0	100.0	100.0

**Dependents:**

Demographic data was available for spouses of current retirees. For future retirees, husbands were assumed to be three years older than their wives. For future retirees who elect to continue their health coverage at retirement, 70% were assumed to have an eligible spouse who also opts for health coverage at that time.

**SECTION 4: Supporting Information for the City of Gloucester June 30, 2013 Measurement Under GASB 43 and 45**

**Per Capita Health Costs:**

Fiscal 2013 - 2014 medical and prescription drug claims costs are shown in the table below for retirees and for spouses at selected ages. These costs are net of deductibles and other benefit plan cost sharing provisions.

Age	Non-Medicare Plans				Medicare Plans			
	Retiree		Spouse		Retiree		Spouse	
	Male	Female	Male	Female	Male	Female	Male	Female
45	\$6,443	\$8,082	\$3,996	\$6,033	--	--	--	--
50	7,647	8,710	5,341	6,994	--	--	--	--
55	9,082	9,376	7,147	8,095	--	--	--	--
60	10,785	10,106	9,568	9,389	--	--	--	--
65	12,809	10,888	12,809	10,888	\$4,282	\$3,640	\$4,282	\$3,640
70	14,846	11,733	14,846	11,733	4,963	3,922	4,963	3,922
75	15,998	12,630	15,998	12,630	5,348	4,222	5,348	4,222
80	17,228	13,616	17,228	13,616	5,759	4,552	5,759	4,552

**Medicare Advantage Plan:** \$3,212

**Annual Medicare Part B Reimbursement:** \$294

**Weighted Average Annual Retiree Contribution Amount:**

	Teachers					
	Non-Teachers		Retiring Before 1990 (10%)		Retiring After 1990 (15%)	
Non-Medicare	\$1,903	\$935		\$1,402		
Medicare	951	461		691		
Medicare Advantage	482	321		482		

**SECTION 4: Supporting Information for the City of Gloucester June 30, 2013 Measurement Under GASB 43 and 45**

**Health Care Cost Trend Rates:** Health care trend measures the anticipated overall rate at which health plan costs are expected to increase in future years. The rates shown below are “net” and are applied to the net per capita costs shown above. The trend shown for a particular plan year is the rate that is applied to that year’s cost to yield the next year’s projected cost. Medical/drug trend of 1% is based on average GIC rate increase from fiscal year 2014 to fiscal year 2015.

Year Ending June 30	Medical/Drug
2014	1.0%
2015	6.5%
2016 – 2023	6.0%
2024	5.5%
2025 & later	5.0%

**Retiree Contribution Increase Rate:** Retiree contributions for medical and prescription drug coverage are expected to increase with medical trend.

**Administrative Expenses:** Administrative expenses are assumed to be included in the fully insured premium rates.

**Participation and Coverage Election:** 100% of active employees with coverage are assumed to elect retiree coverage. 100% of retirees over age 65 are assumed to remain with their current medical plan for life.

For future retirees hired prior to 1986 and current retirees under age 65, 95% (85% for Teachers) are assumed to be eligible for Medicare and are assumed to enroll in a Medicare Supplement plan upon reaching age 65, and 5% (15% for Teachers) are assumed to be ineligible for Medicare and remain enrolled in a non-Medicare plan. For future retirees hired in 1986 or later, 100% are assumed to enroll in a Medicare Supplement plan upon reaching age 65.

*Life Insurance*  
100% of current and future retirees with medical coverage are assumed to have life insurance coverage.

**SECTION 4: Supporting Information for the City of Gloucester June 30, 2013 Measurement Under GASB 43 and 45**

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**Plan Design:**

Development of plan liabilities was based on the substantive plan of benefits in effect as described in Exhibit III.

**Administrative Expenses:**

Administrative expenses for self-insured plans were based on current vendor contractual rates and fees.

**Missing Participant Data:**

A missing census item for a given participant was assumed to equal the average value of that item over all other participants of the same status for whom the item is known.

**Health Care Reform Assumption:**

This valuation does not include the potential impact of any future changes due to the Patient Protection and Affordable Care Act (PPACA) and the Health Care and Education Reconciliation Act (HCERA) of 2010 other than the excise tax on high cost health plans beginning in 2018 (reflected with this valuation) and those previously adopted as of the valuation date. The addition of the excise tax in this valuation increased the actuarial accrued liability by 1.0% and normal cost by 2.3%.

**Demographic Assumptions:**

The demographic assumptions used in this valuation are the same as used in the Gloucester Contributory Retirement System Actuarial Valuation and Review as of January 1, 2014, dated July 17, 2014 completed by Segal Consulting and the Massachusetts Teachers' Retirement System Actuarial Valuation Report as of January 1, 2014, dated September 12, 2014. A review of the demographic assumptions is beyond the scope of this assignment, however, we have no reason to doubt the reasonableness of the assumptions.

---

**Assumption Changes**

**since Prior Valuation:**

The per capita health costs were updated to reflect current experience and the change to the GIC effective January 1, 2014.

The trend assumption was revised to reflect future expectations.

The demographic assumptions were changed to match the assumptions used in the Gloucester Contributory Retirement System Actuarial Valuation and Review as of January 1, 2014, dated July 1, 2014, and the Massachusetts Teachers' Retirement System Actuarial Valuation Report as of January 1, 2014, dated September 12, 2014.

The excise tax on high cost health plans beginning in 2018 was included in this valuation.

**SECTION 4: Supporting Information for the City of Gloucester June 30, 2013 Measurement Under GASB 43 and 45**

**EXHIBIT III  
Summary of Plan**

This exhibit summarizes the major benefit provisions as included in the valuation. To the best of our knowledge, the summary represents the substantive plans as of the measurement date. It is not intended to be, nor should it be interpreted as, a complete statement of all benefit provisions.

**Eligibility:**

Retired and receiving a pension from the Gloucester Contributory Retirement System or Massachusetts State Teachers Retirement System.

*Members hired before  
April 2, 2012*

**Group 1 and Group 2 (including Teachers):**

- > Retirees with at least 10 years of creditable service are eligible at age 55;
- > Retirees with at least 20 years of creditable service are eligible at any age.

**Group 4**

- > Retirees are eligible at age 55;
- > Retirees with at least 20 years of creditable service are eligible at any age.

*Members hired on or  
after April 2, 2012*

**Group 1 (including Teachers):**

- > Retirees with at least 10 years of creditable service are eligible at age 60.

**Group 2**

- > Retirees with at least 10 years of creditable service are eligible at age 55.

**Group 4**

- > Retirees are eligible at age 55;
- > Retirees with at least 10 years of creditable service are eligible at age 50.

**Disability:** Accidental (job-related) Disability has no age or service requirement. Ordinary (non-job related) Disability has no age requirement but requires 10 years of creditable service.

**SECTION 4: Supporting Information for the City of Gloucester June 30, 2013 Measurement Under GASB 43 and 45**

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**Pre-Retirement Death:** Surviving spouses of members who die in active service on Accidental (job-related) Death are eligible at any age. Surviving spouses of members who die in active service on Ordinary (non-job related) Death are eligible after two years of service.

**Post-Retirement Death:** Surviving spouse is eligible.

**Benefit Types:**

Effective January 1, 2014, medical and prescription drug benefits are provided to all eligible retirees through a variety of plans offered through the Commonwealth of Massachusetts Group Insurance Commission (GIC). (Dental coverage is offered but it is 100% retiree paid and therefore has no impact on this valuation.) A life insurance benefit of \$5,000 is also provided. The City of Gloucester also pays \$294 of the Medicare Part B premium.

**Retiree Contributions:**

Teachers who retired on or before July 1, 1990 contribute 10% of premiums and teachers who retired after July 1, 1990 and prior to July 1, 2012 contribute 15% of premiums.

All other retirees contribute 30% or 35% of premiums depending on plan.

**Duration of Coverage:**

Lifetime.

**Dependent Benefits:**

Medical and Prescription Drugs.

**Dependent Coverage:**

Benefits are payable to a spouse for their lifetime, regardless of when the retirees dies.

**MGL Chapter 32B, Section 18A:**

Adopted.

**Retiree Contributions:**

Premium rates and retiree contributions are summarized on the following pages:

**SECTION 4: Supporting Information for the City of Gloucester June 30, 2013 Measurement Under GASB 43 and 45**

Non-Medicare Active and Retirees	Enrollment Percentages as of 7/1/2014		Monthly Premium as of 7/1/2014	Contributions		
	Active**	Retirees Total		Teachers retired on or before July 1, 1990 (10% of premium)	Teachers retired after July 1, 1990 (15% of premium)	City Retirees
Fallon Health Direct Care Individual Family	3.11%	0.36%	\$483.21	\$48.32	\$72.48	\$72.48
	4.72%	0.26%	\$1,159.70	\$115.97	\$173.96	\$173.96
Fallon Health Select Care Individual Family	1.57%	0.24%	\$615.39	\$61.54	\$92.31	\$92.31
	3.63%	0.26%	\$1,476.92	\$147.69	\$221.54	\$221.54
Harvard Pilgrim Ind. Plan Individual Family	11.50%	5.57%	\$686.12	\$68.61	\$102.92	\$102.92
	24.36%	2.06%	\$1,674.20	\$167.42	\$251.13	\$251.13
Harvard Pilgrim Prim. Cnc. Plan Individual Family	5.33%	0.85%	\$548.89	\$54.89	\$82.33	\$82.33
	8.72%	0.61%	\$1,239.36	\$123.94	\$200.90	\$200.90
Health New England Individual Family	0.12%	0.00%	\$481.89	\$48.19	\$72.28	\$72.28
	0.00%	0.00%	\$1,194.71	\$119.47	\$179.21	\$179.21
NEP Care Individual Family	1.21%	0.12%	\$465.41	\$46.54	\$69.81	\$69.81
	1.43%	0.12%	\$1,233.34	\$123.33	\$185.00	\$185.00
Tufts Health Plan Navigator Individual Family	1.69%	0.00%	\$619.87	\$61.99	\$92.98	\$92.98
	5.69%	0.24%	\$1,497.60	\$149.76	\$224.64	\$224.64
Tufts Health Plan Spirit Individual Family	0.97%	0.12%	\$500.37	\$50.04	\$75.06	\$75.06
	0.61%	0.12%	\$1,206.01	\$120.60	\$180.90	\$180.90
Unicare Basic w/ CIC Individual Family	0.85%	7.75%	\$936.24	\$93.62	\$140.44	\$140.44
	0.61%	2.78%	\$2,185.22	\$218.52	\$327.78	\$327.78
Unicare Indemnity Comm. Cnc. Individual Family	0.48%	0.12%	\$456.68	\$45.67	\$68.50	\$68.50
	0.36%	0.12%	\$1,095.99	\$109.60	\$164.40	\$164.40
Unicare Indemnity PLUS Individual Family	0.36%	0.24%	\$656.90	\$65.69	\$98.54	\$98.54
	0.24%	0.12%	\$1,567.69	\$156.77	\$233.15	\$233.15
Non-Medicare Total	77.98%	22.02%	100.00%			

**SECTION 4: Supporting Information for the City of Gloucester June 30, 2013 Measurement Under GASB 43 and 45**

Medicare Releasers	Enrollment Percentages as of 7/1/2014*	Monthly Premium as of 7/1/2014***	Contributions	
			Teachers retired on or before July 1, 1990 (10% of premium)	Teachers retired after July 1, 1990 (15% of premium)
Fallon Senior Plan	0.28%	\$290.79	\$29.08	\$43.62
Harvard Pilgrim Senior Plan	54.02%	\$194.79	\$39.48	\$59.22
Tufts Health Plan Medicare Complement	1.55%	\$148.39	\$14.84	\$22.26
Tufts Health Plan Medicare Preferred	2.54%	\$266.36	\$26.66	\$39.98
UniCare Indemnity OME	41.61%	\$179.45	\$17.95	\$26.92
<b>Medicare Total</b>	<b>100.00%</b>			

\*Based on November 1, 2014 enrollment data  
 \*\*There are spouses on 85% of Active Family plans  
 \*\*\*Fallon Senior Plan and Tufts Health Plan Medicare Preferred premiums effective 1/1/2014

**Plan Changes**

**Since the Prior Valuation:**

This valuation reflects a change in the retirement eligibility requirements for members hired on or after April 2, 2012.

This valuation reflects the adoption of the GIC plans for non-teachers effective January 1, 2014.

8122480v1/13495.004

City Hall  
Nine Dale Avenue  
Gloucester, MA. 01930



TEL 978 281 9730  
FAX 978 281 8472

**CITY OF GLOUCESTER  
CITY AUDITOR'S OFFICE**

**MEMORANDUM**

**TO: Honorable Mayor Sefatia Romeo Theken and City Council**  
**FROM: Kenny Costa, City Auditor** *KC*  
**RE: City's FY 2014 Basic Financial Statements**  
**Date: March 24, 2015**

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The City of Gloucester's Independent Auditors' Report on Basic Financial Statements and Required Supplementary Information Report for the fiscal year ended June 30, 2014 will be available for discussion at the next Budget & Finance Committee Meeting. At the close of each fiscal year, state law requires the City of Gloucester to publish a complete set of financial statements in conformity with accounting principles generally accepted in the United States of America (GAAP), and that are audited in accordance with generally accepted auditing standards by a firm of licensed certified public accountants.

The report is designed to be used by the elected and appointed officials of the City and others who are concerned with its management and progress such as bond analysts, banking institutions and rating agencies as well as the residents and taxpayers of Gloucester.

The City's financial statements have been audited by CliftonLarsonAllen a firm of licensed certified public accountants, who report to the Gloucester City Council.

A copy of the entire report will be on file in the City Clerk's Office.

Please refer this matter to the Budget and Finance subcommittee for review and discussion.



Gloucester Historical Commission  
Gloucester City Hall  
9 Dale Avenue  
Gloucester, MA 01930

March 30, 2015

Dear Mayor Theken,

The Gloucester Historical Commission has received a 2015 Survey and Planning Grant from the Massachusetts Historical Commission (MHC) and the Dusky Foundation in the amount of \$30,000. This is a 50-50 grant, with the full amount fronted by the Dusky Foundation and half of the amount reimbursed to the Dusky Foundation upon completion of the project and subsequent receipt of the MHC portion of the grant.

The project is being managed through the MHC with a Project Coordinator from the Historical Commission. It will start in June and run for one year, during which time professional historic preservationists will document approximately 150 historically significant buildings, structures, objects, and areas in Gloucester. This documentation will complete the City's inventory of historic resources and provide the basis for subsequent National Register nominations.

For commercial properties, National Register status confers tax advantages and access to state and federal funds for historic preservation. For private properties, National Register status is an honor that encourages owners to preserve the historical integrity of their properties. National Register status does not in any way abridge ownership rights.

Having a completed inventory of historic resources will help the City and its citizens to better understand and appreciate the historical significance of its treasures and to make informed decisions about their disposition. The terms of the grant include public outreach to inform and educate about the needs and benefits of historic preservation.

A copy of the winning grant proposal, which was approved by Mayor Kirk before she left office is attached for your further information.

Thank you,

Mary Ellen Lepionka  
Co-Chair, Gloucester Historical Commission  
Project Coordinator



City of Gloucester  
Grant Application and Check List

Granting Authority: State  Federal  Other

Name of Grant: 2015 Survey and Planning

Department Applying for Grant: Gloucester Historical Commission

Agency-Federal or State application is requested from: Massachusetts Historical Commission

Object of the application: \_\_\_\_\_

Any match requirements: \_\_\_\_\_

Mayor's approval to proceed: \_\_\_\_\_  
Signature Date

City Council's referral to Budget & Finance Standing Committee: \_\_\_\_\_  
Vote Date

Budget & Finance Standing Committee: \_\_\_\_\_  
Positive or Negative Recommendation Date

City Council's Approval or Rejection: \_\_\_\_\_  
Vote Date

City Clerk's Certification of Vote to City Auditor: \_\_\_\_\_  
Certification Date

City Auditor:  
Assignment of account title and value of grant: \_\_\_\_\_  
Title Amount

Auditor's distribution to managing department: \_\_\_\_\_  
Department Date sent

NOTE: A copy of all grant paperwork must be submitted to the Auditor's Office

FORM: AUDIT GRANT CHECKLIST - V.1



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**City of Gloucester  
Grant Application and Check List (Continued)**

**The following are documents needed by the Auditing Office for grant account creation:**

- 1. Grant Application**
- 2. Grant Award Letter/Standard Contract Approval Form**
- 3. Council Order Approval**
- 4. Original Grant Account Budget as approved by Grantor**
- 5. Amended Grant Account Budget as approved by Grantor (if applicable)**
- 6. Any additional information as requested by the Auditing Department**

**Note: All documents must be complete signed copies.**

**Please attach the following documents with the Grant Application and Check List and send to the Auditors' Office.**





**The Commonwealth of Massachusetts**  
William Francis Galvin, Secretary of the Commonwealth  
Massachusetts Historical Commission

December 15, 2014

Mary Ellen Lepionka  
Gloucester Historical Commission  
Gloucester City Hall  
9 Dale Ave  
Gloucester, MA 01930

Dear Ms. Lepionka:

At its December 10th meeting the Massachusetts Historical Commission (MHC) reviewed the Gloucester Historical Commission's Letter of Intent (pre-application) for **Fiscal Year 2015 Survey and Planning Grant** funds. MHC is pleased to invite you to submit a full application for the project: Gloucester Preservation Documentation. At this time the MHC is inviting you to submit a full application for the amount of \$15,000. Please note that the submission deadline is **Monday, February 9, 2015**. Full application materials are enclosed.

In the FY15 grant round MHC received thirty-one (31) pre applications requesting a total of \$343,120. Due to budget uncertainties at this time MHC cannot yet project a total amount for awards in the FY15 grant round. However, based on MHC's current FY15 federal budget, MHC will be obligated to award a minimum of \$92,000 to Certified Local Government (CLG) applicants. Twenty (20) CLG and non-CLG projects have been invited to submit full applications for the FY15 round. The City of Gloucester application falls in the non-CLG category.

Your full application will be given every possible consideration, but the grants are awarded on a competitive basis. This invitation to submit a full application is not an assurance of project funding, or of the level of funding that MHC may offer, should a grant be awarded.

Within the upcoming weeks, please contact Peter Stott or me to discuss in more detail the scope of work and budget for the full application.

Sincerely,

A handwritten signature in black ink, appearing to read "Michael Steinitz".

Michael Steinitz  
Deputy State Historic Preservation Officer  
Director, Preservation Planning Division  
Massachusetts Historical Commission

Encls.

Xc (w/out encl.): Stephen Pardee, Co-Chair, Gloucester Historical Commission

[GHC Letterhead]

February 5, 2015

Robert S. Gulick, Trustee  
Dusky Foundation  
50 Congress St. Ste. 925  
Boston, MA 02109

Dear Mr. Gulick,

On behalf of the Gloucester Historical Commission (“GHC”), this letter is to thank Mr. Coolidge and the Dusky Foundation (“the Foundation”) for their commitment to provide funding by the Foundation in the amount of \$30,000 for our application to the Massachusetts Historical Commission for a Survey and Planning Grant. We are writing to confirm our understanding that \$15,000 of the \$30,000 that Dusky is providing is a loan to GHC and that any amount, up to \$15,000, received by GHC from the Massachusetts Historical Commission for this project will be payable to the Foundation upon the Foundation’s request within sixty (60) days following the Foundation’s receipt of written notice of such receipt. Any amount of the loan that Dusky does not request in writing within said sixty (60) day period to be repaid shall, upon the expiration of said period, become an additional grant from the Foundation.

The applicable language of the governing documents of the Massachusetts Historical Commission provides as follows:

Because survey and planning grants are reimbursement grants, the grant recipient must expend the total project cost before requesting reimbursement. Upon submission of a satisfactory project completion report, the recipient will then be reimbursed for 50% of the eligible project costs up to the amount of the grant allocation.

The project completion report is due June 30, 2016, the reimbursement amount is the allocation amount of \$15,000, and it is our understanding that all the project costs will be eligible as consultants’ fees. While we cannot be certain of the exact date of reimbursement, we understand that if and when we receive reimbursement from the Commission, the Foundation will be entitled to repayment of the amount of the reimbursement up to \$15,000.

Thank you.

Sincerely,

David Rhinelander, Co-Chair  
Gloucester Historical Commission

c: Mary Ellen Lepionka



**The Commonwealth of Massachusetts**  
William Francis Galvin, Secretary of the Commonwealth  
Massachusetts Historical Commission

March 13, 2015

Mary Ellen Lepionka  
Gloucester Historical Commission  
17 Hammond St  
Gloucester, MA 01930

RE: FY 2015 MHC Survey and Planning Grant Award

Dear Ms. Lepionka:

I am pleased to inform you that your proposed project has been selected for an allocation of \$15,000 from the Massachusetts Historical Commission's FY 2015 Survey and Planning Grant Program. This award will support the Gloucester, MA Survey Update for Historical Inventory project.

Please keep in mind that project work can begin only after the MHC executes a contract with you that specifies the scope of grant-assisted work and defines responsibilities and deadlines under applicable laws and regulations.

Please respond in writing to Michael Steinitz, MHC Deputy State Historic Preservation Officer, no later than Friday, April 17th with your intention to accept the grant allocation.

MHC will contact all Local Project Coordinators in April, and will schedule a Coordinators meeting in May to review the provisions and requirements of the grant contract, to discuss your work program, and to discuss consultant procurement procedures. Attendance at this meeting is mandatory for all Local Project Coordinators as a condition of the grant. A Local Project Coordinators Manual will be forwarded to you separately.

The MHC looks forward to working with you toward the successful completion of your project. Please contact Michael Steinitz at MHC with any questions regarding the grant program or this award. We sincerely hope that this grant allocation will help you achieve your preservation goals.

Sincerely,

A handwritten signature in cursive script that reads "Brona Simon".

Brona Simon  
Executive Director  
State Historic Preservation Officer  
Massachusetts Historical Commission

Xc: David Rhinelander, Co-Chair, Gloucester Historical Commission



1882 City Seal

Gloucester Historical Commission  
Gloucester City Hall  
9 Dale Avenue  
Gloucester, MA 01930



March 22, 2015

Michael Steinitz  
Deputy State Historic Preservation Officer  
Massachusetts Historical Commission  
220 Morrissey Boulevard  
Boston, MA 02125

Dear Michael,

This letter is to inform you of our intention to accept the grant allocation of \$15,000 from the MHC's FY2015 Survey and Planning Grant in support of our Gloucester, MA Survey Update for Historical Inventory project. Thank you very much.

I look forward to attending the Coordinators meeting in May and receiving the Local Project Coordinators Manual. I look also look forward to working with you and others at the MHC to ensure that we accomplish our preservation goals.

Sincerely,

Mary Ellen Lepionka, Co-Chair and Project Coordinator  
Gloucester Historical Commission

**2015 Survey and Planning Grant Part I**

**ATTACHMENT A**

**FISCAL YEAR 2015  
SURVEY AND PLANNING GRANT - FULL APPLICATION**

**COVER SHEET FOR APPLICATION PROPOSAL  
DEADLINE – MONDAY, FEBRUARY 9, 2015**

1. Project Title: **Gloucester MA Survey Update for Historical Inventory**
2. Project Type: **Survey**
3. Community/Communities: **Gloucester, including areas identified in the 2012 Survey Update Plan**
4. Local Project Coordinator: **Mary Ellen Lepionka**

Address: 17 Hammond St.  
Gloucester, MA 01930

Phone: 978-283-1531  
Fax:  
E-mail: [me.lepionka@verizon.net](mailto:me.lepionka@verizon.net)

5. Amount of Funding Requested: \$15,000  
Local Share: \$15,000  
Total Project Cost: \$30,000

6. Attachments: (Please check as completed)

Work Program       Matching Share Information (Attachment C)  
 Narrative Statement       Assurances (Attachment B)  
 Budget (Attachment D)       Debarment Certification (Attachment E)  
    Local Historical Commission Comment (If Applicable)

7. Authorized Applicant Signature:

\_\_\_\_\_  
(Signature)

David Rhineland  
(Name -- please print)

Co-Chairman Gloucester Historical Commission  
(Title)

\_\_\_\_\_  
(Date)

## **2015 Survey and Planning Grant Part II**

### **OBJECTIVES**

The purpose of this project is to undertake an intensive level community-wide survey of cultural and architectural resources in the City of Gloucester. This project will be structured to provide professional cultural and architectural resource survey expertise in the community. Specific goals follow.

1. Conduct a community-wide survey to assess and document approximately 150 selected cultural and architectural resources, following Massachusetts Historical Commission (MHC) survey standards and methods.
2. Identify contexts and properties for National Register evaluation and apply the National Register criteria to all resources identified in the survey.
3. Submit to MHC a list of individual properties and districts that are recommended for nomination to the National Register of Historic Places.

### **METHODOLOGY**

The community-wide survey project will incorporate MHC criteria and methods to current standards, using MHC's *Historic Properties Survey Manual: Guidelines for the Identification of Historic and Archaeological Resources in Massachusetts* (1992), *Survey Technical Bulletin #1* (1993), *MHC Interim Survey Guidelines* (March 1999 *et seq.*), *MHC Interim Guidelines for Inventory Form Photographs* (2009), and *MCH's Interim Guidelines for Inventory Form Locational Information* (2009). MHC survey guidelines and the tasks and products of the survey Scope of Work will meet the Secretary of the Interior's *Standards and Guidelines for Identification* (1983).

The MHC criteria for conducting a community-wide survey are designed to identify the full range of cultural resources—the physical elements in the landscape that remain from historical patterns of human activity. Components of a community's historical development are associated with the location and type of surviving cultural resources. A community-wide survey therefore relates cultural resources to historic patterns of architectural development, land use, economic development, social and demographic history, and events that had an impact on the community. The community-wide survey recognizes ethnic and cultural diversity within the community and seeks to identify cultural resources associated with history of the minority social and cultural groups and individuals that may have played a role in its history.

The *MHC Reconnaissance Survey Town Report* for Gloucester (1985), the corresponding MHC Reconnaissance Survey Regional Report, existing survey forms, National Register nominations on file with the MHC, information in MACRIS, and recommendations of

Gloucester's 2012 Survey Update Plan will provide a framework and base of information for this analysis. Individual forms and area forms will expand on the information in these sources and will relate inventoried properties to significant previously identified and new themes in the historical development of Gloucester.

The project consists of four phases. Project personnel, both the consultant and project coordinator, will meet with MHC staff at MHC offices in Boston to review project progress and products at the end of each phase.

The community-wide survey will consider the full range of cultural resources in terms of period, theme, property type, architectural form and style, and geographic distribution. The survey will consider all periods of architectural and historic development from the period of first colonial European presence to circa 1965 and will include both representative and outstanding examples of the building forms, types, and styles present in the community. All resources will be related to significant themes of Gloucester's historical and architectural development.

MHC individual property and area inventory forms, maps, and National Register recommendations will be completed and submitted to MHC in accordance with the survey guidelines set forth in the publications identified in the first paragraph of this section of the application. Those publications and memoranda are incorporated into this contract.

## **SCOPE OF WORK**

### ***PHASE I (5 weeks)***

#### **Tasks:**

1. Meet with the local project coordinator/local historical commission (LCP/LHC) and MHC staff to discuss the scope and inventory methods of the project and to assess available documents (LHC files, existing research, maps, local histories, etc.).
2. Select maps, including a working map and large-scale base map (assessor's parcel map is preferred) to identify inventory areas and properties.
3. Determine the availability of electronic mapping and parcel data and of town-based GIS data suitable for use in the project.
4. Review existing inventory forms on file at the LHC and MHC.
5. Conduct initial research and reconnaissance to verify the types and geographical distribution of cultural resources and to develop criteria for selecting properties to be extensively researched in the survey.

#### **Products:**

1. Working maps and large scale base maps on which to identify inventoried properties.
2. Statement of methodology, specifying
  - Survey objectives;
  - Criteria for selecting properties for survey;
  - Procedures to be followed in the survey and forms of products to be created;

- Expectations about the kind, location, and character of historic properties to be recorded;
- Assessment of existing documentation;
- Brief description of the amount and kinds of information to be gathered about the properties; and
- Bibliography.

**Phase I will be completed by Friday, October 23, 2015.**

***PHASE II (8 weeks)***

**Tasks:**

1. Conduct continued architectural assessments and documentary research to identify important historic themes, events, and persons for the survey target areas, with particular attention to substantially synthesizing and supplementing the information already available. Research collection should include relevant local, regional, and state library and archive collections as well as online research sites.
2. Apply selection criteria and prepare list of specific properties to be surveyed.
3. Complete representative draft inventory forms for different property types.
4. Meet with LHC and MHC staff to review property lists and draft forms.

**Products:**

1. List of properties for each context, arranged alphabetically by street address.
2. Representative draft inventory forms to be submitted in both hard copy and MS Word format.

**Phase II will be completed by Friday, December 18, 2015.**

***PHASE III (20 weeks)***

**Tasks:**

1. Conduct intensive research of properties selected for inventory.
2. Identify contexts for National Register evaluation and apply National Register criteria to inventoried areas and resources.
3. Prepare draft list of all areas and resources recommended for National Register nomination.
4. Prepare inventory forms with photographs and property location maps. Forms for any surveyed properties listed in the State Register of Historic Places will be marked at top form with appropriate designation code and date.
5. Submit draft inventory forms with photographs, draft National Register contexts, and National Register recommendations to MHC and LHC for review and comments (to be incorporated in Part IV).
6. In consultation with the LHC and MHC survey and MACRIS staff, develop lettering and numbering system for inventoried properties.

**Products:**

1. Unnumbered complete draft inventory forms for approximately 150 properties with photos and locus maps for all areas, buildings, sites, structures, and parks or landscapes (hard copy or CD/DVD).
2. Draft discussion of National Register contexts and a list of all areas and resources recommended for National Register nomination.

**Phase III will be completed by Friday, May 6, 2016.**

***PHASE IV (7 weeks)*****Tasks:**

1. Add inventory letters/numbers to forms as needed.
2. Name MS Word files according to MHC file-naming convention.
3. Complete National Register Criteria Statement forms to attach to appropriate inventory forms.
4. Prepare base maps identifying inventoried properties.
5. Prepare street index of inventoried areas and properties.

**Products:**

1. Hard-copy numbered MHC inventory forms for approximately 150 properties (two sets with original photographic prints, one set each for the MHC and LHC). Inventory forms printed on 24lb. paper with 25% or more cotton fiber content. Photos (3½ X 5½ or 4 X 6 inches) digital ink jet prints using MHC combinations of paper, ink, and printer that produce prints with a minimum 75-year permanence rating. Each paper inventory form should show the digital photograph(s) in addition to the one required attached paper print of the primary view.
2. Two sets of large-scale base maps, one set each for the MHC and the LHC, with all inventoried areas and properties identified by inventory number.
3. Four unbound copies of the Survey Final Report (two for MHC and two for LHC) containing the following elements.
  - Abstract
  - Methodology statement, including survey objectives, assessment of previous research, selection criteria, procedures followed, description of products and accomplishments, explanation of how survey results different from expectations
  - Street index of inventoried properties with areas listed separately at the beginning alphabetically by area name, followed by individually inventoried properties arranged alphabetically by street name, including property name (if any) and inventory number.
  - Final discussion of National Register contexts and list of recommendations for areas and properties to be nominated to the National Register of Historic Places
  - Further study recommendations
  - Bibliography

The Survey Final Report will identify the community repository and/or municipal office(s) where completed survey documentation (inventory forms, base maps, and final report) will be made available to the public.

4. CD with the final survey report and an MS Word file for each inventory form, conforming to MHC naming convention and incorporating photographs and maps.
5. A separate CD containing high-resolution TIF or JPG files for surveyed properties, identified by street address or MACRIS number according to MHC file naming convention for photographic images.

**Phase IV will be completed and submitted to the MHC and LHC by Friday, June 24, 2016.**

## **2015 Survey and Planning Grant Part III**

### **NARRATIVE STATEMENT**

#### **Gloucester**

Gloucester was first settled in 1623 and incorporated in 1642 as a farming community along the Annisquam and Mill Rivers. After the Revolutionary War the town center shifted to the harbor and over the next two hundred years Gloucester developed as a seaport with transoceanic trade, including direct and indirect participation in the slave trade; a flourishing fishing industry; and ancillary maritime industries. By the beginning of the 19<sup>th</sup> century, granite quarrying began and became an important industry with a locus in Lanesville and Bay View. The fisheries and quarries attracted new immigrants from both northern and southern Europe and Europe's colonies, making Gloucester multicultural with Finns, Swedes, English, Irish, Scottish, Canadians, Italians, Portuguese, Azoreans, Brazilians, and Cape Verdeans.

By the beginning of the 20<sup>th</sup> century Gloucester's waterfront and the watershed area known as Dogtown had become magnets for summer visitors and artists, leading to the construction of large hotels at Magnolia, Bass Rocks, Briar Neck, and Eastern Point and enclaves of summer cottages at Winniahdin on Little River and Coffin's Beach and Wingersheek Beach on Ipswich Bay. Artists flocked to those locations and artists' colonies thrived in East Gloucester, Annisquam, Folly Cove, and Rocky Neck. Gloucester's extraordinary cultural heritage is reflected in a wealth of 18<sup>th</sup>-, 19<sup>th</sup>-, and 20<sup>th</sup>-century architecture representing all property types and levels of society.

Today Gloucester has a population of nearly 29,000 across 26 square miles of land (about 1100 people per square mile). Most of this settlement is located on or near the city's approximately 62 miles of coastline. The City contains about 12,000 buildings (residential, commercial, and industrial), most of which are more than 50 years old. Development is concentrated in the urban core at Gloucester Harbor, with important outlying village centers at East Gloucester, Riverdale, Annisquam, Lanesville, and Magnolia.

#### **Level of Information**

According to the 1985 *MHC Town Reconnaissance Report* for Gloucester (p. 30):

The Gloucester inventory includes many forms (nearly 900) of varying quality. Those completed in the early to mid-1970s included duplicates and are often meager in information. Later forms are a vast improvement, and are in most cases, usefully organized by village. Some disappointments include a failure to discuss or plan in any way (particularly for the unusual 18<sup>th</sup>-century house type so common here with chimney located behind the door), as well as inconsistent style designation for the city's numerous late 19<sup>th</sup>- and 20<sup>th</sup>-century residences.

In 2012, the author of the City of Gloucester Survey Update Plan Final Report noted (p. 3-1):

With nearly 1400 inventory forms, the existing Gloucester historic resources inventory can be considered comprehensive for most purposes. Yet survey work is inherently a continuing process, given the constant evolution of the community.

Despite this wealth of data, there are geographic gaps in coverage and many forms are incomplete or outdated or are part of initiatives that became inactive and were subsequently abandoned. For the 1400 forms, aside from properties listed as lighthouses, cemeteries, or shipwrecks, only 21 properties are listed individually in the National Register, with 400 more included in two historic districts (Central Gloucester and East Gloucester Square). According to the 2012 Survey Update Plan, "Many, many more properties are eligible for listing." We anticipate that this community-wide survey will both consolidate and expand on existing documentation.

### **Level of Significance**

Gloucester is without question a unique and complex community with uniquely diverse neighborhoods in a spectacular physical environment. It possesses a rich and diverse history and cultural heritage from pre-colonial times to the present, reflected in its residential, commercial, and municipal properties and landscapes, with high intrinsic value as well as strong historic value to the Commonwealth of Massachusetts. Gloucester's many significant historic resources warrant further identification, documentation, and recognition in aid of their protection and preservation.

### **Potential for Loss or Destruction**

Members of the GHC have attended MHC workshops on instituting a demolition delay ordinance, which, however, the Chamber of Commerce and local builders have opposed in the past. Sally Zimmerman of SPNEA has offered to do a workshop for us on this subject, to include historical commissioners from other towns in the area. This idea is in the planning stage; we do recognize the need for such an ordinance. In December 2001 the Cape Ann Museum bought the Moose Lodge on Pleasant St. across the street from them, formerly the Pearce-Haskell House, had it razed, and turned the site into a pocket park and parking lot. This was originally a late 18<sup>th</sup>-century house within the Central Gloucester Local Historic District, and demolition might have been delayed long enough to determine if restoration was possible.

Areas of potential loss or destruction include the entire Gloucester Harbor waterfront. Major projects are already underway at Duncan's Point (Harbor Loop), the Birdseye property on Pavilion Beach, and the Cut (Blynman Canal) that will to some degree adversely affect the historic character of those areas. In addition, there are properties and neighborhoods undergoing new residential and commercial development, potentially causing loss of historical integrity or loss of open space in historic landscapes, such as Riverview, Riverdale, Bass Rocks, and Goose Cove. The Survey and Planning grant would help draw attention to preservation issues and the potential destruction or loss of significant structures and landscapes.

### **Level of Local Preservation Activity**

The Gloucester Historical Commission (GHC) was largely inactive or ineffective for several years, other than handing out preservation awards and house plaques, but has recently been reinvigorated. The GHC presently has six active members, one inactive member, and one alternate dedicated to the mission of local historic preservation in concert with the goals of the *Massachusetts State Historic Preservation Plan 2011-2015*.

To increase professional representation on the GHC and replace outgoing members, in February 2014 we placed the following notice in the *Gloucester Daily Times*, *Cape Ann Beacon*, and *GoodMorningGloucester.com*:

The Gloucester Historical Commission (GHC) seeks prospective members and alternates. Its mission is to preserve, protect and develop public awareness of Gloucester's historical assets.

The GHC has up to seven members (all volunteers), each appointed by the Mayor for a 3-year term. We need Gloucester residents with special interest, competence, knowledge, or professional background in history, architecture and architectural history, planning, prehistoric and historic archaeology, anthropology, preservation and conservation, landscape architecture, cultural geography, or property law.

Our meetings, which are open to the public, are held the last Monday of each month at 6:30 p.m. in the City Hall third floor conference room. The next meeting is January 26.

For more information contact co-chairman David Rhineland at [davidrx@aol.com](mailto:davidrx@aol.com) or Mary Ellen Lepionka at [me.lepionka@Verizon.net](mailto:me.lepionka@Verizon.net).

To increase opportunities for collaboration with other civic groups and for additional outside funding in the future, the GHC is teaming with the Gloucester Historic District Commission (GHDC) to apply for designation as a Certified Local Government (CLG). The GHC also works with the Community Preservation Commission (CPC) by sending a representative to their meetings each month and by evaluating proposals they send to us to determine whether they are of historic significance or concern.

In 2011 the GHC won a CPC grant for a professional Survey Update Plan, which was completed in 2012 and submitted to the MHC in 2014 in preparation for the work outlined in this 2015 Survey and Planning grant application. Local initiatives undertaken by the GHC in the past five years have included persuading the new owner of a dilapidated historic house under threat to restore it so as to preserve its historical integrity; giving preservation awards to teachers who integrate Gloucester history and historic preservation into their curricula; working with volunteers to restore the First Parish and Clark burial grounds; arranging for a workshop on headstone repair to be conducted this spring; and working with the Gloucester DPW to restore Meetinghouse Plain, a 17<sup>th</sup>- and 18<sup>th</sup>- century commemorative pocket park adjacent to Meetinghouse Green, which is now a traffic circle.

### **Appropriateness of the Proposed Project**

Gloucester needs to complete an update of its community-wide survey of historic resources, not only as a basis for National Register nominations, but as a basis for decision-making about historical preservation in the community and as an opportunity to

rally and educate the public on the need to preserve Gloucester's historic resources. The expectations, goals, scope, and methodology of the proposed project are appropriate to the goals of the *Massachusetts State Historic Preservation Plan 2011-2015* and to MHC guidelines and standards for the 2015 Survey and Planning grant.

### **Demonstrated Understanding of Work to be Performed**

The GHC Project Coordinator appreciates the help received on three separate occasions at the MHC from Michael Steinitz, Betsy Friedberg, Chris Skelly, and Peter Stott, which led ultimately to a clear understanding of the work to be performed. Gloucester is completing its community-wide survey and updating its plan for the protection and preservation of the City's historic resources. Existing inventory forms will be updated and new historic resources and areas will be documented for a total of approximately 150 forms. The project aims to confirm previously collected data, to identify previously undocumented or under-documented historic resources as well as new ones, and to determine which areas and properties may be eligible for future nomination to the National Register of Historic Places.

To the extent possible the GHC would like to focus the inventory on areas and properties identified in the February 2012 City of Gloucester Survey Update Plan Final Report by Wendy Frontiero. This Report identifies eight neighborhood overviews needing updates, one underrepresented neighborhood, two underrepresented property types; eleven new neighborhoods; six areas currently involved in city planning and community development projects; city-owned and post-World War II properties to be considered; and properties related to artists' communities, summer resorts, and the granite industry. The Report gives top priority to providing documentation in support of multiple property nominations for 13 areas and properties identified in the 1990s. Next in priority is providing support for other potential National Register listings, such as Magnolia, in which nine buildings were previously recommended for listing.

The GHC looks forward to working with the consultants and the MHC to determine which properties will be surveyed. The project will comply with all MHC methods, requirements, and related regulations, and the City will use the products of the survey as a tool for future preservation planning efforts in collaboration with other City departments and commissions. The survey will be done in four specific phases with specific start and end dates and consisting of specific tasks and products, all outlined in Part II of this proposal. All the products of the survey will be made available to the public through presentations, the GHC web site, the local cable television station, the Sawyer Free Library, the O'Maley Innovation Middle School, and City Hall.

### **Extent and Nature of Public Benefit**

A key component of the proposed project is public outreach and education about historic preservation efforts on Cape Ann. This outreach is consistent with LHC-designated actions for Goals 7 and 13 of the *Massachusetts State Historic Preservation Plan 2011-2015*: "to establish public information programs at the local level to heighten public awareness, understanding, and appreciation of state and local historic resources and the need to preserve them." Public outreach and education are especially needed in

Gloucester, which views itself as an island and has a long folk history of rugged self-reliance and resistance to regulation.

Through volunteer efforts, in collaboration with the MHC and local cultural institutions (including the Gloucester Lyceum, Cape Ann Museum, and Cape Ann Cable TV), the GHC will develop and present (in Spring 2016) a taped slide presentation and panel discussion for a public education campaign to inform citizens of historic preservation efforts in Gloucester and to address issues relating to the concepts, goals, designations, and forms of historic preservation, in particular:

- Gloucester's historic landmarks and NR listings;
- The advantages of being listed in the National Register;
- Gloucester's local historic district to date;
- Advantages and disadvantages of being in a local historic district;
- The differences between a local historic district and a national register district;
- Gloucester's context themes for multiple-property listings in the National Register as national register districts;
- The 2015 Survey and Planning grant;
- Local, state, and federal agencies (civic and nonprofit) involved in historic preservation;
- How citizens can be involved in historic preservation efforts.

The slide show and public forum for discussing and clarifying issues of historic preservation will also serve as a television production that can air on local cable TV. We also plan to develop a website on the work of the GHC, accessible from the Gloucester-ma.gov website. The website will contain documents, maps, and images— including the products of this Survey and Planning project—and links relating to local, regional, and state historic preservation, providing residents with information and resources, including downloadable forms.

Furthermore, in collaboration with PTO enrichment coordinators, parent volunteers, and teachers in the O'Maley Innovation Middle School, we hope to condense and adapt the public outreach materials and visuals we develop for use with 6<sup>th</sup> graders (in Fall 2016). This initiative, for which we may seek additional CPC funding, will allow us to provide materials that teachers can integrate into their curricula and to create enrichment experiences for students and visitors to Cape Ann, such as opportunities for themed field trips.

#### **Administrative and Financial Management Capabilities**

The GHC along with the City of Gloucester is prepared to administer the funds necessary for the completion of this project in a timely and appropriate manner. Pledge money earmarked for this Survey and Planning project is being deposited in the Gloucester Fund, the City's special bank account for donations to specific projects being undertaken under the aegis of its civic commissions and boards. All project work will be completed by June 24, 2016.

**Geographic Distribution**

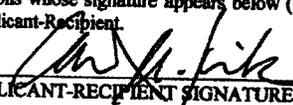
The survey will cover all of Gloucester's geographic areas, filling in gaps for neighborhoods identified in the Survey Update Plan. In terms of the 2015 Survey and Planning grant, as far as the GHC is aware, we have never received funding from the MHC for a grant of this type. Our 2012 Survey Update Plan was locally funded, and most survey reports and area forms that the MHC has on file for Gloucester, including those for the Central Gloucester Local Historic District and the East Gloucester Square National Register District, date back to the 1960s through 1990s.

**ATTACHMENT B - ASSURANCES**

In consideration of and for the purpose of obtaining a grant from the Department of the Interior, National Park Service, through the Massachusetts Historical Commission, Gloucester Historical Commission (hereinafter called "Applicant-Recipient") hereby agrees that it will comply with the following:

- A. Grants will be administered in conformance with all applicable federal and state laws, regulations, policies, requirements and guidelines, including OMB Circular A-102 revised (43 CFR 12), policies and procedures of the Historic Preservation Grant-in-Aid Program, and civil rights (Title VI of 1964 Civil Rights Act); non-discrimination on the basis of handicap (Sec. 506 of the Rehabilitation Act of 1973 and the Americans with Disabilities Act of 1990); age (the Age Discrimination Act of 1975); equal employment opportunity and labor law requirements of federal grants;
- B. All procurement actions will be conducted in a manner that provides for maximum open and free competition in compliance with federal and state requirements, including OMB Circular A-102 revised (43 CFR 12);
- C. Adequate financial resources will be available for performance (including necessary experience, organization, technical qualifications and facilities) to complete the proposed project or a firm commitment, arrangement or ability to obtain such will be made;
- D. All costs charged to the grant project will be in payment of an approved budget item during the project period and conform to the cost principles of OMB Circular A-87;
- E. An adequate financial management system (and audit procedure when deemed applicable) will be maintained which provides efficient and effective accountability and control of all property, funds and assets. Subgrantees which are state or local governments must comply with the Single Audit Act of OMB Circular A-133; Subgrantees which are non-profit organizations or universities must comply with OMB Circular A-110 outlining audit requirements for non-profit and educational institutions.
- F. Matching share will not consist of funds from the Federal Government under another assistance agreement unless authorized;
- G. Applicant-Recipient will comply with required completion schedule for the project.

The Applicant-Recipient recognizes and agrees that such Federal financial assistance will be extended in reliance on the representations and agreements made in this Assurance, and that the United States shall reserve the right to seek judicial enforcement of this Assurance. This Assurance is binding on the Applicant-Recipient, its successors, transferees, and assignees; the person or persons whose signature appears below (is) are authorized to sign this Assurance on behalf of the Applicant-Recipient.

  
\_\_\_\_\_  
APPLICANT-RECIPIENT SIGNATURE

1/5/15  
\_\_\_\_\_  
DATE

Mayor, City of Gloucester  
TITLE (Chairman of Board of Selectmen, Mayor or Chief Elected Official)

**ATTACHMENT C**

**MATCHING SHARE INFORMATION**

1. Cash J. LINZKE COOLIDGE  
Donor: DUSKY FOUNDATION,  
Source: DUSKY FOUNDATION  
Amount: \$ 30,000

2. In-Kind Services (if applicable) NOT APPLICABLE  
Donor: \_\_\_\_\_  
Source: \_\_\_\_\_  
Amount: \$ \_\_\_\_\_

I certify that the matching share identified above is available and will be allocated to the survey and planning project called:

GLOUCESTER HISTORIC DOCUMENTATION - 2015 Survey & Planning Grant  
(Name of Project)

J. Linzke Coolidge  
(Signature of Donor)

J. LINZKE COOLIDGE  
(Name -- please print)

TRUSTEE JAN. 24, 2015  
(Title) (Date)

**ATTACHEMENT D**

**BUDGET**

	<b>MATCHING (LOCAL) SHARE</b>	<b>FEDERAL SHARE</b>	<b>TOTAL</b>
1. <b>Consultant Services</b> Title/Function Rate per Hour # of Hours <u>or</u> Total Dollars Estimated	15,000	15,000	30,000
2. <b>Personnel - In-Kind (paid)</b> Title/Function Annual Salary % Time to Project			
3. <b>Travel - Rate per Mile _____</b> # Miles _____			
4. <b>Supplies -</b> (list each item or category)			
5. <b>Other</b>			
<b>TOTAL PROJECT COST</b>			30,000

**ATTACHMENT E**

**Certification Regarding  
Debarment, Suspension, Ineligibility and  
Voluntary Exclusion**

**Lower Tier Covered Transactions**

This certification is required by the regulations implementing Executive Order 12549, **Debarment and Suspension**, 43 CFR Part 12, Section 12.510, Participants' responsibilities. The regulations were published as Part VII of the May 26, 1988 **Federal Register** (pages 19160-19211). Copies of the regulations are included in the proposal package. For further assistance in obtaining a copy of the regulations, contact the U.S. Department of the Interior, Acquisition and Assistance Division, Office of Acquisition and Property Management, 18th and C Streets, N.W., Washington, D.C. 20240.

(BEFORE COMPLETING CERTIFICATION, READ INSTRUCTIONS ON REVERSE)

- (1) The prospective lower tier participant certifies, by submission of this proposal, that neither it nor its principals is presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from participation in this transaction by any Federal department or agency.
- (2) Where the prospective lower tier participant is unable to certify to any of the statements in this certification, such prospective participant shall attach an explanation to this proposal.

\_\_\_\_\_  
Carolyn Kirk, Mayor, City of Gloucester  
Name and Title of Authorized Representative

\_\_\_\_\_  
*Carolyn Kirk*  
Signature

\_\_\_\_\_  
1/5/15  
Date



Nineteen Harbor Loop  
Gloucester, MA 01930

TEL 978-282-3012  
FAX 978-281-4188  
jcaulkett@gloucester-ma.gov

**CITY OF GLOUCESTER**  
HARBORMASTER'S OFFICE

**Memorandum**

From: Jim Caulkett, Harbormaster  
To: Mayor Sefatia Romeo Theken  
Date: March 25, 2015  
Subject: Harbor Launch Season Pass

Mayor Theken,

In your next Mayor's Report to Council will you include the following;

The Gloucester Waterways Board is requesting to create a Season Pass for permitted mooring holders within the boundaries of the operating limitations of the Gloucester Harbor Launch with a limit of four (04) people. This season pass will cost One Hundred Dollars (\$100.00).

Attached is a copy of the Board vote.

If you have any further questions please feel free to contact me.

Respectfully

**Motion:** On a motion of Anthony Gross, second by Jim Bordinaro the Board voted unanimously to have a Board member go out with the same Assistant Harbormaster once a month to check a mooring area. **Motion passed**

**Operations, Finance & Safety:** The committee passed a motion that the Waterways Board approves an increase in the daily transient vessel mooring fee from \$25.00 to \$45.00, effective for the 2015 boating season and thereafter. The Waterways Board further approves a discounted rate for use of the launch by transient vessels. A lengthy discussion followed on the increased fee and the launch service being included. The launch fee is sent back to committee for discussion.

**Motion:** On a motion of Vito Calomo, second by Anthony Gross the Board voted unanimously to have a launch fee of \$100.00 per season for mooring holders in the launch operational areas with a limit of 4 people. **Motion passed**

**Motion:** On a motion of Dave McCauley, second by Mark Lacey the Board voted 8 YES (Ralph Pino, Dave McCauley, Patti Page, Jim Bordinaro, Vito Calomo, Mark Lacey, Bob Gillis, Karen Tibbetts) and 1 NO (Anthony Gross) to raise the transient mooring fee from \$25.00 to \$35.00 effective for the 2015 boating season and thereafter. **Motion passed**

The next motion from the committee was to have the Waterways Board appropriate up to \$40,000.00 for the preparation of a Management Review for the Harbormaster's Office with a focus on the best practice solutions in key areas.

**Motion:** On a motion of Dave McCauley, second by Vito Calomo the Board voted unanimously to accept the recommendation from the Operations, Finance and Safety Committee to appropriate up to \$40,000.00 for the preparation of a Management Review for the Harbormaster's Office with a focus on best practice solutions in key areas. **Motion passed**

**Regulations Review:** No meeting

**Discussion:** Upon request from Shirley Edmonds members discussed the issuing of moorings to the people on the Wait List for the various areas and for the slips at the 2 commercial marinas. Referred to Public Facilities.

There being no other business the meeting adjourned at 7:47 p.m.

Respectfully submitted,

Shirley M. Edmonds

3 Pond Road  
Gloucester, MA 01930



Tel 978-282-3027  
Fax 978-282-3035

**CITY OF GLOUCESTER**  
**COMMUNITY DEVELOPMENT DEPARTMENT**  
**GRANTS OFFICE**

# *Memorandum*

**TO:** Sefatia Romeo Theken, Mayor  
**FROM:** Tom Daniel, Community Development Director *TMD*  
**CC:** Deborah Laurie, Senior Project Manager  
Emily Freedman, Senior Project Manager  
**DATE:** April 3, 2015  
**Re:** Program Year 2015 CDBG & HOME Grants

We are preparing Program Year 2015 (PY15/FY16 - July 1, 2015 to June 30, 2016) of our Community Development Block Grant (CDBG) and HOME Funding Annual Appropriations.

The Request for Proposal was issued on January 20, 2015, with applications being received by February 26, 2015. Two public hearings were held: an informational public hearing on February 5, 2015, and a public hearing on March 5, 2015, to hear the presentations of the submitted RFPs both held in the Friend Room of the Sawyer Free Library. The city's proposed allocation of funds was advertised for public comment on April 3, 2015. This ad included instructions for any individual interested in examining the Draft 2015 Consolidated Plan and Annual Action Plan to do so at the Community Development Department, City Clerk's Office, and Sawyer Free Library or on the city's website at [www.gloucester-ma.gov](http://www.gloucester-ma.gov). The final version of this plan will be submitted to the US Department of Housing and Urban Development (HUD) on or about May 15, 2015.

Please request that City Council accept the anticipated CDBG Entitlement Allocation in the amount of \$618,141, and in CDBG Funds from HUD, reprogram \$154,146 of program income and unprogrammed CDBG funds from prior years and utilize \$10,000 of anticipated program income for PY15, for a total of \$782,287 of CDBG funds and approximately \$63,091 of HOME funds for PY15/FY16 beginning July 1, 2015 and ending June 30, 2016. The city proposes to use these funds for the following activities:

**First-Time Housing Opportunities:**

**HOME Funds** - The city will allocate approximately \$63,091 from the HOME Consortium to support the First-Time Homebuyers Program. The First-Time Homebuyers Program expands access to homeownership for low and moderate-income persons, with a long-term benefit from a relatively small investment by the city (a maximum of \$10,000). With HOME funds, the city will provide down payment and/or closing cost assistance to approximately six (6) low and moderate-income households.

**Economic Development:**

\$25,000 will be awarded to Action, Inc. Healthcare Career Pathways for Home Health Aide (HHA) and Nurse Aide Training programs which are job training programs. The Action Home Health Aide Job program is working towards the goals of increasing economic opportunity for the unemployed and/or underemployed for low/mod Gloucester residents by providing job training, direct placement and retention as Home Health Aides with local home healthcare companies. The program has been highly successful for years. This year Action, Inc. is adding a new program for Nurse Aides; this program will include 10 students who have already completed HHA training. The program meets a need among major local employers for qualified healthcare employees and will assist approximately 28 individuals.

The City will continue to offer the Brownfields Cleanup Revolving Loan (BCRLF) and the Brownfield Assessment program to businesses requiring assistance with cleanup of contaminated properties. This program is funded with a grant from the Environment Protection Agency.

\$5,000 will be funded for project delivery costs to process and manage on going and potential Economic Development loans funded from previous years under the City's Economic Development Loan/Job Creation program.

**Housing Rehabilitation Programs:**

The Low to Moderate Homeowner Rehabilitation Program provides deferred, 0% loans to low/mod income homeowners to address health, safety, energy issues and code violations in their homes. The loan will be due upon the transfer or sale of the property, if the property is no longer the principal place of residence of the original applicant and sometimes upon refinancing. The program also offers a grant of up to \$30,000 when lead removal is required within a rehab project.

The city will allocate \$280,000 for this program, including project delivery. The program addresses safety, health, code violations and de-leading if necessary. These initiatives within the Housing Rehabilitation Program will be able to achieve comprehensive rehabilitation services with a positive impact on housing quality, affordability and neighborhood improvements. The Housing Rehabilitation Program goal is to assist 10 units of housing.

### **Public Services:**

CDBG provides both a safety net for unmet needs in the community, as well as a leveraging tool for state, federal, and private funding of the strong nonprofit agencies that provide so many services in the community. The city will allocate \$102,671 for programs, which includes \$1,839 in project delivery costs. CDBG intends to fund the following programs and projects:

#### **Family, Special Needs and Elderly**

- \$5,000 is awarded to Cape Ann Interfaith Commission (CAIC) to support their Rental Assistance Program. CAIC will assist at least 10 households to help alleviate homelessness in Gloucester. Since CAIC is an all-volunteer program, 100% of CDBG funds received directly assist their recipients to obtain housing.
- \$14,000 is awarded to Gloucester Housing Authority's Cape Ann Home Ownership Center "Pre/Post Home Homebuyer Education and Foreclosure Program" which will serve approximately 300 low to moderate income clients prior to and for three years after purchasing a home.
- \$8,000 is awarded to HAWC for services in Gloucester for their Community Based Domestic Violence Crisis Intervention and Prevention Program. They assist in domestic violence issues and serve approximately 200 clients in crisis.
- \$15,000 is awarded to The Grace Center, Inc. for a day, drop-in center that serves low-income and homeless adults in crisis. Staff and volunteers will perform assessments, coordinate program evaluation, supervise data retrieval and increase prevention screening for major mental and physical health conditions. Program will serve approximately 100 clients in crisis and plans to expand its program to five days per week.
- \$4,000 is awarded to The Open Door to support their Connecting People to Good Food campaign and \$6,000 of debt has been forgiven from a previous public facility improvement loan. A variety of programs provide nutritious, fresh produce and other foods to Gloucester's low income individuals and families. The program is expected to serve approximately 3,448 clients.

#### **Youth and Young Adult Employment**

- \$35,000 is awarded to the YMCA's Youth Employment Program which is an entry level employment program for young adults entering the job market. The YMCA recruits, trains, provide equipment, supervision and employ more than 100 Gloucester teens and young adults as the Downtown Clean Team. This program provides employment opportunities and ensures our residents and tourists will not encounter litter as they travel through downtown Gloucester.
- \$10,000 is awarded to the YMCA "ACCESS" program to provide scholarships for children and families to participate in YMCA programs through a variety of

free or reduced memberships and programs that include, but are not limited to: summer camp, swimming lessons, instructional classes and more. Anticipate serving approximately 100 youths.

**Employment and Educational Training:**

- \$9,832 is awarded to Wellspring House for their Adult Learning Initiative Program to provide adults with a range of programs including, GED, education and job training, and career development. This program plans to serve up to 45-50 adults.

**Public Facilities:**

Under the CDBG Program, funds may be used to undertake a variety of public facilities and public improvement projects. The city will allocate \$245,988 for programs, including \$5,000 for project delivery. Public facilities and public improvements are interpreted to include all facilities and improvements that are publicly owned or owned by a non-profit organization and open to the general public. CDBG intends to fund the following programs and projects:

- \$10,000 is awarded to the Backyard Growers (dba CA Business Incubator, Inc.), Community Gardens for Low-Income Areas program. The project will entail construction of a new community garden at Veteran's Way housing complex on the site of the former Riverdale youth garden. The garden will include new signage, a small storage shed, fencing, mulched pathways and benches. The project will also include five garden beds at McPherson Park housing complex to make them ADA compliant and structural and maintenance improvements at Pond View Village. Approximately 30 households will be served.
- \$235,988 to the City of Gloucester for Streets and Sidewalk Improvements Railroad Avenue Area project. This project will entail over the next few years architectural/engineering and construction costs to improve the overall street scape and layout of Railroad Avenue and portions of Maplewood Avenue. These improvements will provide much needed safe pedestrian and ADA access, road improvements and streetscape in a low income neighborhood.

**Planning and Administration:**

- \$123,628 is allocated for the Planning and Administration of the CDBG grant. The city plans to further the goals of Economic Development, Brownfields Remediation, Housing Rehabilitation, and Public Services and Facilities.

City Hall  
Nine Dale Avenue  
Gloucester, MA 01930



TEL 978-281-9700  
FAX 978-281-9738  
stheken@gloucester-ma.gov

CITY OF GLOUCESTER  
OFFICE OF THE MAYOR

**TO:** City Council  
**FROM:** Sefatia Romeo Theken, Mayor  
**DATE:** April 9, 2015  
**RE:** Addendum to the Mayor's Report for the April 14, 2015 City Council Meeting

*Sefatia Romeo Theken*  
15 APR -9 AM 10:55  
CITY CLERK  
GLOUCESTER, MA

Councilors:

**Enclosure 1** is a memorandum and Grant Application and Checklist from Community Development Director Tom Daniel requesting City Council acceptance of a grant in the amount of \$50,000 from the Seaport Advisory Council. *Please refer this matter to the Budget and Finance subcommittee for review and approval.* Appropriate City staff will be available to answer questions and provide further information as required.

City Hall Annex  
Three Pond Road  
Gloucester, MA  
01930



TEL 978-281-9781  
FAX 978-281-9779  
tdaniel@gloucester-ma.gov

CITY OF GLOUCESTER  
COMMUNITY DEVELOPMENT DEPARTMENT

**MEMORANDUM**

**TO:** Mayor Sefatia Romeo-Theken  
**FROM:** Tom Daniel, Community Development Director *TD*  
**RE:** City Council Acceptance of Seaport Bond  
Funds for Harbor Plan Implementation – Project P14-2883-G27 (3974)  
**DATE:** April 9, 2015

---

As you are aware Gloucester's Municipal Harbor Plan/Designated Port Area Master Plan (MHP) was approved by the state in December of 2014. The MHP prescribes an implementation strategy to achieve our goals of reinforcing support for maritime uses while providing additional opportunities for growth. These efforts are further supported grant funds administered by the Executive Office of Energy and Environmental affairs. Grant funds were awarded and extended for use for plan implementation (see attached letter from Michael Driscoll dated April 2, 2015), however due to staffing changes the final step of requesting City Council acceptance was overlooked.

Please forward this request to the City Council to accept \$50,000 from the Seaport Advisory Council so that the auditor's office may set up the city accounts. Staff will be available to answer any questions.



April 2, 2015

Aleesha Nunley  
Assistant City Auditor  
City Hall  
Dale Avenue  
Gloucester , MA 01930

Re: Project P14-2883-G27 (3974) Funding is requested for development of the required renewed Harbor Plan and DPA Master Plan, and assistance with the development of a project specific investment for the 14-C2 parcel,65 Rogers Street, that is a key piece of the harbor development. The City to obtain a revised land use analysis and complete the local zoning analysis that will be part of the partnership framework for the 2014 MHP and DPA Master Plan

Dear Ms. Garcia:

The above-reference project provides the City Of Gloucester with funding for the Harbor Plan and DPA Master Plan, and assistance with the development of a project specific investment for the 14-C2 parcel, 65 Rogers Street, that is a key piece of the harbor development.

The City to obtain a revised land use analysis and complete the local zoning analysis that will be part of the partnership framework for the MHP and DPA Master Plan. The City has requested the ability to work on the project in FY 15 following the departure of Ms. Sarah Garcia, the former Harbor Planning Director and does not anticipate being able to spend the balance of the grant prior to current expiration date of June 30, 2015

We herewith extend the grant period for the above –referenced project to June 30, 2016 .

Best Regards

Michael Driscoll  
Grant Compliance Officer

COMMONWEALTH OF MASSACHUSETTS  
Department of Conservation and Recreation  
349 Lincoln Street BLDG 45  
Hingham, MA 02043  
781-740-1600 617-727-2950 Fax  
www.mass.gov/dcr

EXECUTIVE OFFICE OF ENERGY & ENVIRONMENTAL AFFAIRS

Charlie Baker  
Governor

Karyn Polito  
Lt. Governor

Matthew A. Deaton, Secretary  
Executive Office of Energy & Environmental Affairs

John P. Murray, Commissioner  
Department of Conservation & Recreation



**City of Gloucester  
Grant Application and Check List (Continued)**

**The following are documents needed by the Auditing Office for grant account creation:**

- 1. Grant Application**
- 2. Grant Award Letter/Standard Contract Approval Form**
- 3. Council Order Approval**
- 4. Original Grant Account Budget as approved by Grantor**
- 5. Amended Grant Account Budget as approved by Grantor (if applicable)**
- 6. Any additional information as requested by the Auditing Department**

**Note: All documents must be complete signed copies.**

**Please attach the following documents with the Grant Application and Check List and send to the Auditors' Office.**



City of Gloucester  
Grant Application and Check List

Granting Authority: State  Federal  Other

Name of Grant: HARBOR PLANNING FY 14 SAC

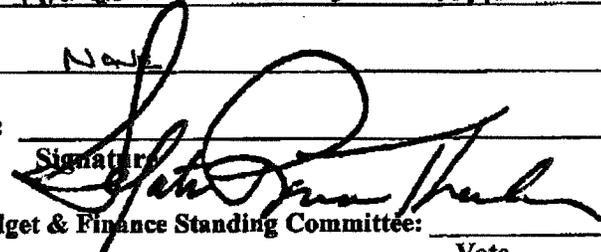
Department Applying for Grant: COMMUNITY DEVELOPMENT DEPARTMENT

Agency-Federal or State application is requested from: EXECUTIVE OFFICE OF ENERGY AND ENVIRONMENTAL AFFAIRS

Object of the application: HARBOR PLAN IMPLEMENTATION

Any match requirements: None

Mayor's approval to proceed: \_\_\_\_\_ Date 4/9/15

Signature: 

City Council's referral to Budget & Finance Standing Committee: \_\_\_\_\_  
Vote \_\_\_\_\_ Date \_\_\_\_\_

Budget & Finance Standing Committee: \_\_\_\_\_  
Positive or Negative Recommendation \_\_\_\_\_ Date \_\_\_\_\_

City Council's Approval or Rejection: \_\_\_\_\_  
Vote \_\_\_\_\_ Date \_\_\_\_\_

City Clerk's Certification of Vote to City Auditor: \_\_\_\_\_  
Certification \_\_\_\_\_ Date \_\_\_\_\_

City Auditor:  
Assignment of account title and value of grant: \_\_\_\_\_  
Title \_\_\_\_\_ Amount \_\_\_\_\_

Auditor's distribution to managing department: \_\_\_\_\_  
Department \_\_\_\_\_ Date sent \_\_\_\_\_

NOTE: A copy of all grant paperwork must be submitted to the Auditor's Office

# COMMONWEALTH OF MASSACHUSETTS - STANDARD CONTRACT FORM



This form is jointly based and published by the Executive Office for Administration and Finance (EAF), the Office of the Comptroller (CTRY) and the Operational Services Division (OSD) as the default contract for all Commonwealth Departments when another form is not prescribed by regulation or policy. Any changes to the official printed language of this form shall be void. Additional non-conflicting terms may be added by Attachment. Contractors may not require any additional agreements, engagement letters, contract forms or other additional terms as part of this Contract without prior Department approval. Click on hyperlinks for definitions, instructions and legal requirements that are incorporated by reference into this Contract. An electronic copy of this form is available at [www.mass.gov/eofaf](http://www.mass.gov/eofaf) under Guidance For Vendors - Forms or [www.mass.gov/osd](http://www.mass.gov/osd) under OSD Forms.

<b>CONTRACTOR LEGAL NAME:</b> City of Gloucester (and d/b/a) Community Development Office		<b>COMMONWEALTH DEPARTMENT NAME:</b> DCR Division of Waterways MMARS Department Code:	
<b>Legal Address (M-9, W-4, T&amp;C):</b> 2 Pond Road, Gloucester MA 01930		<b>Business Mailing Address:</b> 30 Shipyard Drive, Suite 200 Hingham MA 02043	
<b>Contract Manager:</b> Sarah Garcia AICP Director		<b>Billing Address (if different):</b>	
<b>E-Mail Address:</b> <a href="mailto:sgarcia@gloucester-ma.gov">sgarcia@gloucester-ma.gov</a>		<b>Contract Manager:</b> Michael Driscoll CE IV	
<b>Phone:</b> 978-281-9781	<b>Fax:</b> 978-281-9779	<b>E-Mail Address:</b> Michael.driscoll@state.ma.us	<b>E-Mail Address 2:</b>
<b>Contractor Vendor Code:</b>		<b>Phone:</b> 781-740-1800 x107	<b>Fax:</b> 817-727-2850
<b>Payment Address Code:</b> (e.g. 'A0001') A00		<b>MMARS Doc ID#:</b>	
Is this Payment Address Code set up for EFT? <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No. (If "No" the Contractor must attach EFT paperwork)		<b>RFR/Procurement or Other ID Number:</b> P14-2883-607	
___ <b>NEW CONTRACT</b>		___ <b>CONTRACT AMENDMENT</b>	
<b>PROCUREMENT OR EXCEPTION TYPE: (Check one option only)</b> ___ <u>Statewide Contract</u> (ORD or an OSD-designated Department) ___ <u>Collective Purchase</u> (Attach OSD approval, scope, budget) ___ <u>Department Procurement</u> (includes State or Federal grants §15 CMR 2.00) (Attach RFR and Response or other procurement supporting documentation) ___ <u>Emergency Contract</u> (Attach justification for emergency, scope, budget) ___ <u>Contract Employee</u> (Attach Employment Status Form, scope, budget) ___ <u>Legislative Legal Exemption or Other</u> (Attach authorizing language/justification, scope and budget)			
Enter Current Contract End Date <u>Prior</u> to Amendment: ____ Enter Amendment Amount: \$ ____ (or "No change")			
<b>AMENDMENT TYPE: (Check one option only. Attach details of Amendment changes.)</b> ___ <u>Amendment to Scope or Budget</u> (Attach updated scope and budget) ___ <u>Interim Contract</u> (Attach justification for Interim Contract and updated scope/budget) ___ <u>Contract Employee</u> (Attach any updates to scope or budget) ___ <u>Legislative Legal Exemption or Other</u> (Attach authorizing language/justification and updated scope and budget)			
The following <b>COMMONWEALTH TERMS AND CONDITIONS (T&amp;C)</b> has been executed, filed with GTR and is incorporated by reference into this Contract <input checked="" type="checkbox"/> <u>Commonwealth Terms and Conditions</u> ___ <u>Commonwealth Terms and Conditions For Human and Social Services</u>			
<b>COMPENSATION:</b> (Check ONE option). The Department certifies that payments for authorized performance accepted in accordance with the terms of this Contract will be supported in the state accounting system by sufficient appropriations or other non-appropriated funds, subject to intercept for Commonwealth owed debts under 815 CMR 9.00. ___ <u>Rate Contract</u> (No Maximum Obligation. Attach details of all rates, units, calculations, conditions or terms and any changes if rates or terms are being amended) <input checked="" type="checkbox"/> <u>Maximum Obligation Contract</u> Enter Total Maximum Obligation for total duration of this Contract (or new Total if Contract is being amended): <u>356,000.00</u>			
<b>PROMPT PAYMENT DISCOUNTS (PPD):</b> Commonwealth payments are issued through EFT 45 days from invoice receipt. Contractors requesting accelerated payments must identify a PPD as follows: Payment issued within 10 days ___ % PPD; Payment issued within 15 days ___ % PPD; Payment issued within 20 days ___ % PPD; Payment issued within 30 days ___ % PPD. If PPD percentages are left blank, identify exemption: ___ <u>statutory/legal</u> or <u>Ready Payments (G.L. c. 28, § 33A)</u> ; ___ <u>federal grant/fund</u> ; ___ <u>Initial payment</u> (subsequent payments must be scheduled to support payee cash flow needs and standard EFT 45 day payment cycle. See Prompt Pay Discount Policy)			
<b>BRIEF DESCRIPTION OF CONTRACT PERFORMANCE or REASON FOR AMENDMENT:</b> (Enter the Contract title, purpose and a detailed description of the scope of performance or what is being amended for a Contract Amendment. Attach all supporting documentation.) Project P14-2883-027 (3974) Funding is requested for development of the harbor development. The City to obtain a revised land use analysis and complete the local zoning analysis that will be part of the partnership framework for the 2014 MHP and DPA Master Plan			
<b>ANTICIPATED START DATE:</b> (Complete ONE option only) The Department and Contractor certify for this Contract, or Contract Amendment, that Contract obligations: <ol style="list-style-type: none"> <li>1. may be incurred as of the <u>Effective Date</u> (latest signature date below subject to any required approvals) and <u>no</u> obligations have been incurred <u>prior</u> to the <u>Effective Date</u>.</li> <li>2. may be incurred as of ___ 20 ___ a date <u>LATER</u> than the <u>Effective Date</u> below and <u>no</u> obligations have been incurred <u>prior</u> to the <u>Effective Date</u>.</li> <li>3. were incurred as of ___ 20 ___ a date <u>PRIOR</u> to the <u>Effective Date</u> below, and the parties agree that payments for any obligations incurred prior to the <u>Effective Date</u> are authorized to be made either as settlement payments or as authorized reimbursement payments, and that the details and circumstances of all obligations under this Contract are attached and incorporated into this Contract. Acceptance of payments forever releases the Commonwealth from further claims related to these obligations.</li> </ol>			
<b>CONTRACT END DATE:</b> Contract performance shall terminate as of <u>June 30, 2014</u> , with no new obligations being incurred after this date unless the Contract is properly amended, provided that the terms of this Contract and performance expectations and obligations shall survive its termination for the purpose of resolving any claim or dispute, for completing any negotiated terms and warranties, to allow any close out or transition performance, reporting, invoicing or final payments, or during any lapse between amendments.			
<b>CERTIFICATIONS:</b> Notwithstanding verbal or other representations by the parties, the " <u>Effective Date</u> " of this Contract or Amendment shall be the latest date that this Contract or Amendment has been executed by an authorized signatory of the Contractor, the Department, or a later Contract or Amendment Start Date specified above, subject to any required approvals. The Contractor attests all certifications required under the attached <u>Contractor Certifications</u> (incorporated by reference if not attached herein) under its pain and penalty of perjury, agrees to provide any required documentation upon request to support compliance, and agrees that all terms governing performance of this Contract and doing business in Massachusetts are attached or incorporated by reference herein according to the following hierarchy of document precedence, its applicable <u>Commonwealth Terms and Conditions</u> , the Standard Contract Form including the <u>Instructions and Contractor Certifications</u> , the Request for Response (RFR) or other solicitation, the Contractor's Response, and additional negotiated terms, provided that additional negotiated terms will take precedence over the relevant terms in the RFR and the Contractor's Response only if made using the process outlined in 801 CMR 21.07, incorporated herein, provided that any amended RFR or Response terms result in best value, lower costs, or a more cost effective Contract.			
<b>AUTHORIZING SIGNATORY FOR THE CONTRACTOR:</b> X: <u>Paul McGeary</u> Date: <u>6/19/14</u> (Signature and Date Must Be Handwritten At Time of Signature) Print Name: <u>Paul McGeary, Acting Mayor</u> Print Title: <u>City of Gloucester</u>		<b>AUTHORIZING SIGNATORY FOR THE COMMONWEALTH:</b> X: <u>Christian Delaney</u> Date: <u>6/30/14</u> (Signature and Date Must Be Handwritten At Time of Signature) Print Name: <u>Christian Delaney</u> Print Title: <u>Director A+F</u>	

CITY OF GLOUCESTER

ACCOUNT BUDGET

DEPARTMENT NAME: COMMUNITY DEVELOPMENT DEPARTMENT  
 ACCOUNT NAME: FY14 SAC HARBOR PLANNING  
 FUND NUMBER AND NAME: (N/A FOR NEW FUND) 291142  
 CFDA # (Required for Federal Grants): \_\_\_\_\_  
 DATE PREPARED: 4/9/15

APPROVED  
 AMENDED BUDGET

OBJECT	ORIGINAL BUDGET	(IF APPLICABLE)	AMENDED REQUEST	REVISED BUDGET
REVENUE (4_____)	\$ 50,000			
				\$0.00
				\$0.00
				\$0.00
Total:	\$0.00	\$0.00	\$0.00	\$0.00
EXPENSE (5_____)				
				\$0.00
				\$0.00
				\$0.00
				\$0.00
				\$0.00
				\$0.00
				\$0.00
				\$0.00
				\$0.00
				\$0.00
				\$0.00
Total:	\$0.00	\$0.00	\$0.00	\$0.00

DEPARTMENT HEAD SIGNATURE *[Signature]*  
 DATE ENTERED (AUDIT) \_\_\_\_\_ AUDITING DEPARTMENT INITIALS \_\_\_\_\_

# **Yearly Operational Plan**

**2015**

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**KEOLIS COMMUTER SERVICES, LLC.**  
**COMMUTER RAIL SYSTEM**

**470 ATLANTIC AVENUE**  
**BOSTON, MA 02116**

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**Prepared by:**

**TEC ASSOCIATES**  
**46 SAWYER STREET**  
**SOUTH PORTLAND, MAINE 04106**

## **ABSTRACT:**

**This Yearly Operational Plan (YOP) describes the vegetation management operations for the Railroad's rights-of-way scheduled for vegetation maintenance during this calendar year. In compliance with the Commonwealth of Massachusetts Rights-of-Way Management Regulations 333 CMR 11.00.**

***This YOP is a companion document to the Vegetation Management Plan (VMP) which has been approved by the Department of Agricultural Resources.***

## INTRODUCTION

Both Federal and State laws require railroads to manage vegetation to help insure the safe passage of people, material, and goods.

The Code of Federal Regulations mandates the safety of the railroad must be guaranteed by regular inspection and maintenance. Vegetation must be controlled so that it does not become a fire hazard, does not interfere with visibility, or impede direct visual inspections of the track structure. Vegetation must also be managed to allow for proper drainage of the track and ballast structure, to prevent tree and branch damage to cargo, and to provide safe footing and working conditions for trackside personnel. Vegetation growing along side the rails can prevent effective and adequate braking, especially in emergency situations.

The purpose of 333 CMR 11.00, Rights of Way Management, is to promote the implementation of Integrated Pest Management techniques and to establish standards, requirements, and procedures necessary to minimize the risk of unreasonable adverse effects on human health and the environment associated with the use of herbicides to maintain rights-of-way. These regulations establish procedures which guarantee ample opportunity for public and municipal agency review and input on rights-of-way maintenance plans.

A Yearly Operational Plan or YOP must be submitted to the Department of Agricultural Resources every year herbicides are intended for use to maintain rights-of-way. The YOP provides a detailed program for vegetation management for the year. This YOP is a companion document to the Vegetation Management Plan (VMP) approved by the Department. The VMP is the long term management plan for the railroad which describes the intended program for vegetation control over a five year period.

Upon receipt of this YOP, the Department publishes a notice in the Environmental Monitor. The applicant has provided a copy of the YOP and Environmental Monitor notice to the Board of Health, Conservation Commission, and the chief elected municipal official for the city or town in which the herbicide treatment is proposed.

The Department allows a 45 day comment period on the proposed YOP beginning with publication of the notice in the Environmental Monitor and receipt of the YOP and Environmental Monitor notice by each municipality.

Public notification of herbicide applications to the right-of-way is made by registered mail under separate cover at least 21 days in advance of the treatment. Notice is made to the Department of Agricultural Resources; the Mayor, City Manager or chairman of the Board of Selectman; the Board of Health; and the Conservation Commission of the municipality where the right-of-way lies.

Any comments on this YOP should be directed to:

Kyle Fair  
TEC Associates  
46 Sawyer Street  
South Portland, ME 04106  
(207) 767-6068

**MUNICIPALITIES WHERE TREATMENT DESCRIBED IN THIS YOP WILL BE MADE**

Abington	Ipswich	Scituate
Acton	Kingston	Shirley
Andover	Lakeville	Somerville
Ashland	Lawrence	Southborough
Attleboro	Leominster	Stoughton
Avon	Lincoln	Swampscott
Ayer	Littleton	Taunton
Bellingham	Lowell	Tewksbury
Belmont	Lunenburg	Wakefield
Beverly	Lynn	Walpole
Billerica	Malden	Waltham
Boston	Manchester	Wellesley
Boxborough	Medford	Wenham
Braintree	Melrose	West Bridgewater
Bridgewater	Middleborough	Westborough
Brockton	Milford	Weston
Brookline	Millbury	Westwood
Cambridge	Milton	Weymouth
Canton	Natick	Whitman
Chelsea	Needham	Wilmington
Cohasset	Newbury	Winchester
Concord	Newburyport	Woburn
Dedham	Newton	Worcester
East Bridgewater	Norfolk	
Easton	North Andover	
Everett	Norwood	
Fitchburg	Plymouth	
Framingham	Plympton	
Franklin	Quincy	
Gloucester	Randolph	
Grafton	Raynham	
Halifax	Reading	
Hamilton	Revere	
Hanson	Rockport	
Haverhill	Rowley	
Hingham	Salem	
Holbrook	Salisbury	
Hopedale	Saugus	

## YOP REQUIREMENTS AND TABLE OF CONTENTS

	<b>Page</b>
I. The Company which will perform any herbicide treatment	1
ii. Individual representing applicant and supervising the YOP	1
iii. Herbicides proposed including application rates, carriers, and adjuvants	2
IV. Herbicide application techniques and alternative control procedures	3
V. Identification of target vegetation	4
VI. Flagging methods to designate sensitive areas on the ROW	5
VII. Procedures and locations for handling, mixing and loading of herbicide concentrates	7
VIII. Emergency contacts	8

## APPENDICES

- A. Herbicide Fact Sheets as approved by the Department of Agricultural Resources, herbicide labels, and MSDS.
- B. Maps locating the ROW and sensitive areas not readily identifiable in the field.

I. THE COMPANY WHICH WILL PERFORM ANY HERBICIDE TREATMENT

This company or contractor will perform the herbicide treatment. Applicators are certified by the Department of Agricultural Resources in the applicator category Right-of-Way Pest Control.

Company Name RWC, Inc.  
Address Lockhouse Road  
P.O. Box 876  
Westfield, MA 01086  
Telephone # (413) 562-5681  
Contact Person(s) Brian Chateauvert

II. INDIVIDUAL REPRESENTING APPLICANT AND SUPERVISING THE YOP

Individual supervising execution of the YOP and representing the railroad.

Name & Title Clary Coutu, Environmental Compliance Mgr.  
Address Keolis Commuter Services, LLC.  
470 Atlantic Avenue  
Boston, MA 02116  
Telephone # (617) 874-6946

III. HERBICIDES PROPOSED INCLUDING APPLICATION RATES, CARRIERS, ADJUVANTS, AND APPLICATION TECHNIQUES

Weed Control Herbicide Program for the Roadbed

The post-emergent herbicide program is aimed primarily toward keeping the ballast section and shoulder, yards, switches, signals, and highway grade crossings weed free. Areas scheduled for weed control treatments have been inspected for density of target vegetation to determine appropriate control methods. Herbicide Fact Sheets for the herbicides proposed are found in Appendix A.

Location	Herbicide(s)	Carriers or Adjuvants	Application Technique	Application Rate
Sensitive area buffer zone	Aquaneat Oust Extra Escort XP	More Incite 80	Foliar	2 qts/acre
			Foliar	4 oz/acre
			Foliar	2 oz/acre
			Foliar	2-5 oz/100 gal
			Foliar	2-5 oz/100 gal
Non-sensitive areas	Aquaneat Oust Extra Escort XP	More Incite 80	Foliar	2 qts/acre
			Foliar	4 oz/acre
			Foliar	2 oz/acre
			Foliar	2-5 oz/100 gal
			Foliar	2-5 oz/100 gal
Touch-up applications	Aquaneat Oust Extra Escort XP	More Incite 80	Foliar	2 qts/acre
			Foliar	4 oz/acre
			Foliar	2 oz/acre
			Foliar	2-5 oz/100 gal
			Foliar	2-5 oz/100 gal

Brush Control Program for Areas Adjacent to the Roadbed

The brush control program is designed to prevent the re-growth of trees and other woody vegetation in areas adjacent to the roadbed. Areas scheduled for brush control treatments are limited to target vegetation which obscures visibility or interferes with railroad signs, signals, or communication wires. Herbicide Fact Sheets for herbicides proposed may be found in Appendix A.

Location	Herbicide(s)	Carriers or Adjuvants	Application Technique	Application Rate
Non-sensitive areas	Aquaneat Escort XP	More Incite 80	Foliar	4 qts/acre
			Foliar	2 oz/acre
			Foliar	2-5 oz/100 gal
			Foliar	2-5 oz/100 gal
Touch-up applications	Aquaneat Escort XP	More Incite 80	Foliar	4 qts/acre
			Foliar	2 oz/acre
			Foliar	2-5 oz/100 gal
			Foliar	2-5 oz/100 gal

#### IV. HERBICIDE APPLICATION TECHNIQUES AND ALTERNATIVE CONTROL PROCEDURES

Herbicide applications within the Railroad right-of-way will be performed using low pressure application from a specialized hy-rail truck equipped with a spray boom. This method is suitable for application within the buffer zone, or restricted application zone of sensitive areas, as defined in 333 CMR 11.04. The spray vehicle is equipped with spray nozzles and controls to allow for treatment of the entire roadbed, or to selectively treat individual sections of the ballast and ballast shoulders. Within sensitive areas, a container will be used to catch any accidental dripping of herbicide. It is a trough-shaped apparatus mounted just behind and above the boom, and will be hydraulically lowered to sit underneath the spray nozzles while the vehicle is traveling through areas where herbicide spraying is prohibited.

In order to assist in rapid identification of sensitive areas in the field, a pilot vehicle will proceed approximately 1/4 mile ahead of the applicator vehicle in order to signal ahead the location of sensitive areas.

In order to provide greater mobility and decrease the amount of time required to apply the herbicide mixture in the railroad yard areas, a vehicle equipped with hoses will be used in these areas. In compliance with the Regulations for herbicide application in sensitive areas, the spray pressure from the hoses will not exceed 60 psi.

#### ALTERNATIVE CONTROL PROCEDURES

No alternative vegetation control methods are feasible within the track areas of the right-of-way. No vegetation control is proposed in ballast areas where herbicide use is prohibited.

Touch-up techniques controls any target vegetation within the ballast that may have been missed or not treated during the initial phase. Control of vines and other vegetation that might creep onto the ballast from roots growing outside the original treatment boundaries can be managed as a selective, foliage, or spot spray. No more than 10% of the initially identified target vegetation on the right-of-way in any municipality may be treated during a touch-up application and the total amount of herbicide applied in any one year shall not exceed the limits specified by the label or YOP [per 11.03(8)(c)].

## V. IDENTIFICATION OF TARGET VEGETATION

Whenever and wherever possible an integrated approach to vegetation management will be implemented by encouraging plant communities that hinder the growth of target vegetation. Prior to a herbicide application, a review will be made noting location, density, and type of vegetation present. This information will be used to develop a herbicide application program that will be effective against target vegetation and minimize the amount of herbicide used.

In accordance with the Code of Federal Regulations, 49 Part 213 - Track Safety Standards, all vegetation growing in the ballast and ballast shoulder; in yards; and around switches, signals, signs and highway grade crossings is considered target vegetation and must be controlled so that it does not:

- a) become a fire hazard to track-carrying structures;
- b) obstruct visibility of railroad signs and signals;
- c) interfere with railroad employees performing normal trackside duties;
- d) prevent proper functioning of signal and communication lines; and
- e) prevent railroad employees from visually inspecting moving equipment from their normal duty stations.

Woody vegetation growing in areas adjacent to the shoulder will be managed to promote the growth of low growing shrubs. Targeted woody vegetation will be that which has the potential to block visibility or invade the roadbed and/or overhead communication lines. Target vegetation will include but not be limited to the following:

Ailanthus	Black Walnut	Honey Locust
American Basswood	Buckthorn	Maple
American Beech	Butternut	Northern Catalpa
American Hornbeam	Cherry	Oak
Apple	Eastern Hophornbeam	Pine
Ash	Eastern Red Cedar	Poplar
Aspen	Elm	Sassafras
Birch	Flowering Dogwood	Shadbush
Black Locust	Hawthorn	Spruce
Black Tupelo	Hickory	Sumac

## VI. FLAGGING METHODS TO DESIGNATE SENSITIVE AREAS ON THE ROW

Sensitive areas are defined in the Rights-Of-Way Management Regulations (333 CMR 11.02) are as defined in 333 CMR 11.04, any areas within the Right-of-Way, including No-Spray and Limited-Spray Areas, in which public health, environmental or agricultural concerns warrant special protection to further minimize risks of unreasonable adverse effects. These include but are not limited to the following:

No Spray Area, any area that is both within a Right-of-Way and within:

- (a) any Zone I;
- (b) 100 feet of any Class A Surface Water Source;
- (c) 100 feet of any tributary or associated surface water body where the tributary or associated surface water body runs within 400 feet of a Class A surface water source;
- (d) 10 feet of any tributary or associated surface water body where the tributary or associated surface water body is at a distance greater than 400 feet from a Class A surface water source;
- (e) a lateral distance of 100 feet for 400 feet upstream, on both sides of the river, of a Class B Drinking Water Intake;
- (f) 50 feet of any identified Private Well;
- (g) 10 feet of any Wetlands or Water Over Wetlands;
- (h) 10 feet of the mean annual high-water line of any river; and
- (i) 10 feet of any Certified Vernal Pool.

Limited Spray Area, any area that is both within a Right-of-Way and within:

- (a) any Zone II or IWPA;
- (b) a distance of between 100 feet and 400 feet of any Class A Surface Water source;
- (c) a distance of between 10 and 200 feet of any tributary or associated surface water body where the tributary or associated surface water body runs outside the Zone A for the Class A surface water source;
- (d) a lateral distance of between 100 and 200 feet for 400 feet upstream, on both sides of the river, of a Class B Drinking Water Intake;
- (e) a distance of between 50 and 100 feet of any identified Private Well;
- (f) a distance of between 10 and 100 feet of any Wetlands or Water Over Wetlands;
- (g) a distance of between 10 feet from the mean annual high water line of any river and the outer boundary of the Riverfront Area;
- (h) a distance of between 10 feet from any Certified Vernal Pool and the outer boundary of any Certified Vernal Pool Habitat; and
- (i) a distance of 100 feet of any Agricultural or Inhabited Area.

\* Limited Spray Area(s) are those in which spraying is restricted to one annual application of a herbicide through low pressure foliar techniques.

**Non-Sensitive Areas are upland areas and/or track not in proximity to sensitive areas and do not require specific precautions or herbicide restrictions.**

**Sensitive areas, no-spray areas, limited-spray areas, and non-sensitive areas will be marked at their boundaries with permanent color-coded markers. Sensitive areas considered to be readily identifiable in the field (i.e. agricultural and inhabited areas) will not be marked. The markers will be one or any combination of the following:**

**color-coded signs attached to posts  
color-coded signs attached to the railroad ties  
color-coded painted rail sections**

**Sensitive and non-sensitive areas will be designated by the following color-codes:**

<b>white</b>	<b>non-sensitive areas</b>
<b>blue</b>	<b>sensitive area in which a minimum of 12 months shall elapse between herbicide applications</b>
<b>double blue</b>	<b>sensitive areas in which a minimum of 24 months shall elapse between herbicide applications.</b>
<b>yellow</b>	<b>no spray zone</b>

## **VII. PROCEDURES AND LOCATIONS FOR HANDLING, MIXING, AND LOADING OF HERBICIDE CONCENTRATES**

The herbicide application crew will wear protective clothing and personal safety equipment when mixing, handling, loading, or applying herbicide, including standard work clothing or coveralls, work gloves, and work boots. Latex or nitrile rubber gloves, as well as eye goggles are recommended to be worn during mixing of herbicide concentrate as some herbicides may cause mild eye and skin irritations.

Mixing and use of herbicide shall be consistent with the labeling instructions included on the packaging. The herbicide mix will be prepared from herbicide concentrate and water. In compliance with the regulations, the handling, mixing and/or loading of this material will not occur within 100 feet of any sensitive area. Wherever and whenever possible, the herbicide applicator will prepare the herbicide mix on non-porous surfaces, such as pavement or concrete.

### **Sources of Water and Safeguards to Prevent Contamination**

Water used for herbicide mix will be obtained from hydrants and freshwater sources. During the herbicide mix preparations and during herbicide application, strict adherence to the following safeguards will be maintained:

- 1) Water will be obtained using hoses equipped with anti-siphon devices to eliminate herbicide backflow.
  - a) Hoses used to extract water from water bodies will be equipped with two such devices: one will be found directly behind the mouth of the hose and another will be at the coupling that joins the hose to the mix tank.
  - b) Hoses used to extract water from the hydrant will utilize the same setup as described above, except that a third anti-siphon device will be found within the coupling joining the hose to the hydrant.
- 2) The herbicide concentrate will not be added to the tank until the water has been obtained and the application apparatus is at least 100 feet outside a sensitive area.

### **Disposal of Herbicidal Wastes**

Disposal of all herbicidal wastes will be the responsibility of the licensed applicator. It is the applicator's responsibility to ensure that such disposal will be carried out in an environmentally sensitive manner, in compliance with all Federal and State regulations and guidelines.

## VIII. EMERGENCY CONTACTS

In the event of a spill or emergency, information on safety precautions and cleanup procedures may be gathered from the following sources:

Herbicide Label

Herbicide Fact Sheet

Herbicide Material Safety Data Sheet

Herbicide Manufacturer

BASF Specialty Products	(800) 545-9525
Dupont (general)	(888) 638-7668
Dupont (medical emergency)	(800) 441-3637
Dupont (transportation emergency)	(800) 424-9300
Monsanto	(314) 694-4000
Nufarm Turf & Specialty	(800) 345-3330

Massachusetts Pesticide Bureau (617) 626-1782

Massachusetts DEP Emergency Response (888) 304-1133

Chemtrec (800) 262-8200

EPA National Pesticide Information Center (800) 858-7378

Massachusetts Poison Control Center (800) 222-1222

Local Community Chief of Police and/or Fire Chief

Abington	(781) 878-3232
Acton	(978) 263-2911
Andover	(978) 475-0411
Ashland	(508) 881-1212
Attleboro	(508) 222-1212
Avon	(508) 587-4207
Ayer	(978) 772-8200
Bellingham	(508) 966-1515
Belmont	(617) 993-2501
Beverly	(978) 922-1212
Billerica	(978) 667-1212
Boston	(617) 247-4200
Boxborough	(978) 263-3000
Braintree	(781) 843-1212
Bridgewater	(508) 697-0914
Brockton	(508) 941-0200
Brookline	(617) 730-2222
Cambridge	(617) 349-3300

Canton	(781) 828-1212
Chelsea	(617) 884-1212
Cohasset	(781) 383-1055
Concord	(978) 318-3400
Dedham	(781) 326-1212
East Bridgewater	(508) 378-7223
Easton	(508) 230-3322
Everett	(617) 389-2120
Fitchburg	(978) 345-4355
Framingham	(508) 872-1212
Franklin	(508) 528-1212
Gloucester	(978) 283-1212
Grafton	(508) 839-2858
Halifax	(781) 293-5761
Hamilton	(978) 468-1212
Hanson	(781) 293-4625
Haverhill	(978) 373-1212
Hingham	(781) 749-1212
Holbrook	(781) 767-1212
Hopedale	(508) 473-8444
Ipswich	(978) 356-4343
Kingston	(781) 585-0523
Lakeville	(508) 947-4425
Lawrence	(978) 794-5900
Leominster	(978) 534-4383
Lincoln	(781) 259-8113
Littleton	(978) 952-2316
Lowell	(978) 937-3200
Lunenburg	(978) 582-4531
Lynn	(781) 595-2000
Malden	(781) 322-1212
Manchester	(978) 526-1212
Medford	(781) 395-1212
Melrose	(781) 665-1212
Middleborough	(508) 947-1212
Milford	(508) 473-1113
Millbury	(508) 865-3521
Milton	(617) 698-3800
Natick	(508) 647-9500
Needham	(781) 444-1212
Newbury	(987) 499-3907
Newburyport	(978) 462-4411
Newton	(617) 796-2100
Norfolk	(508) 528-3232
North Andover	(978) 683-3168
Norwood	(781) 762-6888
Plymouth	(508) 830-4218
Plympton	(781) 585-3339
Quincy	(617) 479-1212
Randolph	(781) 963-1212

Raynham	(508) 824-2716
Reading	(781) 944-1212
Revere	(781) 284-1212
Rockport	(978) 546-3444
Rowley	(978) 948-7644
Salem	(978) 744-1212
Salisbury	(978) 465-3121
Saugus	(781) 233-1212
Scituate	(781) 545-1212
Shirley	(978) 425-2642
Somerville	(617) 625-1600
Southborough	(508) 485-2147
Stoughton	(781) 344-2424
Swampscott	(781) 595-1111
Taunton	(508) 824-7522
Tewksbury	(978) 851-7373
Wakefield	(781) 245-1212
Walpole	(508) 668-1095
Waltham	(781) 893-3700
Wellesley	(781) 235-1212
Wenham	(978) 468-4000
W. Bridgewater	(508) 586-2528
Westborough	(508) 366-3060
Weston	(781) 893-4803
Westwood	(781) 326-1903
Weymouth	(781) 335-1212
Whitman	(781) 447-7666
Wilmington	(978) 658-3331
Winchester	(781) 729-1214
Woburn	(781) 933-1212
Worcester	(508) 799-8600

## **APPENDICES**

**A. Herbicide Fact Sheets as approved by the Department, herbicide labels, and MSDS.**

**B. Maps locating the ROW and Sensitive areas not readily identifiable in the field.**

**Maps provided with the Yearly Operational Plan shall remain effective for the duration of the YOP unless modified. Subsequent YOP's will contain any modifications to the maps made during the previous year.**

## APPENDIX A

Below find a list of herbicides potentially in use by this Yearly Operational Plan. For a list of the exact products and rates of application to be used in this year's program please refer to page 2 of this document.

MANUF.	PRODUCT NAME	ACTIVE INGREDIENT(S)	EPA REGISTRATION #
NUFARM SPECIALTY	AQUANEAT	GLYPHOSATE	228-365
DUPONT	OUST EXTRA	SULFOMETURON METHYL METSULFURON METHYL	352-622
BASF SPECIALTY PRODUCTS	ARSENAL R.R. HERBICIDE	ISOPROPYLAMINE SALT OF IMAZAPYR	241-273
DUPONT	OUST XP	SULFOMETURON METHYL	352-601
DUPONT	ESCORT XP	METSULFURON METHYL	352-439
NUFARM SPECIALTY	POLARIS	ISOPROPYLAMINE SALT OF IMAZAPYR	228-534
NUFARM SPECIALTY	RAZOR PRO	GLYPHOSATE	228-366

### LABELS & MSDS SHEETS:

To access the labels and MSDS sheets for any of the above products please follow the directions below:

1. Open your internet browser and enter the following address in the **Address bar**: [http:// www.cdms.net/LabelsMsd/LMDefault.aspx](http://www.cdms.net/LabelsMsd/LMDefault.aspx)
2. Highlight the T & O Button and Enter the **Product Name** (as found above) you wish to be informed about into the **Search bar** and hit the **Search button**.
3. A list of products will appear. Please be sure to reference the **Manufacture and Product Name** to locate the correct information.

### HERBICIDE FACT SHEET:

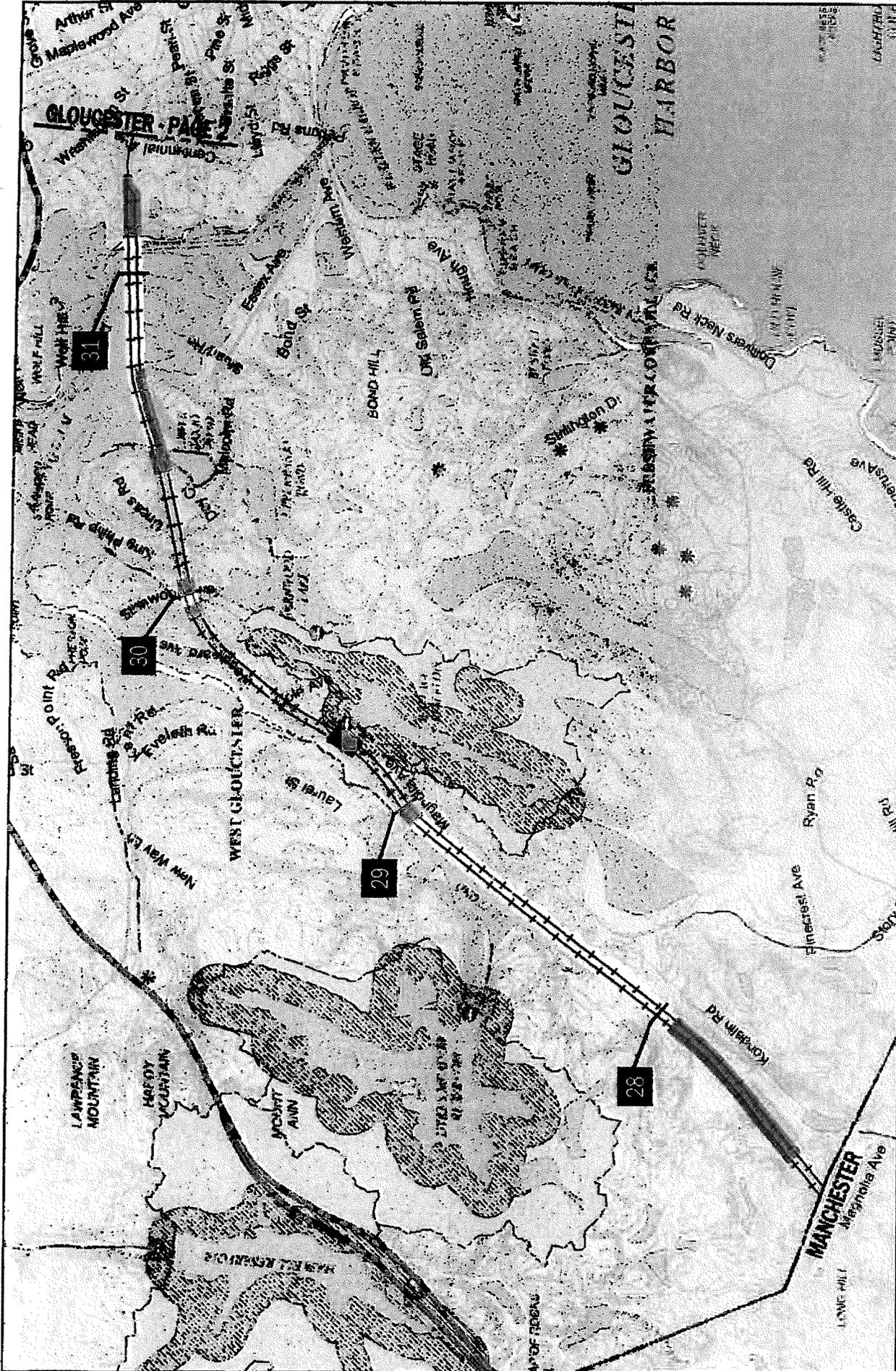
To access the herbicide fact sheets for any of the above products please follow the directions below:

1. Open your internet browser and enter the following address in the **Address bar**: <http://www.mass.gov/eea/agencies/agr/pesticides/rights-of-way-sensitive-area-materials-list.html>
2. Choose the link that corresponds to the **Active Ingredient** present in the product you are interested in.

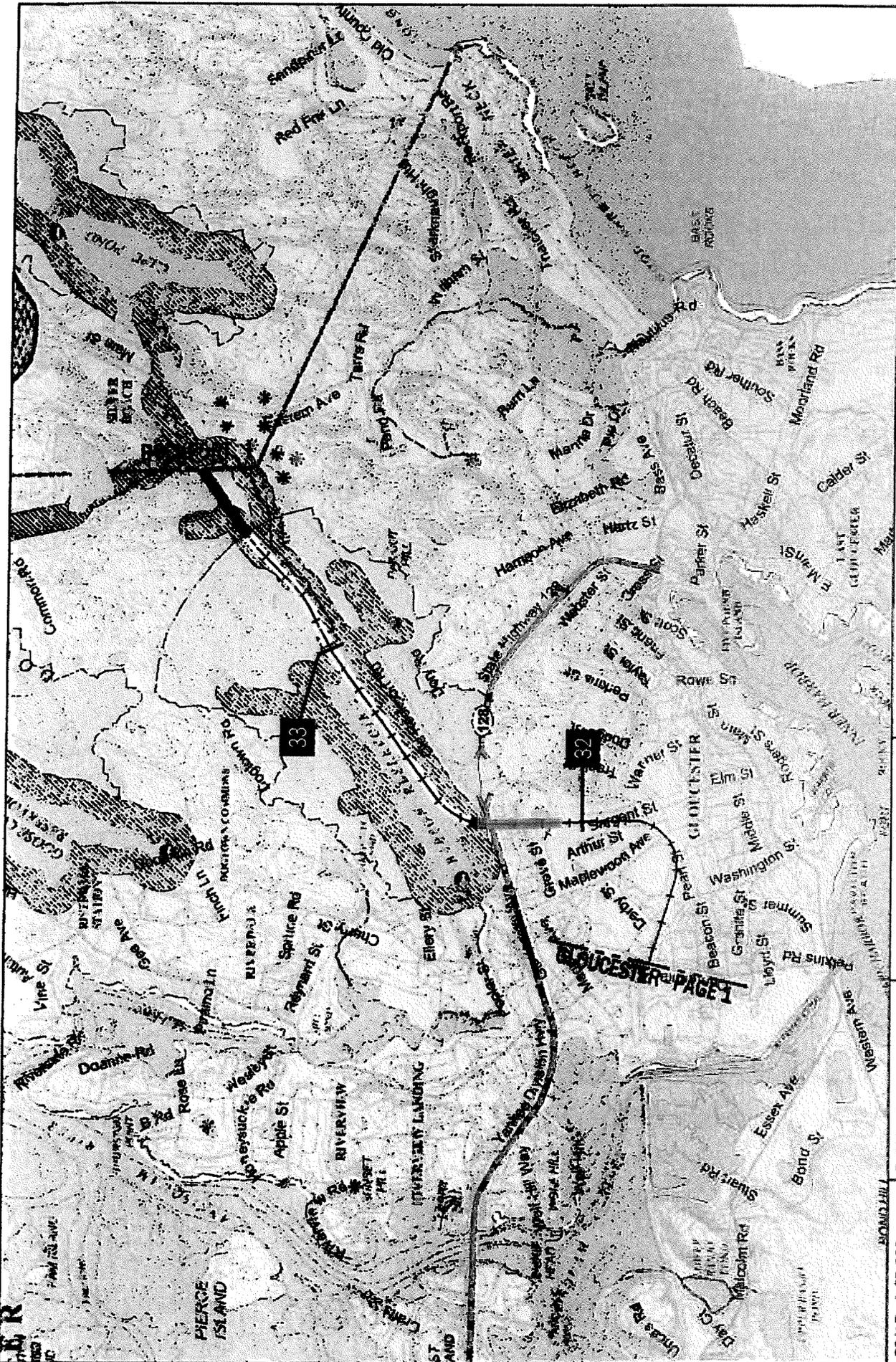
Hard copies of any of these documents may also be obtained by calling TEC Associates at (207) 767-6068 ex203.

# APPENDIX B

## MAPS



SCALE: 1:25,000	SHEET 1 OF 2	TOWN OF: GLOUCESTER	BRANCH: GLOUCESTER BRANCH	DATE: 8/22/2011
<b>Keoity's</b> 470 ATLANTIC AVENUE BOSTON, MA 02210 <b>TEC ASSOCIATES</b> CONSULTING ENGINEERS 48 SAWYER STREET SOUTH PORTLAND, MAINE 04106	LIMITED SPRAY ZONE (1 YEAR INTERVAL)	Groundwater Source	DEP Approved Zone I	Zone A
	LIMITED SPRAY ZONE (2 YEAR INTERVAL)	Surface Water Intake	DEP Approved Zone II / INPA	Zone B NHESP Priority Habitat
NO SPRAY ZONE		NHESP Vernal Pool		



SCALE: 1:25,000 <b>Keolys</b> <small>CONSULTING ENGINEERS</small> <b>TEC ASSOCIATES</b> <small>46 SAWYER STREET SOUTH PORTLAND, MAINE 04108</small>	SHEET 2 OF 2 470 ATLANTIC AVENUE BOSTON, MA 02210	TOWN OF: GLOUCESTER BRANCH: GLOUCESTER BRANCH	DATE: 8/22/2011
LIMITED SPRAY ZONE <small>(1 YEAR INTERVAL)</small> LIMITED SPRAY ZONE <small>(2 YEAR INTERVAL)</small> NO SPRAY ZONE	Groundwater Source Surface Water Intake NHPSP Vernal Pool	DEP Approved Zone I DEP Approved Zone II / IHPA	Zone A Zone B NHPSP Priority Habitat

THE COMMONWEALTH OF MASSACHUSETTS  
EXECUTIVE OFFICE OF ENERGY AND ENVIRONMENTAL AFFAIRS



Department of Agricultural Resources

251 Causeway Street, Suite 500, Boston, MA 02114  
617-626-1700 fax: 617-626-1850 www.mass.gov/agr



CHARLES D. BAKER  
Governor

KARYN E. POLITO  
Lt. Governor

MATTHEW A. BEATON  
Secretary

JOHN LEBEAUX  
Commissioner

NOTICE

Pursuant to the provisions of the Rights-of-Way Management Regulation, 333 CMR 11.00, in order to apply herbicides to control vegetation along railroad rights-of-way, a five-year Vegetation Management Plan (VMP) and a Yearly Operational Plan (YOP) must be approved by the Department of Agricultural Resources. Therefore, notice of receipt of a YOP and procedures for public review are hereby given as required by Section 11.06 (3).

A Yearly Operational Plan has been submitted for: Keolis Commuter Services, LLC (KCS).

This plan has been prepared and submitted to the Department of Agricultural Resources by: TEC Associates of South Portland, Maine.

Municipalities identified in the KCS YOP as locations where the rights-of-way will be treated with herbicides during the 2015 calendar year are:

Abington, Acton, Andover, Ashland, Attleboro, Avon, Ayer, Bellingham, Belmont, Beverly, Billerica, Boston, Boxborough, Braintree, Bridgewater, Brockton, Brookline, Cambridge, Canton, Chelsea, Cohasset, Concord, Dedham, East Bridgewater, Easton, Everett, Fitchburg, Framingham, Franklin, Gloucester, Grafton, Halifax, Hamilton, Hanson, Haverhill, Hingham, Holbrook, Hopedale, Ipswich, Kingston, Lakeville, Lawrence, Leominster, Lincoln, Littleton, Lowell, Lunenburg, Lynn, Malden, Manchester, Medford, Melrose, Middleborough, Milford, Millbury, Milton, Natick, Needham, Newbury, Newburyport, Newton, Norfolk, North Andover, Norwood, Plymouth, Plympton, Quincy, Randolph, Raynham, Reading, Revere, Rockport, Rowley, Salem, Salisbury, Saugus, Scituate, Shirley, Somerville, Southborough, Stoughton, Swampscott, Taunton, Tewksbury, Wakefield, Walpole, Waltham, Wellesley, Wenham, West Bridgewater, Westborough, Weston, Westwood, Weymouth, Whitman, Wilmington, Winchester, Woburn, and Worcester.

KCS's vegetation control program for 2015 will be consistent with the VMP as approved by the DAR and involves an Integrated Pest Management (IPM) approach. In the 2015 program, brush control will be limited to manual or mechanical cutting in sensitive areas and sensitive area buffer zones. In non-sensitive areas, one foliar application will be conducted to selectively treat brush adjacent to the shoulder using a DAR approved herbicide mixture.

One selective herbicide application will take place in the non-sensitive and sensitive area buffer zones along the roadbed portion of the right-of-way using a DAR approved herbicide mixture. This post-emergent program is targeted toward the eradication of woody and herbaceous plant species germinating within the roadbed and around other fixtures including but not limited to: switches, signals, signs, and highway grade crossings. This application will be followed by a late summer touch-up application in areas of heavy vegetation growth.

Hi-rail vehicles equipped with herbicide application equipment will be used to treat the rights-of-way. Public notification (by registered mail) will be provided to the chief elected official, Board of Health, and Conservation Commission in each affected municipality at least twenty-one days prior to any herbicide application.

"Sensitive" areas as defined by the Rights-of-way Management Regulations will receive the full protection afforded by those Regulations. All herbicide applications will be done by an applicator properly licensed by the Department

of Agricultural Resources Pesticide Bureau and fully trained in herbicide mixing, handling, and application methods.

The applicant has described the following rights-of-way as sites that have been scheduled for herbicide treatment in 2015.

EASTERN ROUTE MAIN LINE

Newburyport to Boston

Newburyport	Beverly	Revere
Newbury	Salem	Chelsea
Rowley	Swampscott	Everett
Ipswich	Lynn	Somerville
Hamilton	Saugus	Boston
	Wenham	

GLOUCESTER BRANCH

Gloucester to Beverly

Rockport	Manchester
Gloucester	Beverly

WESTERN ROUTE MAIN LINE

Haverhill to Boston

Haverhill	Tewksbury	Melrose
North Andover	Wilmington	Malden
Lawrence	Reading	Medford
Andover	Wakefield	Somerville

NEW HAMPSHIRE ROUTE MAIN LINE

Lowell to Boston

Lowell	Wilmington	Medford
Tewksbury	Woburn	Somerville
	Billerica	Winchester

WILDCAT BRANCH

Wilmington to Wilmington Junction

Wilmington

FITCHBURG MAIN LINE

Fitchburg to Boston

Fitchburg	Boxborough	Waltham
Leominster	Acton	Belmont
Lunenburg	Concord	Cambridge
Shirley	Lincoln	Somerville
Ayer	Weston	Boston
	Littleton	

STOUGHTON BRANCH

Stoughton to Canton

Stoughton            Canton

DORCHESTER BRANCH

Readville to Boston

Boston                Milton

FRANKLIN BRANCH

Milford to Boston

Milford	Norfolk	Westwood
Hopedale	Walpole	Dedham
Bellingham	Norwood	Boston
	Franklin	

NEEDHAM BRANCH

Needham to Boston

Needham              Dedham                Boston

RANDOLPH INDUSTRIAL TRACK

Braintree to Randolph

Braintree              Randolph

GREENBUSH BRANCH

Braintree to Scituate

Braintree	Cohasset	Hingham
Scituate	Weymouth	

MIDDLEBOROUGH MAIN LINE

Boston to Middleborough

Boston	Holbrook	East Bridgewater
Quincy	Avon	Bridgewater
Braintree	Brockton	Middleborough
Randolph	West Bridgewater	Lakeville

PLYMOUTH BRANCH

Braintree to Plymouth

Braintree	Whitman	Plympton
Weymouth	Hanson	Kingston
Abington	Halifax	Plymouth

BOSTON LINE  
Boston to Worcester

Boston	Brookline	Newton
Weston	Wellesley	Natick
Framingham	Ashland	Southborough
Westborough	Grafton	Millbury
Worcester		

GRAND JUNCTION RUNNING TRACK  
Boston to Everett

Boston	Somerville	Everett
	Cambridge	

PUBLIC REVIEW

The Department of Agricultural Resources (DAR) in particular seeks the verification of sensitive area locations reported in the Yearly Operational Plan (YOP). The Department itself has a limited ability to survey the geography, land use, and the water supplies, in all the communities through which the rights-of-way are located. Municipalities, however, have most of this information readily available, and the particular knowledge with which to better certify the sensitive areas in their communities. Therefore, the Department requests, and urges, the assistance of the affected municipalities, in reviewing the completeness and accuracy of the maps contained in the submitted document. The DAR has established the following procedures for this review.

The YOP may be viewed online at <http://www.mass.gov/agr>.

Yearly Operational Plans (YOP) and a copy of this notice will be sent by the applicant to the Conservation Commission, Board of Health (or designated health agent), and to the Head of Government (Mayor, City Manager, Chair of the Board of Selectman) of each municipality where herbicides are to be applied along the Rights-of-Way during the calendar year and where applicable the Massachusetts Water Resource Authority and the Massachusetts Department of Conservation and Recreation will receive a YOP or an internet address where the YOP could be viewed. Municipal agencies and officials will have (45) forty-five days, following receipt of the Yearly Operational Plan to review the maps contained in the document that indicate the location of "sensitive areas not readily identifiable in the field for inaccuracies and omissions. "Sensitive Areas" will be defined as in Section 11.01 a-f.

Municipal agencies and officials are requested to forward the YOP to the appropriate officials(s) in their municipality qualified to certify the accuracy of sensitive area locations as indicated on the maps. The maps should be "corrected" and returned to the applicant, also a copy of the maps with these corrections indicated should be sent to the Department of Agricultural Resources at the address listed below within the forty-five day review period. If a city or town needs more time to carry out this review, it should send a written request for an extension to the DAR and cite why there is a "good cause" for requesting additional time.

All corrections will be required to be made by the applicant, and corrected maps sent back to the city/town before the YOP can be considered "approved" by the Department for vegetation maintenance in that municipality. Any dispute on the part of the applicant regarding corrections made by the municipal authorities, should be indicated in writing to the Department and to the city/town which requested the disputed changes within (15) fifteen days of receipt of the request. The Department will decide whether or not the YOP should be approved without the requested changes. The DAR will consider the "final approval" of a YOP individually for each municipality.

The final (21) twenty one days of the public review period may serve concurrently to provide public notification as required by section 11.07 of the Rights-of-Way Management regulation, if the applicant has an approved VMP and if all the requisite city/town offices which have received copies of the YOP have completed their review and corrections have been duly made by the applicant and approved by the Department.

A failure by the city/town to respond to the applicants' submission of the YOP within the forty five (45) day public review period, will automatically be considered by the DAR to indicate agreement by municipal officials with the sensitive area demarcations as provided by the applicant in their YOP.

Any questions or comments on the information provided in this Notice and the procedures established for the municipal review as outlined above, should be addressed to:

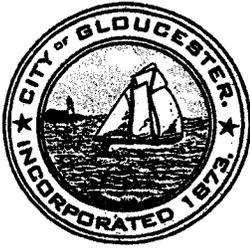
Rights-of-Way Program  
Massachusetts Pesticide Bureau  
251 Causeway Street, Suite 500  
Boston, Massachusetts 02114-2151

Any additional questions or comments on any information provided as part of the proposed YOP should be addressed in writing to:

Kyle Fair  
TEC Associates  
46 Sawyer Street  
South Portland, Maine 04106

A copy should also be sent to the ROW program at the above address.

**COMMENT PERIOD ENDS AT THE CLOSE OF BUSINESS, FRIDAY MAY 8, 2015.**



**CITY OF GLOUCESTER**  
**COMMUNITY DEVELOPMENT DEPARTMENT**  
**3 POND ROAD, GLOUCESTER, MA 01930**

***MEMORANDUM***

**DATE:** March 18, 2015

**TO:** Mayor Sefatia Romeo Theken

**FROM:** Tom Daniel, Community Development Director *TD*  
Sal DiStefano, Economic Development Director *SD*  
Mike Hale, Department of Public Works Director *MH*  
Stephen Winslow, Senior Project Manager *SPW*

**Re:** *US Economic Development Administration Grant Application  
Blackburn Seafood Processing Cluster*

The Community Development requests that you forward the attached application to the US Economic Development Administration's Public Works and Economic Adjustment Assistance grant for the City Council's approval.

This project proposes \$1.111 million in infrastructure improvements in Blackburn Industrial Park to allow the expansion of Gloucester's seafood processing innovation cluster. Mazzetta Company plans to create approximately 400 new jobs for residents of Cape Ann and the North Shore region of Boston. This project focuses on continuing Gloucester's regional importance as a seafood processing center in conjunction with Gloucester's longer-term strategy of becoming a center for maritime innovation.

The project involves updating and expanding sewer collection facilities that serve Blackburn Industrial Park ("Blackburn IP"). Two, 40-year old pumping stations will be upgraded and a 6-inch "force main" pipe will be extended 2700 feet to prevent sewer overflows.

If successful, the grant requires the City to provide 50% of the project funding (\$555,500). The funding will come from the Water & Sewer Enterprise Fund. Annual proceeds from new water and sewer fees estimated to total \$600,000 a year by Larry Durkin will be used to ensure that the City's match can be funded without an impact on rates.



**City of Gloucester  
Grant Application and Check List**

Granting Authority: State \_\_\_\_\_ Federal XX Other \_\_\_\_\_

Name of Grant: US EDA Public Works and Economic Adjustment Assistance

Department Applying for Grant: Public Works

Agency-Federal or State application is requested from: US Economic Development Administration

Object of the application: Sewer improvements - Blackburn Industrial Park

Any match requirements: 50% (\$555,500)

Mayor's approval to proceed: \_\_\_\_\_  
Signature Date 4/8/15

City Council's referral to Budget & Finance Standing Committee: \_\_\_\_\_  
Vote Date

Budget & Finance Standing Committee: \_\_\_\_\_  
Positive or Negative Recommendation Date

City Council's Approval or Rejection: \_\_\_\_\_  
Vote Date

City Clerk's Certification of Vote to City Auditor: \_\_\_\_\_  
Certification Date

City Auditor:  
Assignment of account title and value of grant: \_\_\_\_\_  
Title Amount

Auditor's distribution to managing department: \_\_\_\_\_  
Department Date sent

NOTE: A copy of all grant paperwork must be submitted to the Auditor's Office

FORM: AUDIT GRANT CHECKLIST - V.1



City Hall  
Nine Dale Avenue  
Gloucester, MA 01930



CITY OF GLOUCESTER  
OFFICE OF THE MAYOR

TEL 978-281-9700  
FAX 978-281-9738  
SRomeoTheken@gloucester-ma.gov

March 5, 2015

Willie C. Taylor, Regional Director  
Philadelphia Regional Office  
Curtis Center  
601 Walnut Street, Suite 140 South  
Philadelphia, PA 19106

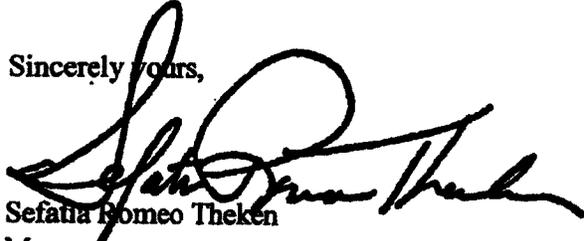
Re: (EDA) Public Works and Economic Adjustment Assistance Program – CFDA 11.300  
Cape Ann Seafood Innovation Cluster Infrastructure Improvements

Dear Mr. Taylor:

On behalf of the City of Gloucester, I am pleased to submit this application for a grant under the Economic Development Administration's (EDA) Public Works and Economic Adjustment Assistance Program – CFDA 11.300: Investments for Public Works and Economic Development Facilities for sewer system upgrades in the Blackburn Industrial Park that will benefit seafood processing companies located there.

Seafood processing companies play an important role in preserving Gloucester's fishing industry jobs and families, and Gloucester's fishing heritage. The preservation and expansion of seafood processing businesses in and around Cape Ann furthers the goals of the City's Harbor Recovery Plan to preserve and promote the fishing industry in Gloucester by ensuring that fish that land in Gloucester can be processed and brought quickly to markets, both local and international.

Sincerely yours,



Sefatia Romeo Theken  
Mayor

## Cape Ann Seafood Processing Innovation District Project EDA Application

This project proposes \$1.11 million in infrastructure improvements to allow the expansion of Gloucester's seafood processing innovation cluster and create approximately 400 new jobs for residents of Cape Ann and the North Shore region of Boston. This project focuses on continuing Gloucester's regional importance as a seafood processing center in conjunction with Gloucester's longer-term strategy of becoming a center for maritime innovation.

### **Background**

Gloucester has been a renowned fishing community since it was settled in 1623. The Fishermen's Statute overlooking Gloucester Harbor honors the bravery of Gloucester's fishermen who died in the pursuit of their livelihood. With the 2012 Federal disaster declaration for the Northeast cod fishery and 2013 and 2014 actions to reduce cod fishing further by NOAA, the number of full-time fishermen in Gloucester has dwindled from 200 in 2003 to about 100 today (source: Commonwealth of Massachusetts, Bureau of Labor Statistics "BLS").

Though the number of working fishermen has dropped dramatically in and around Cape Ann, ties to our fishing heritage remain a strong and that heritage continues to present itself today. The City created a local seafood auction to bolster prices paid to fishermen. Gloucester's Fishermens Wives banded together to create "Cape Ann Fresh Catch", a "community-supported" distribution of locally-caught fish modeled after successful "farm-share" programs. Gloucester High students also asked for and selected monthly school meals featuring fresh local fish. Despite declines in cod catches, seafood harvesting remains a significant part of the Cape Ann economy; over \$17 million of fish, lobsters and shellfish landed in Gloucester in 2011.

The past bounty of cod off Cape Ann allowed Gloucester to become an innovation center for fishing and food processing industry from Burnham's bait-cutting machine of the 1880's to Birdseye's flashing freezing of fish in the early 20<sup>th</sup> century. Gorton's of Gloucester remains a leading company in the seafood processing industry as well as being Gloucester's largest private employer. Seafood processing work allows Gloucester's families to continue the fishing culture that's an essential part of our community character. Despite the decline in fish caught off Cape Ann, employment in the seafood processing industry has remained strong in Gloucester, even slightly increasing between 2003 and 2014 by 5% (BLS).

### **a.1. Project Region and Subregion**

This project provides benefits to the Boston Metropolitan Area Economic Development District served by the Metropolitan Area Planning Council (MAPC). The MAPC planning area consists of 101 cities and towns in metropolitan Boston, stretching west from Boston to include most of the communities inside the I-495 corridor. According to the 2010 Census, the region's population was 3,160,000.

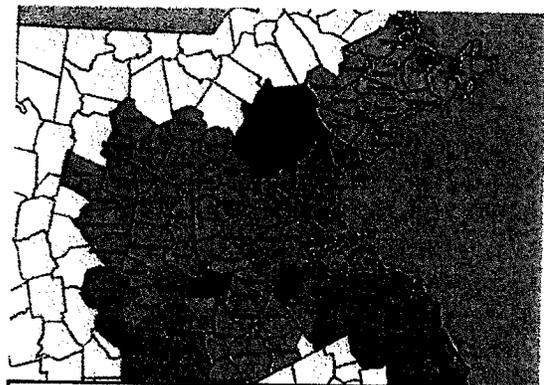
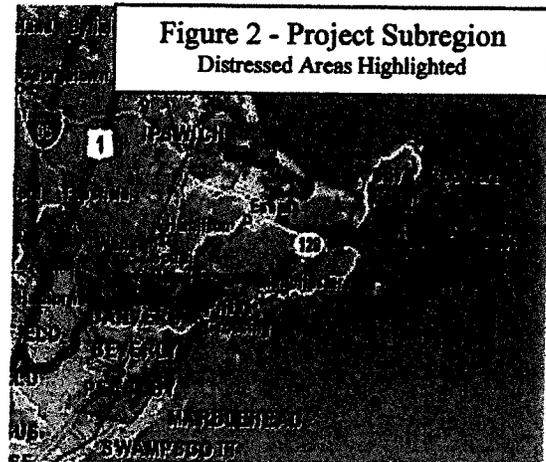


Figure 1 – MAPC EDD Region

The project sub-region includes economically distressed part of Peabody MA NECTA area that includes portions of Gloucester, Danvers, Beverly and Peabody. This region sits within the Metropolitan Area Planning Council's North Shore Task Force region.

Route 128 runs through this area from Danvers to Gloucester, ending near the Blackburn Industrial park where the project will be located. Route 128 provides direct access from this area to Interstate 95, Interstate 93 and the Massachusetts Turnpike (Interstate 90). MBTA commuter rail service also links up the area from Beverly to Gloucester.



Several major educational institutions serve the area including Endicott College in Beverly which offers maritime focused businesses classes in Gloucester, Salem State College and Gordon College. University of Massachusetts has a marine research center. Gloucester is also the site of the Northeast Headquarters of the National Marine Fisheries Services which relocated and expanded its operations within the Blackburn Industrial Park.

Gloucester's name has been associated with the catching, curing, packaging and distribution of fish since its settlement in 1623. Gloucester remains one of the top-ranked seafood ports on the East Coast in weight of annual harvest, yet this volume of fresh seafood represents only a minor portion of the City's food-processing industry. Gloucester has 12 seafood processing businesses that prepare both fresh and frozen seafood for wholesale and retail, ranging from processing day-boat fish to Gorton's of Gloucester, a national leader in preparing frozen fish products.

**Table 1 – Cape Ann Seafood Processors**

Company	Business Focus
Intershell	<i>Harvesters, processors and traders in live, fresh and frozen products</i>
Mortillaro Lobster Co.	<i>Domestic &amp; International, live lobster wholesaler</i>
Ocean Crest Seafoods	<i>Fresh Seafood Wholesaler and producer of fish fertilizer</i>
Turner Seafoods	<i>Wholesale &amp; retail seafood</i>
Steve Connelly Seafood	<i>Fresh &amp; frozen seafood</i>
Cape Seafoods	<i>Herring</i>
Gorton's of Gloucester	<i>Frozen Seafood products</i>
Channel Fish	<i>Frozen Fish for wholesale &amp; retail</i>
National Fish	<i>Fish &amp; Seafood Processing, Domestic &amp; International, including private labeling</i>
Zeus Packing	<i>Domestic and international packing &amp; processing</i>
Whole Foods – Pigeon Cove Facility	<i>Day-boat fish</i>
Captain Joe & Sons	<i>Wholesale live, lobster</i>

Source: Multiple Species Development Report (2013), Gloucester Fisheries Commission and MassDevelopment

Three major cold-storage warehouse facilities exist in Gloucester today that primarily serve the seafood processing industry. These warehouses serve as an important element of the seafood processing cluster in Gloucester. The frozen fish industry makes Gloucester a major national refrigerated trucking terminal for the distribution of finished products directly to all parts of the United States. Seventy percent of the raw material in the form of frozen blocks of fish is supplied mainly by over-the-road trucking from around the country and Canada. Approximately 9,000 truckloads of frozen seafood and 3,100 truckloads of other commodities are distributed from the City annually.

Food processing currently employs 1659 area residents in 2013 in the Peabody MA NECTA area, with approximately 528 of those employed in seafood processing. For Essex County, which the project region sits in, seafood processing employment declined 22% between 2003 to 2013, from 764 to 599 employees (BLS).

### **a.2. Project Location.**

The project is located in the Blackburn Industrial Park (Blackburn IP) off Route 128, (Township 39N, Range 10E, Section 24 in the City of Gloucester, Essex County, Massachusetts). Blackburn IP consists of 134 acres of land located north of State Highway 128 (aka Yankee Division Highway) in Gloucester (See Figure 3). (See Preliminary Engineering Report for USGS, Flood Plain and Sensitive Habitat maps).

Responsibility for the park's operations and development rests with the City's Economic Development and Industrial Commission (EDIC). The City's Department of Public Works maintains the water and sewer infrastructure within Blackburn IP.

Blackburn IP is highly accessible to major transportation routes throughout the area and offers proximity to Gloucester Harbor and its deep water port.

Over 70 tenants occupy 23 buildings with a total square footage of over 1.1 million square feet. Uses include manufacturing, medical and government offices (NOAA), electrical contracting  
The food processing tenants at the Blackburn Industrial Park include:

Intershell

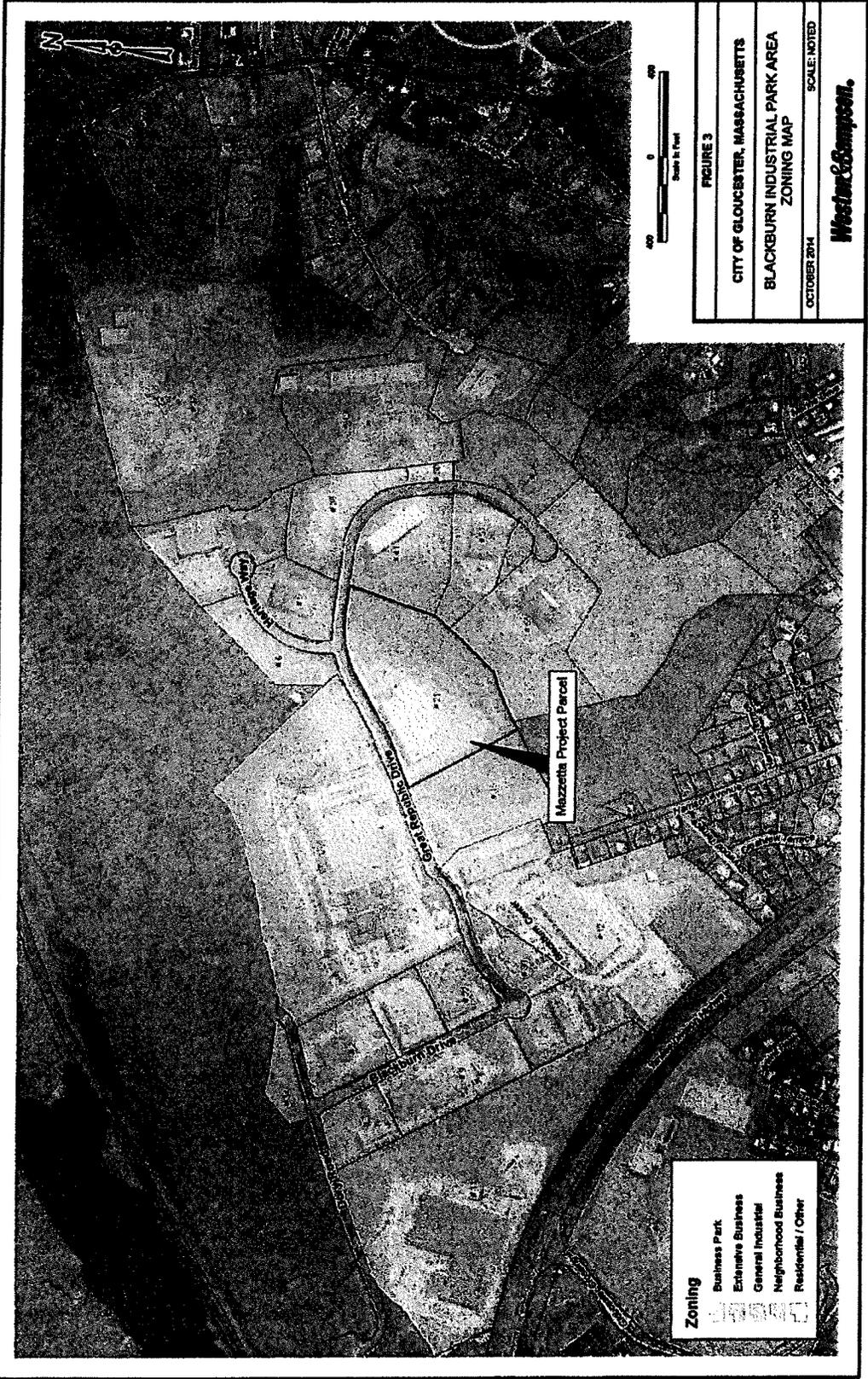
Ryan & Wood Distillery

Custom Seasonings Seasalt

Cape Ann Saltworks

Proteus Industries

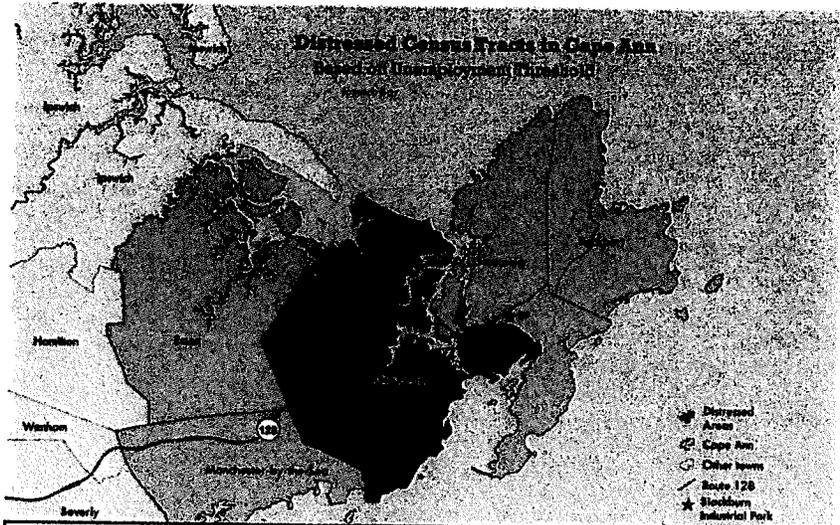
**Figure 3 – Blackburn Industrial Park**



**b. Regional Eligibility**

*1. Substantial Direct Benefit Analysis : Boston Metropolitan Area Economic Development District for Gloucester, Cape Ann and Peabody Subregion (developed by the Metropolitan Area Planning Council and City of Gloucester)*

The majority of Cape Ann’s population lives in Gloucester. In 2013, Gloucester had a total population of 29,043 people. Having a Gini Index of 0.4785<sup>1</sup>, Gloucester’s neighborhoods essentially differ in terms of income and employment characteristics. According to the 2009-2013 American Community Survey 5-year estimates, among nine Gloucester census tracts, Per Capita Personal Income (PCPI) ranged from \$21,606 (or 76.7% of the



**Figure 4.**  
Data Sources: American Community Survey, 2009-2013, Date March 2015

\$21,606 (or 76.7% of the federal average) to \$45,596 (or 161.9% of the federal average). The lowest earning Census Tracts are located in the center of the City extending from its fishing port towards Blackburn IP. At the same time, along with a Peabody census tract, the two Gloucester census tracts have the lowest PCPI in MAPC’s North Shore Task Force subregion which is inhabited by over 280,000 people.

**Table 2. Regional employment profile.**

	Population	Labor Force	Employed	Unemployed	Unemployed, percent
<b>Cape Ann</b>	44814	24117	21990	2127	8.82%
<b>Gloucester</b>	29043	15770	14221	1549	9.82%
<b>6 Distressed Census Tracts within Gloucester</b>	17835	9717	8677	1040	10.70%
<b>13 Distressed Peabody NECTA Census Tracts</b>	55356	31215	27309	3906	12.51%

Note: Based on 2009-2013 American Community Survey 5-Year Estimates. Cape Ann numbers include Gloucester, Rockport, Manchester-by-the-Sea, and Essex.

Based on EDA distress criteria (an unemployment rate of at least one percentage point higher than the federal average for the same period of time), a pocket of six distressed census tracts was

<sup>1</sup> The Gini coefficient measures the inequality of income. It takes values between 0 and 1, where 0 corresponds with perfect equality (where everyone has the same income) and 1 corresponds with perfect inequality.

selected for this analysis. As Table 2 shows, this distress area represents 61% of Gloucester's population. 62% of city's labor force is also concentrated in the area. According to 2009-2013 American Community Survey 5-year estimates, the unemployment level for these six Distressed Census Tracts was 1.0 % higher than the US unemployment rate for the same period. For the region, the 13 Distressed Peabody NECTA Census Tracts have an unemployment rate of 12.51%, 2.81% above the national average.

Important to note, and as shown Figure 4, the new seafood processing facility is located less than one mile from the distressed census tracts. Also, as shown in Figure 2, Blackburn IP sits along Route 128 and the MBTA commuter line which connect to several areas of high unemployment in Danvers and Peabody. As a result, the creation of 125 permanent and 100 seasonal jobs adjacent to or accessible to residents of the distressed subregion will increase employment opportunities for unemployed and low income residents in those areas. With an average Seafood Processing salary of \$44,000 per year in Gloucester<sup>2</sup>, the new seafood processing facility will benefit the region by adding at least \$ 7.5 million in salaries and benefits.

## *2. Special Need – Extraordinary Resource Depletion*

Gloucester's fishing economy has been devastated over the past few decades due to the extraordinary depletion of natural resources represented by the decline of fishing stocks and the imposition of Federal regulations and policies seeking to reverse that decline.

From 1996 to 2014, the number of ground fishing boats in Gloucester declined from 734 to 210<sup>3</sup>. Federal fishing regulations in 2014 reduced allowable cod fish catches by 77%, and has certainly declined even further. In November 2014, the Boston Globe reported that just a few boats were still ground fishing out of Gloucester.

As a result, the number of full-time fishermen in Gloucester has dwindled from 200 in 2003 to about 100 today. Fishing regulations have also resulted in regional decline in seafood processing jobs; in Essex County, seafood processing employment declined 22% between 2003 to 2013, from 764 to 599 employees (BLS).

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<sup>2</sup> <http://www.indeed.com/salary?q1=Seafood+Processing&l1=Gloucester%2C+MA>

<sup>3</sup> February 2014 Gloucester Dockage Report

### **c. Project Description**

The project involves updating and expanding sewer collection facilities that serve Blackburn Industrial Park ("Blackburn IP"). Two, 40-year old pumping stations will be upgraded and a 6-inch "force main" pipe will be extended 2700 feet to prevent sewer overflows.

#### *1. Project Purpose*

The project will overcome existing sewer capacity constraints and replace old pumping equipment. A 1996 expansion of Blackburn IP pushed its sewer collection system towards its design capacity. The Massachusetts Environmental Protection Act (MEPA) review for the 1996 expansion project found "the existing municipal sewer system [has] sufficient capacity to handle the increased flow." The City has not taken action to expand the Blackburn IP sewer capacity since the 1996 expansion was completed. Initially installed in 1970's, the Blackburn IP pumping stations (Heritage Way PS and Blackburn PS) are at or near the end of their useful life

#### *2. Anticipated Construction - Sewer System Upgrade and Renovation*

Construction includes rehabilitating 2 pump "lift" stations and extending an existing 6-inch force main by approximately 2700-feet.

Construction of the sewer line replacement/renovation and force main extension will employ standard construction techniques for trenchless technologies and/or trenching, pipe installation and backfilling. Streets will be repaved upon completion of installation, as necessary. Construction of pumping facility improvements will occur within the footprint of the existing pump stations.

From the time of commitment of funds, the project would take approximately 18 months to complete, including six months to complete detailed engineering plans and to publicly bid the work with construction occurring from April to October in 2016.

The construction staging area will be located entirely within the existing ROW or on public property. The project construction will be performed pursuant to a Stormwater Pollution Prevention Plan. Best Management Practices (BMPs) will be used including the installation of straw bales and silt fences to minimize impacts to storm water. Construction will occur from 7 am-4 pm to minimize noise impacts in the project areas. Construction dust will be mitigated through ground wetting and/or chemical addition techniques (i.e. calcium chloride).

#### *3. Project Benefit – Fish and Lobster Processing Facility*

Once completed the project will accommodate flows from the new seafood processing facilities installed by Mazzetta and provide additional capacity for further development and expansions within Blackburn IP. The new fish and lobster processing facility will be housed in an existing building whose modifications are the responsibility of Mazzetta.

Internal construction of new facilities will occur to provide for lobster processing, packaging, and waste handling. These internal modifications will be the responsibility of Mazzetta Company LLC, the owner and operator of the lobster processing facility. All modifications will be subject

to permitting, approval and inspection by the City of Gloucester under its existing building codes.

#### **d. Meeting Regional Economic Development Needs**

The project will meet multiple regional and local economic development needs in the Regional CEDS and Gloucester specific maritime economy development plans. The project is consistent with the objectives of Gloucester's Maritime Strategy that call for actions to support existing fishing and shore-side businesses while building up a maritime research and development cluster.

##### *1. Regional Economic Needs – Metropolitan Area Planning Council CEDS*

The project will further several key goals of the Metropolitan Area Planning Council's Comprehensive Economic Development Strategy (2013-2014) submitted to EDA in June 2014 including Goal 1 – Smart Growth Principles and Goal 4 – Develop the Regional Innovation Economy.

#### **Goal One:**

*Promote economic development policies and practices driven by Smart Growth Principles:*

This project and the new seafood processing facilities that it supports will be completed in an existing industrial park. This location serves "Smart Growth" principles by being sited in a developed area that has existing infrastructure and will modernize a former seafood processing building. The sewer infrastructure upgrades not only accommodate the Mazzetta project, they will also allow expansion of existing businesses in Blackburn IP and the potential development of two more properties at a location with existing sewer and transportation infrastructure. Blackburn IP is located near the most densely populated section of Cape Ann and has regular bus service provided by Cape Ann Transit Agency.

All pumping equipment and sewer lines are located on City property or beneath City streets. The permitting and environmental review of Blackburn IP was completed previously and is documented below. Key documents are included in Appendix (permits). The proposed lobster packaging facility will occupy an existing building within the Blackburn IP. The new lobster processing facility would take over a former fish processing facility. Operation of the new lobster processing facility is within the scope of activities previously permitted. Traffic levels will be similar to those previously experienced at the site.

#### **Goal Four:**

*Develop the regional innovation economy in a manner that emphasizes reduced-carbon energy systems, green infrastructure, and green building technologies while supporting and developing the innovation start-up ecosystem.*

\*\*\*\*

*Promote economic development in established and emerging industry clusters. Expand access to education, training, and entrepreneurial opportunities.*

Bringing Mazzetta Company LLC to the Boston metropolitan area will add to the existing cluster of seafood processing companies located in and around Cape Ann. Mazzetta offers 306 varieties of seafood in 33 countries. Since 1987 Mazzetta has taken pride in providing its customers with premium quality frozen seafood. Mazzetta understands that takes more than good facilities and operations, as Tom Mazzetta states at the company web-site that:

*“Whether it is our involvement in international fisheries policy, marine conservation and ecosystem management, industry standards and certifications, or greater efficiency and mitigating impact throughout the distribution chain, you can be sure that Mazzetta Company is committed to being a global leader on sustainability.”*

The City of Gloucester has introduced Mazzetta to the UMASS – Amherst’s Food Sciences Department in order to start the development of a collaboration that could lead to new products and markets for less popular seafood.

Allowing expansion and further development of seafood processing in Blackburn IP takes advantage of the regional competitive strength Cape Ann has in cold food warehousing. Cape Ann’s cooler, coastal environment provides lowers cooling cost while providing excellent highway access to the domestic market and to Logan Airport for the international market. Other potential industrial cluster synergies include identifying markets for processing by-products (e.g. marketing lobster claws left from processing for lobster tails) and waste (e.g. creation of fish / seafood based fertilizers) .

This project is consistent with the Gloucester specific priorities of MAPC’s CEDS including the efforts to develop a “New Maritime Port Economy”. Maintaining a viable seafood processing industry cluster will help be a bridge to the future technologically driven port economy Gloucester plans to develop. Gloucester’s 2013 “Multi-species Business Development Report” makes sustaining Cape Ann’s seafood processing cluster a priority in order to maintain the synergies of having both fresh and frozen seafood processed in Gloucester and to ensure the capacity exists to process either new types of seafood products or fish from stocks that rebound. As former Gloucester Mayor Carolyn Kirk noted, “There is a sense that while our fishing industry will always define Gloucester, a changing economy requires diversification and evolution of economic activity in the port.” Maritime research from Cape Ann may very well focus on ways to improve and support the productivity of local waters, whether through aquaculture or sustainable wild harvesting. When those efforts bear results, Gloucester will be posed to both harvest and process the bounty.

## **e. Advancing EDA Investment Priorities**

### **1. Collaborative Regional Innovation**

The project furthers EDA investment priorities by expanding Cape Ann's existing seafood processing cluster which will serve as a foundation for longer-term collaboration on regional innovation working to create a maritime technology cluster in Cape Ann.

The existing seafood processing cluster remains resilient due to Gloucester's fishing heritage, access to fresh seafood, a trained seafood processing work force and the competitive advantage of cold storage warehousing along Cape Ann's cooler shores. Innovation clusters thrive in communities where multiple parties share a common cultural and interest in the field. Gloucester's heritage as a place that produces quality seafood pervades business, family and government organizations all that work to preserve and promote that heritage. The continued access in Gloucester to fresh caught seafood provides synergies for seafood companies that work with both fresh and frozen products. Those businesses can draw on a pool of trained employees from families who for generations dedicated themselves to producing high-quality seafood. Gloucester has several large, food-quality cold storage warehouse that remain cost-competitive due to Gloucester's cooler climate that reduces year-round cooling costs. Gloucester's proximity to Route 128 and Logan Airport provides ready access to domestic and global markets.

Maintaining the seafood processing cluster in Gloucester has been recognized as critical part of the vision to the future of Gloucester's economy in Gloucester's "*Groundfish Port Recovery and Revitalization Plan: A Response to the New England Groundfisheries Crisis*" prepared in April 2014 by the Urban Harbors Institute, University of Massachusetts Boston in collaboration with the City of Gloucester.

*The historic Port of Gloucester will continue to be a steward of sustainable fishing practices while promoting global innovation and sound management of the ecosystem to ensure a strong, vibrant diversified fishing industry for the next 400 years and beyond. The Port of Gloucester aims to stabilize and rebuild the harvesting, processing, and marketing sectors of the fishing industry and shoreside services, to achieve the goals of: a diversified, high value-added, and equitable economy; ecologically sustainable harvesting and an environmentally clean port and ocean; and provision of healthy local fish to the region.*

The Port Recovery plan recognizes that the cost of wastewater handling from seafood processing creates a barrier to expanding and attracting new seafood processing businesses in Gloucester. An EDA grant will help pay for sewer handling costs that would otherwise be added to commercial sewer rates in Gloucester.

### **2. Advancing Global Competitiveness via Public / Private Partnership**

The project also advances the competitiveness of Cape Ann's seafood processing cluster by bringing another international company into the area. The seafood industry has become increasingly international with local companies being integrated into bigger

international seafood conglomerates. Gorton's of Gloucester is owned by Nippon Suisan Kaisha, Ltd of Japan, National Fish and Seafood's parent company is Pacific Andes headquartered in Hong Kong and Mazzetta based out of Chicago has reach into 33 countries. Given different international tastes for seafood, international companies can maximize use of catches and also find markets for products in less demand domestically.

The public / private partnership created by the City's memorandum of understanding with Mazzetta calls will advance this global competitiveness. The City will provide key public infrastructure that will allow Mazzetta and others to locate and expand in the Blackburn IP. The City will also be advancing this sector for all Cape Ann seafood companies at such events as the National Seafood show that takes place in Boston each March.

**f. Strategic Partners:**

The City of Gloucester is actively working with partners in the public and private sectors to promote economic development of our port city. On March 15-17<sup>th</sup> we are having our first booth at the Northeast Seafood Expo in the Boston Convention Center. A huge effort was undertaken to partner with organizations like the Gloucester Fishermen's Wives Association, The Gloucester Fisheries Commission, Gloucester Harbor CDC, Gloucester's EDIC, UMass Boston, Mass Department of Agriculture, and other organizations to make this happen. Along with having a booth we are doing a Red Fish soup demonstration to promote under-utilized species which will help our Seafood companies sell fish that is caught close to our shore. At the booth and in our one on one meetings with representatives from companies from around the world, we will bring real estate site information which includes the Blackburn Industrial Park. It is essential that we upgrade our sewer pump station to handle any additional waste from a future seafood processing company that may locate in the park.

On Monday the 16<sup>th</sup> of March we have organized a tour of interested companies to visit our city. We are hosting several tours with companies and economic development officials from as far away as Indonesia, Malaysia and China. Guests on our tour will visit available sites and meet with owners of several Gloucester Seafood companies. This is an incredible opportunity, but we will need to address our capacity if we are to accommodate any additional processing use at the Blackburn Industrial Park.

**g. Project Budget – From Weston & Sampson Engineers Preliminary Engineering Report**

	<b>Description</b>	<b>Estimated Cost</b>
<b>Section 1</b>	<b>Flows and Loads Evaluation</b>	-
<b>Section 2</b>	<b>Industrial Pretreatment and Local Limits</b>	<b>\$0.00*</b>
<b>Section 3</b>	<b>Downstream Surcharging</b>	<b>\$456,000</b>
<b>Section 4</b>	<b>Pump Station Improvements</b>	<b>\$655,000</b>
<b>Section 5</b>	<b>Odor Control</b>	<b>\$0.00*</b>
<b>ESTIMATED TOTAL COSTS</b>		<b>\$1,111,000</b>

\*Industrial Pretreatment/Local Limits and Odor Control provisions will be budgeted for separately by the City.

#### **h. Project Impacts –**

##### ***Economic Impact Analysis of the Sewer Collection and Transmission System Upgrades and Renovation in Gloucester (MAPC)***

#### **a. Direct Impact**

The Sewer Collection and Transmission System Upgrades project will generate six construction jobs in the 6-month window. All these workers are expected to be from the MAPC Economic Development District. At an estimated wage and benefit rate of \$52/hr the estimated impact on local economy will reach \$325,000 in salaries and benefits.

The project will directly lead to the creation of 125 permanent and 100 seasonal seafood processing jobs by providing key infrastructure improvements necessary to accommodate Mazzetta Company, LLC retrofit of an existing building in the Blackburn Industrial Park. It is important to note that future jobs at the seafood production facility require a set of skills that could accommodate the available labor force in Gloucester. Mazzetta is a fully integrated producer & importer of shrimp, mussels, lobster and finfish.<sup>4</sup> As a result of cod quotas, employees specialized in cod processing could transfer to processing other species at the Mazzetta facility. As a result, this project supports the development of an ecologically sustainable marine aquaculture industry and will optimize production of living marine resources.

#### **b. Indirect impact**

This project is crucial for Gloucester's sustainable economic development. Through this Public Private Partnership, Gloucester is supporting the local business community. To improve employment opportunities of its inhabitants, the City of Gloucester has committed to a tax increment financing exemption of 10% of the increase in valuation from 2016 to 2020 (see attached TIF agreement). As part of the contract, the future tenant has committed to create of a minimum of 125 full-time and over 100 seasonal jobs, at the facility by June 2020. In addition, the cumulative capital investment will be \$7.5 million in the first two years of operations. Based on taxes generated by the same building in 2010 (\$0.79 PSF), the new tenant will add at least \$53,000<sup>5</sup> to local tax receipts per year.

Commercial fishing is an important part of Gloucester's and the regional economy. As a peninsula, Cape Ann's reach into the Atlantic Ocean provides Gloucester with a locational advantage in accessing George's Bank and the Gulf of Maine for commercial fishing. However, as a result of past and recent cod regulations, a drop in fishing-related services has been observed. According to the *NOAA Fisheries Annual Report*, Gloucester seafood landings in 2013 decreased more than 25 percent both in volume and value as compared to 2012. For the US, the volume of the Atlantic cod catch, Gloucester's former top catch, fell 52.5 percent in 2013 to just under 5 million pounds from 10.5 million pounds in 2012. The value of the 2012 catch dropped 52.8 percent, compared to \$22.2 million in the previous year. There were also declines in the volume and value of other groundfish species, most notably summer flounder, winter flounder, witch flounder, haddock, and yellowtail flounder. The report showed US lobster landings slightly

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<sup>4</sup> <http://www.mazzetta.com/products/>

<sup>5</sup> <http://www.transwestern.net/flyers/Boston/21%20Great%20Republic%20Brochure.pdf>

decreased in volume to 149.3 million pounds, but a seven percent increase in value to \$460.1 million.

This project will significantly increase the capacity of City's sewerage and water collection systems. In addition to benefits to the new and existing residents of the Blackburn Industrial Park, this project will increase the development capacity of two other undeveloped parcels. Based on their cumulative area of 13.29 acres, the estimated investment for their future development could generate up to 170 jobs<sup>6</sup>.

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<sup>6</sup> Based on an average estimate of 13 jobs per developed acre.



## Grant Application Package

Opportunity Title:	FY 2015 Economic Development Assistance Programs • Appl
Offering Agency:	Economic Development Administration
CFDA Number:	11.300
CFDA Description:	Investments for Public Works and Economic Development P
Opportunity Number:	EDAP2015
Competition ID:	PW
Opportunity Open Date:	02/09/2015
Opportunity Close Date:	02/08/2016
Agency Contact:	Please see full list of EDA contacts at <a href="http://www.eda.gov/contact/">http://www.eda.gov/contact/</a>

This opportunity is only open to organizations, applicants who are submitting grant applications on behalf of a company, state, local or tribal government, academia, or other type of organization.

Application Filing Name:

### Select Forms to Complete

#### Mandatory

[Application for Federal Assistance \(SF-424\)](#)

[Economic Development Administration Application for Investment Assistance](#)

[CD511 Form](#)

[Assurances for Construction Programs \(SF-424D\)](#)

[Budget Information for Construction Programs \(SF-424C\)](#)

#### Optional

[Attachments](#)

[Disclosure of Lobbying Activities \(SF-LLL\)](#)

### Instructions

[Show Instructions >>](#)

This document contains information intended to assist you in completing the application. Please read the instructions carefully. If you have any questions, please contact the agency. You will also need to read the terms and conditions of the grant. For more information, please visit the EDA website at [www.eda.gov](http://www.eda.gov).

**Application for Federal Assistance SF-424**

**\* 1. Type of Submission:**

- Preapplication
- Application
- Changed/Corrected Application

**\* 2. Type of Application:**

- New
- Continuation
- Revision

**\* If Revision, select appropriate letter(s):**

\_\_\_\_\_

**\* Other (Specify):**

\_\_\_\_\_

**\* 3. Date Received:**

03/09/2016

**4. Applicant Identifier:**

\_\_\_\_\_

**5a. Federal Entity Identifier:**

\_\_\_\_\_

**5b. Federal Award Identifier:**

\_\_\_\_\_

**State Use Only:**

**6. Date Received by State:**

\_\_\_\_\_

**7. State Application Identifier:**

\_\_\_\_\_

**8. APPLICANT INFORMATION:**

**\* a. Legal Name:**

City of Gloucester, Massachusetts

**\* b. Employer/Taxpayer Identification Number (EIN/TIN):**

04-6001390

**\* c. Organizational DUNS:**

0738272140000

**d. Address:**

**\* Street1:**

28 Poplar Street

**Street2:**

\_\_\_\_\_

**\* City:**

Gloucester

**County/Parish:**

Essex

**\* State:**

MA: Massachusetts

**Province:**

\_\_\_\_\_

**\* Country:**

USA: UNITED STATES

**\* Zip / Postal Code:**

019304928

**e. Organizational Unit:**

**Department Name:**

Department of Public Works

**Division Name:**

\_\_\_\_\_

**f. Name and contact information of person to be contacted on matters involving this application:**

**Prefix:**

Mr.

**\* First Name:**

Stephen

**Middle Name:**

P

**\* Last Name:**

Winslow

**Suffix:**

\_\_\_\_\_

**Title:**

Senior Project Manager

**Organizational Affiliation:**

City of Gloucester, Community Development Department

**\* Telephone Number:**

978-282-8007

**Fax Number:**

978-281-9779

**\* Email:**

swinslow@gloucester-ma.gov

**Application for Federal Assistance SF-424**

**\* 9. Type of Applicant 1: Select Applicant Type:**

C: City or Township Government

**Type of Applicant 2: Select Applicant Type:**

**Type of Applicant 3: Select Applicant Type:**

**\* Other (specify):**

**\* 10. Name of Federal Agency:**

Economic Development Administration

**11. Catalog of Federal Domestic Assistance Number:**

11.300

**CFDA Title:**

Investments for Public Works and Economic Development Facilities

**\* 12. Funding Opportunity Number:**

EDAP2015

**\* Title:**

FY 2015 Economic Development Assistance Programs • Application submission and program requirements for EDA's Public Works and Economic Adjustment Assistance programs

**13. Competition Identification Number:**

PW

**Title:**

**14. Areas Affected by Project (Cities, Counties, States, etc.):**

[Add Attachment](#)

[Delete Attachment](#)

[View Attachment](#)

**\* 15. Descriptive Title of Applicant's Project:**

Cape Ann Seafood Processing Innovation District Project

Attach supporting documents as specified in agency instructions.

[Add Attachment](#)

[Delete Attachment](#)

[View Attachment](#)

**Application for Federal Assistance SF-424**

**16. Congressional Districts Of:**

\* a. Applicant

\* b. Program/Project

Attach an additional list of Program/Project Congressional Districts if needed.

**17. Proposed Project:**

\* a. Start Date:

\* b. End Date:

**18. Estimated Funding (\$):**

* a. Federal	<input type="text" value="555,500.00"/>
* b. Applicant	<input type="text" value="555,500.00"/>
* c. State	<input type="text" value="0.00"/>
* d. Local	<input type="text" value="0.00"/>
* e. Other	<input type="text" value="0.00"/>
* f. Program Income	<input type="text" value="0.00"/>
* g. TOTAL	<input type="text" value="1,111,000.00"/>

**\* 19. Is Application Subject to Review By State Under Executive Order 12372 Process?**

- a. This application was made available to the State under the Executive Order 12372 Process for review on
- b. Program is subject to E.O. 12372 but has not been selected by the State for review.
- c. Program is not covered by E.O. 12372.

**\* 20. Is the Applicant Delinquent On Any Federal Debt? (If "Yes," provide explanation in attachment.)**

Yes  No

If "Yes", provide explanation and attach

21. \*By signing this application, I certify (1) to the statements contained in the list of certifications\*\* and (2) that the statements herein are true, complete and accurate to the best of my knowledge. I also provide the required assurances\*\* and agree to comply with any resulting terms if I accept an award. I am aware that any false, fictitious, or fraudulent statements or claims may subject me to criminal, civil, or administrative penalties. (U.S. Code, Title 218, Section 1001)

\*\* I AGREE

\*\* The list of certifications and assurances, or an internet site where you may obtain this list, is contained in the announcement or agency specific instructions.

**Authorized Representative:**

Prefix:  \* First Name:

Middle Name:

\* Last Name:

Suffix:

\* Title:

\* Telephone Number:  Fax Number:

\* Email:

\* Signature of Authorized Representative:  \* Date Signed:



Form ED-900 (Rev. 12/07),  
 OMB Control No. 0610-0094,  
 Expires 6/30/2016

**ECONOMIC DEVELOPMENT ADMINISTRATION**

**APPLICATION FOR  
 INVESTMENT ASSISTANCE**

The Economic Development Administration (EDA) uses the Application for Investment Assistance to evaluate applications under EDA's economic development assistance programs. EDA may ask applicants to provide supplemental information as needed during the evaluation and selection process. **Please visit our Internet website at [www.eda.gov](http://www.eda.gov) for more information on EDA's programs, selection and evaluation criteria, and application procedures, as set forth in applicable Federal Funding Opportunity (FFO) announcements. These FFO announcements are also published annually in the *Federal Register*.**

PWEDA Section 201 (CFDA No. 11.300) Public Works and Economic Development Program  PWEDA Section 203 (CFDA No. 11.302) Planning Program  PWEDA Section 204 (CFDA No. 11.303) Federal Acquisition Assistance Program  PWEDA Section 205 (CFDA No. 11.304) Regional Development Program  PWEDA Section 206 (CFDA No. 11.305) University Center Program  PWEDA Section 207 (CFDA No. 11.306) Economic Adjustment Assistance Program  PWEDA Section 208 (CFDA No. 11.307) Construction Assistance Program  PWEDA Section 209 (CFDA No. 11.308) Design and Engineering Assistance Program	<b>Section A - To Be Completed by All Applicants</b>
	<b>Section B - Regional Eligibility (Public Works and Economic Adjustment Assistance)</b>
	<b>Section C - Technical Assistance &amp; Research/Evaluation Assistance</b>
	<b>Section D - To Be Completed by All Non-Governmental Applicants (excluding Public Universities)</b>
	<b>Section E - Budgeting and Staffing/Non-Construction Assistance</b>
	<b>Section F - Partnership Planning Assistance</b>
	<b>Section G - Short-Term Planning Assistance</b>
	<b>Section H - State Planning Assistance</b>
	<b>Section I - Local or National Technical Assistance</b>
	<b>Section J - University Center Program Assistance</b>
	<b>Section K - Economic Adjustment Assistance</b>
	<b>Section L - Revolving Loan Fund (RLF) Assistance</b>
	<b>Section M - Construction Assistance</b>
	<b>Section N - Design and Engineering Assistance</b>



## **INSTRUCTIONS FOR ELECTRONIC AND HARDCOPY FORMATS**

**Electronic Submissions:** Please visit <http://www.grants.gov/documents/19/18243/GrantsGovApplicantUserGuide.pdf> for detailed instructions on electronic submissions. This form is designed to be completed in Adobe Acrobat Reader, versions 8.1.3 and above. If using Adobe Acrobat Reader version 8.1.3 or above, all interactive features will work. Responses may be composed in a separate word processing program and then copied and pasted into the appropriate response field. NOTE: Applicants who would like to save a copy for their records must save a copy to their local hard drive under a unique name. Additional documentation or information applicants must provide may be submitted as electronic attachments using the 'Attachments' form that is part of the application package downloaded from [www.Grants.gov](http://www.Grants.gov).

**Hardcopy Submissions:** EDA encourages applicants to submit applications in electronic format via [www.Grants.gov](http://www.Grants.gov). However, if the applicant is unable to complete this application using the latest compatible Adobe Reader version, the applicant may send in a hardcopy application. If submitting a hardcopy application, the applicant should print this application (ED-900), the SF-424, and either the SF-424A (Non-construction Investments) or the SF-424C (Construction Investments), and either the SF-424B (Non-Construction Investments) or the SF-424D (Construction Investments), and the CD-511, and type or print the responses. Applicants should mail the completed application along with any required documentation (see "Additional Documentation Requirements" below) to the appropriate Regional Office. See EDA's internet website ([www.eda.gov](http://www.eda.gov)) for a listing of Regional Offices.

### **Important: Additional Documentation Requirements**

In addition to the required application forms, applicants must also submit certain supporting documents at the time of application. Please note that all required documentation submitted for a complete application, including any required engineering reports and environmental narratives, must be current. The following must be submitted at the time of application:

**For all types of projects:**

- A copy of the region's Comprehensive Economic Development Strategy (CEDS) or alternate EDA-approved planning document
- Letters of commitment to document non-EDA funding

**For construction projects only:**

- USGS and FEMA floodplain maps of the project site
- Letters of commitment and assurances of compliance (see Exhibit A of the ED-900) from private beneficiaries of the proposed project
- Comments from the metropolitan area review/clearinghouse agency
- A preliminary engineering report
- An environmental narrative, including an Applicant's Certification Clause signed by each co-applicant
- Copies of any other environmental studies of the site, if applicable
- Comments from the State Single Point of Contact, or a copy of the request for comments, if applicable
- Copies of correspondence with other federal agencies regarding the project, if applicable

**For Revolving Loan Fund projects only:**

- Revolving Loan Fund Plan

**For non-profit applicants only:**

- Certificate of good standing from the state
- A copy of the organization's Articles of Incorporation or other formation documents, as applicable, and By-Laws
- Resolution or letter from a general purpose subdivision of government of a state acknowledging that the organization is acting in cooperation with officials of that subdivision

If, after reviewing the application, EDA decides to issue the applicant a Non-Binding Commitment letter, EDA will require applicants for construction assistance to submit the following additional documents:

- A legal opinion and other documentation, as necessary, verifying the applicant's answers to questions regarding project ownership, operation, maintenance, and management
- Documented approval from the State Historic Preservation Officer
- Documented approval from other federal agencies (e.g. U.S. Fish and Wildlife Service), if applicable
- Comments from a general purpose government entity (non-profit applicants only)

Please answer all questions completely and accurately; most narratives need not exceed one paragraph. Whenever possible, please justify any claims with third-party, independent data, and cite the source and date. EDA strongly encourages applicants to review the helpful hints listed at <http://www.eda.gov/PDF/Helpful%20Hints%20for%20EDA%20Applications.pdf>.

Required documentation may be attached to an application package submitted via Grants.gov, or submitted hardcopy to the Regional Office that processes applications for your state (<http://www.eda.gov/Contacts/Contacts.xml>). Applicants should consult EDA's regulations (<http://www.eda.gov/InvestmentsGrants/Lawsreg.xml>) and the applicable Federal Funding Opportunity announcement for further information about EDA's program requirements and evaluation criteria. Applicants are encouraged to contact an EDA representative for assistance in completing this application. Preparation of an application may involve coordination with other local, state, and federal agencies. Public Works and Economic Adjustment Assistance projects must satisfy regional eligibility requirements (see 13 C.F.R. section 304.1). Legal citations referencing EDA's regulations are included for the applicant's information; however, all of the information needed to complete this application is contained within the form itself or within web links included in this form. Legal assistance is not generally required to complete this form, although applicants may need to consult with an attorney concerning any legal issues implicated by receipt of federal assistance.

Please indicate the type of EDA investment assistance for which you are applying. If you change the type of EDA Investment Assistance for which you are applying, make sure you save the application under a different file name.

- |   |  |
|---|--|
| <input checked="" type="checkbox"/> Public Works  | <i>(Complete Sections A, B, and M and Exhibits A, D and E.)</i>  |
| <input type="checkbox"/> Economic Adjustment or Global Climate Change Mitigation Incentive Fund | <i>(Complete Sections A, B, and K and Exhibit C. Also Complete Sections M and Exhibits A, D, and E if request has construction components, and Section N if request has only design/engineering requirements. Complete Section E if request has no construction components.)</i> |
| <input type="checkbox"/> Partnership Planning   | <i>(Complete Sections A, C, E, and F and Exhibit C.)</i>   |
| <input type="checkbox"/> Short-term Planning  | <i>(Complete Sections A, C, E, and G and Exhibit C.)</i>   |
| <input type="checkbox"/> State Planning   | <i>(Complete Sections A, C, E, G, and H and Exhibit C.)</i>  |
| <input type="checkbox"/> University Center  | <i>(Complete Sections A, C, E, and J and Exhibit C.)</i>   |
| <input type="checkbox"/> Local Technical Assistance   | <i>(Complete Sections A, C, E, and I and Exhibit C.)</i>   |
| <input type="checkbox"/> National Technical Assistance  | <i>(Complete Sections A, C, E, and I and Exhibit B.)</i>   |
| <input type="checkbox"/> Research and Evaluation Assistance                                     | <i>(Complete Sections A, C, E and Exhibit B.)</i>  |
| <input type="checkbox"/> Revolving Loan Fund  | <i>(Complete Sections A, B, E, K, and L and Exhibit C.)</i>  |
| <input type="checkbox"/> Design and Engineering   | <i>(Complete Sections A, B, and N and Exhibit C.)</i>  |

Please indicate which type of applicant you are:

- Governmental (or quasi-governmental, to include District Organizations, universities, or public institutions of higher learning)
- Non-governmental (e.g. private or public non-profit organizations, for-profit organizations)

*In addition to the sections specific to the program for which you are applying (see above), non-governmental applicants also must complete Section D.*

## A.1. Investment (Project) Region

Identify and describe the region where the project will be located, identify and describe the region that will benefit from the project (if different from or in addition to the region in which the project will be located), and discuss the project's expected economic impact. **Include independent, third-party data whenever possible, and cite the source and date.** For purposes of this application, a region is defined as "an economic unit of human, natural, technological, capital or other resources, defined geographically. Geographic areas comprising a region need not be contiguous or defined by political boundaries, but should constitute a cohesive area capable of undertaking self-sustained economic development." (See 13 C.F.R. § 300.3 for the definition of "Region.")

The project region includes economically distressed part of Peabody MA NECTA area that includes portions of Gloucester, Danvers, Beverly and Peabody. This region sits within the Metropolitan Area Planning Council's North Shore Task Force region.

Route 128 runs through this area from Danvers to Gloucester, ending near the Blackburn Industrial park where the project will be located. Route 128 provides direct access from this area to Interstate 95, Interstate 93 and the Massachusetts Turnpike (Interstate 90). MBTA commuter rail service also links up the area from Beverly to Gloucester.

See Attachment: Narrative for complete response

## A.2. Investment (Project) Description

Provide a detailed description of the complete scope of work for the proposed EDA investment. If you are proposing a construction project, please include specific construction components. Also, for National Technical Assistance, Training and Research and Evaluation Projects, provide a description of the methodology to be used to complete the project.

The project involves updating and expanding sewer collection facilities that serve Blackburn Industrial Park ("Blackburn IP"). Two, 40-year old pumping stations will be replaced and a 6-inch "force main" pipe will be extended to 2700 feet to prevent sewer overflows and control odor issues.

See Attachment: Narrative for complete response

*Note: If applying for EDA construction assistance, you must attach a U.S. Geological Survey (USGS) map, as well as a FEMA floodplain map.*

## A.3. Economic Development Needs

- a. Does the region in which the project will be located have a Comprehensive Economic Development Strategy (CEDS)? (See [www.eda.gov/ImageCache/EDAPublic/documents/pdfdocs2006/cedsflyer081706\\_2epdf/v1/cedsflyer081706.pdf](http://www.eda.gov/ImageCache/EDAPublic/documents/pdfdocs2006/cedsflyer081706_2epdf/v1/cedsflyer081706.pdf).) (Note: Except for strategy grants as described in 13 C.F.R. § 303.7, the region in which Public Works or Economic Adjustment projects will be located must have a CEDS with which the project is consistent.)

Yes

No

If Yes, what is the source? Note: If EDA does not have a copy of this CEDS on file, you must attach the CEDS. If you are unsure if your region has a CEDS, please contact your local District Organization.

Metropolitan Area Planning Council

If No, what alternate strategic planning document do you wish to govern this investment? Note: If you are using an alternate strategic planning document, you must attach a copy of this document.

- b. Briefly describe the economic development needs of the region and how the proposed investment addresses the goals and objectives of the CEDS for the region or the alternate strategic planning document as noted above. (See 13 C.F.R. part 303.)

The project furthers several goals of MAPC's 2013-2014 CEDS including Goal 1 - Smart Growth Principles and Goal 4 - Develop the Regional Innovation Economy.

The new seafood processing facilities this project supports will be completed in an existing industrial park, serving CEDS "Smart Growth" goals for growth in developed areas and will modernize a former seafood processing building.

Bringing Mazzetta Company LLC to the Boston metropolitan area adds to Cape Ann's existing cluster of seafood processing companies.

This project is consistent with the Gloucester specific priorities of MAPC's CEDS including the efforts to develop a "New Maritime Port Economy". Maintaining a viable seafood processing industry cluster will help be a bridge to the future technologically driven port economy.

- c. Briefly describe the economic conditions of the region described in A.1, as well as the economic adjustment problems or economic dislocations the region has experienced (or is about to experience) and the regional impact of these conditions.

Based on EDA distress criteria (an unemployment rate of at least one percentage point higher than the federal average for the same period of time), a pocket of five distressed census tracts was selected for this analysis. As Table 2 shows, this distress area represents 51% of Gloucester's population. 65% of city's labor force is also concentrated in the area. According to 2009-2013 American Community Survey 5-year estimates, the unemployment level for these five Distressed Census Tracts was XX % higher than the US unemployment rate for the same period.

Gloucester's fishing economy has been devastated over the past few decades due to the extraordinary depletion of natural resources represented by the decline of fishing stocks and the imposition of Federal regulations and policies seeking to reverse that decline.

From 1996 to 2014, the number of ground fishing boats in Gloucester declined from 734 to 210 . Federal fishing regulations in 2014 reduced allowable cod fish catches by 77%, and has certainly declined even further. In November 2014, the Boston Globe reported that just a few boats were still ground fishing out of Gloucester.

As a result, the number of full-time fishermen in Gloucester has dwindled from 200 in 2003 to about 100 today. Fishing regulations have also resulted in regional decline in seafood processing jobs; in Essex County, seafood processing employment declined 22% between 2003 to 2013, from 764 to 599 employees (MA Bureau of Labor Statistics).

#### A.4. Investment (Project) Impact and Fit with EDA Funding Priorities

Discuss how the proposed investment satisfies EDA's Investment Policy Guidelines as set forth in 13 C.F.R. § 301.8, as well as the EDA funding priorities set forth in the applicable Federal Funding Opportunity (FFO) announcement on [www.Grants.gov](http://www.Grants.gov).

##### 1. Collaborative Regional Innovation

The project furthers EDA investment priorities by expanding Cape Ann's existing seafood processing cluster which will serve as a foundation for longer-term collaborative regional innovation working to create a maritime technology cluster in Cape Ann.

##### 2. Advancing Global Competitiveness via Public / Private Partnership

The project also advances the competitiveness of Cape Ann's seafood processing cluster by bringing another international company into the area. The seafood industry has become increasingly international with local companies being integrated into bigger international seafood conglomerates. Gorton's of Gloucester is owned by Nippon Suisan Kaisha, Ltd of Japan, National Fish and Seafood's parent company is Pacific Andes headquartered in Hong Kong and Mazzetta based out of Chicago has reach into 33 countries. Given different international tastes for seafood, international companies can maximize use of catches and also find markets for products in less demand domestically.

##### 6. Economically Distressed Communities

The new seafood processing facility is located less than one mile from the distressed census tracts. As a result, the creation of 125 permanent and 100 seasonal jobs adjacent to the distressed area will increase economic opportunity for the low income residents in Gloucester. With an average Seafood Processing salary of \$44,000 per year in Gloucester , the new seafood processing facility will benefit the community by adding at least \$ 7.5 million in salaries and benefits.

#### A.5. Applicant's Capability

Briefly describe the applicant's capability to administer, implement, and attract private sector investments to the project.

The City of Gloucester was successfully implemented over \$20 million of sewer and water improvements over the last five years. Gloucester's Environmental Engineer, Larry Durkin will oversee implementation of the project. The City's Community Development Department has experience administering Federal HUD and EPA grants and will assist with grant administration and compliance. The City has already attracted Mazzetta to locate a new facility to take advantage of the improved infrastructure.

**A.6. Proposed Time Schedule for the Project**

Provide a proposed time schedule for completion of the project, including when (month/year) the project will begin and end. Explain any potential issues that could affect project implementation.

From the time of commitment of funds, the project would take approximately 18 months to complete, including six months to complete detailed engineering plans and to publicly bid the work with construction occurring from April to October in 2016. The City currently owns the pumping station locations and public rights of way where the project will take place. Blackburn Industrial Park has previous environmental permits in place and sits well above any coastal flood plains.

**A.7. Civil Rights**

- a. Does the applicant understand and agree to comply with all applicable civil rights requirements (see 13 C.F.R. § 302.20), including the requirement to provide signed assurances of compliance?  Yes  No (explain below)

- b. Do identified "Other Parties" as defined in 13 C.F.R. § 302.20(b) understand and agree to comply with all applicable civil rights requirements, and have each of these signed and submitted the Assurances of Compliance? *Note: You must attach signed Assurances of Compliance (see Exhibit A of this form) from each "Other Party." The applicant must send an electronic or hard copy of Exhibit A to each beneficiary. Each beneficiary should then complete Exhibit A and return to the applicant. Once received, the applicant can attach Exhibit A (all copies) electronically using the 'Attachments' form that is part of the application package downloaded from Grants.gov or the applicant can submit Exhibit A (all copies) as part of a hardcopy application.*

- Yes  No (explain below)  Not Applicable (No Other Parties Identified)

**A.8. Proposed Project Budget**

- For Construction investments, complete Form SF-424C.  
 For Non-Construction investments, complete Form SF-424A.

*Note: If you are applying in hardcopy, you may download these forms from <http://apply07.grants.gov/apply/forms/sample/SF424A-V1.0.pdf> and [http://apply07.grants.gov/apply/forms/sample/SF424C\\_2\\_0-V2.0.pdf](http://apply07.grants.gov/apply/forms/sample/SF424C_2_0-V2.0.pdf), or go to EDA's website at [www.eda.gov](http://www.eda.gov).*

**B) Non-EDA Funding for the Project**

- a. Identify the source, nature and amount of all non-EDA funds, including in-kind contributions (non-cash contributions of space, equipment, services, or assumptions of debt; see definition of "In-Kind Contribution(s)" in 13 C.F.R. § 300.3). Explain the status of all funding commitments, including the date the funds will be available from each source, and describe any conditions or restrictions on the use of such funds. If in-kind contributions are included, explain the basis on which they are valued.

City of Gloucester	555,500.00	07/01/2015	Cash	Water & Sewer Fund

- b. Are all non-EDA funds committed to the project, available as needed, and not conditioned or encumbered in any way that would preclude their use consistent with the purpose of the project? (See 13 C.F.R. § 301.5.)  Yes  No (explain below)

*Note: You must attach a letter of commitment from each organization providing non-EDA funds or in-kind contributions for the project.*

- c. Discuss the actions that need to be taken and the timing required to secure the non-EDA funds.

City Council vote at the time the City accepts the grant application

- d. Does the applicant plan to seek other federal financial assistance as part of or in connection with this project? If so, please describe the source, amount and any terms and conditions of the funding, and when the funding will be available for use by the applicant.  
 Yes (explain below)  No

- e. Is the requested EDA investment assistance available from any other federal economic development program?  Yes (explain below)  No (explain below)

If Yes, identify the source and provide an explanation of why EDA investment assistance is required.

If No, explain your efforts to identify and obtain funding from other sources.

The City has explored other Federal economic assistance opportunities and none fit the City's needs. Other grant opportunities did not cover the nature and scope of the project.

**A.10. Lobbying Certification**

**All applicants** for federal financial assistance must certify that federal funds have not been used and will not be used for lobbying in connection with this request for federal financial assistance (Form CD-511). If non-federal funds have been or are planned to be used for lobbying in connection with this request for federal financial assistance, Form SF-LLL also must be completed. Please certify to the following:

- Applicant's "Certifications Regarding Lobbying" (Form CD-511) is completed. (If applicant is applying in hardcopy, access the form at [www.Grants.gov](http://www.Grants.gov).)
- Applicant's "Disclosure of Lobbying Activities" (Form SF-LLL) is attached, if required. (If not required by law, also check the box. If applicant is applying in hardcopy, access the form at [www.whitehouse.gov/omb/grants/sfillin.pdf](http://www.whitehouse.gov/omb/grants/sfillin.pdf).)

*Note: Applicants must comply with 13 C.F.R. 302.10 regarding attorneys' and consultants' fees and the employment of expeditors. This regulation requires that applicants identify and disclose the amount of fees paid to anyone engaged to assist the applicant in obtaining assistance under the Public Works and Economic Development Act of 1965 (PWEDA), as amended.*

**A.11. Compliance with Executive Order 12372: State Single Point of Contact (SPOC)**

- a. Does the state in which the project will be located have a project review process that requires submission to a Single Point of Contact (SPOC)? (See 13 C.F.R. § 302.9(b).) *Note: If you are unsure if your state has a Single Point of Contact, or do not know who this individual is, please refer to OMB's SPOC list ([http://www.whitehouse.gov/omb/grants\\_spoc/](http://www.whitehouse.gov/omb/grants_spoc/)).*  
 Yes                       No (go to A.12)
- b. If Yes to A.11(a) above, does this request for EDA investment assistance meet the SPOC process established by the state?  
 Yes                       No (go to question A.11.d)
- c. If Yes to A.11(b) above, were SPOC comments/clearance received?  
 Yes, and the comments/clearance are attached.  
 No, the review period has expired and no comments were received.
- d. If No to question A.11(b) above, please explain any known reason for the lack of comments.

**A.12. Justification for Sole Source Procurement**

- a. Will you subcontract work to complete part or all of this project?  
 Yes                       No
- b. If Yes, will contracts be awarded by competitive bid?  
 Yes                       No
- c. If contracts will not be awarded by competitive bid, please provide a justification. A cost analysis will be necessary when adequate price competition is lacking, and for sole source procurements, including contract modifications or change orders. (See 15 C.F.R. § 14.40-14.48 or § 24.36, as applicable.)

For Construction investments, complete Form SF-424D.  
For Non-Construction investments, complete Form SF-424B.

*Note: If you are applying in hardcopy, you may access these forms as part of the application package downloaded from [www.Grants.gov](http://www.Grants.gov), from <http://apply07.grants.gov/apply/forms/sample/SF424B-V1.1.pdf> and <http://apply07.grants.gov/apply/forms/sample/SF424D-V1.1.pdf>, or go to EDA's website at [www.eda.gov](http://www.eda.gov).*

### SECTION B: REGIONAL ELIGIBILITY TO BE COMPLETED BY APPLICANTS FOR PUBLIC WORKS OR ECONOMIC ADJUSTMENT ASSISTANCE ONLY

Public Works and Economic Adjustment Assistance projects (including Revolving Loan Fund Assistance and Design and Engineering Assistance) must satisfy regional eligibility requirements (see 13 C.F.R. part 301). This section will assist EDA in determining if the proposed project satisfies these eligibility requirements. Please answer all questions completely and accurately and attach explanations and supporting documentation where applicable.

1. Identify the region upon which the applicant is basing the eligibility calculation.

The project region includes economically distressed part of Peabody MA NECTA area that includes portions of Gloucester, Danvers, Beverly and Peabody. This region sits within the Metropolitan Area Planning Council's North Shore Task Force region.

a. If this region is **different** from the region described in Section A of this application, please explain.

b. If this region is **not** defined by political boundaries (e.g., it is a neighborhood within a large city rather than an autonomous town), provide a description of the project region and documentation to show that: (i) the region is of sufficient size appropriate for the proposed project, and (ii) the area used for regional eligibility is the same as the area that will benefit from the proposed project.

Route 128 runs through this area from Danvers to Gloucester, ending near the Blackburn Industrial park where the project will be located. Route 128 provides direct access from this area to Interstate 95, Interstate 93 and the Massachusetts Turnpike. Commuter rail service also links up the area. See Narrative

2. **Source of data provided for regional eligibility determination:** Check the source of data used to determine regional eligibility, and *attach an explanation and a copy of this data* (additional documentation or information applicants must provide may be submitted as electronic attachments using the 'Attachments' form that is part of the application package downloaded from [www.Grants.gov](http://www.Grants.gov)). The explanation must: (i) identify the data used (e.g., American Community Survey (ACS)); (ii) the period covered by the data; (iii) if the data used are other than the ACS, explain why ACS data were not used; and (iv) if the data used are other than federal data, explain why federal data were not used and identify the source of the non-federal data. ACS data ([www.census.gov/acs](http://www.census.gov/acs)) must be used, except in the rare cases in which it is unavailable. When ACS data is unavailable the order of data preference is as listed below.

- a. The most recent ACS data published by the U.S. Census Bureau.
- b. The most recent other federal data for the region in which the project is located (e.g., U.S. Census Bureau or the Bureaus of Economic Analysis, Labor Statistics, Indian Affairs, etc.)
- c. If no federal data are available, the most recent data available through the state government for the region in which the project is located.
- d. Other data to substantiate regional eligibility based on a "Special Need" as defined in 13 C.F.R. § 300.3.

3. **Economic Distress:** Check all that apply in establishing regional eligibility (see 13 C.F.R. § 301.3 (a)(1)):

- A. **Unemployment rate:** The project is located in a region that has an unemployment rate that is, for the most recent 24-month period for which data are available, at least one percentage point above the national unemployment rate.
- B. **Per capita income:** The project is located in a region that has a per capita income that is, for the most recent period for which data are available, 80 percent or less of the national average per capita income.
- C. **Special need:** The project is located in a region that has experienced or is about to experience a "Special Need" (as defined in 13 C.F.R. § 300.3) arising from actual or threatened severe unemployment or economic adjustment problems resulting from severe short-term or long-term changes in economic conditions, including:
  - Substantial out-migration or population loss;
  - Underemployment; that is, employment of workers at less than full-time or at less skilled tasks than their training or abilities permit;
  - Military base closure or realignment, defense contractor reductions-in-force, or U.S. Department of Energy defense-related funding reductions;
  - Natural or other major disasters or emergencies;
  - Extraordinary depletion of natural resources;
  - Closing or restructuring of an industrial firm or loss of other major employer;
  - Negative effects of changing trade patterns; or
  - Other circumstances set forth in the applicable FFO (please explain below).

[Empty rectangular box]

4. **Substantial Direct Benefit:** A project located within an Economic Development District (EDD) that is located in a region that does not meet the economic distress criteria set forth in section B.3 above, is also eligible for EDA investment assistance if EDA determines that the project will be of "substantial direct benefit" to a geographic area within the EDD that meets the distress criteria set forth in question B.3 above by providing significant employment opportunities for unemployed, underemployed, or low-income residents of the distressed geographic area within the EDD. If applicable, identify the EDD in which the proposed project will be located, as well as the geographic area within the EDD that meets the economic distress criteria detailed in section B.3. above, and explain how the proposed project will provide a substantial direct benefit to this geographic area within the EDD. (See 13 C.F.R. § 301.3 (a)(2).)

- No, not applicable.** The project is located in a region that meets the economic distress criteria in section B.3.
- Yes, this project will provide a "substantial direct benefit" to residents of an area meeting the economic distress criteria. Please provide an explanation below.**

If Yes,  
explain:

Based on EDA distress criteria (unemployment rate), a pocket of five distressed census tracts exists near Blackburn IP. This distress area represents 51% of Gloucester's population and 65% of its labor force. The project area is less than 1 mile from these distressed tracts and Rt 128 connects to others.

5. **Project Beneficiaries:** Identify private sector employers that will benefit from the project. In the last column, select 'Committed' if the company has committed to being a partner in the project or 'Interest Only' if it has merely expressed interest in the project. The number of jobs saved, number of jobs created, and amount of company investment should be long-term projections (i.e. 9 years after project award). Please do not include short-term construction jobs in these estimates.

If none, check this box, do not complete this chart, and go to Section C.

Company	Products and Services Produced by Company (SIC/NACE code)	Number of Jobs Saved by Project	Number of Jobs Created by Project	Amount of Company Investment (\$)	Company Committed or Only Interested?
Mazzetta LLC	31171	0	200	10,000,000.00	Committed

*Note: You must attach a letter of commitment from each of the employers identified above.*

**SECTION III - TO BE COMPLETED BY CONSTRUCTION ASSISTANCE APPLICANTS ONLY**

Are you applying for Construction Assistance?

- Yes**
- No**

**M.1. Metropolitan Area Review**

a. Projects involving the development of hospitals, airports, libraries, water supply and distribution facilities, sewage and waste treatment works, highways, transportation facilities, water development, or land conservation within a metropolitan statistical area (MSA), require comments from the metropolitan area clearinghouse/agency. Does the proposed project involve any of the above identified developments within an MSA?

- Yes  No

b. If Yes, please indicate which of the following you have attached:

- Comments from the responsible metropolitan area clearinghouse/agency and a statement that such comments have been considered; or
- An explanation as to why comments are not available; or
- A statement indicating the date the application was made available to the appropriate metropolitan area clearinghouse/agency and units of general local government for review and certifying that the application has been before the metropolitan area clearinghouse/agency for a period of 60 days without comments or recommendations.

*Note: You must attach one of these three items.*

**M.2. District Organization Project Administration**

Will the District Organization for the region in which the project will be located administer the project for the applicant?  Yes  No

If Yes, you must certify to all of the following and indicate your certification by checking each box:

- The administration of the project is beyond the capacity of the applicant's current staff and would require hiring additional staff or contracting for such services;
- No local organization/ business exists that could administer the project in a more efficient or cost-effective manner than the District Organization; and
- The District Organization will administer the project without subcontracting the work.

If the project will be administered by the District Organization and you did not certify to all of the above, explain below.

**M.3. Engineering Report**

All applicants for EDA construction assistance must attach a preliminary engineering report. For more information on the required content of this report, please see [http://www.eda.gov/PDF/Engineering%20Information\\_101410.pdf](http://www.eda.gov/PDF/Engineering%20Information_101410.pdf).

Have you attached this information?  Yes  No (explain below)

*Note: You must attach a preliminary engineering report.*

**M.4 - Title Requirements**

a. Does the applicant currently hold title to all project facilities, underlying land, necessary easements, and rights-of-way required for the project?

- Yes (go to question M.4.d)       No (explain below)

b. If No, does the applicant plan to obtain title?

- Yes

How and when will the applicant obtain title? (After answering this, go to question M.4(d))

- No

Please explain why not (and answer question M.4(c))

c. If you indicated that the applicant does not currently have title and does not intend to obtain title, does the applicant hold a long-term lease or hold interest in project property for a period not less than the estimated useful life of the project?

- Yes                       No

If No, Please explain below why EDA should not require the applicant to have title to or a long-term leasehold interest in the property.

d. Describe any required State permits, easements, rights-of-way or leases necessary to construct, operate, and maintain the project.

None

e. Describe any liens, mortgages, other encumbrances, reservations, reversionary interests or other restrictions on the applicant's interest in the property.

None

f. Is the project located on a military or Department of Energy installation that is closed or scheduled for closure or realignment?

- Yes                       No

g. Does the project involve construction within a railroad's right-of-way or over a railroad crossing?

- Yes (explain below)       No

h. Does the project include construction of a highway owned by a State or local government (other than the applicant)?

Yes (explain below)       No

**III. Sale or Lease**

a. Does the applicant intend to sell, lease, transfer, dedicate or otherwise convey any interest in the project facilities, underlying land, or any land improved with EDA investment assistance?

Yes (explain below)       No

b. Is the purpose of the project to construct facilities to serve industrial or commercial parks or sites owned by the applicant for sale or lease to private parties?

Yes       No

If Yes, identify the owners of the acreage, provide an estimate of the number of acres benefiting from the proposed investment and explain how EDA's requirements will continue to be met after any sale or lease.

*Note: If EDA issues a Non-Binding Commitment letter for the project, the applicant will be asked to provide documentation that EDA's requirements will continue to be met after the sale or lease.*

c. Is the purpose of the project to construct facilities to serve privately-owned industrial or commercial parks or sites for sale or lease?

Yes       No

If Yes, identify the owners of the acreage, provide an estimate of the number of acres benefiting from the proposed investment, and explain below how EDA's requirements will continue to be met after the sale or lease. Note that EDA may require evidence that the private party has title to the park or site prior to such sale or lease and condition the award of investment assistance upon assurances given by the private party that EDA determines are necessary to ensure consistency with the project purpose(s). (See 13 C.F.R. § 314.7.)

d. For privately-owned land, is the private owner willing to enter into an agreement to limit the sale price of the improved land to its fair market value before the improvements for a reasonable period of time?

Yes (explain below)       No       Not applicable (no private owners)

e. Is the purpose of the project to construct, renovate or purchase a building?  
 Yes (explain below)       No (go to M.6)

f. Will the building be leased in whole or in part?  
 Yes (explain below)       No

g. Is the purpose of the building to provide incubator space to new companies?  
 Yes (explain below)       No

h. Will there be limitations on the length of the lease term?  
 Yes (explain below)       No

i. Is the purpose of the project to provide building space to a single user or multiple users?  
In either case, explain below the terms of the proposed lease.

No

**M.6. Ownership, Operation, Maintenance and Management**

a. Briefly describe plans for the ownership, operation, maintenance and management of all project facilities, including any land, improved land, structures, appurtenances thereto, other improvements, or personal property.

The City of Gloucester will own, operate, maintain and manage all project facilities benefited by this project

*Note: You will be asked to provide a legal opinion verifying your answers to these questions if EDA issues a Non-Binding Commitment letter for the project.*

b. Will real property or project facilities to be acquired or improved with EDA investment assistance be owned, operated, or maintained by an entity other than the applicant?  
(See 13 C.F.R. § 314.7.)       Yes (explain below)       No

c. Will real property or project facilities to be acquired or improved with EDA investment assistance, including any industrial or commercial park acreage, be mortgaged or used to collateralize any type of financing, including but not limited to bonds or tax credits, or is any real property to be used for the project currently mortgaged or being used as collateral?  
 Yes (explain below)       No

[Empty box]

d. Will the applicant provide EDA a security interest or other statement of EDA's interest in the real property or in significant items of tangible personal property acquired or improved with EDA investment assistance? (See 13 C.F.R. §§ 314.8 and 314.9.)

- Yes  No (explain below)

This project does not improve a building or involve moveable personal property. If EDA differs on this, the City will provide the appropriate security interest.

e. Is (or was) any real property to be acquired or improved with the proposed EDA investment assistance subject to eminent domain proceedings or the threat of such proceedings?

- Yes (explain below)  No

[Empty box]

f. Does the project include the acquisition or improvement of significant items of tangible personal property (i.e., items that are moveable and not permanently attached to the land, such as business equipment, furniture or vehicles)?

- Yes (explain below)  No

[Empty box]

### M.7. Calculation of Estimated Relocation and Land Acquisition Expenses

All applicants must complete the "Calculation of Estimated Relocation and Land Acquisition Expenses" form (see Exhibit E), and enter the estimated total for "costs incidental to land acquisition" (line item 1) on line item 3 ("relocation expenses and payments") of Form SF-424C, 'Budget Information - Construction Programs.' This is separate from the estimated purchase price of the property.

a. Are relocation expenses part of the proposed project's EDA budget?

- Yes  No

b. Will the proposed project cause the displacement of individuals, families, businesses or farms?

- Yes  No

If Yes, explain how relocation procedures will comply with the Uniform Relocation Assistance and Real Property Acquisition Policies Act of 1990 (13 C.F.R. § 302.5 ; see Certification #11 on Form SF-424D, 'Assurances - Construction Programs, for an explanation of this requirement.)

[Empty box]

### M.8. Environmental Requirements

- a. Provide a brief physical description of the project site, noting topography, vegetation, bodies of water, and location and condition of any man-made structures or buildings. If available, provide a Geographic Information System (GIS) analysis of the sensitive environmental areas, including contaminated sites, archeological sites, properties or sites listed on the National Register of Historic Places, and wetlands that are within a two-mile radius of the project site.

The project site exists within the Blackburn Industrial Park that was initially developed in the 1970's. The site sits along Route 128 the state highway that connects to Interstate 95 (see Pre-engineering Figure 1 USGS). The project site varies in elevation from 120 to 160 feet above sea level. Figure 5 of the Pre-engineering report shows sensitive environmental areas such as Zone A of a local water supply, vernal pools and wetlands. Figure 6 shows that all project work will occur within existing streets or developed facilities so no sensitive environmental, archeological or historic sites will be impacted.

- b. Will the project be located in or adjacent to a floodplain or wetland area?

Yes (explain) \_\_\_\_\_

No

- c. Will the project be located in or adjacent to an area with known hazardous or toxic contamination?

Yes (explain) \_\_\_\_\_

No

- d. Will there be any toxic or hazardous waste or asbestos removal associated with the project?

Yes (explain) \_\_\_\_\_

No

- e. Will the project impact any archeological sites, buildings or structures older than 50 years, or any properties listed or eligible for listing on the National Register of Historic Places?

Yes (explain) \_\_\_\_\_

No

*Note: If EDA issues a Non-Binding Commitment letter for the project, the applicant will be required to submit materials to the appropriate State Historic Preservation Officer (SHPO). Regardless of whether the applicant believes historic or archaeological artifacts are present, the applicant will be required to provide the SHPO with: (i) a narrative description of the project's elements and its location; (ii) a map of the area surrounding the project that identifies the project site, adjacent streets, and other identifiable objects; (iii) line drawings or sketches of the project; and (iv) photographs of the affected properties if building demolition or renovation is involved. Please note that the clearance process can be lengthy. When submitting this material to the SHPO, the applicant must request that the SHPO submit comments on the proposed project to the EDA Regional Office processing the application. If the applicant has already received comments from the SHPO, please provide as an electronic attachment (using the 'Attachments' form that is part of the application package downloaded from [www.Grants.gov](http://www.Grants.gov)) or in hardcopy.*

- f. Will this project result in any other adverse environmental impacts that could affect endangered or threatened species, scenic rivers, or other sensitive ecological habitats?

Yes (explain) \_\_\_\_\_

No

g. Has an environmental impact statement or other similar analysis been completed for this proposed project or for other activities in the region?

Yes (explain)

No (explain)

Project taking place within a previously permitted industrial park

*Note: If an environmental impact assessment or other environmental study of the site has been conducted, you must attach a copy.*

h. All applicants for construction assistance are required to submit an Environmental Narrative, as well as an Applicant Certification Clause (see Appendix A of Environmental Narrative template) from each co-applicant. The Environmental Narrative template is available at [http://www.eda.gov/PDF/Environmental%20Narrative\\_101410.pdf](http://www.eda.gov/PDF/Environmental%20Narrative_101410.pdf). Have you attached the Environmental Narrative and the Applicant Certification Clause forms?

Yes

No (explain)

*Note: You must attach an Environmental Narrative and an Applicant Certification Clause from each co-applicant.*

Exhibit A.

**ASSURANCES OF COMPLIANCE**  
**With Civil Rights and Other Legal Requirements**  
**(To Be Executed by "Other Parties")**

Applicant's Name:

City of Gloucester, Massachusetts

"Other Party" Name:

Address:

Street 1:

28 Poplar Street

Street 2:

City:

Gloucester

County:

Essex

State:

MA: Massachusetts

Province:

Country:

USA: UNITED STATES

Zip/Postal Code:

019304928

Phone Number:

978-282-8007

The obligations incurred under this form apply only to the building, port, facility, or industrial, commercial or business park constructed or improved in whole or in part with investment assistance from the EDA. This form must be executed by an "Other Party" who satisfies the following conditions:

- The "Other Party" will (or intends to) create and/or save fifteen (15) or more permanent jobs (estimated number of jobs ) as a result of the EDA investment assistance; and (check applicable section below)
- (a) is specifically named in the application for EDA investment assistance as benefiting from the project; or
- (b) is or will be located in a building, port, facility, or industrial, commercial or business park constructed or improved in whole or in part with EDA investment assistance before EDA has made its final disbursement of EDA funds.

ASSURANCES OF COMPLIANCE WITH THE U.S. DEPARTMENT OF COMMERCE AND EDA REGULATIONS (15 C.F.R. § 302.20) UNDER SECTION 601 OF TITLE VI OF THE CIVIL RIGHTS ACT OF 1964, SECTION 112 OF PUBLIC LAW 92-65, TITLE IX OF THE EDUCATION AMENDMENTS OF 1972, SECTION 504 OF THE REHABILITATION ACT OF 1973, AND THE AGE DISCRIMINATION ACT OF 1975, ALL AS AMENDED.

The "Other Party" assures that it will comply with Section 601 of Title VI of the Civil Rights Act of 1964, as amended (42 U.S.C. 2000d et seq.), and the U.S. Department of Commerce's implementing regulations found at 15 C.F.R. part 8, and any amendments thereto.

The "Other Party" agrees to comply with the provisions of Section 112 of Public Law 92-65 (42 U.S.C. 3123) and 42 U.S.C. 6709, and the U.S. Department of Commerce's implementing regulations found at 15 C.F.R. §§ 8.7-8.15, and any amendments thereto.

The "Other Party" agrees to comply with Section 504 of the Rehabilitation Act of 1973 (29 U.S.C. 794) and the U.S. Department of Commerce's implementing regulations found at 15 C.F.R. part 8b; Title IX of the Education Amendments of 1972 (20 U.S.C. 1681 et seq.); the Age Discrimination Act of 1975 (42 U.S.C. 6101 et seq.) and the U.S. Department of Commerce's implementing regulations found at 15 C.F.R. part 20, and the non-discrimination on the basis of age regulations found at 45 C.F.R. part 90.

Such requirements hold that no person in the United States shall on the ground of race, color, national origin, sex, handicap, or age be excluded from participation in, denied the benefits of, or otherwise subjected to discrimination under any program or activity for which federal financial assistance has been extended.

In accordance with these assurances and without limiting the above, the "Other Party" agrees that these assurances shall be binding upon it and any grantees, assignees, transferees, lessees, and successors in interest. These assurances shall also be binding through any modification or amendment to the financial assistance award or to the project.

The "Other Party" acknowledges that it is aware that if there appears to be a failure or threatened failure to comply with these assurances and the noncompliance or threatened noncompliance cannot be corrected by informal means, compliance may be effected by the suspension or termination of, or refusal to grant or to continue, federal financial assistance or by any other means authorized by law.

### NOTICE

This form must be executed by an official authorized to make the aforementioned assurances, with full authority to bind the "Other Party" identified herein. If the "Other Party" is a corporation, this form must be executed by a corporate officer or person so authorized to make such assurances, and the title block must clearly indicate such authority. Assurance forms executed by employees other than corporate officers will not be accepted unless they are accompanied by a separate certification signed by a corporate officer or corporate counsel stating that the assessor has full authority to legally bind the "Other Party" identified below. In the case of an individual executing this assurance form as a sole owner, the sole owner's title must be indicated. For circumstances other than those discussed herein, contact the EDA Regional Office for instructions.

### ACCEPTANCE OF ASSURANCES OF COMPLIANCE

These assurances are made binding for:

Name of "Other Party":

Address:

Street 1:

Street 2:

City:

County:

State:

Province:

Country:

Zip/Postal Code:

Telephone Number:

By:

Prefix:

First Name:

Middle Name:

Last Name:

Suffix:

\*(Title of Corporate Officer)

(Signature of Official)

(Date)

\* If the person signing this form is not a corporate officer, the company's corporate officer or corporate counsel must certify in writing that the signatory is authorized to legally bind the company. Such written certification should be included as an electronic signature through [www.Grants.gov](http://www.Grants.gov) or in hardcopy.

**--WARNING--**

False statements or representations made in connection with the ASSURANCES OF COMPLIANCE are a violation of federal law, punishable by a fine of not more than \$10,000 and imprisonment for not more than 10 years, or both (see 18 U.S.C. 3220, 18 U.S.C. 1001).

**Exhibit D.**

DEPARTMENT OF COMMERCE ECONOMIC DEVELOPMENT ADMINISTRATION	
1.	Will operate and maintain the facility in accordance with at least the minimum standards as may be required or prescribed by applicable federal, State and local agencies for the maintenance and operation of such facilities.
2.	Will require the facility to be designed to comply with the Americans with Disabilities Act of 1990 (ADA) (42 U.S.C. 12101 <i>et seq.</i> ), the Architectural Barriers Act of 1968 (42 U.S.C. 4151 <i>et seq.</i> ) and the Accessibility Guidelines for Buildings and Facilities regulations, as amended (36 CFR part 1191), and will be responsible for conducting inspections to insure compliance with these requirements.
3.	For the two-year period beginning on the date EDA investment assistance is awarded, will refrain from employing, offering any office or employment to, or retaining for professional services any person who, on the date on which the investment assistance is awarded or within the one-year (1) period ending on that date, served as an officer, attorney, agent or employee of the Department of Commerce and occupied a position or engaged in activities that EDA determines involved discretion with respect to the award of investment assistance under PWEDA. See section 606 of PWEDA and 13 C.F.R. §302.10(b).
4.	Will have no facilities under ownership, lease or supervision to be utilized in this project that are listed or under consideration for listing on EPA's List of Violating Facilities.
5.	Will comply with Executive Order 12699, "Seismic Safety of Federal and Federally Assisted or Regulated New Building Construction," which imposes requirements that federally-assisted facilities be designed and constructed in accordance with the most current local building codes determined by the awarding agency or by the Interagency Committee for Seismic Safety in Construction (ICSSC) and the most recent edition of the American National Standards Institute Standards A58, Minimum Design Loads for Buildings and Other Structures.
6.	Will observe and comply with federal procurement rules, as set forth in 15 CFR parts 14 or 24, as applicable, for award of any contracts for architectural engineering, grant administration services, or construction financed with EDA investment assistance.
7.	Understands that attorneys' or consultants' fees, whether direct or indirect, expended for securing or obtaining EDA investment assistance are not eligible costs. See 13 C.F.R. § 302.10(a).
8.	Understands that conflicts of interest or appearances of conflicts of interest are prohibited and may jeopardize this application, or result in the forfeiture of investment funds. A conflict of interest occurs, for example, where a representative, official, employee, architect, attorney, engineer or inspector of the applicant, or a representative or official of the Federal, State or local government, has a direct or indirect financial interest in the acquisition or furnishing of any materials, equipment or services to or in connection with the project. See 13 C.F.R. § 302.17.
9.	Will comply with the reporting requirements under the Government Performance and Results Act of 1993 (GPRA) for measuring and reporting project performance.
<input type="text" value="Stephen Winslow"/>	<input type="text" value="Senior Project Manager"/>
<b>SIGNATURE OF AUTHORIZED CERTIFYING OFFICIAL</b>	<b>TITLE</b>
<input type="text" value="City of Gloucester, Massachusetts"/>	<input type="text" value="03/09/2015"/>
<b>APPLICANT ORGANIZATION</b>	<b>DATE</b>

**Exhibit E.**

**CALCULATION OF ESTIMATED RELOCATION  
AND LAND ACQUISITION EXPENSES**

Are you applying for Construction Assistance?     **Yes**     **No**

**ITEM 1. COSTS INCIDENTAL TO LAND ACQUISITION - ESTIMATES**

Number of land transactions involved (including options, easements and rights-of-way):

Recording fees, transfer taxes, surveys, appraisals, title search and similar expenses-Section 303(1)	_____
Penalty costs-Section 303(2)	_____
Real Property taxes-Section 303(3)	_____
Litigation expenses-Section 304(a)	_____
Total - Estimated costs incidental to transfer of title	_____

**ITEM 2. RELOCATION - ESTIMATES**

**a. TENANTS - Estimates: Number of Claims**

(1) Moving Expenses:

Actual Expenses-Section 202(a)(1)	_____
In lieu payments-Section 202(b)	_____
Total - Moving Expenses	_____

(2) Replacement housing payments:

Rental payments-Section 204(1)	_____
Down payment-Section 204(2)	_____
Total - Replacement housing payments	_____

Total - Estimated Tenants \_\_\_\_\_

**b. OWNER-OCCUPANTS - Estimates: Number of Claims**

(1) Moving expenses:

Actual Expenses-Section 202(a)(1)	_____
In lieu payments-Section 202(b)	_____
Total - Moving Expenses	_____

(2) Replacement housing payments:

Purchase payments-Section 203(a)(1)	_____
Reasonable replacement costs-Section 203(a)(1)(A)	_____
Increased interest costs-Section 203(a)(1)(B)	_____
Closing costs-Section 203(a)(1)(C)	_____
Rental payments-Section 204(1)	_____
Down payment-Section 204(2)	_____
Total - Replacement housing payments	_____

Total - Estimated Owner-Occupants \_\_\_\_\_

**c. BUSINESS - Estimates: Number of Claims**

**Moving Expenses:**

Actual Expenses-Section 202(a)(1)

\_\_\_\_\_

Actual loss of tangible personal property-Section 202(a)(2)

\_\_\_\_\_

Actual searching expenses-Section 202(a)(3)

\_\_\_\_\_

In lieu payments-Section 202(c)

\_\_\_\_\_

**Total - Estimated Business**

\_\_\_\_\_

**d. NONPROFIT ORGANIZATIONS - Estimates: Number of Claims**

**Moving Expenses:**

Actual Expenses-Section 202(a)(1)

\_\_\_\_\_

Actual loss of tangible personal property-Section 202(a)(2)

\_\_\_\_\_

Actual searching expenses-Section 202(a)(3)

\_\_\_\_\_

In lieu payments-Section 202(c)

\_\_\_\_\_

**Total - Estimated Nonprofit Organizations**

\_\_\_\_\_

**e. FARM OPERATIONS - Estimates: Number of Claims**

**Moving Expenses:**

Actual Expenses-Section 202(a)(1)

\_\_\_\_\_

Actual loss of tangible personal property-Section 202(a)(2)

\_\_\_\_\_

Actual searching expenses-Section 202(a)(3)

\_\_\_\_\_

In lieu payments-Section 202(c)

\_\_\_\_\_

**Total - Estimated Farm Operations**

\_\_\_\_\_

**f. ADVISORY SERVICES - Estimates: Number of Claims**

**Total - Expenses of grantee/borrower-Section 205**

\_\_\_\_\_

**g. ADMINISTRATION - Estimates: Number of Claims**

Contracting with individual, firm, association, or corporation-  
Section 212

\_\_\_\_\_

Agreement w/ Federal or State government agency or  
instrumentality- Section 212

\_\_\_\_\_

**Total - Estimated Administration**

\_\_\_\_\_

**ITEM 3. GRAND TOTAL**

Enter the sum of Items 1 and 2 (parts (a) through (g)) in this Item

**GRAND TOTAL RELOCATION EXPENSES**

\_\_\_\_\_

Applicants should also review the instructions for certification included in the regulations before completing this form. Signature on this form provides for compliance with certification requirements under 15 CFR Part 28, 'New Restrictions on Lobbying.' The certifications shall be treated as a material representation of fact upon which reliance will be placed when the Department of Commerce determines to award the covered transaction, grant, or cooperative agreement.

**LOBBYING**

As required by Section 1352, Title 31 of the U.S. Code, and implemented at 15 CFR Part 28, for persons entering into a grant, cooperative agreement or contract over \$100,000 or a loan or loan guarantee over \$150,000 as defined at 15 CFR Part 28, Sections 28.105 and 28.110, the applicant certifies that to the best of his or her knowledge and belief, that:

(1) No Federal appropriated funds have been paid or will be paid, by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress in connection with the awarding of any Federal contract, the making of any Federal grant, the making of any Federal loan, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any Federal contract, grant, loan, or cooperative agreement.

(2) If any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a member of Congress in connection with this Federal contract, grant, loan, or cooperative agreement, the undersigned shall complete and submit Standard Form-LLL, 'Disclosure Form to Report Lobbying,' in accordance with its instructions.

(3) The undersigned shall require that the language of this certification be included in the award documents for all subawards at all tiers (including subcontracts, subgrants, and contracts under grants, loans, and cooperative agreements) and that all subrecipients shall certify and disclose accordingly.

This certification is a material representation of fact upon which reliance was placed when this transaction was made or entered into. Submission of this certification is a prerequisite for making or entering into this transaction imposed by section 1352, title 31, U.S. Code. Any person who fails to file the required certification shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure occurring on or before October 23, 1996, and of not less than \$11,000 and not more than \$110,000 for each such failure occurring after October 23, 1996.

**Statement for Loan Guarantees and Loan Insurance**

The undersigned states, to the best of his or her knowledge and belief, that:

In any funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this commitment providing for the United States to insure or guarantee a loan, the undersigned shall complete and submit Standard Form-LLL, 'Disclosure Form to Report Lobbying,' in accordance with its instructions.

Submission of this statement is a prerequisite for making or entering into this transaction imposed by section 1352, title 31, U.S. Code. Any person who fails to file the required statement shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure occurring on or before October 23, 1996, and of not less than \$11,000 and not more than \$110,000 for each such failure occurring after October 23, 1996.

As the duly authorized representative of the applicant, I hereby certify that the applicant will comply with the above applicable certification.

**\* NAME OF APPLICANT**

City of Gloucester, Massachusetts

**\* AWARD NUMBER**

**\* PROJECT NAME**

Cape Ann Seafood Processing Innovation District Project

**Prefix:**

**\* First Name:**

**Middle Name:**

Mr.

Stephen

P

**\* Last Name:**

**Suffix:**

Winslow

**\* Title:** Senior Project Manager

**\* SIGNATURE:**

**\* DATE:**

Stephen Winslow

03/09/2015

## ASSURANCES - CONSTRUCTION PROGRAMS

OMB Number: 4040-0009  
Expiration Date: 06/30/2014

Public reporting burden for this collection of information is estimated to average 15 minutes per response, including time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the Office of Management and Budget, Paperwork Reduction Project (0348-0042), Washington, DC 20503.

**PLEASE DO NOT RETURN YOUR COMPLETED FORM TO THE OFFICE OF MANAGEMENT AND BUDGET. SEND IT TO THE ADDRESS PROVIDED BY THE SPONSORING AGENCY.**

**NOTE:** Certain of these assurances may not be applicable to your project or program. If you have questions, please contact the Awarding Agency. Further, certain Federal assistance awarding agencies may require applicants to certify to additional assurances. If such is the case, you will be notified.

As the duly authorized representative of the applicant, I certify that the applicant:

1. Has the legal authority to apply for Federal assistance, and the institutional, managerial and financial capability (including funds sufficient to pay the non-Federal share of project costs) to ensure proper planning, management and completion of project described in this application.
2. Will give the awarding agency, the Comptroller General of the United States and, if appropriate, the State, the right to examine all records, books, papers, or documents related to the assistance; and will establish a proper accounting system in accordance with generally accepted accounting standards or agency directives.
3. Will not dispose of, modify the use of, or change the terms of the real property title or other interest in the site and facilities without permission and instructions from the awarding agency. Will record the Federal awarding agency directives and will include a covenant in the title of real property acquired in whole or in part with Federal assistance funds to assure non-discrimination during the useful life of the project.
4. Will comply with the requirements of the assistance awarding agency with regard to the drafting, review and approval of construction plans and specifications.
5. Will provide and maintain competent and adequate engineering supervision at the construction site to ensure that the complete work conforms with the approved plans and specifications and will furnish progressive reports and such other information as may be required by the assistance awarding agency or State.
6. Will initiate and complete the work within the applicable time frame after receipt of approval of the awarding agency.
7. Will establish safeguards to prohibit employees from using their positions for a purpose that constitutes or presents the appearance of personal or organizational conflict of interest, or personal gain.
8. Will comply with the Intergovernmental Personnel Act of 1970 (42 U.S.C. §§4728-4763) relating to prescribed standards of merit systems for programs funded under one of the 19 statutes or regulations specified in Appendix A of OPM's Standards for a Merit System of Personnel Administration (5 C.F.R. 900, Subpart F).
9. Will comply with the Lead-Based Paint Poisoning Prevention Act (42 U.S.C. §§4801 et seq.) which prohibits the use of lead-based paint in construction or rehabilitation of residence structures.
10. Will comply with all Federal statutes relating to non-discrimination. These include but are not limited to: (a) Title VI of the Civil Rights Act of 1964 (P.L. 88-352) which prohibits discrimination on the basis of race, color or national origin; (b) Title IX of the Education Amendments of 1972, as amended (20 U.S.C. §§1681 1683, and 1685-1686), which prohibits discrimination on the basis of sex; (c) Section 504 of the Rehabilitation Act of 1973, as amended (29 U.S.C. §794), which prohibits discrimination on the basis of handicaps; (d) the Age Discrimination Act of 1975, as amended (42 U.S.C. §§6101-6107), which prohibits discrimination on the basis of age; (e) the Drug Abuse Office and Treatment Act of 1972 (P.L. 92-255), as amended relating to nondiscrimination on the basis of drug abuse; (f) the Comprehensive Alcohol Abuse and Alcoholism Prevention, Treatment and Rehabilitation Act of 1970 (P.L. 91-616), as amended, relating to nondiscrimination on the basis of alcohol abuse or alcoholism; (g) §§523 and 527 of the Public Health Service Act of 1912 (42 U.S.C. §§290 dd-3 and 290 ee 3), as amended, relating to confidentiality of alcohol and drug abuse patient records; (h) Title VIII of the Civil Rights Act of 1968 (42 U.S.C. §§3601 et seq.), as amended, relating to nondiscrimination in the sale, rental or financing of housing; (i) any other nondiscrimination provisions in the specific statute(s) under which application for Federal assistance is being made; and (j) the requirements of any other nondiscrimination statute(s) which may apply to the application.

11. Will comply, or has already complied, with the requirements of Titles II and III of the Uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970 (P.L. 91-646) which provide for fair and equitable treatment of persons displaced or whose property is acquired as a result of Federal and federally-assisted programs. These requirements apply to all interests in real property acquired for project purposes regardless of Federal participation in purchases.
12. Will comply with the provisions of the Hatch Act (5 U.S.C. §§1501-1508 and 7324-7328) which limit the political activities of employees whose principal employment activities are funded in whole or in part with Federal funds.
13. Will comply, as applicable, with the provisions of the Davis-Bacon Act (40 U.S.C. §§276a to 276a-7), the Copeland Act (40 U.S.C. §276c and 18 U.S.C. §874), and the Contract Work Hours and Safety Standards Act (40 U.S.C. §§327-333) regarding labor standards for federally-assisted construction subagreements.
14. Will comply with flood insurance purchase requirements of Section 102(a) of the Flood Disaster Protection Act of 1973 (P.L. 93-234) which requires recipients in a special flood hazard area to participate in the program and to purchase flood insurance if the total cost of insurable construction and acquisition is \$10,000 or more.
15. Will comply with environmental standards which may be prescribed pursuant to the following: (a) institution of environmental quality control measures under the National Environmental Policy Act of 1969 (P.L. 91-190) and Executive Order (EO) 11514; (b) notification of violating facilities pursuant to EO 11738; (c) protection of wetlands pursuant to EO 11990; (d) evaluation of flood hazards in floodplains in accordance with EO 11988; (e) assurance of project consistency with the approved State management program developed under the Coastal Zone Management Act of 1972 (16 U.S.C. §§1451 et seq.); (f) conformity of Federal actions to State (Clean Air) implementation Plans under Section 176(c) of the Clean Air Act of 1955, as amended (42 U.S.C. §§7401 et seq.); (g) protection of underground sources of drinking water under the Safe Drinking Water Act of 1974, as amended (P.L. 93-523); and, (h) protection of endangered species under the Endangered Species Act of 1973, as amended (P.L. 93-205).
16. Will comply with the Wild and Scenic Rivers Act of 1968 (16 U.S.C. §§1271 et seq.) related to protecting components or potential components of the national wild and scenic rivers system.
17. Will assist the awarding agency in assuring compliance with Section 106 of the National Historic Preservation Act of 1966, as amended (16 U.S.C. §470), EO 11593 (identification and protection of historic properties), and the Archaeological and Historic Preservation Act of 1974 (16 U.S.C. §§469a-1 et seq).
18. Will cause to be performed the required financial and compliance audits in accordance with the Single Audit Act Amendments of 1996 and OMB Circular No. A-133, "Audits of States, Local Governments, and Non-Profit Organizations."
19. Will comply with all applicable requirements of all other Federal laws, executive orders, regulations, and policies governing this program.
20. Will comply with the requirements of Section 106(g) of the Trafficking Victims Protection Act (TVPA) of 2000, as amended (22 U.S.C. 7104) which prohibits grant award recipients or a sub-recipient from (1) Engaging in severe forms of trafficking in persons during the period of time that the award is in effect (2) Procuring a commercial sex act during the period of time that the award is in effect or (3) Using forced labor in the performance of the award or subawards under the award.

SIGNATURE OF AUTHORIZED CERTIFYING OFFICIAL	TITLE Senior Project Manager
APPLICANT ORGANIZATION City of Gloucester, Massachusetts	DATE SUBMITTED 03/09/2015

**BUDGET INFORMATION - Construction Programs**

*NOTE: Certain Federal assistance programs require additional computations to arrive at the Federal share of project costs eligible for participation. If such is the case, you will be notified.*

COST CLASSIFICATION	a. Total Cost	b. Costs Not Allowable for Participation	c. Total Allowable Costs (Columns a-b)
1. Administrative and legal expenses	\$ <input type="text"/>	\$ <input type="text"/>	\$ <input type="text" value="0.00"/>
2. Land, structures, rights-of-way, appraisals, etc.	\$ <input type="text"/>	\$ <input type="text"/>	\$ <input type="text" value="0.00"/>
3. Relocation expenses and payments	\$ <input type="text"/>	\$ <input type="text"/>	\$ <input type="text" value="0.00"/>
4. Architectural and engineering fees	\$ <input type="text" value="222,200.00"/>	\$ <input type="text"/>	\$ <input type="text" value="222,200.00"/>
5. Other architectural and engineering fees	\$ <input type="text" value="0.00"/>	\$ <input type="text"/>	\$ <input type="text" value="0.00"/>
6. Project inspection fees	\$ <input type="text"/>	\$ <input type="text"/>	\$ <input type="text" value="0.00"/>
7. Site work	\$ <input type="text"/>	\$ <input type="text"/>	\$ <input type="text" value="0.00"/>
8. Demolition and removal	\$ <input type="text"/>	\$ <input type="text"/>	\$ <input type="text" value="0.00"/>
9. Construction	\$ <input type="text" value="722,150.00"/>	\$ <input type="text"/>	\$ <input type="text" value="722,150.00"/>
10. Equipment	\$ <input type="text"/>	\$ <input type="text"/>	\$ <input type="text" value="0.00"/>
11. Miscellaneous	\$ <input type="text"/>	\$ <input type="text"/>	\$ <input type="text" value="0.00"/>
12. SUBTOTAL (sum of lines 1-11)	\$ <input type="text" value="944,350.00"/>	\$ <input type="text" value="0.00"/>	\$ <input type="text" value="944,350.00"/>
13. Contingencies	\$ <input type="text" value="166,650.00"/>	\$ <input type="text"/>	\$ <input type="text" value="166,650.00"/>
14. SUBTOTAL	\$ <input type="text" value="1,111,000.00"/>	\$ <input type="text" value="0.00"/>	\$ <input type="text" value="1,111,000.00"/>
15. Project (program) income	\$ <input type="text"/>	\$ <input type="text"/>	\$ <input type="text" value="0.00"/>
16. TOTAL PROJECT COSTS (subtract #15 from #14)	\$ <input type="text" value="1,111,000.00"/>	\$ <input type="text" value="0.00"/>	\$ <input type="text" value="1,111,000.00"/>
<b>FEDERAL FUNDING</b>			
17. Federal assistance requested, calculate as follows: (Consult Federal agency for Federal percentage share.) Enter eligible costs from line 16c. Multiply X <input type="text" value="50"/> % Enter the resulting Federal share.			\$ <input type="text" value="555,500.00"/>

## ATTACHMENTS FORM

**Instructions:** On this form, you will attach the various files that make up your grant application. Please consult with the appropriate Agency Guidelines for more information about each needed file. Please remember that any files you attach must be in the document format and named as specified in the Guidelines.

**Important:** Please attach your files in the proper sequence. See the appropriate Agency Guidelines for details.

1) Please attach Attachment 1	MAYOR COVER SRT.pdf			
2) Please attach Attachment 2	MAPC_Boston MA_ 2014 CEDS.V2			
3) Please attach Attachment 3	DPW - Financial.pdf			
4) Please attach Attachment 4	USGS, FEMA Pre Engineering Ma			
5) Please attach Attachment 5	Funding LetterMazetta - 2014			
6) Please attach Attachment 6	EDIC re Blackburn Sewer.pdf			
7) Please attach Attachment 7	MAPC Comments.pdf	Add Attachment	Delete Attachment	View Attachment
8) Please attach Attachment 8	01_Gloucester-envt narrative	Add Attachment	Delete Attachment	View Attachment
9) Please attach Attachment 9	US Fish & Wildlife 12-16-14.	Add Attachment	Delete Attachment	View Attachment
10) Please attach Attachment 10	Narrative - Draft #6.docx	Add Attachment	Delete Attachment	View Attachment
11) Please attach Attachment 11	Historic - Fish and Wildlife	Add Attachment	Delete Attachment	View Attachment
12) Please attach Attachment 12	Fishery Com Members.pdf	Add Attachment	Delete Attachment	View Attachment
13) Please attach Attachment 13	DPW - Ownership.pdf	Add Attachment	Delete Attachment	View Attachment
14) Please attach Attachment 14	Economic Distress Table Peab	Add Attachment	Delete Attachment	View Attachment
15) Please attach Attachment 15	Economic Distress Table Glou	Add Attachment	Delete Attachment	View Attachment



**Public Health**  
Prevent. Promote. Protect.

Health Department  
3 Pond Road, City Hall Annex  
Gloucester, Massachusetts 01930  
PHONE: 978-281-9771 · Fax: 978-281-9729  
EMAIL: [healthdept@gloucester-ma.gov](mailto:healthdept@gloucester-ma.gov)  
WEBSITE: [www.gloucester-ma.gov](http://www.gloucester-ma.gov)



## CITY OF GLOUCESTER

### **MEMO**

**To:** MAYOR SEFATIA ROMEO THEKEN & COUNCIL PRESIDENT PAUL MCGEARY  
**From:** NOREEN BURKE, PUBLIC HEALTH DIRECTOR  
**Date:** March 19, 2015  
**Subject:** APPLICATION/ACCEPTANCE OF NACCHO GRANT

---

Dear Mayor Romeo Theken & Council President McGeary ~

The Gloucester Health Department is happy to offer for review and City Council acceptance, a grant contract and award of \$3,500.00 from the National Association of County and City Health Officials (NACCHO).

The purpose of the grant is to provide funding that expands the capacity of our Civilian Volunteer Medical Reserve Corps (MRC) volunteers. MRC volunteers are regional medical professionals who could be called upon in the event of a public health emergency, such as a pandemic, or to support local and regional vaccine clinics during the winter flu season. The Gloucester Health Department is the host agency for the North Shore Emergency Preparedness Coalition, which oversees the activities of the MRC volunteers in our area.

Please feel free to contact me if your office or Council members have any further questions.

Respectfully,

NOREEN BURKE  
HEALTH DIRECTOR

Enc. GRANT COPY  
Cc: File



**City of Gloucester  
Grant Application and Check List**

Granting Authority: State \_\_\_\_\_ Federal X Other \_\_\_\_\_

Name of Grant: Medical Reserve Corps Capacity Building Award- Non-Competitive

Department Applying for Grant: HEALTH DEPARTMENT

Agency-Federal or State application is requested from: National Association of County and City Health Officials (NACCHO)

Object of the application: Building the MRC capacity to respond during public health emergency throughout North Shore/Cape Ann.

Any match requirements: No

Mayor's approval to proceed: \_\_\_\_\_  
Signature [Signature] Date 4/8/15

City Council's referral to Budget & Finance Standing Committee: \_\_\_\_\_  
Vote \_\_\_\_\_ Date \_\_\_\_\_

Budget & Finance Standing Committee: \_\_\_\_\_  
Positive or Negative Recommendation \_\_\_\_\_ Date \_\_\_\_\_

City Council's Approval or Rejection: \_\_\_\_\_  
Vote \_\_\_\_\_ Date \_\_\_\_\_

City Clerk's Certification of Vote to City Auditor: \_\_\_\_\_  
Certification \_\_\_\_\_ Date \_\_\_\_\_

City Auditor:  
Assignment of account title and value of grant: \_\_\_\_\_  
Title \_\_\_\_\_ Amount \_\_\_\_\_

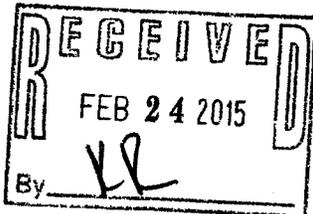
Grant Budget by line item account: \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

Auditor's distribution to managing department: \_\_\_\_\_  
Department \_\_\_\_\_ Date sent \_\_\_\_\_

**NOTE: A copy of all grant paperwork must be submitted to the Auditor's Office**

**National Association of County and City Health Officials  
Agreement**

National Association of County and City Health Officials  
1100 17<sup>th</sup> Street, NW, 7th Floor, Washington, DC 20036-4636  
(202)783-5550 FAX (202)783-1583



 COPY

CONTRACT # MRC 15 - 0482

This Agreement is entered into, effective as of the date of the later signature indicated below (the 'Effective Date'), by and between the **National Association of County and City Health Officials** ('NACCHO'), with its principal place of business at 1100 17<sup>th</sup> St., N.W., 7<sup>th</sup> Floor, Washington, DC 20036, and **City of Gloucester Health Department** ('Organization'), with its principal place of business at 3 Pond Road, Gloucester, Massachusetts 01929-30

WHEREAS, NACCHO has received a grant from the Department of Health and Human Services (Grant # 5 MRCSG101005-04-00, CFDA # 93.008) (the 'Grant') to build the capacity of local Medical Reserve Corps ('MRC') units;

WHEREAS, pursuant to the terms of the Grant, NACCHO has agreed, among other things, to provide support to MRC units and to encourage these units to provide certain information to the Office of the Assistance Secretary for Preparedness and Response's Division of the Civilian Volunteer Medical Reserve Corps ('ASPR/DCVMRC');

WHEREAS, Organization either houses or is itself an MRC unit that is registered in good standing with the ASPR/DCVMRC;

WHEREAS, pursuant to the terms of the Grant, NACCHO desires to provide funding to Organization in exchange for Organization agreeing, among other things, to undertake the activities indicated in their capacity building application or oversee such activities and to provide certain information to the ASPR/DCVMRC.

NOW, THEREFORE, NACCHO and Organization, intending to be legally bound, in consideration of the promises and mutual covenants and obligations contained herein, hereby agree as follows:

1. **ORGANIZATION'S OBLIGATIONS:** In consideration for the payment described in Section 3, below, Organization agrees, during the Term of this Agreement, to be an MRC Unit in Good Standing by meeting the following criteria below. If Organization houses an MRC Unit, Organization will ensure that the unit is an MRC Unit in Good Standing by meeting the following criteria below.

1. Have 501c(3) or comparable status or be housed in an organization capable of and willing to receive federal funds on its behalf;
2. Monitors and provide updates to the MRC Unit's profile on the MRC web site no less often than once every three months;
3. Provides the ASPR/DCVMRC with regular updates of programs and plans;
4. Actively works towards National Incident Management System ("NIMS") compliance;
5. Agrees to participate in MRC Unit Technical Assistance assessments;
6. Utilizes capacity building award funds for approved purposes, and as indicated in their capacity building award application;
7. Maintains Registered status with the ASPR/DCVMRC; and
8. Agrees to complete program/event/activity evaluations provided by NACCHO

2. **TERM OF AGREEMENT**: The term of the Agreement shall be begin on January 8, 2015 and shall continue until July 31, 2015 (the "Term").

3. **PAYMENT FOR SERVICES**: In consideration for the agreements by Organization set forth in Section 1, above, NACCHO shall pay Organization Three thousand Five Hundred Dollars (\$3500.00). Payment will be made before the expiration of the Term of the Agreement.

4. **REVISIONS AND AMENDMENTS**: Any revisions or amendments to this Agreement must be made in writing and signed by both parties.

5. **ASSIGNMENT**: Organization may not assign this Agreement nor delegate any duties herein without the expressed written approval of NACCHO.

6. **INTERFERING CONDITIONS**: Organization shall promptly and fully notify NACCHO of any condition that interferes with, or threatens to interfere with, the successful carrying out of Organization's duties and responsibilities under this Agreement, or the accomplishment of the purposes thereof. Such notice shall not relieve Organization of said duties and responsibilities under this Agreement.

7. **RESOLUTION OF DISPUTES**: The parties shall use their best, good faith efforts to cooperatively resolve disputes and problems that arise in connection with this Agreement. Both parties will make a good faith effort to continue without delay to carry out their respective responsibilities under the Agreement while attempting to resolve the dispute under this section. If a dispute arises between the parties that cannot be resolved by direct negotiation, the dispute shall be submitted to a dispute board for a nonbinding determination. Members of the dispute board shall be the Director or Chief Executive Officer of the Organization, the Executive Director of NACCHO, and the Senior Staff of NACCHO responsible for this Agreement. The costs of the dispute board shall be paid by the Organization and NACCHO in relation to the actual costs

incurred by each of the parties. The dispute board shall timely review the facts, Agreement terms and applicable law and rules, and make its determination. If such efforts fail to resolve the differences, the disputes will be submitted to arbitration in the District of Columbia before a single arbitrator in accordance with the then-current rules of the American Arbitration Association. The arbitration award shall be final and binding upon the parties and judgment may be entered in any court of competent jurisdiction.

8. **ENTIRE AGREEMENT:** This Agreement contains all agreements, representations, and understandings of the parties and supersedes and replaces any and all previous understandings, commitments, or agreements, oral or written.

9. **PARTIAL INVALIDITY:** If any part, term, or provision of this Agreement shall be held void, illegal, unenforceable, or in conflict with any law, that part, term or provision shall be restated to effectuate the parties' intentions, and the validity of the remaining portions or provisions shall not be affected.

10. **GOVERNING LAW:** This Agreement shall be governed by and construed in accordance with the laws of the District of Columbia (without regard to its conflict of law rules).

11. **COMPLIANCE WITH FEDERAL LAWS AND REGULATIONS:** Organization's use of funds under this Agreement is subject to the directives of and full compliance with 45 C.F.R. Part 74 (Uniform Administrative Requirements for Awards and Subawards to Institutions of Higher Education, Hospitals, Other Non-Profit Organizations, and Commercial Organizations) and OMB Circular A-110 (Uniform Administrative Requirements for Grants and Agreements With Institutions of Higher Education, Hospitals, and Other Non-Profit Organizations). It is the Organization's responsibility to understand and comply with all requirements set forth therein.

12. **DEBARRED OR SUSPENDED ORGANIZATIONS:** Pursuant to OMB Circular A-110, Organization certifies to the best of its knowledge that its is not presently and will execute no subcontract with parties listed on the General Services Administration's List of Parties Excluded from Federal Procurement or Nonprocurement Programs in accordance with E.O.s 12549 and 12689, "Debarment and Suspension."

13. **AUDITING:** Organization agrees to permit independent auditors to have access to its books, records and financial statements for the purpose of monitoring compliance with this contract.

14. **NOTICE:** All notices under this Agreement shall be in writing and shall be sent via facsimile and first class mail, postage prepaid, to the addresses below. Either party may update its address by providing written notice to the other party pursuant to the terms of this provision.

FOR NACCHO:

National Association of County and City Health Officials  
Attn: Naccho MRC Team  
1100 17<sup>th</sup> Street, N.W., 7<sup>th</sup> Floor  
Washington, D.C. 20036  
Tel. (202) 873-5550

Fax (202) 783-1583  
Email: [mrc@naccho.org](mailto:mrc@naccho.org)

FOR CONTRACTOR:

TO ORGANIZATION:

City of Gloucester Health Department  
~~Caroline Kirk~~ Sefatia Romeo Theken  
Mayor  
3 Pond Road  
Gloucester, Massachusetts 01929<sup>30</sup>  
Tel. 9782819700

L.J.

L.J.

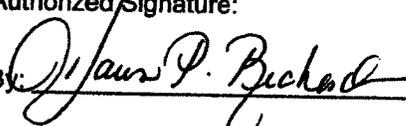
15. AUTHORITY TO BIND PARTY: Each party hereby represents and warrants that the person signing this Agreement on its behalf as the authority to bind such party.

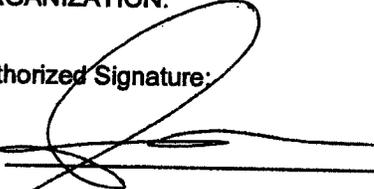
NACCHO:

ORGANIZATION:

Authorized Signature:

Authorized Signature:

By: 

By: 

Name: Dawn P. Richardson,  
JD, MA

Name: Sefatia Romeo Theken  
~~Caroline Kirk~~

L.J.

Organization: National Association  
of County and City  
Health Officials

Organization: City of Gloucester  
Health Department

Address: 1100 17<sup>th</sup> Street, NW  
Washington, DC  
20036

Address: 3 Pond Road  
Gloucester,  
Massachusetts  
01929<sup>30</sup>

L.J.

Phone: 202-507-4264

Phone: 9782819700

Fax: 202-783-1583

Fax: 9782819738

EIN: 52-1426663

EIN: 046001390

Date:

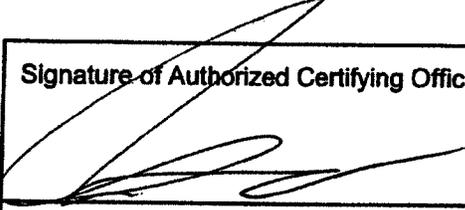
3/10/2015

Date:

2/12/15

CERTIFICATION OF NON-DEBARMENT OR SUSPENSION

By my signature I attest that **City of Gloucester Health Department** has not been debarred or suspended pursuant to OMB Circular A-110 and will not subcontract with parties listed on the General Services Administration's List of Parties Excluded from Federal Procurement or Nonprocurement Programs in accordance with E.O.s 12549 and 12689 'Debarment and Suspension.'

Signature of Authorized Certifying Official 	Title  MAYOR
Organization  City of Gloucester	Date Signed  2.12.2015

**CITY OF GLOUCESTER**

**ACCOUNT BUDGET**

**DEPARTMENT NAME:** Health Department

**ACCOUNT NAME:** NACCHO

**FUND NUMBER AND NAME: (N/A FOR NEW FUND)** 292091

**CFDA # (Required for Federal Grants):** 93.008

**DATE PREPARED:** 3/19/2015

**APPROVED  
AMENDED BUDGET**

OBJECT	ORIGINAL BUDGET	AMENDED BUDGET (IF APPLICABLE)	AMENDED REQUEST	REVISED BUDGET
REVENUE (4_____)				
46800	\$3,500.00			\$3,500.00
				\$0.00
				\$0.00
<b>Total:</b>	\$3,500.00	\$0.00	\$0.00	\$3,500.00
EXPENSE (5_____)				
52000	\$3,000.00			\$3,000.00
54000	\$500.00			\$500.00
<b>Total:</b>	\$3,500.00	\$0.00	\$0.00	\$3,500.00

DEPARTMENT HEAD SIGNATURE

*Noreen Burke*

DATE ENTERED (AUDIT) \_\_\_\_\_

AUDITING DEPARTMENT INITIALS \_\_\_\_\_

**FORM: AUDIT ACCOUNT BUDGET - V1**