



# OFFICE OF THE STATE AUDITOR

*Suzanne M. Bump*

**FOR IMMEDIATE RELEASE:**

August 10, 2017

**CONTACT:**

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## **Bump Calls for Improved Administration of Leased Properties and Financing for Capital Projects in Barnstable County**

**Boston, MA**—Auditor Suzanne M. Bump today released an audit of aspects of Barnstable County’s operations and administration of leased property, capital expenditure program, and its non-payroll expenditures. The audit was conducted at the request of Barnstable County Commissioners.

“I commend the leadership at Barnstable County for taking the proactive step of reaching out to my office for an independent assessment of its operations,” Bump said of the audit. “I am encouraged that County leadership has indicated their intent to correct the deficiencies identified in this audit, and I hope this document will serve as a tool to guide their efforts.”

This audit found the County did not properly administer the leasing of its properties. During the audit period of July 1, 2013 through June 30, 2015, none of the nine leased properties owned by the County followed proper leasing requirements established by state law. Barnstable County has a charter that speaks generally about leasing its property; however it does not adequately establish policies and procedures related to leasing. In the absence of such policies, the audit recommends that the County abide by existing state law.

State requirements include having an independent appraisal done within the previous fiscal year, offering the properties first to the Commonwealth and the cities and towns in which the properties are located, and maintaining adequate documentation of the leasing of each property. Seven of the tenants occupying County properties during the audit period had no leases, and were not paying any rent to the County. In addition, five of these seven also had their utilities, grounds maintenance, information technology expenses, and parking lot use paid by the County. This deficiency potentially resulted in a significant loss of revenue for the County.

The audit also recommended improvement to the County’s process for financing capital projects. Rather than issuing bonds to pay for long-term capital improvement projects, the county routinely funded these projects using its cash-on-hand. As a result, many necessary projects were never completed due to a lack of funds.

Lastly, the audit found that Barnstable County had inadequate documentation for expenditures totaling \$229,133. This includes payments to nonprofit organizations, as well as expenditures for items such as gift cards, food, and meeting venues. Proper documentation ensures that expenditures were appropriate, necessary, and related to County business.

As a result of these findings, Bump called on the County to develop an overall internal control plan to ensure it makes sound financial and policy decisions.

In response to the audit, the County indicated it is taking action to address all of the findings and recommendations.

The county consists of 15 towns: Bourne, Sandwich, Falmouth, Mashpee, Barnstable, Yarmouth, Harwich, Dennis, Brewster, Chatham, Orleans, Eastham, Wellfleet, Truro, and Provincetown. The county commission is made up of three members who provide administration and oversight of county government. In addition, county budgeting is overseen by an assembly of delegates that is made up of one delegate from each of the towns.

The audit of Barnstable County is attached.

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#### **About the Office of the State Auditor**

The Office of the State Auditor conducts performance audits of state government's programs, departments, agencies, authorities, contracts, and vendors. With its reports, the OSA issues recommendations to improve accountability, efficiency, and transparency. The OSA has identified approximately \$1.3 billion in unallowable, questionable, or potentially fraudulent spending and saving opportunities for the Commonwealth since 2011. Last year, auditees report implementation of 91 percent of the OSA's audit recommendations. Last year, the office [received the Einhorn-Gary Award](#) for its success furthering government accountability.

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Commonwealth of Massachusetts  
Office of the State Auditor  
Suzanne M. Bump

*Making government work better*

Official Audit Report – Issued August 10, 2017

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## Barnstable County

For the period July 1, 2013 through June 30, 2015





Commonwealth of Massachusetts  
Office of the State Auditor  
Suzanne M. Bump

*Making government work better*

August 10, 2017

Mr. Jack Yunits, Administrator  
Barnstable County  
3195 Main Street  
Barnstable, MA 02630

Dear Mr. Yunits:

I am pleased to provide this performance audit of Barnstable County. This report details the audit objectives, scope, methodology, findings, and recommendations for the audit period, July 1, 2013 through June 30, 2015. My audit staff discussed the contents of this report with management of the County, whose comments are reflected in this report.

I would also like to express my appreciation to Barnstable County for the cooperation and assistance provided to my staff during the audit.

Sincerely,

A handwritten signature in blue ink, appearing to read "SMB", written over a light blue circular stamp.

Suzanne M. Bump  
Auditor of the Commonwealth

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## EXECUTIVE SUMMARY

In accordance with Section 12 of Chapter 11 of the Massachusetts General Laws, at the request of the Barnstable County Commissioners, the Office of the State Auditor has conducted an audit of certain aspects of Barnstable County’s operations for the period July 1, 2013 through June 30, 2015.

In this performance audit, we reviewed and assessed certain aspects of the County’s administration of the leasing of its property, its capital expenditure program, and its non-payroll expenditures.

Below is a summary of our findings and recommendations, with links to each page listed.

<b>Finding 1</b> <b>Page <a href="#">5</a></b>	Barnstable County did not properly administer the leasing of its properties.
<b>Recommendations</b> <b>Page <a href="#">6</a></b>	<ol style="list-style-type: none"><li>1. The County should establish formal written policies and procedures regarding the leasing of its properties.</li><li>2. County administrators should establish monitoring controls to ensure that these policies and procedures are followed after they have been established and implemented.</li><li>3. If the County believes that some of the agreements with its tenants are not in its best interest, it may want to obtain legal advice as to whether it can renegotiate and/or terminate any of them.</li></ol>
<b>Finding 2</b> <b>Page <a href="#">7</a></b>	The County’s process for financing capital projects needed improvement.
<b>Recommendation</b> <b>Page <a href="#">8</a></b>	The County should develop and document policies and procedures regarding the issuance of debt that include steps to identify the type of debt to issue in each instance, assess whether the County can issue the debt before it seeks an ordinance from the assembly of delegates to establish the projects that should be financed with debt, and determine how and to whom the debt should be issued. This process should be monitored so that the board of County commissioners and the assembly of delegates are aware of whether debt has been issued as outlined in the approved budgets.
<b>Finding 3</b> <b>Page <a href="#">9</a></b>	The County inadequately documented expenditures totaling \$229,133.
<b>Recommendations</b> <b>Page <a href="#">10</a></b>	<ol style="list-style-type: none"><li>1. The County should establish written policies and procedures regarding non-payroll expenditures.</li><li>2. County administrators should establish monitoring controls to ensure that these policies and procedures are followed after they are established.</li></ol>

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## OVERVIEW OF AUDITED ENTITY

Barnstable County operates under Chapters 34 and 35 of the Massachusetts General Laws. It consists of 15 towns: Bourne, Sandwich, Falmouth, Mashpee, Barnstable, Yarmouth, Harwich, Dennis, Brewster, Chatham, Orleans, Eastham, Wellfleet, Truro, and Provincetown. According to its website, the County’s mission is to “promote and sustain a pro-active open government that enhances the quality of life for the citizens of Barnstable County.”

The Barnstable County Home Rule Act created the County government of Barnstable, consisting of an elected assembly of delegates as the lawmaking division and a board of County commissioners responsible for carrying out the laws. The assembly of delegates consists of 15 delegates, 1 representing each of the 15 towns. Its main job is to authorize the County’s annual operating budget. The board of County commissioners consists of three elected individuals serving four-year staggered terms and is responsible for the administration of County government. Specifically, it provides oversight to County agencies, an annual operating budget, and care of County property and finances. It is also responsible for appointing the County administrator. The Barnstable County Home Rule Charter<sup>1</sup> authorizes the board to tax towns by requiring them to pay a certain percentage of the assessed valuation of their properties to fund regional services.

The current County administrator was appointed at the end of February 2016, and the finance director was hired at the end of September 2015; both these dates are after the audit period. Former County administrators were responsible for the County’s total revenue and expenditures for government and business activities during fiscal years 2014 and 2015, which are outlined below.

	Fiscal Year 2014	Fiscal Year 2015
<b>Total Revenue</b>	\$29,631,935	\$30,141,391
<b>Total Expenditures</b>	30,501,705*	31,537,804*
<b>Balance</b>	<u>(\$ 869,770)</u>	<u>(\$1,396,413)</u>

\* The County’s financial statements for fiscal years 2014 and 2015 show that reserves were used to fund the fiscal year operating budgets.

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1. In 1989, the Barnstable County Home Rule Charter was enacted by an act of the Massachusetts General Court and confirmed by a majority of Barnstable County voters.

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## AUDIT OBJECTIVES, SCOPE, AND METHODOLOGY

In accordance with Section 12 of Chapter 11 of the Massachusetts General Laws, the Office of the State Auditor has conducted a performance audit of certain activities of Barnstable County for the period July 1, 2013 through June 30, 2015.

We conducted this performance audit in accordance with generally accepted government auditing standards. Those standards require that we plan and perform the audit to obtain sufficient, appropriate evidence to provide a reasonable basis for our findings and conclusions based on our audit objectives. We believe that the evidence obtained provides a reasonable basis for our findings and conclusions based on our audit objectives.

Below is a list of our audit objectives (which were agreed to by Barnstable County officials), indicating each question we intended our audit to answer; the conclusion we reached regarding each objective; and where each objective is discussed in the audit findings.

Objective	Conclusion
1. Did leases and uses of County property during the audit period comply with applicable General Laws, other authoritative pronouncements, and the Barnstable County Home Rule Charter?	<b>No; see Finding 1</b>
2. Did the County properly administer its Capital Expenditure Program to ensure that expenditures were authorized and funded in compliance with applicable General Laws and the Barnstable County Home Rule Charter and were formally approved by the board of County commissioners?	<b>No; see Finding 2</b>
3. Were certain County-identified expenditures that were made during the audit period properly authorized, documented, and allowable in accordance with applicable General Laws and other authoritative guidance?	<b>No; see Finding 3</b>

To achieve our objectives, we performed the following procedures:

- For the leasing and use of County-owned property, we examined all the available lease documents and a list of the 16 tenants who occupied County-owned property during the audit period. We also examined the agendas and minutes for the meetings of the board of County commissioners and the assembly of delegates during our audit period to determine whether leases were properly executed and recorded in accordance with the General Laws and other applicable requirements.

- For the funding of capital expenditures through bonds and notes, we obtained from County officials the capital expenditure amounts proposed and funded by the County during the audit period. We examined ordinances approved by the assembly of delegates during the audit period to identify the types and amounts of capital expenditures that were proposed and approved. Finally, we listed the capital expenditure amounts and determined whether and how these capital projects were funded.
- For expense testing, we selected a nonstatistical sample of 95 non-payroll operational expenditures, totaling \$229,133, made during the audit period (out of a total of 375 expenditures, totaling \$311,596) to determine whether they were reasonable and allowable and whether there was adequate supporting documentation. Because we applied a nonstatistical approach, the results of our test cannot be projected to the entire population and apply only to the items selected.
- We determined the reliability of data from the County's financial-reporting system by performing a source-documentation review between the system and original source documents, such as payment vouchers and warrants, for certain transactions. In addition, we compared these documents to the general ledger for accuracy. We also made relevant inquiries of management personnel who were responsible for the reliability of the data. We determined that the data were sufficiently reliable for the purposes of our audit report.

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## DETAILED AUDIT FINDINGS WITH AUDITEE'S RESPONSE

### 1. Barnstable County did not properly administer the leasing of its properties.

For all nine properties owned by Barnstable County that were leased during the audit period, there was insufficient evidence that the County followed proper leasing requirements. Requirements that the County did not follow included (1) first offering the properties to the Commonwealth and the cities and towns in which the properties are located, (2) having an independent appraisal done within the previous fiscal year, and (3) maintaining adequate documentation of its actions regarding the leasing of these properties, such as approved ordinances and leases.

Further, seven tenants occupied County properties with no leases and, according to County records, were not paying any rent to the County; in addition, five of these seven had their utilities, grounds maintenance, information technology (IT) expenses, and parking lot use paid for by the County. For example, according to County officials, the Cape Light Compact occupied approximately 1,803 square feet of the Superior Courthouse building during the audit period and did not pay any rent to the County. In addition, the County paid for utilities, maintenance, parking, and occasionally IT assistance. As a result, the County lost a substantial amount of revenue that it could have used to fund its operations and capital projects. Further, because it did not enter into formal written leases with all of its tenants, the County did not formally establish the terms and conditions of the occupancy and the responsibilities and liabilities of both parties in case issues should arise. For example, without a formal written lease, it is unclear how much space is available to the tenants, how long the tenants are allowed to occupy the space, who is responsible for maintenance or damage, whether utility costs are included, how much rent is owed to the County, and in what increments rents are due.

### Authoritative Guidance

Section 14 of Chapter 34 of the Massachusetts General Laws establishes various requirements that counties must follow when leasing their properties:

*Any real estate offered for sale or lease, by a county shall first be offered for sale or lease to the commonwealth and upon the non-acceptance by the commonwealth of any such offer, shall then be offered for sale or lease to the city or town where such land is located. . . .*

*Any contract for the sale or lease [of] real estate executed in violation of this section shall be voidable.*

Additionally, counties are required to maintain documentation in the form of ordinances and meeting minutes. According to Section 2-8(d)(vii) of the Barnstable County Home Rule Charter, an ordinance is required for "the conveyance or lease of any real estate belonging to the Cape Cod government."

According to Section 10 of Chapter 34 of the General Laws, the County is required to maintain documentation of its actions that includes the review and approval of leases:

*[Counties and County Commissioners] shall keep a full and complete record of the proceedings at all their meetings and, if their vote or decision is not unanimous, the record shall show how each commissioner voted.*

In order to properly manage its properties with certainty and clarity, protect itself from any claims or liabilities that may arise from the use of its properties, and adequately substantiate claims for payment and/or services that it provides to tenants, the County should execute formal written leases with all of its tenants.

## **Reasons for Noncompliance**

Current Barnstable County officials could not explain why leases were administered in this manner, but we determined that the County did not have adequate controls over its property-leasing process (e.g., formal written policies and procedures) that ensured that all properties leased by the County were leased in accordance with all legal and other requirements, were properly authorized and documented, and had leases whose terms and conditions were in the County's best interest.

## **Recommendations**

1. The County should establish formal written policies and procedures regarding the leasing of its properties.
2. County administrators should establish monitoring controls to ensure that these policies and procedures are followed after they have been established and implemented.
3. If the County believes that some of the agreements with its tenants are not in its best interest, it may want to obtain legal advice as to whether it can renegotiate and/or terminate any of them.

## **Auditee's Response**

*Incorporating the authoritative guidance described as well as any other applicable Massachusetts General Laws, Special Acts of the Legislature, and industry best practices, the County will draft written policies and procedures for the care and custody of all County assets, including the*

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*leasing of County-owned property. These written policies and procedures will be monitored by the County Administrator upon the approval of the County Commissioners.*

*All current leases are under administrative review. Some tenants including those without lease agreements have vacated County property and other tenants will be required to vacate or make acceptable arrangements to continue to occupy space.*

## **2. The County's process for financing capital projects needed improvement.**

The County did not arrange for the proper financing of its capital projects. Although the County ordinances that approved these projects also authorized the County to issue debt in the form of bonds and/or notes to fund them, the County routinely funded the projects using money that was properly approved to fund its General Fund (annual operating expenses), not to issue debt. As a result, many capital projects that the County deemed necessary were not completed. For example, between July 1, 2013 and June 30, 2015 the County approved \$6,543,200 in capital projects, but because it did not secure debt to finance these projects, it was only able to finance \$2,352,773 of them. Further, the County's financial records show a deficit balance of approximately \$8 million in its Capital Project Fund, which could negatively affect any future borrowing the County wants to conduct. Finally, by using money from its General Fund to fund capital projects, the County lost the opportunity to invest any excess funding that may have been available to it.

As part of its budgeting process, the County's director of Finance identifies and details proposed capital project expenditures<sup>2</sup> for each fiscal year in the County's 5-Year Capital Improvement Plan, as well as the method by which the County plans to fund those expenditures. The County's budget is presented to both the board of County commissioners and the assembly of delegates<sup>3</sup> for review and approval by ordinance. During our audit period, the board of County commissioners and the assembly of delegates approved ordinances for bonds to finance capital project expenditures totaling \$6,543,200, as detailed in the table below. However, instead of doing so, the County used its then-current general operating funds for these capital project expenditures. According to Barnstable County officials, this has been happening since 1996 (for details on capital projects since 1995, see Appendix).

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2. Capital project expenditures are purchases of large-scale and high-cost goods or services with multiple years of useful life (as opposed to operating costs that are expended for shorter terms, usually a year). For example, the repair and purchase of IT equipment needed to upgrade the County's IT structure, the repair of County-owned large machinery, and the purchase of additional large machinery are capital project expenditures.

3. The governing agents of the County are the three members of the board of county commissioners: a chair, vice-chair, and commissioner, as well as an assembly of delegates from the various towns in the county. The assembly of delegates is the County's legislative branch.

Approved Capital Projects (by budget category)	Fiscal Year 2014 Amount (Ordinance 13-03)	Fiscal Year 2015 Amount (Ordinance 14-02)
General Government*	\$ 580,000	\$ 791,500
County Services†	3,111,400	1,214,200
Health and Human Services	0	96,100
Planning and Development	0	750,000
<b>Total</b>	<b><u>\$3,691,400</u></b>	<b><u>\$2,851,800</u></b>

\* This includes the assembly of delegates, board of County commissioners, Resource Development Office, IT Office, and Department of Finance.

† This includes the Department of Facilities, Education Department, Registry of Deeds, and County Dredge. (The County provides dredging services at a low cost to enhance coastal navigation. According to the Barnstable County Strategic Plan, to date the Dredge has cleared more than 1.5 million cubic yards of material from navigation channels and saved towns more than \$11 million in dredging costs.)

## Authoritative Guidance

The Division of Local Services within the state Department of Revenue has issued a best-practice statement, “Understanding Municipal Debt,” that outlines the uses and applications of long-term and short-term debt. This guidance states that communities have an ongoing responsibility to create and maintain their capital assets without endangering their cash flows by funding their annual expenditures with the revenue they generate; issuing bonds is a vehicle to reach this goal.

## Reasons for Issues

The County did not have documented policies and procedures as to how capital projects should be identified, proposed, prioritized, approved, and financed. Current Barnstable County administrators could not explain why the former administrators had not established such policies and procedures or issued bonds.

## Recommendation

The County should develop and document policies and procedures regarding the issuance of debt that include steps to identify the type of debt to issue in each instance, assess whether the County can issue the debt before it seeks an ordinance from the assembly of delegates to establish the projects that should be financed with debt, and determine how and to whom the debt should be issued. This process should be monitored so that the board of County commissioners and the assembly of delegates are aware of whether debt has been issued as outlined in the approved budgets.

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## Auditee's Response

*The County, through its Finance Director and County Administrator will develop a comprehensive set of policies and procedures which will expand and improve the Capital budgeting process. At a minimum, these procedures should include an expanded review process prior to budgeting which looks at the forecast of needs, the affordability of capital spending in the current and future years, debt management, and regular reporting of the status of approved projects.*

### **3. The County inadequately documented expenditures totaling \$229,133.**

We reviewed a judgmental nonstatistical sample of 95 non-payroll expenditures, totaling \$229,133, made by the County during our audit period and found that the County did not have adequate documentation to substantiate that the expenditures were appropriate and related to County business. Because the County did not ensure that proper documentation was maintained for all expenses, there is a higher-than-acceptable risk that its funds could be misappropriated or expended for unallowable goods or services and that these issues could go undetected.

Specifically, 48 of these expenditures (totaling \$218,750) were paid to nonprofit organizations such as the Arts Foundation and Elder Services of Cape Cod, and it was unclear whether they were for services provided to the County. The remaining 47 expenditures (totaling \$10,383), for various gift cards, food items, and meeting venues, were made without evidence of properly approved invoices and purchase orders.

## Authoritative Guidance

According to Section 2 of Article XVIII of the Massachusetts Constitution (the Anti-Aid Amendment), expenditures of public funds are to be made only to entities that are publicly owned, authorized, or controlled by the Commonwealth or the federal government:

*No grant, appropriation or use of public money or property or loan of public credit shall be made or authorized by the commonwealth or any political division thereof for the purpose of founding, maintaining or aiding any other school or institution of learning, whether under public control or otherwise, wherein any denominational doctrine is inculcated, or any other school, or any college, infirmary, hospital, institution, or educational, charitable or religious undertaking which is not publicly owned and under the exclusive control, order and superintendence of public officers or public agents authorized by the commonwealth or federal authority or both.*

According to Section 11 of Chapter 35 of the General Laws, expenditures made by the County must be accompanied by supporting documentation:

*No payments . . . shall be made by a treasurer except upon orders drawn and signed by a majority of the county commissioners, certified by their clerk and accompanied, except in Suffolk county, by the original bills, vouchers or evidences of county indebtedness for which payment is ordered, stating in detail the items and confirming the account.*

## **Reasons for Undocumented Expenses**

The County does not have adequate controls over non-payroll expenditures (e.g., written policies and procedures) to ensure that all County expenditures are made in accordance with all requirements and are properly authorized and documented.

## **Recommendations**

1. The County should establish written policies and procedures regarding non-payroll expenditures.
2. County administrators should establish monitoring controls to ensure that these policies and procedures are followed after they are established.

## **Auditee's Response**

*The County will undertake a comprehensive review and analysis of non-payroll expenditures. The County will further undertake a review of authoritative guidance, relevant Massachusetts General Laws, Special Acts of the Legislature, and best practices in municipal finance and thereafter the Finance Director and County Administrator will develop a comprehensive set of policies and procedures for the departments to follow for non-payroll expenditures. The County will also establish and implement monitoring controls that will ensure policies and procedures are consistently followed.*

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## OTHER MATTERS

### **Barnstable County should develop an overall internal control system and plan.**

Although it was not part of our audit objectives, during our audit we found that Barnstable County had not developed an overall internal control system or a documented internal control plan (ICP). This issue hindered the County's ability to make sound finance and policy decisions, which resulted in a capital-fund deficit, poorly documented leases of County property, and questionable expenditures of County operational funds, as evidenced by our audit findings. These issues could have been mitigated by an overall internal control system and clearly documented ICP.

The Office of the State Comptroller's Internal Control Guide, updated June 2015, explains the importance of having a documented ICP:

*The internal control plan is a summary describing how a department expects to meet its various goals and objectives by using mitigating controls to minimize risk. . . .*

*Since a department's policies and procedures are the control activities for the internal control plan, it is important that they be reviewed in conjunction with the plan, and referenced where appropriate. . . .*

*Risk assessment is all about measuring and prioritizing risks so that risk levels are managed within defined tolerance thresholds without being over controlled or forgoing desirable opportunities. . . .*

*[Control activities consist] of actions management establishes through policies and procedures to achieve objectives and respond to risks in the internal control system. . . .*

*Policies and Procedures are the strategic link between the mission statement and day-to-day operations. Well-written policies and procedures allow employees to clearly understand their roles and responsibilities within predefined limits.*

According to Chapter 647 of the Acts of 1989, state agencies are required to clearly document their internal control systems and all of their transactions, provide supervision of internal controls, assign an internal control officer responsible for evaluating the internal control system annually, and update the ICP as necessary. More specifically, it states,

*Notwithstanding any general or special law to the contrary, the following internal control standards shall define the minimum level of quality acceptable for internal control systems in operation throughout the various state agencies and departments and shall constitute the criteria*

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*against which such internal control systems will be evaluated. Internal control systems for the various state agencies and departments of the commonwealth shall be developed in accordance with internal control guidelines established by the office of the comptroller.*

- (A) Internal control systems of the agency are to be clearly documented and readily available for examination. Objectives for each of these standards are to be identified or developed for each agency activity and are to be logical; applicable and complete. Documentation of the agency's internal control systems should include (1) internal control procedures, (2) internal control accountability systems and (3), identification of the operating cycles. Documentation of the agency's internal control systems should appear in management directives, administrative policy, and accounting policies, procedures and manuals.*
- (B) All transactions and other significant events are to be promptly recorded, clearly documented and properly classified. Documentation of a transaction or event should include the entire process or life cycle of the transaction or event, including (1) the initiation or authorization of the transaction or event, (2) all aspects of the transaction while in process and (3), the final classification in summary records. . . .*
- (E) Qualified and continuous supervision is to be provided to ensure that internal control objectives are achieved. The duties of the supervisor in carrying out this responsibility shall include (1) clearly communicating the duties, responsibilities and accountabilities assigned to each staff member, (2) systematically reviewing each member's work to the extent necessary and (3), approving work at critical points to ensure that work flows as intended. . . .*

*Within each agency there shall be an official, equivalent in title or rank to an assistant or deputy to the department head, whose responsibility, in addition to his regularly assigned duties, shall be to ensure that the agency has written documentation of its internal accounting and administrative control system on file. Said official shall, annually, or more often as conditions warrant, evaluate the effectiveness of the agency's internal control system and establish and implement changes necessary to ensure the continued integrity of the system. Said official shall in the performance of his duties ensure that: (1) the documentation of all internal control systems is readily available for examination by the comptroller, the secretary of administration and finance and the state auditor, (2) the results of audits and recommendations to improve departmental internal controls are promptly evaluated by the agency management, (3) timely and appropriate corrective actions are effected by the agency management in response to an audit and (4), all actions determined by the agency management as necessary to correct or otherwise resolve matters will be addressed by the agency in their budgetary request to the general court.*

Although the County is not required to develop an ICP, we believe that the development and implementation of such a plan will help the County better ensure that it is able to adequately safeguard its assets; accurately account for its activities, such as leasing, financing capital expenditures, and ensuring that all transactions are properly authorized and approved and that adequate supporting documentation is maintained; and comply with applicable laws, rules, and regulations, such as the Barnstable County Home Rule Charter and the Anti-Aid Amendment.

## APPENDIX

### Capital Projects since 1995

Fiscal Year Bonds Approved and Ordinance Number	Approved Capital Projects (by budget category and amount)					
	County Services*	General Government†	Health and Human Services	Public Safety‡	Planning and Development	Total
<b>Fiscal Year 1995 (Ordinance 94-5)</b>	\$ 167,000	\$ 0	\$ 13,450	\$ 24,000	\$ 0	\$ 204,450
Fiscal Year 1996 (Ordinance 95-8)	97,000	0	17,000	0	0	114,000
<b>Fiscal Year 1997 (Ordinance 96-4)</b>	302,000	0	9,000	200,000	0	511,000
Fiscal Year 1998 (Ordinance 97-4)	254,000	0	78,900	7,500	0	340,400
<b>Fiscal Year 1998 (Ordinance 97-10)</b>	70,000	60,000	22,000	0	0	152,000
Fiscal Year 1999 (Ordinance 98-11)	334,000	0	16,240	0	0	350,240
<b>Fiscal Year 2000 (Ordinance 99-9)</b>	339,500	0	47,500	43,000	0	430,000
Fiscal Year 2001 (Ordinance 00-12)	207,300	0	84,500	23,000	0	314,800
<b>Fiscal Year 2002 (Ordinance 01-17)</b>	74,000	0	58,000	28,500	0	160,500
Fiscal Year 2003 (Ordinance 02-09)	82,500	77,000	133,900	15,000	0	308,400
<b>Fiscal Year 2004 (Ordinance 03-10)</b>	222,500	0	15,000	0	0	237,500
Fiscal Year 2005 (Ordinance 04-13)	540,000	75,000	53,700	0	0	668,700
<b>Fiscal Year 2006 (Ordinance 05-12)</b>	180,500	0	292,000	0	0	472,500
Fiscal Year 2007 (Ordinance 06-12)	294,100	0	73,000	0	0	367,100
<b>Fiscal Year 2008 (Ordinance 07-04)</b>	237,000	165,000	0	0	0	402,000
Fiscal Year 2009 (Ordinance 08-05)	405,000	651,000	30,000	0	0	1,086,000
<b>Fiscal Year 2010 (Ordinance 09-03)</b>	215,000	5,000	0	0	0	220,000

Fiscal Year Bonds Approved and Ordinance Number	Approved Capital Projects (by budget category and amount)					
	County Services*	General Government†	Health and Human Services	Public Safety‡	Planning and Development	Total
<b>Fiscal Year 2011 (Ordinance 10-04)</b>	255,000	101,630	900,000	0	0	1,256,630
<b>Fiscal Year 2012 (Ordinance 11-06)</b>	440,000	546,410	296,500	0	0	1,282,910
<b>Fiscal Year 2013 (Ordinance 12-04)</b>	516,000	798,400	68,700	0	0	1,383,100
<b>Fiscal Year 2014 (Ordinance 13-03)</b>	3,111,400	580,000	0	0	0	3,691,400
<b>Fiscal Year 2015 (Ordinance 14-02)</b>	1,214,200	791,500	96,100	0	750,000	2,851,800
<b>Fiscal Year 2016 (Ordinance 15-05)</b>	1,333,500	325,000	97,000	0	0	1,755,500
<b>Total</b>	<u>\$10,891,500</u>	<u>\$4,175,940</u>	<u>\$2,402,490</u>	<u>\$ 341,000</u>	<u>\$ 750,000</u>	<u>\$ 18,560,930</u>

\* This includes the Department of Facilities, Education Department, Registry of Deeds, and County Dredge. (The County provides dredging services at a low cost to enhance coastal navigation. According to the Barnstable County Strategic Plan, to date the Dredge has cleared more than 1.5 million cubic yards of material from navigation channels and saved towns more than \$11 million in dredging costs.)

† This includes the assembly of delegates, board of County commissioners, Resource Development Office, Information Technology Office, and Department of Finance.

‡ This includes the County's contribution to the Sheriff's Department and the Fire Academy.

regional commissioners. The administrator, operating within guidelines and instructions issued by the board of regional commissioners, shall prepare a proposed operating budget for the ensuing fiscal year and shall submit the same to the board of regional commissioners for its review. Within a time fixed by ordinance, the board of regional commissioners shall submit to the assembly of delegates its proposed operating budget for the ensuing fiscal year, with an accompanying budget message and supporting documents. The board of regional commissioners shall provide a general summary of the proposed budget to be made available to representatives of the communications media and shall cause a legal notice to be published in a local newspaper indicating the times and places at which complete copies of the proposed budget and accompanying materials are available for inspection by the public.

#### Section 5 - 3. Budget Message.

The budget message submitted by the board of regional commissioners shall explain the proposed budget for all Cape Cod regional government agencies, both in fiscal terms and in terms of work programs. The budget message shall outline proposed financial policies of the Cape Cod regional government for the ensuing fiscal year; describe important features of the proposed budget; indicate any major variations from the current budget in financial policies, expenditures and revenues, together with the reasons for such changes; summarize the Cape Cod regional government's debt position; and include such additional information as the board of regional commissioners deems desirable.

#### Section 5 – 4. The Proposed Budget.

The proposed operating budget shall provide a complete financial plan of all Cape Cod regional government funds and activities. In the presentation of the proposed budget the board of regional commissioners shall make use of modern concepts of fiscal presentation so as to furnish a maximum amount of information and the best financial controls. The budget shall be arranged to show actual and estimated income and expenditures for the previous, current, and ensuing fiscal year and shall indicate, in separate sections:

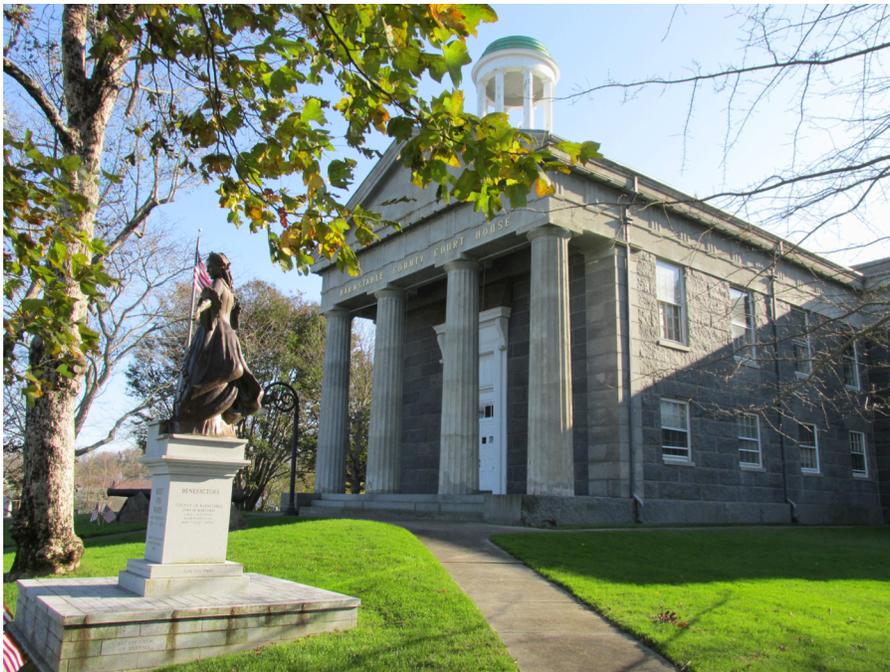
- (a) Proposed expenditures for current operations during the ensuing fiscal year, detailed by Cape Cod regional government agency, function and work programs, and the proposed methods of financing such expenditures.
- (b) Proposed capital expenditures during the ensuing fiscal year, detailed by Cape Cod regional government agency, and the proposed methods of financing such expenditures.
- (c) Estimated surplus revenue and free cash at the end of the current fiscal year, including estimated balances in any special accounts established for specific purposes.

#### Section 5 – 5. Action on the Proposed Budget

- (a) Notification of receipt of budget – The assembly of delegates shall notify the board of selectmen in Barnstable county of its receipt of the board of regional commissioners proposed budget. Copies of the budget shall be submitted to each town upon request.
- (b) Review – The assembly of delegates, through its standing committee on finance, shall cause review by standing committees of the assembly of delegates, in open public meetings, of the detailed expenditures proposed for each Cape Cod regional government department or agency. The clerk of the assembly of delegates shall notify each board of selectmen and town council in Barnstable of the dates, times and places of such meetings. The standing committees may confer with any Cape Cod regional government department or agency in connection with its review and consideration. The standing committee on finance, or other designated standing committees, may require the board of regional commissioners, the administrator, or any other Cape Cod regional government department or agency through the administrator, to furnish it

# **BARNSTABLE COUNTY STRATEGIC PLAN**

**2014 – 2018**



**Submitted to  
Barnstable County Commissioners**

**By  
Ridley & Associates, Inc.**

**December 2013**



## Barnstable County Strategic Plan 2014-2018



Dear Friends:

*The mission of Barnstable County government is to promote and sustain a pro-active open government that enhances the quality of life for the citizens of Barnstable County*

A *pro-active and open government* is one that listens, responds and is accountable to the needs and concerns of all citizens in our diverse and dynamic region. As Commissioners and citizens, we believe that this requires adherence to the following core principles:

**Collaboration** within county departments, and between county departments and towns, businesses, non-profit organizations, institutions, and other stakeholders.

**Innovation** in service delivery and program design, ensuring that the County remains at the cutting edge in providing programs and services to towns and citizens.

**Efficiency**, delivering high-quality services and programs that are timely and cost effective.

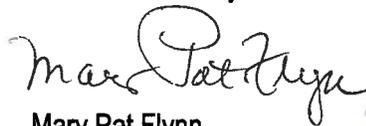
**Fiscal responsibility**, combined with transparency and accountability to ensure that diverse views are considered and decisions are grounded in a thorough analysis of costs and benefits.

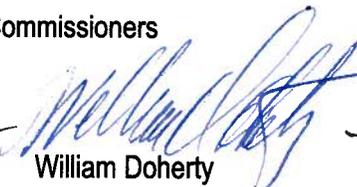
A county government that *enhances the quality of life for the citizens of Barnstable County* requires an understanding of the needs and opportunities facing our region, and a clear plan of action to direct resources toward meeting needs and making the most of opportunities. This 2013 Strategic Plan will help us chart a course for Cape Cod's regional government over the next five years by articulating clear goals and policy priorities; inspiring continued innovation in services and programs; and allowing us to measure progress, adapt to change, and communicate information about county services, programs, and projects.

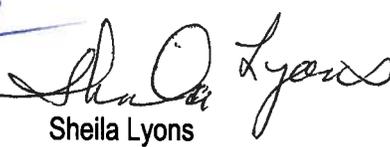
Working together each of us can help to ensure that Cape Cod remains a special place for all of us who enjoy it today, and for future generations.

Respectfully,

Barnstable County Board of Commissioners

  
Mary Pat Flynn

  
William Doherty

  
Sheila Lyons

**Barnstable County Strategic Plan 2014-2018**

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### PURPOSE

From time to time the County Commissioners have developed a strategic plan to guide their actions in overseeing county activities and programs. The most recent five-year strategic plan for Barnstable County was developed in 2008 and carried through 2013. The purpose of this new Barnstable County Strategic Plan is to address changing needs and challenges facing the County. It comes at a time when there is growing interest in restructuring county governance.

The Strategic Plan focuses on the practical matters of operating programs and services that will be of importance to the region in the next five years. The Plan provides insight and guidance on key initiatives across all county agencies and departments that deliver those programs and services. It is not intended to replace the more detailed fiscal year work plans that each department will develop, but to guide priorities and policies. The Plan also addresses the county governance and administrative structure necessary to carry out county policy and manage and conduct desired programs for the region.

The process of developing the Strategic Plan has involved all departments and agencies of the County in a public process. In 2013 the Barnstable County Commissioners engaged Ridley & Associates, Inc. to coordinate the strategic planning process. The process began with gathering of information and perspectives from a variety of sources:

- Interviews with department managers were undertaken to review (1) departmental missions, programs, services, and populations served; (2) emerging trends and projected needs over the coming five years; (3) strengths, challenges and opportunities on the horizon; and (4) views on county support for departmental activities and observations about governance structure.
- Interviews with Assembly members, county consultants, and other regional stakeholders to review strengths, challenges and opportunities facing county government in the next five years, as well as observations about governance structure.

Findings from interviews were summarized and presented to County Commissioners during facilitated strategic planning sessions conducted as part of their public meetings. The public discussions focused on the Commissioners' goals and objectives for the Strategic Plan, their views on emerging trends as well as challenges and opportunities facing county government, and the input from department managers and other county stakeholders.

Through this process an assessment of strengths, opportunities and challenges was developed, along with a list of emerging trends. This assessment provided the basis for developing the strategic priorities for the plan.

A draft Strategic Plan was developed and reviewed with department managers and County Commissioners. A final Strategic Plan was prepared to reflect comments on the draft from department managers and Commissioners.

The Plan is organized into the following sections:

Section 1.0, Introduction, contains background information on Barnstable County and how it has evolved in response to changing needs in the region, providing the context for the Strategic Plan.

## Barnstable County Strategic Plan 2014-2018

Section 2.0 reviews Barnstable County's organizational strengths, as well as organizational challenges it faces. Strengths include the County's high quality, cost effective programs and services, as well as its roles as an innovator and clearinghouse of resources and information. Organizational challenges include the need for stronger policy direction, financial stability, and expanding demands on county systems.

Section 3.0 describes policy priorities in the next five years, encompassing the environment, economy, and quality of life of Barnstable County residents.

Section 4.0 provides the implementation plan for addressing the policy priorities and opportunities outlined in Section 3.0. The implementation plan includes specific actions, timeline, and parties involved.

Section 5.0 describes the process by which progress of the Strategic Plan will be monitored and communicated.

### 1.0 Introduction

Surrounded on three sides by water and connected to the rest of Massachusetts via bridges over the Cape Cod Canal, Cape Cod is a distinctive region with world renown. The remoteness and beauty of the Cape's extensive coastal resources contributes to its appeal as a seasonal destination. However, these same physical features pose environmental challenges that are felt more acutely here than other places. These challenges include water resource degradation from decades of intensive development, a loss of rural character, and the steady threat of coastal erosion. Just as the geography of Cape Cod reinforces the importance of regional government, socioeconomic conditions pose additional regional challenges.

#### Figure 1. Barnstable County at a Glance

Area in Square Miles: 1,306  
15 Towns: Barnstable, Bourne, Brewster,  
Chatham, Dennis, Eastham, Falmouth,  
Harwich, Mashpee, Orleans, Provincetown,  
Sandwich, Truro, Wellfleet, Yarmouth

Population: 215,888  
Households: 95,755  
Families w/ school age children: 19,317  
Median Age: 50  
Median Home Value: \$384,200

Gross Regional Product: \$7.2 billion  
Employed Population over 16: 102,352  
Unemployment rate: 7%

Housing prices have escalated as the region's desirability as a seasonal and retirement destination has increased since the 1960s. The median age of Barnstable County, at 50 years, is now higher than that of the state or the nation, and the region has experienced an on-going loss of young adults and families with children in recent years. While the economy has grown well out of its seasonal dependence, with an annual gross regional product of \$7.2 billion, we remain reliant on service industries that tend to offer lower wage employment. The need for regional, collaborative action is clear. Promoting sustainable economic growth and providing housing that is affordable to people who live and work here are on-going challenges that cross town boundaries and demand public/private initiatives. Similarly, environmental challenges concerning wastewater management and protection of aquifers and other water bodies cut across town lines and require

collaborative efforts. And looming on the horizon are regional impacts of sea level rise and other effects of climate changes that will test our collective capacities. Cape Cod is a very special place, but to protect and

## **Barnstable County Strategic Plan 2014-2018**

maintain our resources and quality of life requires a willingness to evolve and adapt regional programs and governance to meet changing needs.

### **1.1 Barnstable County Government Background**

Barnstable County is the regional government of Cape Cod. It was first created in 1685 and has evolved through various forms of governance. Since the 1800s, the Barnstable County Commissioners guided the delivery of regional services ranging from the County Hospital and the Barnstable County House of Correction to the County Health Department established in 1926. That traditional structure of governance has continued to evolve during the past twenty-five years in keeping with the desires and needs of the citizens of the region:

The Barnstable County Home Rule Act (1988) created the current structure of county government consisting of an elected Assembly of Delegates as the legislative branch and a Board of Regional Commissioners as the executive branch.

The Cape Cod Commission Act (1990) created the Cape Cod Commission to serve as the County's planning agency with regulatory authority over developments of regional impact and other powers related to their planning charge.

The County Hospital, which began operation in the late 1800s, was closed in 1995 and the land converted for affordable housing.

In 2010 the Barnstable County Sheriff's Department was removed from the County's auspices and was reorganized and incorporated as a state-funded entity.

The Board of County Commissioners remains responsible for the administration of county government. They oversee all county departments and the Cape Cod Commission. Figure 2 shows a list of county departments. The Assembly's primary role as the legislative branch is to approve the County's annual operating budget and to approve certain actions of the Cape Cod Commission.

During the past few years, interest in further restructuring County government has arisen:

- In 2011, regional organizations and opinion leaders including the Cape Cod Business Roundtable and the Cape Cod League of Women Voters, approached the County Commissioners calling for a regional discussion on the future of Barnstable County government. In particular, the discussion was intended to focus on whether the current structure of County government would help or hinder regional action needed to address pressing issues facing Cape Cod, including wastewater management and water resource protection, affordable housing, transportation and economic development.
- In 2011 the County Commissioners established a Special Commission on County Governance to review the County's functions and organization. The 26-member commission represented a cross section of the County and met ten times over six months. In March 2012 the Special Commission issued a report containing 17 recommendations for future action. Some of the recommendations

## Barnstable County Strategic Plan 2014-2018

focused on county functions and programs, while others focused on the County's structure of governance.

In 2013 The Commissioners adopted a resolution largely endorsing the Special Commission recommendations on governance by recommending: (1) The Board of Regional Commissioners and the Assembly of Delegates be merged into a new legislative and policy-making body elected by districts, and (2) The executive functions of the County would be vested in a new County Executive position, which would be the Chief Executive and Administrative Officer of the County. The Commissioners recommended these changes to the Charter Review Commission formed by the Assembly of Delegates.

It is anticipated that resolution of proposed changes in governance would occur during the period covered by this Strategic Plan. However, the policy priorities and operational and financial recommendations outlined in this Strategic Plan would not be altered by a change in governance structure. Implementation of the Strategic Plan would be carried out by the Chief Elected Officials under the resulting governance structure, and their designees. Accordingly, references to County Commissioners, as noted below, apply to the Commissioners as currently comprised, or as may be altered under a revised charter.

**Figure 2. Barnstable County Departments and Committees**

Cape Cod Commission	Cape Cod Cooperative Extension Service
Children's Cove Child Advocacy Center	County Clerk
Department of Health and Environment	Department of Human Services
Department of Finance/Treasurer	Dredge
Facilities Department	Fire/Rescue Training Academy
Information Technology Department	Registry of Deeds
Resource Development Office/Americorps	Retirement Board
Cape Cod Water Resource Protection Collaborative	Cape Cod Economic Development Council
Coastal Resources Committee	Regional Emergency Planning Committee

## 2.0 Organizational Strengths, Challenges and Opportunities

The priorities and strategic opportunities facing the County are of great importance to all citizens in the region. In order to fully understand what these priorities and opportunities mean in terms of services and programs and quality of life, it is vital to review the strengths and challenges facing the region.

### 2.1 Organizational Strengths of Barnstable County Government

The following organizational strengths of Barnstable County government were identified in discussions with department managers, commissioners and other county stakeholders.

## Barnstable County Strategic Plan 2014-2018

### 2.1.1 Many Barnstable County programs are recognized as models for other local governments

Selected examples of recognized programs include:

- Incident Command System and National Incident Management System training programs offered by the *Fire & Rescue Training Academy* are relied on by public and private safety personnel from across New England;
- Alternative Septic System Testing Center established by the *Health and Environment Department* is at the forefront of developing and conducting testing protocols that establish the efficacy of new alternative septic technologies, and is supported solely by state and federal grants and private subscribers;
- *Children's Cove Child Advocacy Center* is a national model within the National Children's Alliance;
- *Cape Light Compact* is a regional energy program that provides energy efficiency and purchase of electricity supplies that has served as a model for local governments in Massachusetts and other regions of the country.

### 2.1.2 The County serves as an innovator and incubator for new programs that would otherwise be beyond the reach of individual towns. Selected examples of innovation include:

- *Cape Cod Commission* has emerged as a leader in geodesign services that balance environmental protection with sustainable economic growth. The Commission has pioneered state of the art planning tools such as the wastewater Multi-variant Planner to help communities address complex questions about growth, resource protection and wastewater planning.
- *Cape Light Compact* is the first public entity in the country formed to aggregate consumer interests in the electricity market. The Compact offers comprehensive energy services to over 200,000 consumers on the Cape and Islands. The Compact is governed by a board consisting of representatives of member towns. The County is a Compact member and serves as fiscal agent.
- *Cape and Vineyard Electric Cooperative* is a regional non-profit corporation engaged in developing renewable energy supplies and achieving energy cost savings for member municipalities. The County serves as its fiscal agent

### 2.1.3 The County serves as a clearinghouse of information, technical assistance and resources on a range of issues of concern to the region. A few examples include:

- *Human Services Department* released *In Focus: The Demographic and Socioeconomic Landscape of Barnstable County* (Stein, 2013), a report on indicators of demographic and socioeconomic characteristics of Barnstable County that are of particular relevance to the health and human services communities.
- *Americorp Cape Cod* has partnered with over 120 municipal, county, state, federal, non-profit, and community-based departments and organizations on a range of projects involving environmental stewardship, public education, citizen engagement and disaster preparedness response.
- *Cape Cod Cooperative Extension Service* provides the region with a link to academic research and cutting edge public education programs and technical assistance. The breadth of programs includes coastal resource protection, research on tick borne illnesses, shellfish and marine resources, food safety and nutrition, solid and hazardous waste disposal, youth programs and agriculture/horticulture, among others.

### **2.1.4 The County provides cost effective services that save towns money and provide services not provided by individual towns or the state.** Examples include:

- *County Dredge* the Codfish has dredged 1,510,929 cubic yards from over 25 waterways in 15 towns, saving towns more than \$11 million over the costs of private dredging services.
- *Purchasing Department* provides bulk purchasing of a wide range of goods and services, including paper used in school systems, seed quahogs used in municipal shellfish propagation programs, and maintenance supplies for municipal golf courses. Many office supplies purchased through the County are discounted by as much as 56%.
- *Resource Development Office* provides grant writing and grant administration services to towns which are seeking resources for new equipment and programs. In fiscal 2013 the office assisted with nearly a \$1 million in grants awarded to the region.

### **2.1.5 The County convenes and facilitates regional approaches to pressing issues**

- *Cape Cod Commission* developed a Regional Wastewater Management Plan and is in the process of developing the Section 208 Area Water Quality Management Plan Update. The 208 plan update seeks to support watershed-based nitrogen management solutions that reflect broad community involvement and consensus.
- *Cape Cod Water Resource Collaborative*, which includes members from all fifteen towns, provides a regional forum for advancement of scientific research, technical assistance, public policy and financing needed to support watershed-based nutrient management strategies and solutions.
- *Cape Cod Economic Development Council (EDC)* provides strategic guidance to the Comprehensive Economic Development Strategy for Cape Cod. Recently CCEDC completed a Countywide Information Technology (IT) and Telecommunications survey to improve regional communications and allow towns and the County to plan for technologies that are more cost efficient, effective and support “smarter” applications Cape-wide.

### **2.1.6 The County has centrally located and well-maintained facilities and plant that supports diverse programs and services.**

- The renovation of the former Barnstable County House of Corrections has augmented County facilities. County facilities include new state of the art water quality laboratory, new center for IT operations, and Harborview conference room.
- Strides have been made in increasing the energy efficiency of all County facilities, and implementing a comprehensive recycling program.

## **2.2 Organizational Challenges Facing Barnstable County Government**

The following organizational challenges facing Barnstable County government were identified in discussions with department managers, commissioners and other stakeholders.

### **2.2.1 County departments would benefit from a clear set of policy priorities and stronger organizational planning.**

- A statement of policy priorities from county leadership is desired by department managers to plan and work toward. An articulation of shared county policy priorities would enable all departments to gear programs toward priorities and enhance collaboration among departments toward shared goals.

**2.2.2 Organizational planning is needed to strengthen the link between departments and county leadership.**

- Long range planning is needed to ensure that emerging policy issues are identified and integrated into policy priorities as appropriate. Issues specific to the regional geography of Cape Cod should be fully explored.
- Planning is also needed to identify areas where departmental activities overlap and to seek out opportunities for collaboration.
- Succession planning is needed to address transitions in department leadership in the next five to ten years.

**2.2.3 The nature of county revenue sources and funding obligations pose challenges that require new financial policies and procedures.**

- Deeds tax receipts, which account for one-third of the county budget, fluctuate year to year. A new, larger stabilization fund and budget policies are needed to provide stability from year to year.
- The County is obligated to pay Other Public Employee Benefits (OPEB) that have accrued over decades, and for which there is no repayment funding source or schedule.
- New revenue streams are needed to help augment deeds tax receipts, town appropriations, and grant funds. Possible new revenue sources may be generated from the Strategic Information Office (SIO)/Regional Umbrella Services System (RUSS). Alternately, the potential for the County to assume delivery of services currently provided by the state should be explored.
- The lengthy budgetary process involving Commissioners and the Assembly of Delegates makes it difficult for departments to plan and implement programs in a timely and efficient manner.
- There is a need to codify and expand the County's financial policies.

**2.2.4 Certain county operational systems are facing new demands and require attention.**

- The ability of county departments to expand programs and services, particularly those services that rely heavily on information technology, depends on the County's ability to upgrade and expand its IT systems, infrastructure and management. Steps taken in this direction include the completion of a countywide IT assessment and development of an IT Strategic Plan. It is anticipated that this process will evaluate current and future needs and provide recommendations to expand capabilities and gain program and service efficiencies.
- Human resources support is a growing need among some departments. The current allocation of human resources responsibilities needs review to ensure that all human resources needs are met.

**2.2.5 Communications systems need to be established or strengthened.**

- Internal communications systems are needed to promote inter-departmental awareness of current events, programs and initiatives, to facilitate collaboration among departments, and to provide opportunities for department managers to interface with county leadership.
- External communication systems are needed to reinforce a unified county identity or brand, and to build public awareness of the full array of county services and programs available, and the benefits they offer to towns and citizens.

### 3.0 Strategic Priorities 2014-2018

During interviews with department managers, commissioners and other stakeholders, each was asked to identify emerging needs or trends relevant to the services they provide and the populations they serve. The following emerging trends were identified in the course of those discussions. These emerging needs and trends, along with the assessment of strengths and challenges above, provide the basis for the strategic priorities of Barnstable County over the coming five years.

#### 3.1 Leadership and Financial Stability

**3.1.1 County Governance and Administration.** After carefully considering the recommendations of the Special Commission on County Governance, the Board of Regional Commissioners voted a resolution in support of merging the Board of Regional Commissioners and Assembly of Delegates into a new legislative body elected by population-based districts, and appointing a new position of County Executive. The changes would achieve the dual goals of streamlining county government while reinforcing a regional context for policy discussion and decision-making. District-based representation would afford more equal weight to each citizen's vote as compared with the existing proportional votes allotted to the towns based on population. Citizens' votes would have equal weight regardless of the size town they live in.

**3.1.2 Policy Planning and Capacity Building.** The strategic plan identifies several measures to provide county departments with increased leadership in support of strategic policy priorities, and to encourage greater collaboration among departments working toward strategic priorities. New budgeting, reporting and collaboration tools and methods are proposed.

**3.1.3 Financial Stability.** Increasing the county stabilization fund, catching up on unfunded liabilities such as Other Public Employee Benefits, and adopting new financial policies and procedures are among the actions recommended to enhance the County's financial position.

**3.1.4 Public Outreach and Education.** Steps to promote greater communication among county departments and between county departments and towns, citizens and stakeholder groups are called for in the strategic plan.

#### 3.2 Environmental Protection

**3.2.1 Wastewater Management.** Wastewater planning will continue to be a priority through the development and subsequent implementation of the Section 208 Area Water Quality Management Plan Update. There will be a need for ongoing data collection and technical assistance regarding evaluation of alternative septic and wastewater management technologies; regulatory guidance for towns transitioning from onsite septic systems to sewer, and support for compliance monitoring once sewer systems are installed.

**3.2.2 Water Quality.** The County will continue to provide support for bacterial monitoring of public swimming areas. In addition, the County's state of the art water quality lab creates an opportunity to

## **Barnstable County Strategic Plan 2014-2018**

evaluate other water quality threats such as Contaminants of Emerging Concern (CECs) in the water supply.

**3.2.3 Solid Waste Management.** The County will continue to explore cost effective solid waste disposal and recycling options that meet economic and environmental goals. In addition, the County will explore strategies for food waste diversion through composting or anaerobic digestion. Valuable household hazardous waste programs will continue.

**3.2.4 Community Planning.** The County can continue to provide leadership and support to towns in the area of cutting edge design, infrastructure planning and economic development services by building on its existing leadership in geospatial design services. Further planning guidance to towns will be provided through the updating of the Regional Policy Plan.

**3.2.5 Coastal Resource Protection.** The frequency of severe winter storms and resulting damage to public beaches, infrastructure and private property is of growing concern. Predicted sea level rise would only exacerbate storm surge during such events. Advance planning for coastal resource management is needed to protect coastal resources, public and private property, and public health.

### **3.3 Increased Energy Self-Sufficiency**

**3.3.1 Energy Efficiency.** The adoption of energy efficiency measures among residential and commercial electric customers has been successful. Energy efficiency programs need to continue evolving in order to capture additional facilities and customers across the region. Opportunities for Smart Grid energy applications should be pursued as technology develops.

**3.3.2 Competitive Power Supply.** It will be important to continue to work through the Cape Light Compact to identify ways to improve the leverage of regional electric customers in the competitive power supply market. The County should continue to provide administrative support to the Cape Light Compact through a long-term administrative agreement.

### **3.4 Safe and Healthy Population**

**3.4.1 Public Health Services.** The County will continue to provide technical support for local Boards of Health. In addition, the County will seek to expand public health outreach services, particularly outreach and public health nursing for prevention screening for skin cancer, and prevention of Lyme disease and other tick-borne illnesses. Public education and outreach programs promoting nutrition and wellness also will continue to be priority.

**3.4.2 Human Services.** The County will continue to serve as an information clearinghouse and facilitator of policy and systems improvements in the areas of public health, behavioral health/suicide prevention, homelessness and aging and disability. In the coming five years a focus will be on exploring programs opportunities in concert with Barnstable County Correctional Facility and the District Court system dealing with mental health and drug addiction; seeking to augment Mass 2-1-1 with a regional clearinghouse/referral system, and monitoring and evaluating state and federal policies and budgets to

## **Barnstable County Strategic Plan 2014-2018**

improve planning and better respond to human service needs. Programs for youth and families will continue to be a focus. The County will continue to address the epidemic of child abuse through direct services and programs for victims and their families, as well as education and prevention programs.

**3.4.3 Affordable Housing/Low-income Rental Housing.** Despite progress in the creation of affordable housing, the region is still more than 5,000 units short of the state-mandated 10% affordability goal. Support for affordable housing, particularly affordable rental housing, will continue to be a priority in the coming five years.

### **3.5 Economic Opportunity**

**3.5.1 Comprehensive Economic Development Strategy (CEDS).** CEDS will continue to serve as the economic development blueprint for the region. In the coming five years, implementation of the CEDS will continue, and the process for updating the CEDS will begin.

**3.5.2 Support and Regional Collaboration.** The County will continue to support the following economic development initiatives, and promote collaboration among regional economic development stakeholders. Particular focus will be on:

- Strategic priorities of the Cape Cod Economic Development Council,
- Coordination with the Workforce Investment Board and JTEC,
- Market expansion programs and technical assistance offered by the County Extension Service, including Buy Fresh/Buy Local programs, food safety training, agriculture and groundskeeping management expertise, and shellfish management and propagation.

### **3.6 Public Safety and Emergency Preparedness**

**3.6.1 Regional 911.** Determining the most cost effective solution for regional 911 service is a public safety priority. Evaluating the functions of the County Public Safety Office to determine if modifications are necessary is another priority.

**3.6.2 Emergency Preparedness Planning and Training.** Disaster preparedness planning and training will continue through the Barnstable County Regional Emergency Planning Committee, in collaboration with regional and local law enforcement and emergency personnel, human services providers and public works departments. The development of a Hazard Vulnerability Assessment is needed to understand and plan for the physical protection of inhabited areas and coastal resources in the event of a catastrophic storm.

### **3.7 Cost Effective Regional Services**

**3.7.1 Information Technology and the development of the Regional Umbrella Services System.** Expansion of broadband capability and development of Open Cape creates new opportunities for smart technologies for land use planning, energy, environmental protection and government services. E-permitting pilot projects with Chatham, Falmouth and Yarmouth may lead to expanded e-permitting

## **Barnstable County Strategic Plan 2014-2018**

capacity that would increase permitting efficiency and save towns money. In addition, there are opportunities to expand the County's IT capabilities and provide a range of services to the towns.

**3.7.2 Grant Writing and Administration.** The County will continue to track and identify grant opportunities for county departments and towns, and provide technical assistance with grant writing and grant administration. A focus in the coming five years will be to increase grants research in areas of strategic policy priority.

**3.7.3 County Dredge.** The County will continue to offer cost effective dredge services to towns. Future demand for dredging services will be evaluated to determine if the new dredge vessel budgeted for 2015 is to serve as a secondary or replacement vessel.

**3.7.4 Purchasing.** The County will continue to provide bulk purchasing services to towns at significantly lower cost, with continued emphasis on environmentally preferred products where feasible.

**3.7.5 Public Education and Technical Assistance.** The County will continue to provide cost effective technical assistance in the areas of public health administration, food safety training, agriculture and groundskeeping training, and shellfish management and propagation.

**3.7.6 AmeriCorps.** AmeriCorps is responding to an increasingly broad array of issues and service needs on Cape Cod. In addition to environmental stewardship and public education, AmeriCorps assists with human service needs. This high profile program helps to attract and retain talented young people on Cape Cod.

**3.7.7 Registry of Deeds.** The Registry will continue to serve its statutory role of maintaining the records of property transfers in Barnstable County, and making records accessible to citizens, attorneys surveyors and others who may require access to them.

**3.7.8 Retirement Board.** The County Retirement Board will continue to operate as the retirement system for 51 governmental units on the Cape and Islands, including towns, school districts and fire districts. Any changes in the language of the County charter must be consistent with the requirements of MGL Chapter 32.

**3.7.9 Mosquito Control.** The County is exploring options for placing control of Mosquito Control within the County. This will ensure that mosquito control practices reflect environmental factors relevant to Cape Cod.

## **4.0 Implementation Plan**

The following implementation plan identifies the specific actions necessary to achieve desired progress on the strategic priorities and opportunities outlined in Section 3.0. For each action, the recommended timeline is provided, and parties involved in carrying out the task are identified. Actions are organized by strategic priority, and for most actions a brief explanatory note is provided for each action. Timeline refers to the calendar year in which the action is to take place. Parties involved are those county departments involved in carrying out the task. A key to abbreviations is provided below:

BCC – Barnstable County Board of Regional Commissioners or successor Chief Elected Officials of the County

CE – County Executive

CA - County Administrator (one year position)

Note: CA and CE are often indicated together, with one party in parenthesis. This indicates that the task be undertaken by the CA until such time as the new CE position is established and filled.

ACA – Assistant County Administrator

CFO – Chief Financial Officer

CCEDC – Cape Cod Economic Development Council

CLC – Cape Light Compact

CCC – Cape Cod Commission

IT – Information Technology Department

HED – Health and Environment Department

HSD – Human Services Department

CXS – County Extension Service

CCWRPC – Cape Cod Water Resource Protection Collaborative

RDO –Resource Development Office

FD – Facilities Department

BCREPC Regional Emergency Planning Committee

FRA – Fire and Rescue Training Academy

JTEC – Job Training and Employment Corporation

WIB – Workforce Investment Board

Dredge – County Dredge

Mosquito Control – Cape Cod Mosquito Control

PD – Purchasing Department

4.1 County Governance and Administration		
Action/Discussion	Timeline	Parties Involved
<b>4.1.1 Governance</b>		
<p><b>4.1.1.1 Streamline County Governance by merging the Board of Regional Commissioners and Assembly of Delegates into a new legislative body and establishing a new County Executive position.</b></p> <ul style="list-style-type: none"> <li>▪ <b>Participate in the Charter Review Commission to convey the recommendations of the Board of Commissioners.</b></li> <li>▪ <b>Develop and implement a public outreach plan with public informational materials that compare streamlined county government with the current structure in terms of:</b> <ul style="list-style-type: none"> <li>○ County administrative costs,</li> <li>○ Savings to the towns,</li> <li>○ Impact on regional initiatives,</li> <li>○ Efficiency in administration,</li> <li>○ Citizen representation.</li> </ul> </li> <li>▪ <b>Conduct other research and due diligence with County Counsel and Secretary of the Commonwealth concerning implementation and timeline of proposed governance measures:</b> <ul style="list-style-type: none"> <li>○ Develop a timeline for formulating and implementing revisions to County governance to determine if a 2014 or 2016 election date is feasible,</li> <li>○ Research the variety of administrative and legislative pathways to charter revision,</li> <li>○ Research other model county charters,</li> <li>○ Research methods and procedures for establishing district-based representation.</li> </ul> </li> <li>▪ <b>Work with the Assembly of Delegates, State legislative delegation and stakeholders to implement the approved revisions to County governance.</b></li> </ul> <p><b>Discussion:</b>                      In 2011 the Commissioners established a Special Commission on County Governance to review the County’s functions and organization. The Special Commission issued a report containing 17 recommendations concerning county functions and governance, including a recommendation to merge the Commissioners and Assembly of Delegates into a new legislative body and appoint a County Executive. The new legislative body would be elected by</p>		
	2014	BCC Designee
	2014-15	BCC, CA
	2014	BCC, CA
	2014	BCC, CA

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<p>population-based districts. After consideration the Commissioners determined that district-based representation would afford more equal weight to each citizen’s vote than the existing proportional votes allotted to the towns based on population. In particular, citizens’ votes would have equal weight regardless of town size.</p> <p>The Commissioners recommended these changes to the Charter Review Commission formed by the Assembly of Delegates. In addition the Commissioners will explore and, as advisable, pursue all legislative and administrative measures necessary to present these recommended changes in County governance structure to the voters of Barnstable County.</p>		
<b>4.1.2 Administration</b>		
<p><b>4.1.2.1 Hire a one-year County Administrator.</b></p> <p><b>Discussion:</b> The Administrator would provide support for major county projects during the Charter Review Commission process and potential transition in governance structure. The position would be a one-year contractual position, and the appointee would not be eligible to apply for the permanent County Executive position.</p>	2013-14	BCC
<p><b>4.1.2.2 Undertake a personnel reclassification study encompassing all County permanent and part time employees. The scope of the reclassification study should encompass:</b></p> <ul style="list-style-type: none"> <li>▪ Review job descriptions with actual tasks performed, document inconsistencies and recommend modifications,</li> <li>▪ Identify redundancies and recommend correcting efficiencies,</li> <li>▪ Identify gaps in required skills or services,</li> <li>▪ Review the existing County pay scale and its competitiveness for hiring needed skills, and recommend other approaches or models to increase recruiting competitiveness.</li> </ul> <p><b>Discussion:</b> The last personnel reclassification study was undertaken in 1998. A revised study is needed to review the 181 full-time county positions in 15 different areas of county operations.</p>	2014	BCC, CA, ACA, All Departments
<p><b>4.1.2.3 Following the reclassification study, conduct an organizational assessment. The scope of the organizational assessment should:</b></p> <ul style="list-style-type: none"> <li>▪ Provide recommendations on the organization of human resources tasks,</li> </ul>	2015-16	BCC, (CA) CE

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<ul style="list-style-type: none"> <li>▪ Evaluate potential attrition in key posts in the next five years and provide recommendations for addressing leadership transitions,</li> <li>▪ Identify opportunities to achieve efficiencies by reallocating personnel within and between departments,</li> <li>▪ Recommend reallocation of responsibilities to fill any gaps in skills or services identified in the reclassification study.</li> </ul>		
<p><b>4.1.2.4 Evaluate the distribution of executive responsibilities to determine which responsibilities would remain with Commissioners (as currently structured or as restructured) and which would be assigned to the County Executive.</b></p> <p><b>Discussion:</b> Preliminarily, the Commissioners have indicated that, at a minimum, the following executive responsibilities should remain with the chief elected officials of the County:</p> <ul style="list-style-type: none"> <li>▪ Appointment of County Executive</li> <li>▪ Veto over hiring of department heads</li> <li>▪ Approval inter-municipal agreements</li> <li>▪ Appointment of regional boards</li> </ul>	2014	BCC
<p><b>4.1.2.5 Create the job description for the County Executive position following any charter revisions and the evaluation/assignment of executive responsibilities. Update job descriptions for other county administrative personnel (e.g., Finance Director, Assistant County Administrator, Human Resources) if necessary based on these revisions.</b></p> <p><b>Discussion:</b> Following the initial one-year County Administrator appointment, there may be revisions to job descriptions that are warranted.</p>	2014	BCC, CA, ACA, CFO
<p><b>4.1.2.6 Appoint a permanent County Executive.</b></p> <p><b>Discussion:</b> The County Executive would be appointed by a majority of the Chief Elected Officials (i.e., County Commissioners). The Administrator would report to the County Commissioners and would appoint all county employees and be responsible for all administrative functions of the County.</p>	2014	BCC



<p><b>4.1.3.4 Foster regional collaboration and communication through issue-based work groups.</b></p> <ul style="list-style-type: none"> <li>• <b>Establish, expand or continue to support regional workgroups focused on strategic priority areas. Work groups could include county department personnel, regional experts, local officials and stakeholders outside of county government to provide additional perspective and information. Going forward, all work groups should be monitored by the County Executive and should be chaired and convened by a county department manager. Each work group should establish an annual plan of work that relates to the goals and objectives of the strategic plan.</b></li> </ul>	<p>2014-18</p>	<p>BCC, (CA) CE</p>
<ul style="list-style-type: none"> <li>• <b>Current successful work groups including, but not limited to the following, should be encouraged to continue their collaborative efforts.</b> <ul style="list-style-type: none"> <li>○ <b>Barnstable County Health and Human Services Advisory Council</b></li> <li>○ <b>Barnstable County Dredge Advisory Committee</b></li> <li>○ <b>Barnstable County Coastal Resources Committee</b></li> <li>○ <b>Barnstable County Emergency Preparedness Committee</b></li> <li>○ <b>Regional Economic Strategy Executive Team (RESET)</b></li> <li>○ <b>Cape Cod Joint Transportation Committee</b></li> <li>○ <b>CEDS Working Group</b></li> <li>○ <b>Cape Technology Managers</b></li> </ul> </li> </ul>	<p>2014-18</p>	
<ul style="list-style-type: none"> <li>▪ <b>Issue areas that would benefit from new or expanded work groups include:</b> <ul style="list-style-type: none"> <li>○ <b>Economic development and job training, with participation by the Cape Cod Economic Development Commission, JTEC, Cape Cod Commission, Cape Cod Chamber, local chambers of commerce, CEDs Working Group, Cape Cod Community College and other stakeholders.</b></li> </ul> </li> </ul>	<p>2014-18</p>	<p>Convened by CCEDC</p>
<ul style="list-style-type: none"> <li>○ <b>Energy planning (see 4.4 below) with participation by CVEC, Cape Light Compact, Cape Cod Commission, and local Energy Committees and other stakeholders.</b></li> </ul>	<p>2014-18</p>	<p>Convened by CLC</p>
<ul style="list-style-type: none"> <li>○ <b>Affordable housing (see 4.6 below) with participation by Cape Cod Commission, Human Service Department, local Housing Authorities, and local Affordable Housing Committees and other stakeholders.</b></li> </ul>	<p>2014-18</p>	<p>Convened by CCC</p>
<ul style="list-style-type: none"> <li>○ <b>Technology and Innovation (see 4.1.3.6 and 4.9.1 below) with participation by the County IT Department, SIO, CapeNet, Cape Light Compact, Cape Cod Technology Council, Cape Cod</b></li> </ul>	<p>2014-18</p>	<p>Convened by CCC</p>

<p style="text-align: center;"><b>Chamber, Cape Cod Economic Development Council and other stakeholders.</b></p> <ul style="list-style-type: none"> <li>○ <b>Transportation (see 4.9.2 below)</b></li> </ul> <p><b>Discussion:</b> Cape Cod is a region rich in organizations, institutions and government agencies with extensive expertise in a number of critical policy areas. As noted above, the County convenes a number of issue oriented working groups with participation from various public and private stakeholders. However some issue areas, such as economic development and transportation, were identified in the recommendations of the Special Commission on County Governance as being areas that could benefit from greater organized collaboration among groups with related missions. Other issue areas, such as coordinated energy planning, affordable housing, and technology development, would benefit from the establishment of a regional work group. Work groups provide a forum for information sharing among organizations with overlapping missions and programs, promote greater understanding of the technical capabilities within the county, and foster creative exchanges leading to projects and programs.</p>	2014-18	Convened by CCC
<p><b>4.1.3.5 Re-enforce County brand by representing all departments as part of unified county organization.</b></p> <ul style="list-style-type: none"> <li>• <b>Undertake a rebranding and marketing effort that could include naming, logo, and tag line.</b></li> <li>• <b>Provide guidance to departments on media and external communications (e.g., media releases should include a county tag line, description; distribution and posting, etc.)</b></li> <li>• <b>Develop external communications tools: county newsletter, social media, etc.</b></li> <li>• <b>Make county department websites more uniform in appearance and content.</b></li> <li>• <b>Evaluate the costs and benefits of alternate strategies for enhanced communications and outreach to convey information about the results and benefits of county services and programs to citizens, towns, businesses, institutions and organizations.</b></li> </ul> <p><b>Discussion:</b> Across Cape Cod, some people confuse Barnstable County with the Town of Barnstable. Currently some county departments have a strong identity in the community but are not immediately recognized as being part of Barnstable County as a whole. This recommendation seeks to reinforce a county “brand” and identify each department as part of a unified county organization with complementary resources and programs. Furthermore, there are potential benefits to adopting a coordinated and systematic approach to media and public outreach. Currently each department handles media and public outreach efforts independently. Much of the work associated with this recommendation is being launched through the Joint Communication Program being coordinated by the Cape Cod Commission.</p>	2014-18	(CA) CE, IT, CCC



<b>4.2 Financial Stability</b>		
<b>Task Discussion</b>	<b>Timeline</b>	<b>Parties Involved</b>
<p><b>4.2.1 Develop and implement financial policies and procedures consistent with guidelines set forth by the Government Finance Officers' Association (GOFA). At a minimum the policies should address the following:</b></p> <ul style="list-style-type: none"> <li>▪ <b>Create a funding schedule for OPEB unfunded liabilities utilizing a portion of any surplus revenues,</b></li> <li>▪ <b>Assess the feasibility of increasing the County stabilization/reserve fund utilizing a portion of any surplus revenues,</b></li> <li>▪ <b>Identify changes to budgeting process necessary to institute program budgeting and implement accordingly.</b></li> </ul> <p><b>Discussion:</b>                      Unfunded liabilities for Other Post-employment Benefits (OPEB) pose a fiscal challenge for the County. By the 1980's an unfunded liability had built up over 50 years. Subsequently, the County has made progress in paying this down. However, this liability is on-going and the County should determine a method for bonding a payment schedule so that in time annual contributions may be paid currently.</p> <p>Approximately one-third of the County's annual budget comes from Registry of Deeds tax revenue. This source of funding varies from year to year based on economic and market conditions. An increase in the stabilization fund would help with the management of fluctuations and ensure continuity of services and programs.</p> <p>Program budgeting will organize the allocation of County resources with a focus on strategic priorities rather than departments. A transition to new budgeting procedures should occur incrementally with ample training to assist department managers and others involved in the budgeting process.</p>	<p>2014-16</p>	<p>CE, CFO</p>
<p><b>4.2.2 Assess future potential new revenues streams or changes in County fees</b></p> <ul style="list-style-type: none"> <li>• <b>Analyze revenue potential of the following opportunities and prioritize based on demand/supply, feasibility and return on investment:</b> <ul style="list-style-type: none"> <li>○ <b>Providing new services through SIO and RUSS,</b></li> <li>○ <b>Providing services that currently are provided by the State,</b></li> <li>○ <b>Providing additional services that currently are provided by another government agency.</b></li> </ul> </li> </ul>	<p>2014-15</p> <p>2014-15</p> <p>2014-15</p> <p>2014-15</p>	<p>(CA) CE, CFO, CCC, IT,</p> <p>(CA) CE, CFO, HED, CCC</p> <p>(CA) CE, CFO, IT</p> <p>(CA) CE, CFO,</p>

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<ul style="list-style-type: none"> <li>• <b>Develop and implement business plan for implementation of new services/programs and monitor success.</b></li> </ul> <p><b>Discussion:</b>          Opportunities to provide new or expanded services emerge with the SIO and RUSS that could include:</p> <ul style="list-style-type: none"> <li>• Software, Platform, and Infrastructure as a Service             <ul style="list-style-type: none"> <li>○ Application hosting (e-Permitting)</li> <li>○ Network/perimeter security</li> <li>○ Virtual datacenter hosting</li> <li>○ Virtual server hosting</li> <li>○ General storage and backup</li> <li>○ Cloud hybridization</li> <li>○ Virtual desktops</li> </ul> </li> <li>• IP Telephony – voice service, video conferencing</li> <li>• Video surveillance</li> <li>• IT management services (as provided to Wellfleet)</li> <li>• Aggregation of licensing</li> <li>• GIS data</li> <li>• Public safety communications</li> </ul> <p>The Special Commission report also refers to opportunities for the County to assume fee-based services or permitting functions currently provided by the state, as state cutbacks reduce personnel. In assessing new service areas or assuming state functions it will be important to work with the state legislative delegation and state agencies. Services should be developed on a pilot project basis.</p>	<p>2016</p>	<p>CCC, HED CE, CFO</p>
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4.3 Environmental Protection		
Tasks/Discussion	Timeline	Parties Involved
<p><b>4.3.1 Establish an interdepartmental work group to evaluate opportunities for greater coordination between the Cape Cod Commission, Health and Environment Department, Cape Cod Cooperative Extension Service and Cape Cod Water Resources Protection Collaborative and any other appropriate County departments in addressing regional environmental issues.</b></p>	<p>2014-18</p>	<p>(CA) CE, CCC, HED, CXS, CCWRPC, RDO</p>

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<p><b>Discussion:</b>          These county departments and agencies variously are involved in addressing wastewater, coastal resource planning, water resource protection and solid waste management. While there is considerable coordination of efforts, there also may be additional opportunities to re-organize or further collaborate on programs and services. Initially, this work group should be convened and chaired by the County Administrator. The Resource Development Office also should be consulted for grant opportunities.</p>		
<b>4.3.2 Wastewater</b>		
<p><b>4.3.2.1 Develop the regional Section 208 wastewater plan update in coordination with ongoing local wastewater planning efforts and engagement of diverse stakeholders.</b></p> <p><b>Discussion:</b>          To be successful, the 208 wastewater plan update must have broad public support. Development of the 208 wastewater plan update will make use of a variety of planning tools and strategies, such as the Wastewater Multi-variant Planner (MVP), to engage a cross section of stakeholders in the development of regional wastewater management solutions. The 208 planning effort also must coordinate with existing local plans and on-going wastewater planning efforts in the towns.</p>	2014	CCC
<p><b>4.3.2.2 Evaluate and pursue federal, state and local options for funding to achieve regional wastewater solutions identified in the 208 plan update.</b></p> <p><b>Discussion:</b>          It is estimated that meeting the region’s wastewater needs will cost \$4-6 billion. No single source of funding will be sufficient to meet this cost burden. Creative funding solutions, including new revenue sources along with federal, state, and local resources will be needed.</p>	2014-18	CCC, CCWRPC, CE, BCC, State and Federal delegation
<p><b>4.3.2.3 Evaluate the structure and role of regional agencies involved in wastewater planning will play in development and implementation of Section 208 plan. Various roles may include planning, technical assessments, policy development, and financing.</b></p> <p><b>Discussion:</b>          Agencies involved in wastewater include: Cape Cod Commission, Cape Cod Water Resource Protection Collaborative,</p>	2014	CE, CCC, HED, CXS, CCWRPC

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<p>Health and Environment Department, and towns. The implementation responsibilities of county agencies should be evaluated. Structural or organizational changes needed to enhance the effectiveness in meeting responsibilities should be examined and implemented as warranted.</p>		
<p><b>4.3.2.4 Assist towns with evaluation and monitoring of wastewater issues/technologies:</b></p> <ul style="list-style-type: none"> <li>• <b>Evaluation of I/A systems and other technology alternatives (e.g., Alternative Septic Test Center)</b></li> <li>• <b>Transitions and interim solutions involving Title 5 systems and/or sewer hook-ups</b></li> <li>• <b>Monitoring implemented technologies for compliance</b></li> <li>• <b>Assisting with brokering agreements with federal and state entities or contractors, and in securing funding for wastewater implementation</b></li> </ul> <p><b>Discussion:</b> County departments, the Cape Cod Water Protection Collaborative and the Cape Cod Commission will continue to provide vital support and technical assistance to towns to assist with the assimilation and implementation of local and regional wastewater treatment solutions to be outlined in the 208 plan update and watershed-based nutrient management plans. Nutrient management solutions will involve a number of different technologies.</p>	2014-18	CCC, HED, CCWRPC
<b>4.3.3 Water Quality</b>		
<p><b>4.3.3.1 Fully utilize the state-of-the-art facilities at the county lab through provision of water quality analysis services to towns and citizens.</b></p> <p><b>Discussion:</b> The laboratory promotes public health through monitoring and analysis of the Cape’s drinking water supplies, groundwater and surface water sources. Public water supplies and public bathing beaches on Cape Cod are routinely monitored for bacteriological, inorganic and chemical parameters to ensure compliance with State and Federal standards. Local well owners also may submit water samples for testing.</p>	2014-18	HED
<p><b>4.3.3.2 Develop a plan to begin monitoring contaminants of emerging concern in public water supply.</b></p> <p><b>Discussion:</b> There is a need to expand water quality monitoring to look at pharmaceuticals, endocrine disruptors and other contaminants of emerging concern in the water supply.</p>	2015	HED

4.3.4 Land Use Planning		
<p><b>4.3.4.1 Continue to develop strategic advantage in geo-spatial planning and design services.</b></p> <p><b>Discussion:</b>                      The Cape Cod Commission is the County’s planning agency. Its core mission is to provide planning and design services. Regulatory reviews are smaller part of Cape Cod Commission’s operations. Cape Cod Commission’s planning and design role is expected to expand over the coming five years. Part of this expansion is fueled by the Cape Cod Commission’s growing capacity in geo-design. This expertise will allow the Cape Cod Commission to work in partnership with towns to develop plans. This is a more complex and technical role and requires taking extensive databases and making them accessible and relevant through creation of plans and planning tools. This will require development of strong IT capabilities, which do not currently exist.</p>	2014-18	CCC
<p><b>4.3.4.2 Expand planning and technical assistance services to towns through the SIO to improve the efficiency and lower the cost of regional and municipal services.</b></p> <p><b>Discussion:</b>                      There is strong potential for information services to expand the County’s role as a service provider to the towns and thereby redefine regional coordination. Examples include:</p> <ul style="list-style-type: none"> <li>• Regional VoIP communications could help to lower municipal phone bills</li> <li>• Uniform procurement of software and hardware could lower costs and increase compatibility</li> <li>• Assessing databases could be regionalized, thereby lowering costs and improving access to information</li> <li>• GIS-aerial flyovers could be coordinated, thereby reducing duplication</li> <li>• Asset management (trucks, equipment) could be coordinated in a way that would allow equipment sharing and thereby lower costs</li> <li>• Traffic flow could be tracked and managed.</li> </ul>	2014-18	(CA) CE, CCC, IT
<p><b>4.3.4.3 Promote smart growth land use policies as an integral part of water resource protection and nutrient management efforts.</b></p> <p><b>Discussion:</b>                      Cape Cod Commission’s guidance to towns in the development of wastewater management plans is to begin with an assessment of growth scenarios, estimate wastewater costs associated with various growth scenarios, and then present that analysis for public discussion to select a preferred scenario. In Cape Cod Commission’s DRI review of</p>	2014-18	CCC, CCEDC

<p>local plans, and in the development of the Section 208 plan update, emphasis should be on thorough evaluation of land use controls to reduce future growth and thereby future wastewater flows and sewer costs. The RESET project model whereby a team from the Cape Cod Commission and County Economic Development Council work with town leaders to address economic development and infrastructure needs should be continued and expanded.</p>		
<p><b>4.3.5 Coastal Resources</b></p>		
<p><b>4.3.5.1 Provide regional analysis and technical assistance to Towns in support of coastal resource protection.</b></p> <p><b>Discussion:</b> Continue to provide valuable support to local Conservation Commissions and related groups in the review of coastal erosion management and project reviews and studies. This expertise augments local knowledge in the review of project proposals and in managing dynamic coastal systems.</p>	<p>2014-18</p>	<p>CCC, CXS</p>
<p><b>4.3.5.2 Promote continued monitoring of and planning for coastal resource protection, along with continued technical assistance to the towns.</b></p> <p><b>Discussion:</b> Coastal resources are the County's greatest natural and economic assets. These resources are managed locally, yet the health and vitality of coastal areas is influenced by a range of regional and even global conditions such as sea level rise. The County, through the Coastal Resource Committee, County Extension Service and Cape Cod Commission, undertakes research, provides technical assistance and develops resource management recommendations related to a range of coastal resource issues including:</p> <ul style="list-style-type: none"> <li>• Salt marsh monitoring</li> <li>• Fish run restoration</li> <li>• Shellfish propagation and management</li> <li>• Stormwater management and the feasibility of a regional stormwater utility</li> <li>• Coastal hazard mitigation</li> <li>• Assessing potential impacts and management strategies related to sea level rise</li> </ul> <p>In addition the Extension Service's Coastal Resources Specialist provides technical assistance to town agencies involved in coastal resource management and protection.</p>	<p>2014-18</p>	<p>HED, CCC, CXS</p>

<b>4.3.6 Waste Management/Recycling</b>		
<p><b>4.3.6.1 Promote cost effective regional options for solid waste disposal and recycling.</b></p> <p><b>Discussion:</b>                      In Spring 2013 the Cape Cod Commission and Cape Cod Solid Waste Advisory Committee completed negotiations on a term sheet for solid waste disposal through Covanta/SEMASS. An alternative solid waste management proposal also is currently under consideration. Ultimately, recommended solid waste management solutions should promote a reduction in solid waste, an increase in recycling and food waste diversion from the waste stream, and overall lower costs to municipal and households/businesses.</p>	2014-16	CCC, Solid Waste Advisory Committee
<p><b>4.3.6.2 Evaluate implications of food waste diversion requirements and opportunities for regional support and facilities for composting and anaerobic digestion.</b></p> <p><b>Discussion:</b>                      Currently supermarkets and some restaurants are diverting food waste using a hauler who uses the food waste for composting. New Massachusetts DEP regulations set to go into effect in 2014 call for the diversion of food waste for any generator of more than 1 ton of food waste per week. The County should support efforts to develop regional capacity for hauling and disposing of food waste through composting and anaerobic digestion.</p>	2014-17	BCC, CCC, Solid Waste Advisory Committee, CCEDC, CLC
<p><b>4.3.6.3 Expand support for disposal of hazardous materials and sharps.</b></p> <p><b>Discussion:</b>                      Barnstable County has negotiated a bid that reduces town costs for disposal of hazardous materials and sharps. The Health and Environment Department and County Extension Service coordinate hazardous materials disposal days across the region. A dedicated fund is needed to deal with difficult to manage streams including sharps, mercury, and flares.</p>	2014-18	CXS, HED
<p><b>4.3.6.4 Establish a Sustainability Team to promote investments and modifications in operations that will reduce energy consumption and reduce greenhouse gas emissions.</b></p> <p><b>Discussion:</b>                      The Sustainability Team would be responsible for promoting and monitoring projects aimed at reducing energy consumption, waste, and greenhouse gas emissions.</p>	2014	BCC, CA, FD, CFO, PD, RDO, IT

<b>4.4. Energy Planning &amp; Sustainability</b>		
<b>Tasks/Discussion</b>	<b>Timeline</b>	<b>Parties Involved</b>
<p><b>4.4.1 Continue to improve energy efficiency and waste reduction in county facilities and fleet.</b></p> <ul style="list-style-type: none"> <li>• <b>Develop and implement a five-year plan to improve energy efficiency at county facilities.</b></li> <li>• <b>Evaluate the county fleet and develop a plan to phase in hybrid, electric and/or highly fuel efficient vehicles where feasible.</b></li> <li>• <b>Evaluate and expand recycling efforts in all county facilities.</b></li> <li>• <b>Include lifecycle costs and energy efficiency as criteria for purchasing vehicles and equipment.</b></li> </ul> <p><b>Discussion:</b> The County should lead the way in demonstrating the importance of energy and waste reduction in all areas of operations. These measures should reduce lifecycle cost and reduce greenhouse gas emissions.</p>	2014-18	FD, CLC, CA
<p><b>4.4.2 Convene a regional energy planning effort to promote energy efficiency, renewable energy development and regional energy self-sufficiency. The goals of the plan would be to achieve regional energy self-sufficiency, reduce environmental impacts associated with energy use, and achieve economic savings to governmental, residential, business and institutional energy consumers. The planning effort should:</b></p> <ul style="list-style-type: none"> <li>• <b>Begin with a review of the 1994 County Energy Plan, and assessment of state and federal programs and public and private grant opportunities for pilot projects and energy development,</b></li> <li>• <b>Cover 25 years with flexible 5-year plans with specific goals in each energy sector,</b></li> <li>• <b>Consider the potential to establish a regional power authority or public utility in cooperation with municipalities.</b></li> </ul> <p><b>Discussion:</b> Planning for the region’s energy future should be undertaken in a public process that engages a broad range of stakeholders. This process should be convened by a special committee appointed by the Chief Elected Officials of the County with representation from Cape Cod Commission, Cape Light Compact, Cape &amp; Vineyard Electric Cooperative, local energy committees and other stakeholders.</p>	2014-16	Convened by CCC and CLC

<p><b>4.4.3 Examine the potential to acquire licensing of long-term broad band resources in support of smart grid development.</b></p> <p><b>Discussion:</b> Long-term licensing of broadband resources is essential for expanded renewable energy and energy efficiency.</p>	2014-16	CLC
<p><b>4.4.4 Continue to provide administrative support to the Cape Light Compact through an extended administrative services inter-municipal agreement between the County and municipalities. Encourage the Compact to continue to:</b></p> <ul style="list-style-type: none"> <li>• Evaluate opportunities and funding for Smart grid pilot projects,</li> <li>• Conduct analysis on options for future of energy efficiency programs and make determinations and take action to pursue best option,</li> <li>• Identify ways to improve the leverage of regional electric customers in the competitive power supply market.</li> </ul> <p><b>Discussion:</b> The County has provided administrative support to Cape Light Compact since its inception. Continued success of Compact is essential to ensure that the region has long-term access to energy efficiency and renewable energy funds.</p>	2014-18	BCC, (CA) CE, ACA, CLC

<b>4.5 Safe and Healthy Population</b>		
<b>Tasks/Discussion</b>	<b>Timeline</b>	<b>Parties Involved</b>
<p><b>4.5.1 Establish an inter-departmental work group to evaluate opportunities for greater coordination between the Human Services, Health and Environment and Cooperative Extension Service, Children’s Cove and Resource Development departments in the provision of regional public health and human services. The County Administrator also should participate as a member of this work group.</b></p> <p><b>Discussion:</b> Overlapping health and human services departmental activities should be evaluated to examine whether there may be a more efficient organizational structure and/or greater opportunities for collaboration with each department and outside stakeholders. For example, There are more opportunities to work in concert with criminal justice in the areas of mental health and drug abuse, however there is no concerted effort to foster these connections. Things are</p>	2014	HSD, HED, CXS, CC, (CA) CE, RDO

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<p>happening piecemeal because no one is focused on trying to make these connections. This collaboration also could lead to greater awareness of emerging trends that would bolster grant writing for collaborative projects.</p>		
<p><b>4.5.2 Continue data collection and analysis to monitor conditions among vulnerable populations on Cape Cod, and to design and monitor program effectiveness.</b></p> <p><b>Discussion:</b> HSD has released a new publication <i>In Focus: The Demographic and Socioeconomic Landscape of Barnstable County</i>. The primary purpose in creating this report is to provide the socioeconomic and demographic characteristics of Barnstable County that are of particular relevance to the health and human services community. Data from this report are used to design programs and services and monitor change.</p>	2014	HSD
<p><b>4.5.3 Continue to expand services to promote public health and wellness.</b></p> <ul style="list-style-type: none"> <li>• <b>Expand prevention screening and public health nursing services.</b></li> <li>• <b>Continue to promote nutrition and exercise programs.</b></li> </ul> <p><b>Discussion:</b> Among the major public health threats facing the region are Lyme disease and other tick-borne illnesses; and Melanoma. Greater focus on public health nursing and prevention screening is a quality of life issue for many underserved populations on Cape Cod but also could bring down medical cost associated with these threats. It is important to get public health nurses out where disadvantaged populations are, such as fairs, pantries, mall, and beaches, to provide information, wellness screenings, and assist with vaccines. The County will continue to emphasize health and wellness programs, which promote nutrition and health habitats to schools, and food pantries among others. Current programs include the Mass in Motion coordinated through the Human Services Department and nutritional outreach through the County Extension Service.</p>	2014	HED
<p><b>4.5.4 Coordinate/expand services for vulnerable populations.</b></p> <ul style="list-style-type: none"> <li>• <b>Coordinate programs combining corrections, court system, mental health services and drug addiction programs.</b></li> <li>• <b>Continue to provide comprehensive services for victims of child abuse and their families; and expand outreach education and prevention programs.</b></li> <li>• <b>Increase mental health trauma services.</b></li> <li>• <b>Continue work toward homelessness prevention.</b></li> </ul>	2014-18	HSD, CC, HED, CXS

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<p><b>Discussion:</b> The Cape’s vulnerable populations include (but are not limited to) the homeless, homebound elderly, mentally ill, and victims of domestic violence and abuse. The County will continue to act as a clearinghouse of information and an advocate for expanded services. Through Children’s Cove, the County will continue to provide direct comprehensive services to victims of child abuse and their families. In addition to continuing these efforts, the County will advocate for more regionalization of mental health services, and an increase in trauma specialists to deal with victims of violence and abuse.</p>		
<p><b>4.5.5 Expand services and programs youth and families:</b></p> <ul style="list-style-type: none"> <li>• <b>Evaluate the range of youth and family programs offered, identify any gaps in programs needed and work with public schools and community partners to address unmet needs through new or expanded programs.</b></li> </ul> <p><b>Discussion:</b> Youth and families is an important segment of the Cape’s population that is underserved in human services programs. Focus is needed to build networks and programs that will support families and keep them on the Cape. The County runs a number of successful youth programs through the County Extension Service. These programs include 4H, vacation programs, leadership development programs, coastal educational outreach programs and after school programs, among others. These and other complementary programs should continue to be implemented, and any unmet program need should be evaluated, by County Extension Service, Children’s Cove, Health and Human Services Department, schools and other community partners involved in youth and family activities.</p>	2014-18	CXS, HHS, CC, public schools
<p><b>4.5.6 Augment Mass 2-1-1 with a regional clearinghouse referral system.</b></p> <p><b>Discussion:</b> A regional program is needed to provide an interface with Mass 211, the state clearinghouse for health and human services. This would be a local layer of referral and advocacy. Currently there are no certified referral specialists available to field calls, make referrals and provide advocacy.</p>	2015	HSD
<p><b>4.5.7 Monitor and evaluate federal and state policies and budgets to improve planning and better respond to health and human service needs.</b></p>	2014	HSD

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<p><b>Discussion:</b> Human services are largely dependent on federal and state funding. Changes in funding can have dramatic impacts on service delivery. Advanced planning to anticipate funding changes or other major policy developments, such as the Affordable Care Act, and their impact on human services is needed to ensure continuity and long-term sustainability of services.</p>		
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4.6 Affordable Housing/Low-Income Rental		
Timeline	Timeline	Parties Involved
<p><b>4.6.1 Promote creation of affordable housing and low-income rental opportunities through:</b></p> <ul style="list-style-type: none"> <li>• Continuing the work of the highly successful HOME Consortium, and consider its relocation to HHS department,</li> <li>• Continuing the Regional Ready Renters Program,</li> <li>• Making technical assistance and public information available to towns, prospective homeowners/renters and developers.</li> </ul> <p><b>Discussion:</b> According to a Cape Cod Commission report on affordable housing, progress was made from 2000-2010 with addition of 1,700+ affordable units (current total of 5,285 officially designated affordable units) and increase in region's affordability % from 3.75% to 5.1%. However, the region is still about 5,100 units short of state's 10% affordability goal.</p>	2014-18	CCC, HSD, BCC, (CA) CE
<p><b>4.6.2 Evaluate County role in state-planned consolidation of Housing Authorities.</b></p> <p><b>Discussion:</b> The state is considering the consolidation of municipal housing authorities. The County should evaluate the potential for assuming a coordinated administrative role that would allow for on-going policy input at the local level.</p>	2014	CCC, BCC, (CA) CE

4.7 Public Safety/Emergency Preparedness		
Timeline	Timeline	Parties Involved
<p><b>4.7.1 Evaluate and define the County’s future role in regional public safety.</b></p> <ul style="list-style-type: none"> <li>• Review descriptions of County Public Safety Office/Officer and consider changing the role and/or assignment. (see 4.7.2 below)</li> <li>• Evaluate the County’s role with respect to a Regional 9-1-1 system.</li> </ul> <p><b>Discussion:</b> The County Sherriff is undertaking a regional 9-1-1 study and the County will need to evaluate its role with respect to a regional 9-1-1 system.</p>	2014-15	BCC, (CA) CE, BCREPC
<p><b>4.7.2 Evaluate the role and status of the County Office of Public Safety and implement changes that may enhance the efficiency and cost effectiveness of public safety services.</b></p> <p><b>Discussion:</b> The County Charter establishes an Office of Public Safety (OPS) with a Public Safety Officer (PSO) to be appointed by Commissioners. Currently the appointed PSO for the County is the Sheriff. Since the Sheriff’s appointment, the Sheriff’s Department and Courts have been moved from the County to State. In light of this, the future of central dispatch and emergence of the REPC, the requirements of the OPS should be evaluated to determine if there should be a change in the appointed PSO.</p>	2014-15	BCC, (CA) CE, BCREPC
<p><b>4.7.3 Continue to support the County’s leadership role in emergency preparedness through the Barnstable County Regional Emergency Planning Committee (BCREPC).</b></p> <ul style="list-style-type: none"> <li>• Develop a Hazard Vulnerability Assessment (HVA) to provide a pre-disaster assessment of vulnerable inhabited areas and resources, and identify measures for pre- and post-disaster mitigation.</li> </ul> <p><b>Discussion:</b> The BCREPC is made up of Police, Fire, EMS, Public Works, Health &amp; Environment Department, Red Cross, and other local officials. Barnstable County’s Regional Emergency Planning Committee has developed its plan for response to emergency situations on the Cape and Islands, working extensively with emergency responders from throughout the Cape and Islands. Continue to support the BCREPC/BCREPC Coordinator in working with local communities to further improve and develop the dialogue, communications and coordination of local emergency and support agencies, and to pursue grant funding to enhance emergency response capabilities. Completion of the HVA</p>	2014-18 2014-15	BCC, (CA) CE, BCREPC BCREPC and Towns



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<p><b>4.8.2 Support Cape Cod Economic Development Council strategic planning priorities and license plate fund allocation</b></p> <p><b>Discussion:</b> Through a strategic planning process the CCEDC is establishing programmatic priorities and estimating their annual revenue stream. On a regular basis, the CCEDC reports to the County Commissioners and solicits their input, and that of other stakeholders, as needed.</p>	2014-18	CCEDC, BCC
<p><b>4.8.3 Evaluate the tri-partite agreement between Barnstable County, Local Workforce Investment Board (LWIB) and JTEC and:</b></p> <ul style="list-style-type: none"> <li>• Evaluate whether County should be named as the fiscal agent and local grant sub-recipient.</li> <li>• Evaluate whether to designate Cape Cod Commission as staffing entity for the LWIB.</li> </ul> <p><b>Discussion:</b> As noted in the Special Commission report, The Workforce Investment Act of 1998 (WIA) created a comprehensive workforce investment system. The success of the local workforce investment system is contingent on a successful relationship (an Agreement) between the Chief Elected Official and the Local Workforce Investment Board. Changes to the Agreement must be modified if there is a new Chief Elected Official and if there has been a change in the entity named to assist in the administration of the grant funds, to act as the local grant sub-recipient, or fiscal agent.</p> <p>Currently there is a tri-partite agreement among the County, JTEC and LWIB. LWIB is a high performing board recognized by the state. The functions of the LWIB and JTEC and determine if there are any policies or recommendations that could enhance functioning. For example, the County could become the fiscal agent and local grant recipient for the LWIB and the County CEO could name the Cape Cod Commission to be the staff for the LWIB.</p>	2014-15	BCC, CE, JTEC, WIB
<p><b>4.8.4 Promote expansion of programs and technical assistance that support towns and businesses and encourage purchases from local businesses, including agricultural and artisanal products and fisheries.</b></p> <p><b>Discussion:</b> Market expansion programs and technical assistance offered by the County Extension Service, includes support for Buy Fresh/Buy Local programs, food safety training, agriculture and groundskeeping management expertise, and shellfish management and propagation. The County's Buy Fresh/Buy Local program should be expanded to include other home-based businesses or services. The County's other technical assistance outreach to public and private</p>	2014-18	CXS, CCEDC

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entities in the green industry, shellfish industry and food service industry, among other industry segments, should continue.		
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<b>4.9 Regional Services</b>		
<b>Tasks/Discussion</b>	<b>Timeline</b>	<b>Parties Involved</b>
<p><b>4.9.1 Implement recommendations of the County IT assessment to enhance the County’s IT capabilities and potential application implementation activities such as e-permitting and GIS services. (see 4.3.4.2 above)</b></p> <p><b>Discussion:</b> The Regional Umbrella Services System (RUSS) is intended to aggregate telecommunications and technology services among municipalities, schools, libraries, and public safety departments. CCC is taking a year to develop a plan for the Strategic Information Office (SIO) and RUSS. The Regional Area Network or RAN is the first priority. This will enable all towns to link into a common system for the SIO and RUSS applications. The County IT Assessment and IT Strategic Plan will provide further guidance for the development of the County’s IT capabilities and further defining its roles and responsibilities. Implementation of the recommendations of the IT Strategic Plan should be highest priority.</p>	2014-18	(CA) CE, IT, CCC
<p><b>4.9.2 Coordinate quarterly meetings of regional transportation entities:</b></p> <ul style="list-style-type: none"> <li>○ <b>Set agenda of issues to enhance regional coordination</b></li> <li>○ <b>Annual report on progress to Chief Elected Officials</b></li> </ul> <p>• <b>Ask for a formal liaison position on the CCRTA board</b></p> <p><b>Discussion:</b> Regional entities involved in delivery of transportation services include the CCRTA, CCC (in its role as the Metropolitan Planning Organization), Joint Transportation Planning Committee, and private carriers. These groups should meet regularly around a defined agenda to coordinate transportation planning and expand transit services.</p>	2014-18	Convened by CCC
<p><b>4.9.3 Resource Development and Grant Writing</b></p> <ul style="list-style-type: none"> <li>• <b>Identify priority policy areas for conducting grant research</b></li> <li>• <b>Increase technical assistance to municipalities for grant writing and grant administration</b></li> </ul> <p><b>Discussion:</b></p>	2014-18	RDO, (CA) CE, HED, HSD, CCC

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<p>The RDO is highly effective in providing grant-writing support to county departments and to municipalities. This support should continue, with emphasis on grant reporting and administration support. A work group involving RDO and department managers is needed to prioritize issue areas for in-depth research of new grant opportunities, and to coordinate coalitions to pursue funding opportunities.</p>		
<p><b>4.9.4 AmeriCorps</b></p> <ul style="list-style-type: none"> <li>• <b>Promote AmeriCorps involvement in support of affordable housing, human services, youth services and environmental stewardship.</b></li> </ul> <p><b>Discussion:</b> The County will seek to continue AmeriCorps beyond the current two-year contract. AmeriCorps will continue its environmental stewardship, but placements will expand to encompass other community needs and services.</p>	2014-18	RDO, (CA) CE
<p><b>4.9.5 Public Education and Technical Assistance</b></p> <ul style="list-style-type: none"> <li>• <b>Public health administration services for towns</b></li> <li>• <b>Water quality monitoring and analysis</b></li> <li>• <b>Outreach and technical assistance through the County Extension Service</b></li> </ul> <p><b>Discussion:</b> The County, through the County Extension Service and Health and Environment Department, will continue to provide cost effective support in the areas of public health administration, food safety training, agriculture and groundskeeping training, and shellfish management and propagation.</p>	2014-15	HED, CXS
<p><b>4.9.6 County Dredge</b></p> <ul style="list-style-type: none"> <li>• <b>Continue to provide dredge services to enhance coastal navigation</b></li> <li>• <b>Evaluate the need for a second County dredge</b></li> </ul> <p><b>Discussion:</b> The County dredge is a highly cost effective service that allows towns to maintain navigation channels on a reasonable schedule and at much lower cost compared to private dredge alternatives. To date the dredge has cleared more than 1.5 million cubic yards of material from navigation channels and saved towns more than \$11 million in dredging costs.</p>	2014-15	Dredge, (CA) CE

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<p><b>4.9.7 Purchasing</b></p> <ul style="list-style-type: none"> <li>• <b>Continue to provide cost effective bulk purchasing services to towns and other governmental agencies in the County.</b></li> <li>• <b>Promote purchase of environmentally preferred products and services and recycling practices:</b> <ul style="list-style-type: none"> <li>○ <b>Office supplies with high recycled content,</b></li> <li>○ <b>Purchase of highly fuel efficient, hybrid or electric vehicles, when feasible,</b></li> <li>○ <b>Coordination of recycling services for office waste, and responsible disposal of computers and electronic equipment.</b></li> </ul> </li> </ul> <p><b>Discussion:</b> The County Purchasing Department is well established as a reliable resource for cost effective procurement services, and this valuable regional service should continue. In the next five years, greater emphasis on environmentally preferred purchasing is envisioned for the benefit of the County, towns and other participating government agencies.</p>	2014-18	PD, (CA) CE
<p><b>4.9.8 Registry of Deeds</b></p> <ul style="list-style-type: none"> <li>• County will continue to provide administrative support to the Registry of Deeds</li> <li>• Registry is governed by statute and will continue to serve as the repository of accurate, complete property records for the County and a point of contact for public access to or recording of records as needed.</li> </ul>	2014-18	BCC, RoD, CA (CE)
<p><b>4.9.9 Retirement Board</b></p> <ul style="list-style-type: none"> <li>• Retirement Board is governed by statute and will continue to provide retirement system services to 51 governmental units on the Cape and Islands. County Commissioners and County Administrator participate as Board members.</li> </ul>	2014-18	Retirement Board, BCC, CA (CE)
<p><b>4.9.5 Mosquito Control</b></p> <ul style="list-style-type: none"> <li>• <b>Work with state legislative delegation and Mosquito Control Commission to explore drafting of legislation that would transfer the Cape Cod Mosquito Control Program from the state to the County.</b></li> </ul> <p><b>Discussion:</b> As noted by the Special Commission, there is concern that state oversight of Mosquito Control is leading to the use of pesticides and other practices not in keeping with the Cape’s fragile ecosystem. Regional control of Mosquito Control would provide greater leverage in decisions about practices and materials used.</p>	2014	Mosquito Control, (CA) CE

## **5.0 Evaluation**

The Barnstable County Strategic Plan is intended to be a living document that provides a blueprint for actions in the next five years. As noted above, the Plan does not replace the depth of detail found in individual departmental action plans, but represents the broader actions of all county departments in the context of shared policy priorities.

The Plan is intended for use by County Commissioners, Department managers and County Administrators in developing fiscal year work plans and budgets

Several recommendations (4.1.3, 4.2) call for planning and budgeting measures focused on strategic policy priorities outlined in the plan. Specifically:

**Planning.** The Strategic Plan should be referred to in annual progress reports and reviews. Department managers should develop annual implementation plans with goals and objectives for each strategic priority identified in the strategic plan that is related to their mission and scope of work. Implementation activities geared toward shared priorities should be coordinated through County departments.

**Budgeting.** Annual budget preparation should be organized around strategic priority areas using a program budget format.

**Reporting.** Each department's progress toward strategic priorities should be reviewed with chief elected officials in January during budget reports/reviews and again at the end of the fiscal year. These reports should be compiled into an annual strategic plan progress report that is available for public review and posted on the County website.

As these measures are implemented, it will be possible to demonstrate contributions individual departments make in promoting policy priorities.

## **Acknowledgements**

Ridley & Associates, Inc. appreciates the opportunity to assist with the preparation of this Strategic Plan. We wish to thank many individuals who generously contributed their time and expertise in support of the development of the strategic plan.

County Commissioners  
Mary Pat Flynn, Chair  
William Doherty  
Sheila Lyons

Mark Zielinski, County Administrator/Finance Director  
Margaret Downey, Assistant County Administrator

Paul Niedziewicki, Executive Director, Cape Cod Commission  
Elizabeth Albert, Director, Human Services Department  
George Heufelder, Director, Health and Environment Department  
William Clark, Director, Cape Cod Cooperative Extension  
Darlene Johnson-Morris, Director, Resource Development Office/Americorps  
Stacy Gallagher, Director, Children's Cove  
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William Traverse, Interim Director, Information Technology Department  
Debra L. Cohen, Executive Director, Barnstable County Retirement Association  
Stephen Tebo, Director, Facilities Department  
Julia Taylor, Member, Assembly of Delegates  
Ronald Bergstrom, Speaker, Assembly of Delegates  
State Senator Daniel Wolf  
Former State Senator and County Commissioner Robert O'Leary  
Jari Rapaport, Cape Cod League of Women Voters  
Andrew Gottlieb, Director, Cape Cod Water Protection Collaborative  
Kristy Senatori, Deputy Director, Information, Innovation and Design, Cape Cod Commission

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## Barnstable County Services Survey PART I

The County of Barnstable is conducting an informal survey to determine your town's familiarity and use of many of the County's services. This survey will also help us recognize interest in emerging or potential services offered by the County. There are three parts to this survey. Please complete all three parts.

**Please check one:**

- I am a Town Administrator
- I am a Selectman
- I am a member of Town Counsel
- I am other town elected/appointment official

### SECTION I - ADMINISTRATIVE SERVICES

**1. Would you be supportive of the creation of a regionalized human resources service at Barnstable County?**

- Yes
- No

**2. Would you be interested in Barnstable County providing accommodations for centralized beach sticker sales?**

- Yes
- No

### SECTION II - BARNSTABLE COUNTY PURCHASING DIVISION

#### Purchasing Division

*1. Barnstable County Purchasing Division coordinates the solicitation of collaborative bids between the towns in the County to take advantage of the cost savings involved in the procurement of supplies and services in large volumes. Some examples are gasoline and diesel fuel, heating oil, roadway construction, water chemicals, among others.*

- Please check this box if you are not familiar with this service.

**How well does this service meet the needs of your town?**

**If this service is not being used in your town, why not?**

#### Purchasing Division

*2. The Purchasing Department provides a website <http://purchasing.barnstablecounty.org> for towns to order office supplies that are bid through the County.*

- Please check this box if you are not familiar with this service.

**How well does this service meet the needs of your town?**

**If this service is not being used in your town, why not?**

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*Purchasing Division*

3. *The Cape Cod Association of Public Purchasing Officials (CAPPO) meets monthly to provide education and training, as well as a forum for local officials, to discuss regional procurement issues.*

Please check this box if you are not familiar with this service.

**How well does this service meet the needs of your town?**

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**If this service is not being used in your town, why not?**

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*Purchasing Division*

4. *Please let us know if your town is interested in participating with other towns in additional collaborative procurement opportunities. Check all that apply.*

- Vehicles
- Heavy Equipment
- Printing Services
- Other

**If you chose "Other" please describe.**

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*Purchasing Division*

5. *Would you be interested in having Barnstable County act as a regional procurement office to handle procurements in your town.*

- Yes
- No

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**SECTION III - DREDGE**

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*Dredge*

1. *Were you aware that the County has purchased a second Dredge?*

- Yes
- No

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*Dredge*

2. *Would you be interested in increasing your Dredge usage?*

Yes No

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## SECTION IV - EMERGING INFORMATION TECHNOLOGY SERVICES

*Over the past several months, the IT Department at Barnstable County has been working diligently to broaden and enhance their portfolio of products, services and support to better serve constituencies throughout Barnstable County.*

*Please look at the following services that IT would like to offer and identify how interested you are in having your municipality receive this service.*

### **1. Complete design solutions for voice, data and wireless information.**

- Highly interested.
- Somewhat interested.
- Not interested.
- I require more information.

### **2. Enhanced network management tools to proactively monitor the network in its entirety.**

- Highly interested.
- Somewhat interested.
- Not interested.
- I require more information.

### **3. Advanced threat protection for both internal devices and the network transport.**

- Highly interested.
- Somewhat interested.
- Not interested.
- I require more information.

### **4. IT Strategic planning with guidance technology roadmap development.**

- Highly interested.
- Somewhat interested.
- Not interested.
- I require more information.

### **5. Data center accessibility and security for hosting, backup and disaster recovery.**

- Highly interested.
- Somewhat interested.
- Not interested.
- I require more information.

### **6. Business intelligence and analytics from multiple data sources.**

- Highly interested.
-

Somewhat interested.

Not interested.

I require more information.

**7. Enhanced Microsoft product offerings including managed Office 365 suite with a la carte menu.**

Highly interested.

Somewhat interested.

Not interested.

I require more information.

**8. Enhanced voice and video/VoIP offerings providing full mobility and conferencing features with a la carte menu.**

Highly interested.

Somewhat interested.

Not interested.

I require more information.

**9. Large scale online meetings with traditional call-in capability.**

Highly interested.

Somewhat interested.

Not interested.

I require more information.

**10. Cloud storage and backup for business continuity.**

Highly interested.

Somewhat interested.

Not interested.

I require more information.

**11. Site ISP redundancy to assure real-time failover for business opportunity.**

Highly interested.

Somewhat interested.

Not interested.

I require more information.

**12. Server hardening and back-ups for high availability and fault tolerance.**

Highly interested.

Somewhat interested.

Not interested.

I require more information.

**13. Infrastructure as a service, including virtual servers and desktops.**

- Highly interested.
- Somewhat interested.
- Not interested.
- I require more information.

**14. Enhanced wireless infrastructure allowing rapid deployment of secure wireless access.**

- Highly interested.
- Somewhat interested.
- Not interested.
- I require more information.

**15. Detailed service level agreements tied to all product offering.**

- Highly interested.
- Somewhat interested.
- Not interested.
- I require more information.

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*This ends Part I of this survey. For online respondents, please click the SUBMIT button and retrieve the URL to continue on to Part II.*

# Barnstable County Services Survey PART II

The County of Barnstable is conducting an informal survey to determine your town's familiarity and use of many of the County's services. This survey will also help us recognize interest in emerging or potential services offered by the County. This represents Part II of this survey. When completed, please continue on to Part III.

**Please check one:**

- I am a Town Administrator
- I am a Selectman
- I am a member of Town Counsel
- I am other town elected/appointment official

**SECTION I - BARNSTABLE COUNTY SERVICES:**

*Cape Cod Commission  
 Department of Human Services  
 Resource Development Office*

**CAPE COD COMMISSION**

*Cape Cod Commission*

*1. RESET (Regional Economic Strategy Executive Team)*

- Please check this box if you are not familiar with this service.

**How well does this service meet the needs of your town?**

\_\_\_\_\_

**If this service is not being used in your town, why not?**

\_\_\_\_\_

*Cape Cod Commission*

*2. Wastewater Planning*

- Please check this box if you are not familiar with this service.

**How well does this service meet the needs of your town?**

\_\_\_\_\_

**If this service is not being used in your town, why not?**

\_\_\_\_\_

*Cape Cod Commission*

*3. Transportation Analysis/Planning*

- Please check this box if you are not familiar with this service.

**How well does this service meet the needs of your town?**

\_\_\_\_\_

**If this service is not being used in your town, why not?**

\_\_\_\_\_

*Cape Cod Commission*

*4. Water Resources Analysis/Planning*

Please check this box if you are not familiar with this service.

**How well does this service meet the needs of your town?**

\_\_\_\_\_

**If this service is not being used in your town, why not?**

\_\_\_\_\_

*Cape Cod Commission*

*5. Maps and GIS support/analysis*

Please check this box if you are not familiar with this service.

**How well does this service meet the needs of your town?**

\_\_\_\_\_

**If this service is not being used in your town, why not?**

\_\_\_\_\_

*Cape Cod Commission*

*6. Technical Assistance on request.*

Please check this box if you are not familiar with this service.

**How well does this service meet the needs of your town?**

\_\_\_\_\_

**If this service is not being used in your town, why not?**

\_\_\_\_\_

*Cape Cod Commission*

*7. Development of Decision Support Tools*

Please check this box if you are not familiar with this service.

**How well does this service meet the needs of your town?**

**If this service is not being used in your town, why not?**

---

*Cape Cod Commission*

*8. Administration of Cost-Saving Regional Efforts (RWAN, ePermitting, performance management).*

Please check this box if you are not familiar with this service.

**How well does this service meet the needs of your town?**

**If this service is not being used in your town, why not?**

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*DEPARTMENT OF HUMAN SERVICES*

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*Department of Human Services*

*9. Free health insurance enrollment counseling for Medicare beneficiaries (SHINE). Shine collaborates with all 15 Senior Centers/COA's on Cape Cod.*

Please check this box if you are not familiar with this service.

**How well does this service meet the needs of your town?**

**If this service is not being used in your town, why not?**

---

*Department of Human Services*

*10. Leadership of Cape-wide data collection and planning for senior citizens on Cape Cod.*

Please check this box if you are not familiar with this service.

**How well does this service meet the needs of your town?**

**If this service is not being used in your town, why not?**

---

*Department of Human Services*

*11. Prevention and reduction of chronic diseases, such as diabetes, hypertension, and falls among seniors.*

Please check this box if you are not familiar with this service.

**How well does this service meet the needs of your town?**

\_\_\_\_\_

**If this service is not being used in your town, why not?**

\_\_\_\_\_

*Department of Human Services*

*12. Regional funding for supportive housing for chronically homeless households (McKinney Vento Continuum of Care).*

Please check this box if you are not familiar with this service.

**How well does this service meet the needs of your town?**

\_\_\_\_\_

**If this service is not being used in your town, why not?**

\_\_\_\_\_

*Department of Human Services*

*13. Funding for affordable housing development and down payment closing cost assistance program (HOME Program).*

Please check this box if you are not familiar with this service.

**How well does this service meet the needs of your town?**

\_\_\_\_\_

**If this service is not being used in your town, why not?**

\_\_\_\_\_

*Department of Human Services*

*14. Prevention of substance abuse, working in conjunction with towns, elected officials, schools, health care providers, and employers to develop regional strategies to secure funding resources (RSAC, MOAPC, SAPC).*

Please check this box if you are not familiar with this service.

**How well does this service meet the needs of your town?**

\_\_\_\_\_

**If this service is not being used in your town, why not?**

\_\_\_\_\_

*Department of Human Services*

*15. Direct consultation with non-profit organizations, health care & human service providers, and town staff on Cape-specific data to support grant-writing activities.*

Please check this box if you are not familiar with this service.

**How well does this service meet the needs of your town?**

\_\_\_\_\_

**If this service is not being used in your town, why not?**

\_\_\_\_\_

*RESOURCE DEVELOPMENT OFFICE*

*Resource Development Office*

*16. Assistance with Grant program development.*

Please check this box if you are not familiar with this service.

**How well does this service meet the needs of your town?**

\_\_\_\_\_

**If this service is not being used in your town, why not?**

\_\_\_\_\_

*Resource Development Office*

*17. Grant writing services and/or technical assistance.*

Please check this box if you are not familiar with this service.

**How well does this service meet the needs of your town?**

\_\_\_\_\_

**If this service is not being used in your town, why not?**

\_\_\_\_\_

*Resource Development Office*

*18. Grant oversight and fiscal management.*

Please check this box if you are not familiar with this service.

**How well does this service meet the needs of your town?**

\_\_\_\_\_

**If this service is not being used in your town, why not?**

\_\_\_\_\_

*Resource Development Office*

*19. Grant Webinars/Workshops*

Please check this box if you are not familiar with this service.

**How well does this service meet the needs of your town?**

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**If this service is not being used in your town, why not?**

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*This concludes Part II of the survey. For online respondents, please click on the SUBMIT button and retrieve the URL for PART III.*

# Barnstable County Services Survey - PART III

The County of Barnstable is conducting an informal survey to determine your town's familiarity and use of many of the County's services. This survey will also help us recognize interest in emerging or potential services offered by the County.

This represents Part III, the final portion, of this survey.

**Please check one:**

- I am a Town Administrator
- I am a Selectman
- I am a member of Town Counsel
- I am other town elected/appointment official

**SECTION I - BARNSTABLE COUNTY SERVICES:**

*Department of Health & Environment  
 Barnstable County Regional Emergency Preparedness Division  
 Cape Cod Cooperative Extension*

**DEPARTMENT OF HEALTH AND ENVIRONMENT**

*Department of Health and Environment*

*1. Local Board of Health Services: Services to the communities in Barnstable County include: Health Agent coverage, restaurant inspections, swimming pool inspections, septic plan review (particularly advanced treatment systems), soil tests, housing inspections, sanitary code and compliance investigations. Some communities have opted for contractual opportunities for these services for extended periods of time during time of extended health agent leaves (maternity or illness).*

Please check this box if you are not familiar with these services.

**How well do these services meet the needs of your town?**

**If these services are not being used in your town, why not?**

*Department of Health and Environment*

*2. Community Septic Management Loan Program(CSMLP): CSMLP has worked on behalf of homeowners in the 15 communities on Cape Cod to upgrade failed residential septic systems by providing an affordable long-term loan program.*

Please check this box if you are not familiar with this service.

**How well does this service meet the needs of your town?**

**If this service is not being used in your town, why not?**

*Department of Health and Environment*

*3. Massachusetts Alternative Septic System Test Center (MASSTC) and Title 5 Services: MASSTC has been operated to provide the communities in Barnstable County with state-of-the-art information on the onsite septic systems that are being considered to address the Cape's problems with nitrogen that impacts our drinking water and marine water. All administrative and performance tracking of the installed alternative systems in each community is accomplished by a nationally lauded and self-sustaining program at no cost to the towns.*

Please check this box if you are not familiar with this service.

**How well does this service meet the needs of your town?**

**If this service is not being used in your town, why not?**

*Department of Health and Environment*

*4. Public Health Nursing and Public Immunization Program: This program provides the fifteen communities with a vital public immunization program, sun safety education, tick borne disease education, blood borne pathogens testing, tuberculosis testing and bladder cancer screening (particularly for high risk individuals among the public safety), public health outreach at food pantry's, blood pressure clinics, preventative health screenings and support at municipal health fairs.*

Please check this box if you are not familiar with this service.

**How well does this service meet the needs of your town?**

**If this service is not being used in your town, why not?**

*Department of Health and Environment*

*5. Bathing Beach Water Quality Program: This program provides the communities with the collection and bacterial analysis of every town beach in Barnstable County. Additional Services include: Notification to town health agents when bacteria levels are exceeded and Immediate resampling and analysis of affected beaches to reduce closure periods. Over 350 beaches are monitored and reported on weekly.*

Please check this box if you are not familiar with these services.

**How well do these services meet the needs of your town?**

**If these services are not being used in your town, why not?**

*Department of Health and Environment*

*6. Barnstable County Water Quality Laboratory: The Laboratory assists water districts, municipalities and homeowners with high quality analysis of various contaminants in accordance with state and federal water quality standards. The laboratory also assists with monitoring of fresh and marine waters, required monitoring near closed landfill, shellfish harvesting areas and other areas of*

*environmental concern. Special projects such as the lead-in-school water supplies are accomplished by maintaining state-of-the-art analytical capabilities.*

Please check this box if you are not familiar with this service.

**How well does this service meet the needs of your town?**

**If this service is not being used in your town, why not?**

*Department of Health and Environment*

*7. Environmental Health and Safety Program: The EHS Division serves the towns in the capacity of assessing, assisting, developing, administering, reviewing, and implementing necessary and current environmental, health, and safety compliance needs. Currently, the focus has been on lowering municipal employee risks and hazards by preventing job-related accidents, injuries, and illnesses and reducing the overall risk to towns, resulting in lowering liabilities for health and insurance costs.*

Please check this box if you are not familiar with this service.

**How well does this service meet the needs of your town?**

**If this service is not being used in your town, why not?**

*Department of Health and Environment*

*8. Cape Cod Regional Tobacco Control Program: This program, funded by the Massachusetts Department of Public Health supports the fifteen local Boards of Health with compliance with state and local tobacco regulations. The focus of the program is the limiting of youth access and implementation of a comprehensive tobacco education program.*

Please check this box if you are not familiar with this service.

**How well does this service meet the needs of your town?**

**If this service is not being used in your town, why not?**

*Department of Health and Environment*

*9. Membership Participation in Regional Forums: Often the interest of the towns is not represented in state and regional bodies that have influence at the state level. The Department serves on state panels to make the needs of the towns known. These include the State Emergency Response Commission, the Title 5 Review Stakeholder Group, The Massachusetts Public Health Nursing Association, New England Interstate Onsite Wastewater Group, State Onsite Regulator Association, The Barnstable County Lyme Disease Task Force, and the State Hoarding Task Force.*

Please check this box if you are not familiar with this service.

**How well does this service meet the needs of your town?**

**If this service is not being used in your town, why not?**

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**BARNSTABLE COUNTY REGIONAL PREPAREDNESS DIVISION**

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*Barnstable County Regional Emergency Preparedness Division*

*10. The Barnstable County Regional Emergency Planning Committee supports the emergency management and public safety agencies in the fifteen communities with comprehensive all hazard emergency planning and response. The REPC provides a monthly forum to address critical public safety issues in the county, and operates the Multi-Agency Coordination Center (MACC) during regional emergency events where power restoration, sheltering and recovery resources may be needed.*

Please check this box if you are not familiar with this service.

**How well does this service meet the needs of your town?**

**If this service is not being used in your town, why not?**

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**Barnstable County Regional Emergency Preparedness Division**

*11. Tier II Hazardous Chemical Emergency Report Inventory Program: This program assists the communities with compliance to the Emergency Planning and Community Right to Know Act. Services to the towns include the assistance to municipal agencies with the submission Tier II hazardous materials inventory reports for over 450 facilities, the provision of hazardous materials inventories and facility emergency response plans to fire departments and a comprehensive hazardous materials education program.*

Please check this box if you are not familiar with this service.

**How well does this service meet the needs of your town?**

**If this service is not being used in your town, why not?**

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**Barnstable County Regional Emergency Preparedness Division**

*12. Barnstable County Regional Sheltering Program: The regional sheltering program supports six regional emergency shelters and two satellite shelters that provide Cape communities safe locations to serve each community should residents or visitors need to be evacuated due to an emergency event, such as a tropical storm or severe winter weather event. The program coordinates volunteers, grant requests for equipment, public awareness efforts and develops of regional exercises to review capabilities.*

Please check this box if you are not familiar with this service.

**How well does this service meet the needs of your town?**

**If this service is not being used in your town, why not?**

**Barnstable County Regional Emergency Preparedness Division**

*13. Cape and Islands Health Agents Coalition/Public Health Emergency Planning: This program assists the local health departments with public health emergency planning for communicable diseases such as influenza, SARS, Anthrax and many other hazards. This is done through the development of communicable disease response plans, continuation of operation planning, coordination of local and regional exercises and the continued operation of a regional Medical Reserve Corps to support these and other emergency response efforts.*

Please check this box if you are not familiar with this service.

**How well does this service meet the needs of your town?**

\_\_\_\_\_

**If this service is not being used in your town, why not?**

\_\_\_\_\_

**Barnstable County Regional Emergency Preparedness Division**

*14. The Barnstable County Fire and Rescue Training Academy (BCFRTA): BCFRTA is a vital regional training facility for fire departments in Barnstable County. BCFRTA provides fire departments comprehensive training in fire response, Emergency Medical Services (EMS), technical rescue, and incident management. Additionally, the academy offers a Fit Testing Program to departments for their breathing apparatus, a shipboard firefighting program for the cadets at the Massachusetts Maritime Academy and Industrial Fire Brigade training.*

Please check this box if you are not familiar with this service.

**How well does this service meet the needs of your town?**

\_\_\_\_\_

**If this service is not being used in your town, why not?**

\_\_\_\_\_

**CAPE COD COOPERATIVE EXTENSION**

**Cape Cod Cooperative Extension**

*15. Shellfish & Aquaculture Services*

*o Regional shellfish bid and financial assistance (currently \$30,000) for towns to acquire oyster and quahog seed at lowest price with reliable delivery.*

*o Shellfish Constable services - technical assistance during shellfish closures, shellfish habitat assessment, disease testing and analysis of municipal shellfish stock, host and facilitate Barnstable County Shellfish Advisory Committee, teach many of the Shellfish Constable Certification courses.*

*o Water quality monitoring to address nitrogen and nutrient issues and the role shellfish can play in remediation.*

*o Provide towns with safe shellfish harvest and handling training and literature.*

*o Extensive outreach and education to private aquaculturists including Fundamentals of Shellfish Farming eight-week course.*

Please check this box if you are not familiar with these services.

**How well do these services meet the needs of your town?**

**If these services are not being used in your town, why not?**

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*Cape Cod Cooperative Extension*

*16. Coastal Erosion and Flood Management*

*o Community Rating System (CRS) Coordinator responsible for helping towns qualify and reach maximum savings for their residents who pay flood insurance on their homes.*

*o Shoreline mapping, technical reports to conservation commissions on erosion, beach nourishment, and impacts of proposed building sites.*

*o Provide detailed technical bulletins to municipal staff on coastal issues (storm damage, plantings, beach management).*

*o Barnstable County Municipal Conservation Agent working group – provide monthly meetings, trainings, and technical assistance to town conservation agents.*

Please check this box if you are not familiar with these services.

**How well do these services meet the needs of your town?**

**If these services are not being used in your town, why not?**

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*Cape Cod Cooperative Extension*

*17. Entomology / Tick borne Disease Research, Education and Prevention*

*o Barnstable County Lyme Disease Task Force – community outreach, Physician and Nurses Forums, collaboration and communication with community and state resources.*

*o Tick borne disease prevention through community education.*

*o Tick testing, tick research, collaboration with EPA and UMASS.*

*o Insect / pest management services – gypsy moth, winter moth, assistance to local farmers.*

Please check this box if you are not familiar with these services.

**How well do these services meet the needs of your town?**

**If this services are not being used in your town, why not?**

**Cape Cod Cooperative Extension**

**18. Horticulture / Master Gardeners / Buy Fresh Buy Local Cape Cod.**

- o Technical assistance to tree wardens, conservation agents, natural resource departments on land and wildfire management, forestry, and municipal plantings.*
- o Fertilizer Certification for applicators as require by town bylaw.*
- o Horticulture clinic, direct service to citizens on plants and gardens.*
- o Green industry support – landscapers, arborists, nurseries.*
- o Buy Fresh Buy Local Cape Cod – connecting community members with locally grown and harvested products; providing marketing and technical assistance to farmers.*
- o Technical assistance and economic development for local farmers.*
- o Barnstable County Municipal Shade Tree Nursery – grow and provide regionally appropriate trees and shrubs at low cost to municipalities.*

Please check this box if you are not familiar with these services.

**How well do these services meet the needs of your town?**

**If this services are not being used in your town, why not?**

**Cape Cod Cooperative Extension**

**19. Nutrition and Food Safety**

- o Collaborate with Health Agents on food safety classes for food establishments.*
- o Senior citizen nutrition programs, school nutrition, ServSafe, business assistance to keep in compliance with local, state, and Federal laws.*
- o Food Pantry and Cape Cod Hunger Network program facilitation and safety compliance education.*
- o Supplemental Nutrition Assistance Program Education – Preschool nutrition education, parent education, community services.*
- o Small business assistance guidance and education for mandatory food safety plans.*

Please check this box if you are not familiar with these services.

**How well do these services meet the needs of your town?**

**If these services are not being used in your town, why not?**

**Cape Cod Cooperative Extension**

**20. Youth Programs & Youth Development**

*o 4-H Youth Development Program for ages 5 -18. Part of national 4-H program reaching over 5,000 Cape Cod youth (and 200 adult volunteers) yearly through clubs, after school programs, special events, in school enrichment, and camps.*

*o 4-H Life Skills - Leadership, Communication, Community Service and Citizenship under the guidance of trained, screened volunteers.*

*o Military Family Programs: Week-long, grant-funded family-centered camps for military families on Cape Cod.*

*o After School and At Risk Youth Programs - cooperative work with school systems to provide programs for youth that otherwise could not access or afford services.*

*o Coastal Explorer - mobile classroom on wheels delivering locally based marine curriculum to schools in accordance with state and federal testing requirements.*

*o WET Festivals - one day education sessions focused on water quality education delivered to 4th-6th grade students covering Cape Cod water protection and conservation.*

Please check this box if you are not familiar with these services.

**How well do these services meet the needs of your town?**

\_\_\_\_\_

**If these services are not being used in your town, why not?**

\_\_\_\_\_

**Cape Cod Cooperative Extension**

**21. Municipal Solid Waste (Trash) and Recycling**

*o Municipal Assistance Coordinator (MAC) provides technical assistance and acts as conduit for communications with MassDEP for transfer station and landfill needs including trash management options and municipal recycling resources.*

*o Grant assistance for municipal trash, recycling and large scale composting.*

*o Information services to solid waste advisory committees, town finance committees, elected officials and staff.*

Please check this box if you are not familiar with this service.

**How well does this service meet the needs of your town?**

\_\_\_\_\_

**If this service is not being used in your town, why not?**

\_\_\_\_\_

**Cape Cod Cooperative Extension**

**22. Household Hazardous Waste programs (Groundwater Protection)**

*o Coordination of all municipal household hazardous waste collections.*

*o Direct services to towns and citizens in need of hazardous waste disposal options.*

*o Sharps (needle) collection program for each town.*

*o Road and marine flare collection program.*

*o Mercury containing device collection program.*

*o Unwanted medication collection program.*

Please check this box if you are not familiar with these services.

**How well do these services meet the needs of your town?**

**If this services are not being used in your town, why not?**

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*Thank you for taking the time to help Barnstable County determine your familiarity and use of our services, and interest in emerging or potential services offered by the County.*



# BARNSTABLE COUNTY COMMISSIONERS

SUPERIOR COURTHOUSE  
3195 MAIN STREET  
P.O. BOX 427  
BARNSTABLE, MASSACHUSETTS 02630  
PHONE: (508) 375-6648  
FAX: (508) 362-4136

HOME RULED CHARTERED  
IN 1989

RONALD R. BEATY  
Barnstable

LEO G. CAKOUNES  
Harwich

MARY PAT FLYNN  
Falmouth

## MEMORANDUM

**DATE:** August 14, 2017  
**TO:** County Commissioners  
**FROM:** Owen Fletcher, Executive Assistant  
**SUBJECT:** Cape and Islands Workforce Development Board Nomination

---

Per the attached letter, please appoint Dora Camara, Field Coordinator with the 1199SEIU Training and Upgrading Fund, to the Cape and Islands Workforce Development Board, as a representative of a joint-labor management Registered Apprenticeship program, as required by the Workforce Innovation and Opportunity Act (WIOA), for a term through June 30, 2020.

Approved:

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Leo G. Cakounes, Chair

---

Mary Pat Flynn, Vice-Chair

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Ron Beaty, Commissioner

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Date



THE COMMONWEALTH OF MASSACHUSETTS  
EXECUTIVE OFFICE OF LABOR AND WORKFORCE DEVELOPMENT  
DEPARTMENT OF LABOR STANDARDS  
DIVISION OF APPRENTICE STANDARDS

CHARLES D. BAKER  
GOVERNOR

KARYN E. POLITO  
LIEUTENANT GOVERNOR

ROSALIN ACOSTA  
SECRETARY

WILLIAM D. MCKINNEY  
DIRECTOR

July 26, 2017

Mary Pat Flynn, Barnstable County Commissioner  
P.O. Box 427  
3195 Main Street, Superior Courthouse  
Barnstable, MA 02630

Subject: Cape and Islands Workforce Development Board Nomination

Dear Ms. Flynn:

The Cape and Islands Workforce Development Board (CIWDB), as the entity that sets policy for the local workforce development system, is required by the Workforce Innovation and Opportunity Act (WIOA) to have a representative of a joint-labor management Registered Apprenticeship program as a member of the local workforce development board. That seat is currently vacant for the CIWDB, thereby preventing CIWDB from securing full certification.

Accordingly, I am nominating Dora Camara, Field Coordinator with the 1199SEIU Training and Upgrading Fund, a labor-management workforce development organization for healthcare workers, to represent Registered Apprenticeship programs on the Cape & Islands Workforce Development Board. Dora provides educational, career advising and tuition assistance to union members at various healthcare worksites throughout the Cape and Southeastern region of the state. Dora develops and works with labor-management committees to identify training that meet the operational needs of healthcare institutions while creating a benefit for the employees. The Training Fund has developed a registered apprenticeship program for Medical Coders enrolling employees from Steward Healthcare.

In the past, Dora worked with the Massachusetts AFL-CIO as a Rapid Response Specialist, working closely with unions and the Department of Career Services to provide information regarding education and no-cost re-employment services for companies and their employees affected by layoffs and closings. Dora is completing her Bachelor's Degree in Business Management at the University of Massachusetts Dartmouth

I am confident that Dora will be a valuable addition to the Employment Board. Providing that you concur, please send a letter of confirmation directly to Dora, with a copy to me. Should you have any questions or need additional information, please contact me at your convenience.

Sincerely,

Henry Mattuchio  
Deputy Director, DAS

cc: David Augustinho  
Dora Camara



# BARNSTABLE COUNTY

OFFICE OF COUNTY ADMINISTRATOR  
3195 MAIN STREET  
P.O. BOX 427  
BARNSTABLE, MASSACHUSETTS 02630

**Jack T. Yunits, Jr.**  
County Administrator  
Cell: (508) 510-1127  
Office: (508) 375-6771  
Fax: (508) 362-4136  
Jack.yunits@barnstablecounty.org

## MEMORANDUM

**DATE:** August 14, 2017  
**TO:** County Commissioners  
**FROM:** Owen Fletcher, Executive Assistant  
**SUBJECT:** Grounds Request

---

Please approve the Grounds Request from the Harbor to the Bay, Inc to use the parking lots of the County Complex on September 23, 2017 in conjunction with the 15th Annual harbor to the Bay AIDS Benefit Bike Ride.

Approved:

---

Leo G. Cakounes, Chair

---

Mary Pat Flynn, Vice-Chair

---

Ron Beaty, Commissioner

---

Date

Harbor to the Bay, Inc. · Box 990243 · Boston, MA 02199  
Telephone: 855-422-2453 · [www.harbortothebay.org](http://www.harbortothebay.org)

August 9, 2017

Jack Yunits, County Administrator  
Barnstable County  
Superior Courthouse  
3195 Main Street  
Barnstable, MA 02630

Dear Mr. Yunits,

I am contacting you to once again request permission to use The County Courthouse Parking Lot on Saturday September 23, 2017 in conjunction with The 15<sup>th</sup> Annual Harbor to the Bay Aids Benefit Bike Ride.

I have already received the Ride approval from the town, and have the insurance certificate should you require it.

We appreciate your support in past years and look forward to working with you again this September!

Sincerely,

Jan Peters/James Morgrage

President, Harbor To The Bay

**DISCHARGE OF MORTGAGE**

**Barnstable County, acting by and through the Cape Cod Commission, *the holder of a mortgage***

*By* **James R. & Lisa J. Veazie, Paul Wirth**

*to* **Barnstable County, acting by and through the Cape Cod Commission,**

*dated* **June 6, 1995**

*recorded with the* **Barnstable County Registry of Deeds Book 9698 Page 335**

*acknowledges satisfaction of the same.*

*Witness our hand and seal this* \_\_\_\_\_ *day of August 2017*

BARNSTABLE COUNTY,

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

As County Commissioners

COMMONWEALTH OF MASSACHUSETTS

Barnstable, ss.

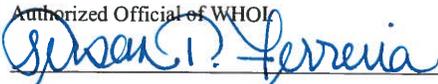
On this \_\_\_\_\_ day of August 2017, before me, the undersigned notary public personally appeared \_\_\_\_\_

\_\_\_\_\_

and proved to me through satisfactory evidence of identification, which was \_\_\_\_\_, to be the persons whose names are signed on the preceding or attached document, and acknowledged to me that they signed it voluntarily for its stated purpose.

\_\_\_\_\_  
Notary Public  
My Commission Expires:

## Cost Reimbursable Research Subaward Amendment

<b>WHOI</b>		<b>Collaborator</b>	
<b>Woods Hole Oceanographic Institution</b>		<b>Cape Cod Cooperative Extension (Barnstable County)</b>	
Address: <b>183 Oyster Pond Rd. Fenno House, MS #39 Woods Hole, MA 02543-1501</b>		Address: <b>P.O Box 367 Railroad Ave. Barnstable, MA 02630</b>	
		EIN No. <b>04 6001419</b>	
FAIN: <b>NA14OAR4170074, Project A/S 15s</b>	Federal Award (Fed Awd) Agency : <b>NOAA (Sea Grant)</b>	WHOI Project No : <b>22007402</b>	
Fed Awd Issue Date: <b>2/1/2014</b>	Total Amt of Fed Awd to WHOI: <b>\$4,207,884.00</b>	CFDA Title: <b>Sea Grant Support</b>	CFDA No. <b>11.417</b>
Sub Period of Performance: <b>2/1/2014-1/31/2018</b>	Sub Budget Period: <b>2/1/2014-7/31/2017</b>	Sub Amt Currently Available: <b>\$591,175.00</b>	Sub Anticipated Total: (incremental): <b>\$679,582.00</b>
WHOI PI: <b>Dr. Judy McDowell</b>		Collaborator PI: <b>Diane Murphy</b>	
Project Title: <b>"Sea Grant Extension Program"</b>			
Subaward (Sub) No: <b>A101112</b>	Subject to FFATA: (see Attachment 3B) <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	Is this Award R&D: <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	
<b>Amendments to Original Terms and Conditions</b>			
Effective Date: <b>7/05/2017</b>		Amendment No: <b>7</b>	
<p>The purpose of this Amendment is the addition of <b>remainder Year 4</b> funds. <b>\$88,407.00</b> in incremental funding will be added for the <b>Budget Period</b> hereby extended to be equal to the <b>Period of Performance</b> which remains through <b>1/31/2018</b>. Total amount currently available is increased to <b>\$679,582.00</b>.  <b>And... To update Attachments 1 &amp; 2 by:</b>                      incorporating updated DOC Financial Assistance Standard Terms and Conditions;                      revising NOAA Administrative Special and Standard Award Conditions;                      as attached.</p> <p><b>Please make the following changes to your Award Agreement:</b></p>			
Sub Period of Performance: <b>2/1/2014-1/31/2018</b>	Sub Budget Period: <b>2/1/2014-1/31/2018</b>	Sub Amt Currently Available: <b>\$679,582.00</b>	Sub Anticipated Total: (incremental): <b>\$679,582.00</b>
<b>Attachment 4: Incremental Funding</b>			
<p>This Agreement is incrementally funded. The total amount of this Agreement is <b>\$679,582.00</b>.                      The amount currently available for payment is <b>\$679,582.00</b> which covers the Budget Period as extended and the Period of Performance as previously stated.                      This is the final increment and fully funds this subaward.</p> <p style="text-align: center;"><b>Cost Share Requirements</b></p> <p>The total of <b>\$500,419.00</b> on this Subaward has been committed for Cost Share.                      The amount currently committed for: Year One is \$121,280.00; for Year Two is \$124,124.00, for Year Three is \$126,344.00, and for <b>Year 4</b> is <b>\$128,671.00</b> for a total <b>Cost Share Amount of \$500,419.00</b>.</p> <p><b>All Cost Share must be documented on your invoices with <u>period and cumulative</u> totals reported.</b></p> <p><b>All other Terms and Conditions remain in full force and effect.</b></p>			
Authorized Official of WHOI:  Susan P. Ferreira, Post Award Manager Woods Hole Oceanographic Institution		Authorized Official of Collaborator:  Name: _____ Date: _____ Title: _____	
Date <b>7/21/17</b>			

# **Attachment 1-Updated**

## **WHOI Cost Reimbursable Research Subaward Agreement**

### **Certifications and Assurances**

By signing the Subaward Agreement, the Authorized Official of COLLABORATOR certifies, to the best of his/her knowledge and belief, that:

#### **Certification Regarding Lobbying**

1) No Federal appropriated funds have been paid or will be paid, by or on behalf of the Collaborator, 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 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 intending 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 Collaborator shall complete and submit Standard Form -LLL, "Disclosure Form to Report Lobbying," to WHOI.

3) The Collaborator 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 Collaborators 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.

**Debarment, Suspension, and Other Responsibility Matters** - subject to Subpart C of 2 C.F.R Part 180.

Collaborator certifies by signing this Subaward Agreement that neither it nor its principals are presently debarred, suspended, proposed for debarment, declared ineligible or voluntarily excluded from participation in this transaction by any federal department or agency.

**Audit and Access to Records** – subject to Uniform Guidance as noted.

Collaborator certifies by signing this Subaward Agreement that it complies with the Uniform Guidance, will provide notice of the completion of required audits and any adverse findings which impact this subaward as required by parts 200.501-200.521. and will provide access to records as required by parts 200.331(a)(5), 200.336, 200.337, and 200.201 as applicable.

<p><b>Attachment 2-Updated</b> <b>WHOI Cost Reimbursable Research Subaward Agreement</b> <b>Prime Award Terms and Conditions</b></p>
--

Copy of Award Notice (attached \_\_8\_\_ pages)

**Certifications/Assurances**

1. By signing this Research Subaward Agreement Collaborator makes the certifications and assurances specified in: the Department of Commerce Financial Assistance Standard Terms and Condition dated March 31, 2017; Uniform Administrative Requirements, Cost Principles and Audit Requirements for Federal Awards (Uniform Guidance), 2 CFR § 200, and Bureau Specific Administrative Standard Award Conditions dated April 21, 2016

**General Terms and Conditions**

This Cost-reimbursable Research Subaward Agreement is subject to the following:

1. Uniform Administrative Requirements, Cost Principles and Audit Requirements for Federal Awards (Uniform Guidance), 2 CFR § 200 as applicable. Available at: <http://www.nsf.gov/awards/managing/rtc.jsp>.
2. Department of Commerce Financial Assistance Standard Terms and Condition dated March 31, 2017. Link found at bottom of the page: [http://www.osec.doc.gov/oam/grants\\_management/policy/default.htm](http://www.osec.doc.gov/oam/grants_management/policy/default.htm).
3. Bureau Specific Administrative Standard Award Conditions dated April 21, 2016 and found at: <http://www.who.edu/page.do?pid=22038>, and as attached.  
except for the following:
  - a. The right to initiate an automatic one-time extension of the end date p is replaced by the need to obtain prior written approval from WHOI;
  - b. The payment mechanism described in *B. Financial Requirements, .03 Award Payments* and the financial reporting requirements in *B. Financial Requirements, .02 Financial Reports* are replaced with Terms and Conditions (1) through (4) of this agreement; and
  - c. Any prior approvals are to be sought from WHOI and not the Federal Awarding Agency.
4. Title to equipment costing \$5,000 or more that is purchased or fabricated with research funds or Subrecipient cost sharing funds, as direct costs of the project or program, shall unconditionally vest in the Subrecipient upon acquisition without further obligation to the Federal Awarding Agency subject to the conditions specified in 2 CFR§313 Equipment

**Specific Terms and Conditions as required from: NOAA Financial Assistance Administrative Terms-Revised April 21, 2016**

**III. Scientific Integrity**

**A. General Guidelines**

1. *Maintaining Integrity.* The recipient shall maintain the scientific integrity of research performed pursuant to this grant or financial assistance award including the prevention, detection, and remediation of any allegations regarding the violation of scientific integrity or scientific and research misconduct, and the conduct of inquiries, investigations, and adjudications of allegations of violations of scientific integrity or scientific and research misconduct. All the requirements of this provision flow down to subrecipients.
2. *Peer Review.* The peer review of the results of scientific activities under a NOAA grant, financial assistance award, or cooperative agreement shall be accomplished to ensure

consistency with NOAA standards on quality, relevance, scientific integrity, reproducibility, transparency, and performance. NOAA will ensure that peer review of "influential scientific information" or "highly influential scientific assessments" is conducted in accordance with the Office of Management and Budget (OMB) Final Information Quality Bulletin for Peer Review and NOAA policies on peer review, such as the Information Quality Guidelines.

3. In performing or presenting the results of scientific activities under the NOAA grant, financial assistance award, or cooperative agreement and in responding to allegations regarding the violation of scientific integrity or scientific and research misconduct, the recipient and all subrecipients shall comply with the provisions herein and NOAA Administrative Order (NAO) 202-735D, Scientific Integrity, and its Procedural Handbook, including any amendments thereto. That Order can be found at: <http://nrc.noaa.gov/ScientificIntegrityCommons.aspx>.
4. *Primary Responsibility.* The recipient shall have the primary responsibility to prevent, detect, and investigate allegations of a violation of scientific integrity or scientific and research misconduct. Unless otherwise instructed by the grants officer, the recipient shall promptly conduct an initial inquiry into any allegation of such misconduct and may rely on its internal policies and procedures, as appropriate, to do so.
5. By executing this grant, financial assistance award, or cooperative agreement the recipient provides its assurance that it has established an administrative process for performing an inquiry, investigating, and reporting allegations of a violation of scientific integrity or scientific and research misconduct; and that it will comply with its own administrative process for performing an inquiry, investigation, and reporting of such misconduct.
6. The recipient shall insert this provision in all subawards at all tiers under this grant, financial assistance award, or cooperative agreement.

## B. Investigating Scientific Integrity or Scientific and Research Misconduct

1. *Initiating Investigation.* If the recipient or sub recipient determines that there is sufficient evidence to proceed to an investigation, it shall notify the grants officer and, unless otherwise instructed, the recipient or subrecipient shall:
  - a. Promptly conduct an investigation to develop a complete factual record and an examination of such record leading to either a finding regarding the violation of scientific integrity or scientific and research misconduct and an identification of appropriate remedies or a determination that no further action is warranted.
  - b. If the investigation leads to a finding regarding the violation of scientific integrity or scientific and research misconduct, obtain adjudication by a neutral third party adjudicator. The adjudication must include a review of the investigative record and, as warranted, a determination of appropriate corrective actions and sanctions.
2. *Finalizing Investigation.* When the investigation is complete, the recipient shall forward to the grants officer a copy of the evidentiary record, the investigative report, any recommendations made to the recipient adjudicating official, the adjudicating official's

decision and notification of any corrective action taken or planned, and the subject's written response (if any).

### C. Findings and Corrective Actions

If the recipient finds that scientific integrity has been violated or scientific and research misconduct has occurred, it shall assess the seriousness of the misconduct and its impact on the research completed or in process and shall:

- a. Take all necessary corrective actions, which includes, but are not limited to, correcting the research record, and, as appropriate, imposing restrictions, controls, or other parameters on research in process or to be conducted in the future, and
- b. Coordinate remedial action with the grants officer.

### **Special Terms and Conditions:**

1. Copyrights

Collaborator grants to WHOI an irrevocable, royalty-free, non-transferable, non-exclusive right and license to use, reproduce, make derivative works, display, and perform publicly any copyrights or copyrighted material (including any computer software and its documentation and/or databases) first developed and delivered under this Subaward Agreement solely for the purpose of and only to the extent required to meet WHOI's obligations to the Federal Government under its Prime Award.

2. Data Rights

Collaborator grants to WHOI the right to use data created in the performance of this Subaward Agreement solely for the purpose of and only to the extent required to meet WHOI's obligations to the Federal Government under its Prime Award.

3. Automatic Carry Forward:  Yes  No

(If No, Carry Forward requests must be sent to WHOI's Authorized Official contact, as shown in Attachment 3).

FORM CD-451 (REV 10-98) LF DAO 203-26  U. S. DEPARTMENT OF COMMERCE  <b>AMENDMENT TO          FINANCIAL ASSISTANCE AWARD</b>		<input type="checkbox"/> GRANT <input checked="" type="checkbox"/> COOPERATIVE AGREEMENT		
		ACCOUNTING CODE		
		AWARD NUMBER NA14OAR4170074		
RECIPIENT NAME WOODS HOLE OCEANOGRAPHIC INSTITUTION		AMENDMENT NUMBER 15		
STREET ADDRESS 266 WOODS HOLE RD		EFFECTIVE DATE 06/01/2017		
CITY, STATE, ZIP CODE WOODS HOLE MA 02543-1536		EXTEND WORK COMPLETION TO N/A		
CFDA NO. AND PROJECT TITLE 11.417 Woods Hole Oceanographic Institution Sea Grant Omnibus proposal, 2014-2018				
COSTS ARE REVISED AS FOLLOWS	PREVIOUS ESTIMATED COST	ADD	DEDUCT	TOTAL ESTIMATED COST
FEDERAL SHARE OF COST	\$5,273,169.00	\$463,500.00	\$0.00	\$5,736,669.00
RECIPIENT SHARE OF COST	\$2,743,910.00	\$239,908.00	\$0.00	\$2,983,818.00
TOTAL ESTIMATED COST	\$8,017,079.00	\$703,408.00	\$0.00	\$8,720,487.00
<b>REASON(S) FOR AMENDMENT</b>  1. To provide continued funding for the project entitled "Woods Hole Oceanographic Institution Sea Grant Omnibus proposal, 2014-2018" per the recipient's application dated 10/30/2013, which is incorporated by reference.  2. To incorporate updated DOC Financial Assistance Standard Terms and Conditions.  3. To revise NOAA Administrative Special Award Conditions.				
This Amendment approved by the Grants Officer is issued in triplicate and constitute an obligation of Federal funding. By signing the three documents, the Recipient agrees to comply with the Amendment provisions checked below and attached, as well as previous provisions incorporated into the Award. Upon acceptance by the Recipient, two signed Amendment documents shall be returned to the Grants Officer and the third document shall be retained by the Recipient. If not signed and returned without modification by the Recipient within 30 days of receipt, the Grants Officer may unilaterally terminate this Amendment.				
<input checked="" type="checkbox"/> Special Award Conditions (Attachment B)				
<input type="checkbox"/> Line Item Budget (Attachment A)				
<input type="checkbox"/> Other(s)				
SIGNATURE OF DEPARTMENT OF COMMERCE GRANTS OFFICER Patty Mayo		TITLE Grants Officer		DATE 06/27/2017
TYPE NAME AND SIGNATURE OF AUTHORIZED RECIPIENT OFFICIAL Amy Chadburn		TITLE Grants Administrator		DATE 07/05/2017

## **Special Award Conditions**

**Award Number:** NA14OAR4170074

**Amendment Number:** 15

### **1) Multi-Year Special Award Condition**

(REVISED MULTI-YEAR) This amendment provides \$463,500 in Federal funding for the final year of this multi-year award for a total of \$4,182,884. Any commitments, obligations, or expenditures in excess of that amount of Federal funds will be made at the recipient's risk. The funding period of this award has been extended through 1/31/2018.

### **2) Matching Requirement**

Since this award requires the Recipient to provide \$239,908 in project-related costs from non-federal sources, the Recipient must maintain in its official accounting records an accounting of \$703,408.

### **3) Partial Funding Special Award Condition For Reductions**

The amount of Federal funding for this award is less than the amount requested due to a Congressionally directed budget rescission and/or other required NOAA reductions. The cost sharing/matching requirement, if any, has been commensurately lowered to reflect the resultant reduced requirement. If the reductions result or will result in more than a minimal or immaterial impact on the program activities, you must advise the Grants Officer immediately.

## NOAA Financial Assistance Administrative Terms

This Federal assistance award will be implemented using “Grants Online,” a Federal solution for full life-cycle grants management processing. Grants Online allows the non-Federal entity, or recipient, to accept awards electronically, manage user roles for individuals within their organization, and submit post-award action requests, financial reports, performance progress reports, and tangible personal property and real property reports. Grants Online operates in a web environment, and can be accessed anywhere at any time, provided that you have Internet access. You will be required to use an Internet browser to log in and to use Grants Online. Internet Explorer is the preferred browser for PC users; FireFox is the preferred browser for MAC users. No software is required for installation. Logins and passwords are required. If you do not have a password, you can contact the Grants Online Help Desk for assistance in obtaining your login credentials.

For more information, e-mail the Grants Online Help Desk at [GrantsOnline.HelpDesk@noaa.gov](mailto:GrantsOnline.HelpDesk@noaa.gov), or call the Help Desk at (301) 444-2112 or toll free at 1-877-662-2478 between the hours of 8:00 a.m. and 6:00 p.m. Eastern Time Monday through Friday excluding Federal holidays.

Please refer to the Grants Online process maps at:

[http://www.corporateservices.noaa.gov/grantsonline/Process%20Maps/Award and Post Award OverviewOnly.pdf](http://www.corporateservices.noaa.gov/grantsonline/Process%20Maps/Award_and_Post_Award_OverviewOnly.pdf).

### I. Award Payments – ASAP Enrollment

Consistent with 2 C.F.R. §200.305(a) and Department of Commerce Financial Assistance Standard Terms and Conditions, your award payments will be made through electronic funds transfers using the U.S. Department of the Treasury’s Automated Standard Application for Payments (ASAP) system. Non-Federal entities must enroll in ASAP system by first submitting an Organization Profile Change Request via Grants Online, which will include the following requirements:

- EIN#
- DUNS#
- Name of Organization
- Type of Organization (i.e. Non-profit, For Profit, State etc.)
- Address
- Point of Contact
- Title
- Point of Contact's Email Address
- Phone Number

### II. Reporting

## A. Financial Reports

Federal Financial Reports (SF-425), required by 2 C.F.R. §200.327 and Department of Commerce Financial Assistance Standard Term and Conditions, are to be completed in NOAA's Grants Online system. Grants Online will notify your organization via email when your reports are available for completion and submission through the Grants Online system. The status of all reports can be seen under —Associated Documents under the Grants File.

To complete a report, login to NOAA Grants Online at <https://grantsonline.rdc.noaa.gov>, search for the award and navigate to the Grants File overview page. Find the report near the bottom of the page and click on the link to the report to complete the report. For multiple awards that require Federal Financial Reports (SF-425) covering the same period, you may create and submit a multiaward SF-425 from the —Awards tab. For additional assistance with Grants Online, please review the Recipient Quick Reference Guide available at [http://www.corporateservices.noaa.gov/grantsonline/Documents/Quick%20Reference%20Guides/GrantRecipients\\_Quick\\_Ref\\_Guide.pdf](http://www.corporateservices.noaa.gov/grantsonline/Documents/Quick%20Reference%20Guides/GrantRecipients_Quick_Ref_Guide.pdf). This site also has additional detailed recipient assistance material. If you are having problems with accessing Grants Online, please contact the Grants Online Help Desk at 1-877-662-2478 or [GrantsOnline.HelpDesk@noaa.gov](mailto:GrantsOnline.HelpDesk@noaa.gov).

1. Federal Financial Report (SF-425) - (final report only)
  - a. A final comprehensive Federal Financial Report must be submitted, within 90 days after award expiration. The report shall cover the entire project period from the start date through the end date of the original award, or approved extended end date of the award, and must include the cumulative total of indirect costs charged to the award.
2. Federal Financial Report (SF-425) - Due semi-annually; reported under the —"Federal Cash" line of the report.
  - a. The SF-425 shall be submitted on a semi-annual basis.
  - b. If the recipient is reporting on multiple NOAA financial assistance awards, then the SF-425A must be used.
  - c. Interim semi-annual Federal Financial Reports (SF-425) are due no later than 30 days after the semi-annual reporting periods ending March 31 and September 30 for the entire project period of the award.
  - d. A final Federal Financial Report (SF 425) is due within 90 days after award expiration. The report shall cover the last semi-annual reporting period ending on September 30 or March 31, or a portion thereof, based on the end date or approved extended end date of the award.
  - e. The SF-425 is due for the non-Federal entity using the Department of Treasury Automated Standard Application for Payments (ASAP) system for payment. If converting to ASAP during the course of the Award, the SF-425 forms will be due as described above starting with the ASAP conversion date.
3. Request for Advance or Reimbursement (SF-270)
  - a. The SF-270 shall NOT be submitted by the non-Federal entity using the Department of Treasury ASAP system unless specifically directed by a Special Award Condition.

- b. The SF-270 shall be submitted using the NOAA Grants Online system, as reimbursements are necessary for the financial management of the award.
- c. Semi-annual and final Federal Financial Reports (SF-425) are not required if the SF-270 is used.

## B. Performance Reports

Performance Progress Reports, required by 2 C.F.R. §200.327-328 and Department of Commerce Financial Assistance Standard Terms and Conditions, are to be completed in NOAA's Grants Online System. The Grants Online System will notify your organization through email when your reports are available for completion and submission through NOAA Grants Online. Non-Federal entities are responsible for ensuring all personnel listed on an award have a current email address. The status of reports can be seen under Associated Documents under the Grant File.

To complete your report, login to NOAA Grants Online at <https://grantsonline.rdc.noaa.gov/>, search for the award and navigate to the Grants File overview page. Then find the report near the bottom of the page and click on the link to the report to complete it. You must attach the report document for submission, or in the rare cases where there is very little to report, fill out the report in the report comments section. The Federal Program Officer is the authority on the acceptable form and content of Project Progress Reports. For additional assistance with Grants Online, please review the Recipient Quick Reference Guide available at [http://www.corporateservices.noaa.gov/grantsonline/Documents/Quick%20Reference%20Guides/GrantRecipients\\_Quick\\_Ref\\_Guide.pdf](http://www.corporateservices.noaa.gov/grantsonline/Documents/Quick%20Reference%20Guides/GrantRecipients_Quick_Ref_Guide.pdf). This site also has additional detailed Recipient assistance material. If you are having problems with your access to Grants Online, please contact the Grants Online Help Desk at 1-877-662-2478 or [GrantsOnline.HelpDesk@noaa.gov](mailto:GrantsOnline.HelpDesk@noaa.gov).

1. Frequency: Performance reports are due on a semi-annual basis, unless otherwise specified in an award condition, no later than 30 days following the end of each six (6) month period from the start date of the original award. The last semi-annual performance report is required. The final report, which summarizes activities conducted during the entire award must be submitted within 90 days following the end date of the project.

## C. Property Reports and Disposition

Property records, including any documentation relating to disposition of property, required by 2 C.F.R. §200.311-314, are to be submitted in NOAA's Grants Online System, if applicable. The Tangible Personal Property Reports (SF-428 Forms) and the Real Property Status Reports (SF-429 Forms) should be included in the documentation, as required. At the end of the period of performance, but no later than the closeout period, the non-Federal entity must report on property using the applicable property forms (SF-428/SF-429 forms) located at [https://www.whitehouse.gov/omb/grants\\_forms](https://www.whitehouse.gov/omb/grants_forms). These include real property (§200.311), Federally-owned and exempt property (§200.312), equipment acquired with grant funds (§200.313), and residual inventory of unused supplies exceeding \$5,000 in total aggregate value (§200.314). In addition, non-Federal entities may be required to submit annual reports on real property per §200.329, and on Federally-owned property per §200.312. Disposition instructions must be requested by the non-Federal entity when tangible property is no longer required for its intended use. Research awards should refer to the Federal-Wide Research Terms and Conditions at <http://www.nsf.gov/awards/managing/rtc.jsp>.

## D. Reporting Subawards and Executive Compensation

The non-Federal entity is reminded that Department of Commerce Financial Assistance Standard Terms and Conditions requires specified reporting regarding subawards and executive compensation. This information is not reported through Grants Online. Follow reporting instructions in the Department of Commerce Financial Assistance Standard Terms and Conditions.

## III. Scientific Integrity

### A. General Guidelines

1. **Maintaining Integrity.** The recipient shall maintain the scientific integrity of research performed pursuant to this grant or financial assistance award including the prevention, detection, and remediation of any allegations regarding the violation of scientific integrity or scientific and research misconduct, and the conduct of inquiries, investigations, and adjudications of allegations of violations of scientific integrity or scientific and research misconduct. All the requirements of this provision flow down to subrecipients.
2. **Peer Review.** The peer review of the results of scientific activities under a NOAA grant, financial assistance award, or cooperative agreement shall be accomplished to ensure consistency with NOAA standards on quality, relevance, scientific integrity, reproducibility, transparency, and performance. NOAA will ensure that peer review of "influential scientific information" or "highly influential scientific assessments" is conducted in accordance with the Office of Management and Budget (OMB) Final Information Quality Bulletin for Peer Review and NOAA policies on peer review, such as the Information Quality Guidelines.
3. In performing or presenting the results of scientific activities under the NOAA grant, financial assistance award, or cooperative agreement and in responding to allegations regarding the violation of scientific integrity or scientific and research misconduct, the recipient and all subrecipients shall comply with the provisions herein and NOAA Administrative Order (NAO) 202-735D, Scientific Integrity, and its Procedural Handbook, including any amendments thereto. That Order can be found at <http://nrc.noaa.gov/ScientificIntegrityCommons.aspx>.
4. **Primary Responsibility.** The recipient shall have the primary responsibility to prevent, detect, and investigate allegations of a violation of scientific integrity or scientific and research misconduct. Unless otherwise instructed by the grants officer, the recipient shall promptly conduct an initial inquiry into any allegation of such misconduct and may rely on its internal policies and procedures, as appropriate, to do so.
5. By executing this grant, financial assistance award, or cooperative agreement the recipient provides its assurance that it has established an administrative process for performing an inquiry, investigating, and reporting allegations of a violation of scientific integrity or

scientific and research misconduct; and that it will comply with its own administrative process for performing an inquiry, investigation, and reporting of such misconduct.

6. The recipient shall insert this provision in all subawards at all tiers under this grant, financial assistance award, or cooperative agreement.

## **B. Investigating Scientific Integrity or Scientific and Research Misconduct**

1. **Initiating Investigation.** If the recipient or subrecipient determines that there is sufficient evidence to proceed to an investigation, it shall notify the grants officer and, unless otherwise instructed, the recipient or subrecipient shall:
  - a. Promptly conduct an investigation to develop a complete factual record and an examination of such record leading to either a finding regarding the violation of scientific integrity or scientific and research misconduct and an identification of appropriate remedies or a determination that no further action is warranted.
  - b. If the investigation leads to a finding regarding the violation of scientific integrity or scientific and research misconduct, obtain adjudication by a neutral third party adjudicator. The adjudication must include a review of the investigative record and, as warranted, a determination of appropriate corrective actions and sanctions.
2. **Finalizing Investigation.** When the investigation is complete, the recipient shall forward to the grants officer a copy of the evidentiary record, the investigative report, any recommendations made to the recipient adjudicating official, the adjudicating official's decision and notification of any corrective action taken or planned, and the subject's written response (if any).

## **C. Findings and Corrective Actions**

If the recipient finds that scientific integrity has been violated or scientific and research misconduct has occurred, it shall assess the seriousness of the misconduct and its impact on the research completed or in process and shall:

- a. Take all necessary corrective actions, which includes, but are not limited to, correcting the research record, and, as appropriate, imposing restrictions, controls, or other parameters on research in process or to be conducted in the future, and
- b. Coordinate remedial action with the grants officer.

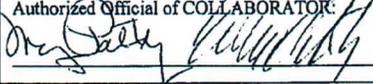
## **IV. Data Sharing Directive**

The purpose of this directive is to ensure that environmental data funded extramurally by NOAA are made publicly accessible in a timely fashion (typically within two years of collection), and that final manuscripts of peer-reviewed research papers are deposited with the NOAA Central Library. Therefore,

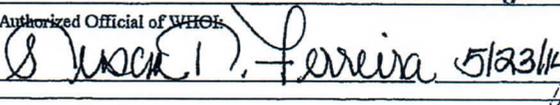
non-Federal entities, or recipients, must make data produced under financial assistance publicly accessible in a timely fashion, unless an exemption is granted by the Grant Program. More information is available at <https://nosc.noaa.gov/EDMC/PD.DSP.php>.

## **V. Post Award Actions Requests**

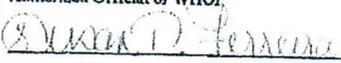
Grants Online provides the ability for non-Federal entities to submit post award action requests. All post award action requests must be submitted in Grants Online. The Department of Commerce requires that post award action requests be approved by an Authorized Representative. Grants Online enforces this business rule by routing all post award action requests through the Recipient's Authorized Representative(s). Non-Federal entities, or recipients, must follow the guidance provided in Grants Online at [http://www.corporateservices.noaa.gov/grantsonline/Documents/AAR\\_Assistance/Recipient\\_AAR\\_Help.htm](http://www.corporateservices.noaa.gov/grantsonline/Documents/AAR_Assistance/Recipient_AAR_Help.htm).

<b>Research Subaward Agreement</b>			
<b>WHOI</b>		<b>Collaborator</b>	
<b>Woods Hole Oceanographic Institution ("WHOI")</b>		<b>Cape Cod Cooperative Extension (Barnstable County)</b>	
Address: <b>183 Oyster Pond Rd. Fenno House, MS #39 Woods Hole, MA 02543</b>		Address: <b>P.O Box 367 Railroad Ave. Barnstable, MA 02630</b>	
Prime Award No: <b>NA14OAR4170074, Project A/S 15s</b>		EIN No. <b>04 6001419</b> Subaward No: <b>A101112</b>	
Awarding Agency: <b>NOAA (Sea Grant)</b>		CFDA No: <b>11.417</b>	
Budget Period: <b>2/1/2014-9/30/2014</b>	Period of Performance: <b>2/1/2014-1/31/2018</b>	Currently Available: <b>\$108,021.00</b>	Anticipated Total: (incrementally funded) <b>\$679,582.00</b>
WHOI PI: <b>Dr. Judy McDowell</b>		Collaborator PD: <b>Diane Murphy</b>	
Project Title: <b>"Sea Grant Extension Program"</b>			
Incremental Funding; Reporting Requirements; and Cost Share Requirement: See Attachment 4			
<b>Terms and Conditions</b>			
<p>1) WHOI hereby awards a cost reimbursable Subaward, as described above, to Collaborator. The statement of work and budget for this Subaward are as shown in <u>Attachment 5</u>. In its performance of Subaward work, Collaborator shall be an independent entity and not an employee or agent of WHOI.</p> <p>2) WHOI shall reimburse Collaborator not more often than monthly for allowable costs. All invoices shall be submitted using Collaborator's standard invoice, but at a minimum shall include current and cumulative costs (including cost sharing), Subaward number, and certification as to truth and accuracy of invoice. <i>Invoices that do not reference WHOI's Subaward number shall be returned to Collaborator.</i> Invoices and questions concerning invoice receipt or payments should be directed to the appropriate party's Financial Contact, as shown in <u>Attachment 3</u>.</p> <p>3) A final statement of cumulative costs incurred, including cost sharing, clearly marked as "FINAL," must be submitted to WHOI's Financial Contact NOT LATER THAN sixty (60) days after Subaward end date. The final statement of costs shall constitute Collaborator's final financial report.</p> <p>4) All payments shall be considered provisional and subject to adjustment within the total estimated cost in the event such adjustment is necessary as a result of an adverse audit finding against the Collaborator.</p> <p>5) Matters concerning the technical performance of this Subaward should be directed to the appropriate party's Project Director, as shown in <u>Attachment 3</u>. Technical reports are required as shown above, "Reporting Requirements."</p> <p>6) Matters concerning the request or negotiation of any changes in the terms, conditions, or amounts cited in this Subaward agreement, and any changes requiring prior approval, should be directed to the appropriate party's Administrative Contact, as shown in <u>Attachment 3</u>. Any such changes made to this Subaward agreement require the written approval of each party's Authorized Official, as shown in <u>Attachment 3</u>.</p> <p>7) Each party shall be responsible for its negligent acts or omissions and the negligent acts or omissions of its employees, officers, or directors, to the extent allowed by law.</p> <p>8) Either party may terminate this agreement with thirty days written notice to the appropriate party's Administrative Contact, as shown in <u>Attachment 3</u>. WHOI shall pay Collaborator for termination costs as allowable under OMB Circular A-21, Relocated to 2 CFR, Part 220 or A-122, Relocated to 2 CFR, Part 230 as applicable.</p> <p>9) No-cost extensions require the approval of the WHOI. Any requests for a no-cost extension should be addressed to and received by the Administrative Contact, as shown in <u>Attachment 3</u>, not less than thirty days prior to the desired effective date of the requested change.</p> <p>10) The Subaward is subject to the terms and conditions of the Prime Award and other special terms and conditions, as identified in <u>Attachment 2 and 2A (cont.)</u>.</p> <p>11) By signing below Collaborator makes the certifications and assurances shown in <u>Attachments 1 and 2</u>.</p>			
Authorized Official of WHOI:  <b>5/19/14</b>		Authorized Official of COLLABORATOR:  <b>4/30/14</b>	
Olga S. Carr, Manager Grant & Contract Services		Mary Pat Flynn William Doherty County Commissioners (Barnstable)	
Date		Date	

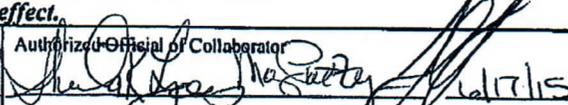
## Research Subaward Amendment

<b>WHOI</b>		<b>Collaborator</b>	
<b>Woods Hole Oceanographic Institution ("WHOI")</b> Address: <b>183 Oyster Pond Rd. Fenno House, MS #39 Woods Hole, MA 02543</b>		<b>Cape Cod Cooperative Extension (Barnstable County)</b> Address: <b>P.O Box 367 Railroad Ave. Barnstable, MA 02630</b> EIN No. <b>04 6001419</b>	
Prime Award No: <b>NA14OAR4170074, Project A/S 15s</b>		Subaward No: <b>A101112</b>	
Awarding Agency: <b>NOAA (Sea Grant)</b>		CFDA No: <b>11.417</b>	
Budget Period: <b>2/1/2014-9/30/2014</b>	Period of Performance: <b>2/1/2014-1/31/2018</b>	Currently Available: <b>\$108,021.00</b>	Anticipated Total: (incremental) <b>\$679,582.00</b>
WHOI PI: <b>Dr. Judy McDowell</b>		Collaborator PD: <b>Diane Murphy</b>	
Project Title: <p style="text-align: center;"><b>"Sea Grant Extension Program"</b></p>			
<b>Amendments to Original Terms and Conditions</b>			
Effective Date: <b>5/12/2014</b>		Amendment No: <b>01</b>	
The purpose of this Amendment is the addition of <b>remainder Year 1</b> funds. <b>\$54,011.00</b> in incremental funding will be added for the <b>Budget Period</b> hereby extended through <b>1/31/2015</b> . <b>Period of Performance</b> remains through <b>1/31/2018</b> . Total amount currently available is increased to <b>\$162,032.00</b> .			
<b>Please make the following changes to your Award Agreement</b>			
Budget Period: <b>2/1/2014-1/31/2015</b>	Period of Performance: <b>2/1/2014-1/31/2018</b>	Currently Available: <b>\$162,032.00</b>	Anticipated Total: (Incremental) <b>\$679,582.00</b>
<b>Attachment 4: Incremental Funding</b>			
This Agreement is incrementally funded. The total amount of this Agreement is <b>\$679,582.00</b> . The amount currently available for payment is <b>\$162,032.00</b> which covers the Budget Period and the Period of Performance. WHOI's obligation for the difference of <b>\$517,550.00</b> is contingent upon the availability of funds and the scientific progress of this project. Accordingly, no legal liability on the part of WHOI for payment of this difference shall exist unless and until an amendment is issued to the Subrecipient to make these funds available.			
<b>Cost Share Requirements</b>			
The total of <b>\$500,419.00</b> on this Subaward has been committed for Cost Share. The amount currently committed for <b>Year One</b> is increased by <b>\$40,426.67</b> for a Year 1 Cost Share total of <b>\$121,280.00</b> . The Cost Share amount for <b>Years Two, Three and Four</b> is <b>\$379,139.00</b> .			
<b>All Cost Share must be documented on your invoices with <u>period and cumulative</u> totals reported.                  All other Terms and Conditions remain as agreed.</b>			
Authorized Official of WHOI: 		Authorized Official of COLLABORATOR: 	
Olga S. Carr, Manager Grant & Contract Services		Date: <b>5/23/14</b>	
		Date: <b>6/11/14</b>	

## Research Subaward Amendment

<b>WHOI</b>		<b>Collaborator</b>	
<b>Woods Hole Oceanographic Institution ("WHOI")</b> Address: <b>183 Oyster Pond Rd. Fenno House, MS #39 Woods Hole, MA 02543</b>		<b>Cape Cod Cooperative Extension (Barnstable County)</b> Address: <b>P.O Box 367 Railroad Ave. Barnstable, MA 02630</b>	
Prime Award No: <b>NA14OAR4170074, Project A/S 15s</b>		EIN No. <b>04 6001419</b> Subaward No: <b>A101112</b>	
Awarding Agency: <b>NOAA (Sea Grant)</b>		CFDA No: <b>11.417</b>	
Budget Period: <b>2/1/2014-1/31/2015</b>	Period of Performance: <b>2/1/2014-1/31/2018</b>	Currently Available: <b>\$162,032.00</b>	Anticipated Total: (Incremental) <b>\$679,582.00</b>
WHOI PI: <b>Dr. Judy McDowell</b>		Collaborator PI: <b>Diane Murphy</b>	
Project Title: <b>"Sea Grant Extension Program"</b>			
<b>Amendments to Original Terms and Conditions</b>			
Effective Date: <b>3/12/2015</b>		Amendment No: <b>02</b>	
<p>The purpose of this Amendment is the addition of partial Year 2 funds. \$32,705.00 in incremental funding will be added for the Budget Period hereby extended through 3/31/2015. Period of Performance remains through 1/31/2018. Total amount currently available is increased to \$194,737.00. Cost Share commitment is increased by \$24,203.74 for a Cost Share amount currently committed of \$145,483.74.</p> <p><b>Please make the following changes to your Award Agreement</b></p>			
Budget Period: <b>2/1/2014-3/31/2015</b>	Period of Performance: <b>2/1/2014-1/31/2018</b>	Currently Available: <b>\$194,737.00</b>	Anticipated Total: (Incremental) <b>\$679,582.00</b>
<b>Attachment 4: Incremental Funding</b>			
<p>This Agreement is incrementally funded. The total amount of this Agreement is \$679,582.00.</p> <p>The amount currently available for payment is \$194,737.00 which covers the Budget Period and the Period of Performance.</p> <p>WHOI's obligation for the difference of \$484,845.00 is contingent upon the availability of funds and the scientific progress of this project. Accordingly, no legal liability on the part of WHOI for payment of this difference shall exist unless and until an amendment is issued to the Subrecipient to make these funds available.</p>			
<b>Cost Share Requirements</b>			
<p>The total of \$500,419.00 on this Subaward has been committed for Cost Share.</p> <p>Year 1 Cost Share total of \$121,280.00 has been committed.</p> <p>The Cost Share amount for remainder Year 2, Years 3 and 4 is \$384,935.26. <sup>5 MB</sup></p> <p>The amount currently committed for Year 2 is \$24,203.74</p>			
<p><b>All Cost Share must be documented on your invoices with <u>period and cumulative</u> totals reported.</b></p> <p><b>All other Terms and Conditions remain as agreed.</b></p>			
Authorized Official of WHOI: 		Authorized Official of COLLABORATOR: 	
Susan P. Ferreira, Post Award Manager Grant & Contract Services		Shaila Lynde, County Commissioner Barnstable County	
Date: _____		Date: <b>4/15/15</b>	

## Research Subaward Agreement Amendment

<b>WHOI</b>		<b>Collaborator</b>	
<b>Woods Hole Oceanographic Institution</b>		<b>Cape Cod Cooperative Extension (Barnstable County)</b>	
Address: <b>183 Oyster Pond Rd. Fenno House, MS #39 Woods Hole, MA 02543-1501</b>		Address: <b>P.O Box 367 Railroad Ave. Barnstable, MA 02630</b>	
		EIN No: <b>04 6001419</b>	
FAIN: <b>NA14OAR4170074, Project A/S 15s</b>	Federal Award (Fed Awd) Agency: <b>NOAA (Sea Grant)</b>	WHOI Project No: <b>22007402</b>	
Fed Awd Issue Date: <b>2/1/2014</b>	Total Amt of Fed Awd to WHOI: <b>\$4,207,884.00</b>	CFDA Title: <b>Sea Grant Support</b>	CFDA No: <b>11.417</b>
Subaward (Sub) Period of Performance: <b>2/1/2014-1/31/2018</b>	Sub Budget Period: <b>2/1/2014-3/31/2015</b>	Sub. Amt. Currently Available: <b>\$194,737.00</b>	Sub Anticipated Total: (incremental): <b>\$679,582.00</b>
WHOI PI: <b>Dr. Judy McDowell</b>		Collaborator PI: <b>Diane Murphy</b>	
Project Title: <b>"Sea Grant Extension Program"</b>			
Subaward (Sub) No: <b>A101112</b>	Subject to FFATA. (see Attachment 3B) <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	Is this Award R&D: <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	
<b>Amendments to Original Terms and Conditions</b>			
Effective Date: <b>5/21/2015</b>		Amendment No: <b>3</b>	
<p>The purpose of this Amendment is twofold. First: the addition of remainder Year 2 funds. \$135,016.00 in incremental funding will be added for the Budget Period hereby extended through 1/31/2016. Period of Performance remains through 1/31/2018. Total amount currently available is increased to \$329,753.00. Second: Incorporation of 2 CFR Part 200 – Uniform Guidance</p> <p><i>Please make the following changes to your Award Agreement</i></p>			
Sub Period of Performance: <b>2/1/2014-1/31/2018</b>	Sub Budget Period: <b>2/1/2014-1/31/2016</b>	Sub Amt Currently Available: <b>\$329,753.00</b>	Sub Anticipated Total (incremental): <b>\$679,582.00</b>
<b>Attachment 4: Incremental Funding</b>			
<p>This Agreement is incrementally funded. The total amount of this Agreement is \$679,582.00. The amount currently available for payment is \$329,753.00 which covers the Budget Period as hereby extended and the Period of Performance.</p> <p>WHOI's obligation for the differenced of \$349,829.00 is contingent on the availability of funds and the scientific progress of this project. Accordingly, no legal liability on the part of WHOI for payment of this difference shall exist unless and until an amendment is issued to the Subrecipient to make these funds available.</p> <p style="text-align: center;"><b>Cost Share Requirements</b></p> <p>The total of \$500,419.00 on this Subaward has been committed for Cost Share.</p> <p>The amount currently committed for Year One is \$121,280.00. The amount currently committed for Year Two is \$124,124.00 Remaining Cost Share for Year 3 will be \$126,344.00 and for Year 4 will be \$128,671.00.</p> <p><b>All Cost Share must be documented on your invoices with period and cumulative totals reported.</b></p> <p><i>All other Terms and Conditions remain in full force and effect.</i></p>			
Authorized Official of WHOI  Susan P. Ferreira, Post Award Manager Woods Hole Oceanographic Institution		Authorized Official of Collaborator  Name: Sheila Lyaws, Mary Pat Flynn Leo Title: County Commissioners Carcross	
Date: <b>05/09/2015</b>		Date: <b>05/11/15</b>	

## Research Subaward Agreement Amendment

<b>WHOI</b>		<b>Collaborator</b>	
<b>Woods Hole Oceanographic Institution</b>		<b>Cape Cod Cooperative Extension (Barnstable County)</b>	
Address: <b>183 Oyster Pond Rd. Fenno House, MS #39 Woods Hole, MA 02543-1501</b>		Address: <b>P.O Box 367 Railroad Ave. Barnstable, MA 02630</b>	
EIN No. <b>04 6001419</b>			
FAIN: <b>NA14OAR4170074, Project A/S 15s</b>	Federal Award (Fed Awd) Agency: <b>NOAA (Sea Grant)</b>	WHOI Project No: <b>22007402</b>	
Fed Awd Issue Date: <b>2/1/2014</b>	Total Amt of Fed Awd to WHOI: <b>\$4,207,884.00</b>	CFDA Title: <b>Sea Grant Support</b>	CFDA No. <b>11.417</b>
Subaward (Sub) Period of Performance: <b>2/1/2014-1/31/2018</b>	Sub Budget Period: <b>2/1/2014-1/31/2016</b>	Sub. Amt. Currently Available: <b>\$329,753.00</b>	Sub Anticipated Total: (incremental): <b>\$679,582.00</b>
WHOI PI: <b>Dr. Judy McDowell</b>		Collaborator PI: <b>Diane Murphy</b>	
Project Title: <b>"Sea Grant Extension Program"</b>			
Subaward (Sub) No: <b>A101112</b>	Subject to FFATA: (see Attachment 3B) <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	Is this Award R&D: <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	
<b>Amendments to Original Terms and Conditions</b>			
Effective Date: <b>2/01/2016</b>		Amendment No: <b>4</b>	
The purpose of this Amendment is the addition of <b>partial Year 3</b> funds. <b>\$40,658.00</b> in incremental funding will be added for the <b>Budget Period</b> hereby extended through <b>4/30/2016</b> . <b>Period of Performance</b> remains through <b>1/31/2018</b> . Total amount currently available is increased to <b>\$370,411.00</b> .			
<b>Please make the following changes to your Award Agreement:</b>			
Sub Period of Performance: <b>2/1/2014-1/31/2018</b>	Sub Budget Period: <b>2/1/2014-4/30/2016</b>	Sub Amt Currently Available: <b>\$370,411.00</b>	Sub Anticipated Total: (incremental): <b>\$679,582.00</b>
<b>Attachment 4: Incremental Funding</b>			
This Agreement is incrementally funded. The total amount of this Agreement is <b>\$679,582.00</b> .			
The amount currently available for payment is <b>\$370,411.00</b> which covers the Budget Period as hereby extended and the Period of Performance.			
WHOI's obligation for the differenced of <b>\$309,171.00</b> is contingent on the availability of funds and the scientific progress of this project. Accordingly, no legal liability on the part of WHOI for payment of this difference shall exist unless and until an amendment is issued to the Subrecipient to make these funds available.			
<b>Cost Share Requirements</b>			
The total of <b>\$500,419.00</b> on this Subaward has been committed for Cost Share.			
The amount currently committed for <b>Year One</b> is <b>\$121,280.00</b> and <b>Year Two</b> is <b>\$124,124.00</b> .			
The amount currently committed for <b>Year Three</b> is <b>\$29,691.00</b>			
Remaining Cost Share for <b>Year 3</b> will be <b>\$96,653.00</b> and for <b>Year 4</b> will be <b>\$128,671.00</b> .			
<b>All Cost Share must be documented on your invoices with period and cumulative totals reported.</b>			
<b>All other Terms and Conditions remain in full force and effect.</b>			
Authorized Official of WHOI: <i>Susan P. Ferreira</i> <b>03/01/2016</b>		Authorized Official of Collaborator: <i>Mary Pat Lyons</i> <b>3-30-2016</b>	
Susan P. Ferreira, Post Award Manager Woods Hole Oceanographic Institution		Name: <i>Mary Pat Lyons</i> <i>Sheila Lyons</i> Date Title: <i>Leo Calhounes</i>	
<i>Barnstable County Commissioner</i>			

## Cost Reimbursable Research Subaward Amendment

WHOI	Collaborator
<b>Woods Hole Oceanographic Institution</b> Address: <b>183 Oyster Pond Rd. Fenno House, MS #39 Woods Hole, MA 02543-1501</b>	<b>Cape Cod Cooperative Extension (Barnstable County)</b> Address: <b>P.O Box 367 Railroad Ave. Barnstable, MA 02630</b> EIN No. <b>04 6001419</b>

FAIN: <b>NA14OAR4170074, Project A/S 15s</b>	Federal Award (Fed Awd) Agency : <b>NOAA (Sea Grant)</b>	WHOI Project No : <b>22007402</b>
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Fed Awd Issue Date: <b>2/1/2014</b>	Total Amt of Fed Awd to WHOI: <b>\$4,207,884.00</b>	CFDA Title: <b>Sea Grant Support</b>	CFDA No. <b>11.417</b>
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Sub Period of Performance: <b>2/1/2014-1/31/2018</b>	Sub Budget Period: <b>2/1/2014-4/30/2016</b>	Sub Amt Currently Available: <b>\$370,411.00</b>	Sub Anticipated Total: (incremental): <b>\$679,582.00</b>
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WHOI PI: <b>Dr. Judy McDowell</b>	Collaborator PI: <b>Diane Murphy</b>
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Project Title: **"Sea Grant Extension Program"**

Subaward (Sub) No: <b>A101112</b>	Subject to FFATA: (see Attachment 3B) <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	Is this Award R&D: <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
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### Amendments to Original Terms and Conditions

Effective Date: <b>6/24/2015</b>	Amendment No: <b>5</b>
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The purpose of this Amendment is the addition of **remainder Year 3** funds. **\$132,357.00** in incremental funding will be added for the **Budget Period** hereby extended through **1/31/2017**. **Period of Performance** remains through **1/31/2018**. Total amount currently available is increased to **\$502,768.00**.

***Please make the following changes to your Award Agreement:***

Sub Period of Performance: <b>2/1/2014-1/31/2018</b>	Sub Budget Period: <b>2/1/2014-1/31/2017</b>	Sub Amt Currently Available: <b>\$502,768.00</b>	Sub Anticipated Total: (incremental): <b>\$679,582.00</b>
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#### Attachment 4:

#### Incremental Funding

This Agreement is incrementally funded. The total amount of this Agreement is **\$679,582.00**. The amount currently available for payment is **\$502,768.00** which covers the Budget Period as hereby extended and the Period of Performance.

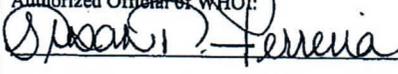
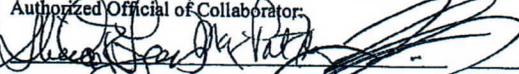
WHOI's obligation for the differenced of **\$176,814.00** is contingent on the availability of funds and the scientific progress of this project. Accordingly, no legal liability on the part of WHOI for payment of this difference shall exist unless and until an amendment is issued to the Subrecipient to make these funds available.

#### Cost Share Requirements

The total of **\$500,419.00** on this Subaward has been committed for Cost Share. The amount currently committed for: **Year One** is **\$121,280.00**; for **Year Two** is **\$124,124.00** and for **Year Three** is **\$126,344.00** for a total of **\$371,748.00**. Cost Share for **Year 4** is expected to be **\$128,671.00**.

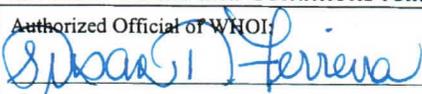
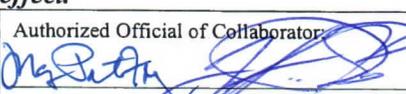
**All Cost Share must be documented on your invoices with period and cumulative totals reported.**

***All other Terms and Conditions remain in full force and effect.***

Authorized Official of WHOI:  Susan P. Ferreira, Post Award Manager Woods Hole Oceanographic Institution	Authorized Official of Collaborator:  Name: <b>Sheila Lyons, Mary Ruth Flynn, 7</b> Title: <b>Co Commissioners</b> Date: <b>6/28/2016</b> Date: <b>6/16/16</b>
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## Cost Reimbursable Research Subaward Amendment

<b>WHOI</b>		<b>Collaborator</b>	
<b>Woods Hole Oceanographic Institution</b>		<b>Cape Cod Cooperative Extension (Barnstable County)</b>	
Address: <b>183 Oyster Pond Rd. Fenno House, MS #39 Woods Hole, MA 02543-1501</b>		Address: <b>P.O Box 367 Railroad Ave. Barnstable, MA 02630</b>	
		EIN No. <b>04 6001419</b>	
FAIN: <b>NA14OAR4170074, Project A/S 15s</b>	Federal Award (Fed Awd) Agency : <b>NOAA (Sea Grant)</b>	WHOI Project No : <b>22007402</b>	
Fed Awd Issue Date: <b>2/1/2014</b>	Total Amt of Fed Awd to WHOI: <b>\$4,207,884.00</b>	CFDA Title: <b>Sea Grant Support</b>	CFDA No. <b>11.417</b>
Sub Period of Performance: <b>2/1/2014-1/31/2018</b>	Sub Budget Period: <b>2/1/2014-1/31/2017</b>	Sub Amt Currently Available: <b>\$502,768.00</b>	Sub Anticipated Total: (incremental): <b>\$679,582.00</b>
WHOI PI: <b>Dr. Judy McDowell</b>		Collaborator PI: <b>Diane Murphy</b>	
Project Title: <b>"Sea Grant Extension Program"</b>			
Subaward (Sub) No: <b>A101112</b>	Subject to FFATA: (see Attachment 3B) <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	Is this Award R&D: <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	
<b>Amendments to Original Terms and Conditions</b>			
Effective Date: <b>1/31/2017</b>		Amendment No: <b>6</b>	
The purpose of this Amendment is the addition of <b>partial Year 4</b> funds. <b>\$88,407.00</b> in incremental funding will be added for the <b>Budget Period</b> hereby extended through <b>7/31/2017</b> . <b>Period of Performance</b> remains through <b>1/31/2018</b> . Total amount currently available is increased to <b>\$591,175.00</b> .			
<b>Please make the following changes to your Award Agreement:</b>			
Sub Period of Performance: <b>2/1/2014-1/31/2018</b>	Sub Budget Period: <b>2/1/2014-7/31/2017</b>	Sub Amt Currently Available: <b>\$591,175.00</b>	Sub Anticipated Total: (incremental): <b>\$679,582.00</b>
<b>Attachment 4: Incremental Funding</b>			
This Agreement is incrementally funded. The total amount of this Agreement is <b>\$679,582.00</b> . The amount currently available for payment is <b>\$591,175.00</b> which covers the Budget Period as extended and the Period of Performance. WHOI's obligation for the differenced of <b>\$88,407.00</b> is contingent on the availability of funds and the scientific progress of this project. Accordingly, no legal liability on the part of WHOI for payment of this difference shall exist unless and until an amendment is issued to the Subrecipient to make these funds available.			
<b>Cost Share Requirements</b>			
The total of <b>\$500,419.00</b> on this Subaward has been committed for Cost Share. The amount currently committed for: Year One is \$121,280.00; for Year Two is \$124,124.00, for Year Three is \$126,344.00, and for <b>partial Year 4</b> is <b>\$64,335.50</b> for a total <b>Cost Share Amount of \$436,083.50</b> Remainder <b>Year 4</b> is expected to be <b>\$64,335.50</b>			
<b>All Cost Share must be documented on your invoices with <u>period and cumulative</u> totals reported.</b>			
<b>All other Terms and Conditions remain in full force and effect.</b>			
Authorized Official of WHOI:  Susan P. Ferreira, Post Award Manager Woods Hole Oceanographic Institution		Authorized Official of Collaborator:  Name: <u>Mary Pat Flynn, Leo Cakounes, Ron Beady</u> Title: <u>County Commissioners</u>	
Date <b>3/24/17</b>		Date <b>04/05/17</b>	

**Attachment 4**  
**Research Subaward Agreement**

**Reporting Requirements**

**Deliverables and/or Technical Reports:**

- An annual Progress Report is due 60 days after the end of the first period
- A Completion Report is due 60 days after end of project period

**Close-out Documents:**

These documents must be submitted to the WHOI Financial Contact on Attachment 3 before the final invoice can be paid.

- **Subaward Release of Claims**

**Incremental Funding**

This Agreement is incrementally funded. The total amount of this Agreement is **\$679,582.00**. The amount currently available for payment is **\$108,021.00** which covers the Budget Period as Amended. WHOI's obligation for the differenced of **\$571,561.00** is contingent on the availability of funds and the scientific progress of this project. Accordingly, no legal liability on the part of WHOI for payment of this difference shall exist unless and until an amendment is issued to the Subrecipient to make these funds available.

**Cost Share Requirements**

The total of **\$500,419.00** on this Subaward has been committed for Cost Share.

The amount currently committed for partial **Year One** is **\$80,853.33**.

The difference of **\$40,426.67 for remainder Year One** will be committed with future increment of funds. The Cost Share amount for **Years Two, Three and Four** is **\$379,139.00**.

**All Cost Share must be documented on your invoices with period and cumulative totals reported.**